



ਜਗਤ ਗੁਰੂ ਨਾਨਕ ਦੇਵ
ਪੰਜਾਬ ਸਟੇਟ ਓਪਨ ਯੂਨੀਵਰਸਿਟੀ
ਪਟਿਆਲਾ

**The Motto of Our University
(SEWA)**

SKILL ENHANCEMENT

EMPLOYABILITY

WISDOM

ACCESSIBILITY

JAGAT GURU NANAK DEV

PUNJAB STATE OPEN UNIVERSITY, PATIALA

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

Head Quarter: C/28, The Lower Mall, Patiala-147001

WEBSITE: www.psou.ac.in

SELF-INSTRUCTIONAL STUDY MATERIAL FOR JGND PSOU

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CONTENTS

SR. NO.	COURSE	COURSE NAME
1	Economics	Macro Economics
2	English Elective	Reading Prose
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4	Political Science	Political Theory-II
5	Sociology	Indian Society
6	English Compulsory-1	-----
7	Introduction to Environmental Studies	-----
8	Human Rights and Duties	-----



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CORE COURSE (CC): ECONOMICS

SEMESTER- II

BLAB31201T: MACRO ECONOMICS

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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counselling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE (CC): ECONOMICS

SEMESTER-II

BLAB31201T: MACRO ECONOMICS

MAX. MARKS: 100

INTERNAL: 30

PASS: 35%

EXTERNAL: 70

TOTAL CREDITS: 6

OBJECTIVE

After introducing the students with the issues related with an individual consumer, firm and market in the first semester, this course in the second semester throws light on the national economy as a whole. This course includes the basic theories of determination of income, consumption, investment, employment, money and interest, inflation, Monetary and Fiscal policies, and business cycles

INSTRUCTIONS FOR THE CANDIDATES

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

SECTION – A

Introduction to Macro Economics: Meaning, Need and scope of Macroeconomics;

National Income Accounting: definitions and concepts of National Income and the methods of measurement.

Determination of Income, Output and Employment: Classical and Keynesian approaches

Consumption Function: Keynes' Psychological Law of Consumption, Determinants of Propensity to Consume. Absolute and Relative Income Hypothesis.

Investment Function: Types, Investment demand schedule and factors affecting investment decisions. Marginal efficiency of capital. concept, operation and limitations of static and dynamic multiplier. Acceleration theory and its working.

SECTION – B

Business Cycles: Meaning and Phases.

Inflation: concept, causes and effects

Money: Definition, Types, Functions and Role; Theories of Money: Fisher's Transaction Balance Approach and Cambridge Cash Balance Equation, Keynesian Liquidity Preference Theory.

Banking: Functions of Commercial Banks and Process of Credit Creation.

Monetary Policy: Meaning, Objectives and tools of Monetary Policy.

Fiscal Policy: Objectives and tools of Fiscal Policy.

RECOMMENDED READINGS:

1. Blanchard, O. (2018). Macroeconomics, 7th ed. Pearson Education.
2. Dornbusch, R., Fischer, S., Startz, R. (2018). Macroeconomics, 12th ed. McGraw-Hill.
3. Jones, C. (2016). Macroeconomics, 4th ed. W. W. Norton.
4. Mankiw, N. (2016). Macroeconomics, 9th ed. worth Publishers.



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BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE (CC): ECONOMICS

SEMESTER -II

BLAB31201T: MACRO ECONOMICS

COURSE COORDINATOR AND EDITOR: DR. PINKY

SECTION A

UNIT NO:	UNIT NAME
Unit 1	Introduction to Macro Economics: Meaning, Need and scope of Macroeconomics
Unit 2	National income accounting: definitions and concepts of National Income and the methods of measurement.
Unit 3	Determination of Income, Output and Employment: Classical and Keynesian approaches
Unit 4	Consumption Function: Keynes Psychological Law of Consumption, Determinants of Propensity to Consume. Absolute and Relative Income Hypothesis
Unit 5	Investment Function: Types, Investment demand schedule and factors affecting investment decisions. Marginal efficiency of capital. concept, operation and limitations of static and dynamic multiplier. Acceleration theory and its working

SECTION B

UNIT NO:	UNIT NAME
Unit 6	Static and Dynamic Multiplier and Acceleration Theory and its Working
Unit 7	Business Cycles and Inflation: Meaning, Phases and Types
Unit 8	Money: Definition, Types, Functions and Role
Unit 9	Theories of Money: Fisher's Transaction Balance Approach and Cambridge Cash Balance Equation, Keynesian Liquidity Preference Theory
Unit 10	Functions of Commercial Banks and Process of Credit Creation
Unit 11	Monetary Policy: Meaning, Objectives and tools of Monetary Policy. Fiscal Policy: Objectives and tools of Fiscal Policy

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 1: INTRODUCTION TO MACRO ECONOMICS: MEANING, NEED AND SCOPE

STRUCTURE

1.0 Learning Objectives

1.1 Introduction

1.2 Meaning of Macro Economics

1.3 Need of Macro Economics

1.4 Features of Macro Economics

1.5 Scope of Macro Economics

1.6 Importance or Uses of Macro Economics

1.7 Limitations of Macro Economics

1.8 Assumptions of Macro Economics

1.9 Relation between Micro Economics and Macro Economics

1.9.1 Inter-relationship between Micro Economics and Macro Economics

1.9.2 Differences between Micro Economics and Macro Economics

1.10 Summary

1.11 Questions For Practice

1.12 Suggested Readings

1.0 Learning Objectives

After completion of this unit, learner will be able to:

- Know the concepts in macroeconomics
- Develop Analytical skills
- Understand the economic activities and aggregates studied under Macro economics.
- Discuss the scope of Macro economics
- Clarify the differences between Micro and Macro economics.

1.1 Introduction

The term macro was first introduced in economics by the economist Ragnar Frisch in 1933. It is used to describe the study of aggregates and averages covering the economy as a whole such as total income, total employment, national income, aggregate demand, general Price level, total savings, wage level etc. It is that part of economic theory which studies the economy in its totality or as a whole. It studies not individual economic units like a household, a firm or an industry but the whole economic system. Macroeconomics is the study of aggregates and averages of the entire economy. Such aggregates are national income, total employment, aggregate savings and investment, aggregate demand, aggregate supply general price level, etc. In short, macroeconomics is the study of national aggregates or economy-wide aggregates. Main tools of its analysis are aggregate demand and aggregate supply. Macroeconomics is the basis of all plans of economic development of underdeveloped economies. Economists are now confidently exploring the possibilities and tools for maintaining economic growth and full employment. More than anything else, macroeconomic thought has enabled us to properly organize, collect and analyze the data about national income and coordinate international economic policies.

1.2 Meaning of Macro Economics

The word 'Macro' is derived from the Greek word 'Makros' which means large. Macro Economics refers to economy as a whole i.e economy of large dimensions. It is that branch of economics which studies the economic activities of the economy as a whole. The focus of macro economics is on macro economic variables like national income, general employment, general price level, aggregate demand, aggregate supply etc. To understand it more we will discuss some definition of Macro Economics given by various economists.

According to Boulding, "Macro economic theory is that part of economics which studies the overall averages and aggregates of the system."

According to Shapiro, "Macroeconomics deals with the functioning of the economy as a whole." According to Prof. Ackley "Macroeconomics deals with economic affairs "in the large", it concerns the overall dimensions of economic life."

John Maynard Keynes is the founding father of macroeconomics. Keynesian economics is a

macroeconomic theory of total spending in the economy and its effects on output, employment, and inflation. Keynes's theory was the first to sharply separate the study of economic behavior and markets based on individual incentives from the study of broad national economic aggregate variables and constructs. K.E. Boulding, "Macroeconomics deals not with individual quantities as such, but with aggregates of these quantities, not with individual income but with national income, not with individual price but with price level, not with individual output but with national output"

Keynes pioneered a new approach to macro economics. Prior to Keynes the problem of business cycles was inevitable with no specific approach to solve these problems. The classical economists focused on only micro aspects of the economy. The Great depression of 1930s left many of these economists helpless. In this backdrop Keynes came up with a new approach to look at the economy. In his book, 'The General theory of Employment, Interest and Money' he talked about the possibility of high unemployment and underutilization of capacities in the market economy. He also argued that Govt. can play bigger role during economic depression by effective utilization of fiscal and monetary policies.

1.3 Need of Macro Economics

Macro economics has a greater role to play in our day-to-day life. The study of macro economics is of great importance due to the following main issues.

- 1. To Understand the Economy as a Whole:** We need to study macro economics to analyze and study the economy as a whole. Whatever is true at micro level i.e., individual level may not be true at macro level. This is called macroeconomic paradox. According to Boulding it will be misleading to apply the rules of micro economics to macro economics expecting the same results. We can explain it with the help of an example. To solve the problem of unemployment at the time of great depression, A.C.Pigou, a neoclassical economist suggested all round wage cut to promote employment. From micro point of view if a firm or industry goes for wage cut, it can employ more labour. But it is not valid for the whole economy. Because cutting down wages brings down their income and it further brings down the overall demand in the economy which in turn will lead to fall in production and employment.

2. **It Studies Issues Related to Well-Being of the Society:** Macro economics deals with problems like unemployment, inflation, unequal distribution of income, imbalance in balance of payment etc. Macro economics explains the causes of these problems and measures to solve them. It also suggests the policies to overcome these problems.
3. **Determination of National Income:** Calculation of aggregates of National Income like GNP at market price, factor income, interest on national debt etc. is measured under it.
4. **Determination and Acceleration of Economic Growth:** High economic growth is the goal of every developing economy. Economic growth helps raising the standard of living, curb poverty, reduce unequal distribution of income and generate employment. It suggests measures to achieve self-sustained growth.
5. **To Explain General Price Level and Inflation:** Fluctuations in price level and inflation remains the problem with many developing economies. Fall in value of money and persistent rise in general price level is called inflation. Macro economics helps developing measures to solve the problem of inflation with the help of monetary and fiscal policies. Macroeconomic models like Harrod-Domar and Solow explain the important factors determining economic growth.
6. **To Understand Business Cycles:** Significant developments have been made in macroeconomics to understand the causes of business cycles. Keynesian theory of effective demand along with the interaction of multiplier and accelerator gives adequate explanation of business cycles. On the basis of understanding of business cycles, macroeconomics helps us adopt proper monetary and fiscal policies to check business cycles.
7. **Formulating Macro Economic Policies:** Accurate and efficient macroeconomic policies play an important role in development of an economy. Policies related to employment generation, control of trade cycles, combating poverty, inflation etc. play a special role in developing economies.

1.4 Features of Macro Economics

Macroeconomics has following features:

1. **Short-run in Nature:** Macroeconomics is a short run study. Short run refers to that time period in which some factors are fixed and some are variable. Short run nature of

macroeconomics can be expressed as given below.

- a) National output is assumed to be constant
- b) Only labour is the variable factor in the short run
- c) Consumption in the short run remains same more or less as habits of the people remain same in short run. Therefore, more stress is given in macroeconomics on investment as a factor to increase employment.

2. **Macroeconomics is Mainly Institutional:** Macroeconomics is more real. We can understand its real nature by examining the real factors like saving, investment, rate of interest and institutional factors influencing propensity to consume.
3. **Importance of State Intervention:** Macro economics lays great stress on the role of state intervention in balancing the economy. State plays an important role in dealing with business cycles through monetary policy, raises propensity to consumption by equitable distribution of income.
4. **Pivotal Role of Investment:** Investment has a pivotal role to play in macro economics. Effective demand depends on consumption and investment. Consumption remains same in the short period. It is change in investment which can bring increase in effective demand. Problem of unemployment and underproduction is mainly due to lack of investment.
5. **A Monetary Economics:** classical economists put stress on the medium of exchange function of money but macro economics acknowledged the role of store of value function of money. According to macroeconomics determination of income and employment is affected by demand and supply of money.
6. **Comparative Static Analysis:** Macro economics has an element of both static and dynamic analysis.
7. **A Theory of Shifting Equilibrium:** Macro economics lays great stress on underemployment and over employment equilibrium. Both the situations are more realistic than full employment equilibrium. They explain the shifting equilibrium.
8. **Role of Expectations:** expectations basically mean expectations from profit. If the entrepreneur is optimistic, he expects more profit, he will invest more. Investment according to macro economics depends upon of Marginal efficiency of capital (MEC) and

MEC further is governed by expected profitability.

9. **Role of National Income and Consumption:** Macro economics recognizes the role of national income and consumption in solving economic problems of a country. Keynes explained how the analysis of national income helps solving the problem of unemployment. Also, through his psychological law of consumption he explained that consumption does not rise in same proportion as the increase in income. This leads to fall in effective demand and rise in unemployment.

1.5 Scope of Macro Economics

The scope of macro economics is multidimensional. It includes the problems, activities, issues and parameters related to macroeconomics. Following are the broad areas underlying the scope of macroeconomics.

1. **To Study the Working of the Economy:** it is impossible to understand the working of an economy without the study of macroeconomic variables. These macroeconomic variables are statistically measurable therefore making it easy to analyze. With the help of macro economics we can measure national income, output, employment, general price level etc. on the basis of which we understand the economic system.
2. **To Study the Theory of Employment:** High level of unemployment and underemployment is a common feature of developing economies. Macroeconomics studies problems related to unemployment. It studies factors determining employment like aggregate demand, aggregate supply, effective demand, aggregate consumption and saving etc.
3. **In Formulating Economic Policies:** Developing economies face innumerable national problems. Macro economics is extremely helpful in combating these problems by finding viable solutions. The main responsibility of the governments is to regulate and control the problems like overpopulation, unemployment, balance of payment and inflation etc.
4. **To Study the Theory of National Income:** Macro economics studies different concepts and components of National income and methods of measurement of national income and social accounting. National income data help in forecasting and policy making.
5. **To Study the Theory of Economic Growth and Development:** Boosting economic

growth remains an important goal of developing economies. Study of problems relating to economic growth, equal distribution of income and wealth, raising per capita income etc. comes under the scope of macro economics. On the basis of it, government frames and implements plan for the overall increase in national income, employment and output to increase development.

6. **In Study the Business Cycles:** business cycles refer to fluctuations in output and employment with altering periods of inflation and recession. Macro economics developed as an approach to solve the problem of Great depression of 1930's. it studies the causes of economic fluctuations and its remedies. Various theories of business cycles and monetary and fiscal policies to control business cycles are used under macro economics.
7. **To Study General Price level and Inflation:** Problem of inflation and rising prices is one of the major problems faced by both developed and developing countries. It studies and analyze the problem of inflation. It was Keynes who put forward demand pull theory of inflation. After Keynes many theories of inflation were developed depending on various causes leading to price rise.
8. **Balance of Payments and Exchange Rate:** Balance of payment is a systematic record of economic transactions of the residents of a country with rest of the world during one accounting year. There may be deficit or surplus in balance of payments. Both are problematic. Transactions in balance of payments are created by exchange rate. Exchange rate is the rate at which a country's currency is exchanged for foreign currencies. Instability in exchange rate and balance of payment problem has been major problem of developing countries these.

Check Your Progress- I

Q1. What do you mean by Macro Economics?

Ans. -----

Q2. Explain any two features of Macro Economics.

Ans. -----

1.6 Importance or Uses of Macro Economics

1. **It Helps to Understand the Functioning of a Complicated Modern Economic System:**

It describes how the economy as a whole function and how the level of national income and employment is determined on the basis of aggregate demand and aggregate supply.

2. **Issues of Vital Importance:** Macroeconomics deals with the issues of vital importance, such as unemployment, inflation, instability of foreign exchange rates etc. which directly affect the well-being of the people.

3. **Helps in Measuring and Achieving Economic Growth:** It helps to achieve the goal of economic growth, higher level of GDP and higher level of employment. It analyses the determinants of economic growth of a country. Also explains measures to attain high economic growth and sustain it.

4. **Macro Economics:** It helps to bring stability in price level and analyses fluctuations in business activities. It suggests policy measures to control Inflation and deflation.

5. **Explains Balance of Payment:** it determines the factors affecting balance of payment, identifies causes of deficit in balance of payment and suggests remedial measures.

6. **For International Comparisons:** Macro economics helps in making international comparisons. It helps in making international comparisons of national income, per capita income, consumption and savings etc.

7. **To Understand Macroeconomic Paradoxes:** Macroeconomics explains the concepts that hold good for individuals but are not valid when applied to the society.

8. **Solve Economic Problems:** It helps to solve economic problems like poverty, unemployment, business cycles, etc., whose solution is possible at macro level only, i.e., at the level of whole economy.

9. **To Formulate Economic Policies:** With detailed knowledge of functioning of an economy at macro level, it has been possible to formulate correct economic policies and also coordinate international economic policies.

10. **Wider Scope than Micro Economics:** Macroeconomic theory has saved us from the dangers of application of microeconomic theory to the problems of the economy at large.

11. Measurement of Material Welfare: macroeconomics helps in measuring aggregates like aggregate income, consumption, saving and investment. Hence helps in assessing material welfare.

12. Decision Making: Macroeconomics helps in policy making as it studies the economy as a whole. Hence on the basis of those individuals and businessmen are able to take right decision timely.

13. Economic Planning: On the basis of macroeconomic aggregates, countries formulate comprehensive economic plans to achieve economic goals.

1.7 Limitations of Macro Economics

Main limitations are given as follows.

- 1. Contribution of Individual Units Ignored:** macro economics throws light on the function of aggregates only. It ignores the role of economic activities and the decisions taken by individual units.
- 2. Excessive Generalization:** Generalization of individual observation may lead to inaccurate results about the system as a whole.
- 3. Heterogeneous Units:** We study heterogeneous units under macroeconomics. Heterogeneous units are the units which are different from each other. It is not possible to measure these units in uniform pattern. e.g. consumers are assumed to differ from each other. Under macroeconomics heterogeneous units are measured in terms of money which may not be the true measure of their value in use.
- 4. Depends on Individual Units:** Whatever the fact correct for individual may not necessarily be correct for the whole economy. As a person starts saving in the form of money, but if everybody starts saving in terms of money then the aggregate demand will fall, which cause reduction in national income.
- 5. Limited Application:** Macro economics has limited applications as it deals with aggregates only, that is not practical in real life.

1.8 Assumptions Of Macro Economics

Keynes propounded some assumptions of macroeconomics. These are given below.

1. **Short Period:** In short period it is not possible to change all the factors like technique of production, taste of the consumer, habits and fashion. Therefore, macro economics assumed all these factors to be constant. According to Lord Keynes the problem of unemployment in developed countries was a short-term problem because in long run period we are all dead.
2. **Perfect Competition:** In perfect competition situation of the market, no interference of other firms to determine the price of the product is to be assumed. Here, it assumes perfect competition into the market.
3. **No Government Interference:** It ignores the intervention of the government on aggregate demand. As per macro economics, aggregate demand is a function of consumption and investment only.
4. **Closed Economy:** A closed economy is that economy where there is no trade with any of the other country. There is no influence of trade on employment and level of income.
5. **Role of Money as a Store of Value:** It assumes that money is not used for medium of exchange only rather money used for store of value also. Therefore it is not necessary that the person spend all of their monetary income as he gets.
6. **Underemployment Equilibrium:** Macro economics assumes that the position of equilibrium can be achieved in full employment as well in the underemployment situation. Equilibrium is a situation where aggregate supply is equal to aggregate demand.
7. **No Time lags:** It assumes that there are no time lags in the variables. For example, the expenditure of person A on the day Friday depends upon the income he earns on Friday only. Therefore, present consumption depends on the present income only.
8. **Full Utilization of Resources:** It assumes that there is full utilization of resources that are available in the economy
9. **Diminishing Marginal Productivity:** It means that as more and more labour engaged for the process of production, the marginal productivity gained from the additional laborer goes diminishing. Macro economics assumes diminishing marginal productivity for additional laborer.

10. Saving and Investment Function: in Economics, saving is a function of income of the consumer. More the income of the person leads to more saving of the person.

11. Labour is the Only Variable Factor of Production: In short run period, it assumed that all other factors of productions like land and capital etc. are constant in nature and only the quantity of labour engaged on the process of production can be variable (i.e. increased or decreased the quantity of labour engaged as per requirement).

12. Interest is a Monetary Phenomenon: It assumes that interest is a monetary phenomenon only. Interest function is based on the demand and supply of money, here demand for money indicates to liquidity preference, which used for the purpose of transaction, precautionary and speculative motives.

1.9 Relation Between Microeconomics and Macroeconomics

Micro economics and macro economics are closely related to each other. Their relation is clear from the following analysis.

1.9.1 Inter-Relation Between Micro Economics and Macro Economics

- 1. Study of Microeconomics is the Basis for The Study of Macroeconomics:** Macro economics is the study of aggregates and these aggregate results obtained from collection of individuals. To understand the functioning of whole economy it is essential to understand the behavior of individual units. e.g collection of firms makes an industry and several industries form an economy.
- 2. Study of Macroeconomics is the Necessary for Microeconomic Analysis:** To study a problem at micro/ individual level macroeconomic analysis becomes indispensable. The general trend seen on macro level influences the micro level results to some extent. e.g. the sale of product of a firm not only depends on its price but also on the total supply of money in the economy.

1.9.2 Differences Between Microeconomics and Macro Economics

- 1) Different Assumptions:** Micro economics is based on the assumption of full employment, fixed output and fixed expenditure. Whereas macro economics is based on the assumption of optimum allocation of resources in the country.

- 2) **Different Objectives:** Both these branches of economics have different objectives. Micro economics studies the principles, problems and policies related to optimum allocation of resources. Whereas macro economics studies the principles, problems and policies related to full employment and growth.
- 3) **Different Methods of Study:** We study partial equilibrium analysis under micro economics. We assume other things being equal under the principles of micro economics. Under the principles of macro economics we study quasi general equilibrium analysis. Here economic factors are divided into important aggregates like aggregate demand, aggregate supply, aggregate income and aggregate consumption etc.
- 4) **Different Importance to Price and Income:** The central determinant of the problem of micro economics is price and that of macro economics is income. Demand, supply, consumption etc. are taken on the basis of price. Under micro economics, consumers, producers etc. take decisions on the basis of price whereas under macro economics decisions regarding all aggregates like aggregate consumption, aggregate investment and aggregate saving etc. are taken on the basis of income.
- 5) **Difference Relating to Change:** Sometimes there are changes on individual basis i.e at micro level but these changes are not there at macro level and vice versa. e.g. if there is increase in demand in a particular sector, there may not be any change in the demand as a whole due to fall in demand in some other sector.
- 6) **Paradoxes:** In many activities advantages at individual level may prove detrimental to the society or economy as a whole. Prof. Boulding has called such paradoxes as macroeconomic paradoxes. e.g., more savings of an individual may benefit the person who saves but if the whole society starts saving more, aggregate demand will be short of aggregate supply leading to fall in national income.
- 7) **Differences in Degree of Aggregation:** Micro economics studies small units like a firm, group of firms etc. It studies aggregates like general output, total employment and national income etc.

Check Your Progress- II

Q1. Give any two assumptions of Macro Economics.

Ans. -----

Q2. Explain three limitations of Macro Economics.

Ans. -----

11.10 Summary

Macro Economics is the use of economic resources at the aggregate level i.e. national level. Macro economics studies the problems and issues related to the economy as a whole. For example, aggregate consumption, aggregate supply, aggregate savings, total employment, general price level and national income etc. macro economics not study the individual economic units as studies by micro economics, rather it studies the issues related to the collective society. Moreover, macro economics enabled the economist to organize, collect and analyze the data related to income and international economic policies. In other words, macro it deals with national income not the individual income, individual price level, individual utility etc. it also considers the sub aggregates of large aggregates related to the economy as a whole. However, macro economics is the study of aggregates, and these aggregate results obtained from the collection of data or behaviour of individuals. So, in order to understand the functioning of whole economy it is essential to understand the behaviour of an individual units.

11.11 Questions For Practice

A. Short Answer Type Questions

- Q1. Define macroeconomics.
- Q2. What are Macroeconomic paradoxes?
- Q3. What are the main assumptions of macroeconomics?
- Q4. Give five salient features of macroeconomics
- Q5. Give some differences of microeconomics and macroeconomics.
- Q6. Explain some major limitations or criticisms of macro economics.

B. Long Answer Type Questions

- Q1. What do you mean by Macro economics? Explain its scope.
- Q2. Bring out the relationship that exists between micro and macro economics. Also

distinguish between micro and macro economics.

Q3. Discuss the importance of macro economics. Also give its limitations.

Q4. Define Macro Economics. Also discuss its salient features.

1.12 Suggested Readings

- Branson, W.H. (1979). *Macroeconomic Theory and Policy*. Harper and Row Publishers New York.
- Dwivedi, D.N. (2010). *Macroeconomic Theory and Policy*. Tata MCGraw Hill Education Private Limited.
- Mankiw, N.G. (2003) *Macroeconomics*. Worth publications.
- Krugman, P. & Wells, R.(2015). *Macroeconomics*. Worth Publishers.
- Sheehan, B. (2009). *Understanding Keynes' General Theory*, Palgrave Macmillan.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 2: NATIONAL INCOME ACCOUNTING: CONCEPTS AND METHODS OF MEASUREMENT

STRUCTURE

2.0 Learning Objectives

2.1 Introduction

2.2 Meaning and Definition of National Income

2.3 Basic Aggregates of National Income

2.3.1 Gross Domestic Product at Market Price (GDP_{MP}) and Factor cost (GDP_{FC})

2.3.2 Net Domestic Product at Market Price (NDP_{MP}) and at Factor Cost (NDP_{FC})

2.3.3 Gross National Product at Market Price (GNP_{MP}) and Factor Cost (GNP_{FC})

2.3.4 Net National Product at Market Price (NNP_{MP}) and Factor Cost (NNP_{FC})

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2.0 Learning Objectives

After completion of this, learner will be able to:

- Know the concepts of National Income
- Understand the related aggregates of National Income
- Know about methods of measuring National income
- Define the difficulties faced by underdeveloped countries in measuring National Income
- Understand the difference between various aggregates of National income.

2.1 Introduction

In an economy, the people are engaged in productive activities, whereby they earn income and spend their income on goods and services to satisfy their unlimited wants. The growth and progress of an economy can be estimated from how much they are able to produce and spend, i.e. the total output, income and expenditure during the specified period of time. These 'aggregates' of the economy are considered as different perspective to its national income national income is the income of a nation and the assessment of money value of all the goods and services provided by a nation during the specified period of time. Generally, it is taken by aggregate of income earned by all the individuals of a nation. National income helps the nation to determine the growth of that nation with respect to its basic requirement. National income can be defined as the total net value of all goods as well as services produced within a nation over the period of time.

In brief, national income is an important concept of macroeconomics. There are various aggregates or variants of national income. Each aggregate is composed of a specific meaning and measurement.

2.2 Meaning and Definition of National Income

The term national income can be interchangeably used with national output, national dividend and national expenditure. All the three terms are synonymous to the term national income as they provide the true picture of the condition of particular economy in terms of growth and development. Many economists have defined national income in different terms. It has two types of definitions as explained below:

1. Traditional Definition

This is provided by the classical economists like Marshall, Pigou and Fisher. All three had used different concepts to define national income and led to different conclusions. These concepts are explained as below:

A. Marshallian Definition

“The labour and capital of a country acting on its natural resources produce annually a certain net aggregate of commodities, material and immaterial including services of all kinds. This is the true net annual income or revenue of the country or national dividend.” Thus, the Marshallian definition defines the importance of the factors of production like labour and capital which uses natural resources of the country to produce goods and services which contribute to the value of the national income of that country. But this definition has some flaws such as it is not possible to correctly estimate the total goods and services produced in an economy in the present world as there are so many varieties available. Also, there is possibility of double counting in the economy.

B. Pigouvian Definition:

“National income is that part of objective income of the community, including income derived from abroad which can be measured in terms of money.” Thus, Pigouvian definition is better than the Marshall’s definition as it corrected the problem of double counting by including only the money value of the goods and services in the accounting. But this definition is not fully correct as it also has some defects inhabited in it. Some of them are that this includes only the money value of the goods and services which can be done in developed countries only. In under developed countries barter system still prevails in some sectors and also proper accounts are not maintained.

C. Fisher’s Definition:

This definition included consumption as the criterion to calculate the national income of a particular economy. This definition is better than the other definitions on the part that it provides the estimation of the standard of living of the economy on the basis of the consumption pattern. But this definition is not without defects as it includes the value of the goods or services used in the particular year on the basis of their estimated shelf life. But, what will happen if the estimation may increase or decrease. This will lead to wrong conclusions and the national income accounting may go wrong. Thus, this definition is not completely perfect in defining national income.

2. Modern Definition

This definition includes the current time definition of the national income which is being practically used in all the economies to estimate. Some of the definitions are given below:

A. Simon Kuznet's Definition:

“National income is defined as the net output of commodities and services flowing during the year from the country's productive system in the hands of ultimate consumers.”

This definition is the most acceptable definition as it includes the estimation of the value of goods and services which directly or indirectly reach the end users i.e. consumers in the monetary terms.

B. United Nations Definition:

“National income has been defined as national product, as addition to the shares of different factors and as net national expenditure in a country in a year's time”

This definition is also mostly acceptable as it involves the concept of national income as national product and national expenditure which are always equal while calculating and mostly used interchangeably.

Check Your Progress-I

Q1. Define Pigouvian definition of national income.

Ans. -----

Q2. Write Simon Kuznet's definition of national income.

Ans. -----

2.3 Basic Aggregates of National Income

Generally known, an economy produces various goods and services during a period of one year. These goods and services cannot be added together in terms of quantity. Thus, these are represented in terms of money. Basic aggregates of National Income are given below.

2.3.1 Gross Domestic Product at Market Price (GDP_{MP}) and Factor cost (GDP_{FC})

Gross Domestic Product at Market Price (GDP_{MP}):

It implies the gross market value of all final goods and services produced within a nation during one accounting year. It is the income earned by the nationals of the country within the domestic country and excludes the income earned from the foreign country. Dernburg defines

GDP at market price as “the market value of the output of final goods and services produced in the domestic territory of a country during an accounting year.”

$$\text{GDP}_{\text{MP}} = \text{Value of output in domestic territory} - \text{value of intermediate consumption}$$

In the definition of GDP, some terms which are explained as:

- Gross in GDP_{MP} refers to include the depreciation.
- Domestic in GDP_{MP} implies that all goods and services produced within a nation.
- Product in GDP_{MP} underlines that only final goods and services are included.
- Market Price in GDP_{MP} underlines the amount of indirect taxes paid and excludes the amount of subsidy received.
- Final goods and services in the definition involve all the finished goods which are being produced in the country.

Gross Domestic Product at Factor Cost (GDP_{FC}):

It includes the gross money value of all the final goods and services produced within the boundary during a one period. It involves the income earned by all the factors of production like labour, capital, land and entrepreneur in a given year within the domestic territory of the country.

$$\text{GDP}_{\text{FC}} = \text{GDP}_{\text{MP}} - \text{Net Indirect Taxes Or}$$

$$\text{GDP}_{\text{FC}} = \text{GDP}_{\text{MP}} - \text{Indirect Taxes} + \text{subsidies}$$

This involves the factor income being earned by the factors of production in the economy which the producing sector provides to the household sector. The basic difference among GDP at market price and factor cost is that GDP_{FC} includes all the elements of GDP at market price except net direct taxes.

2.3.2 Net Domestic Product at Market Price (NDP_{MP}) and at Factor Cost (NDP_{FC})

Net Domestic Product at Market Price (NDP_{MP}):

According to Dernburg, “Net Domestic product at market price is the market value of net output of final goods and services produced in the domestic territory of a country by its normal residents and no-residents during an accounting year”. The term net refers to the value of goods and serviced deducted after the wear and tear and some of the expenses made by the business house.

$$\text{NDP}_{\text{MP}} = \text{GDP}_{\text{MP}} - \text{Depreciation}$$

Net Domestic Product at Factor Cost (NDP_{FC}):

It refers to net money value of all the goods and services produced within the country generally during one year. This also involves the factor prices provided by the business sector to the household sector but exclude the fixed capital consumption allowance (depreciation).

$$\text{NDP}_{\text{FC}} = \text{GDP}_{\text{MP}} - \text{Net Indirect Taxes Depreciation} \quad \text{or}$$

$$\text{NDP}_{\text{FC}} = \text{GDP}_{\text{FC}} - \text{Depreciation} \quad \text{or}$$

$$\text{NDP}_{\text{FC}} = \text{NDP}_{\text{MP}} - \text{Net Indirect Taxes}$$

NDP_{FC} is also known as Domestic Income or Domestic Factor Income. It should be noted here that the entire component either domestic or net, mainly attributed output and services produced within the nation not outside the nation. Now we will consider the national level concepts.

2.3.3 Gross National Product at Market Price (GNP_{MP}) and Factor Cost (GNP_{FC})

Gross National Product at Market Price (GNP_{MP}):

According to Dernburg, “The GNP at market price is defined as the market value of all the final goods and services produced in an economy during an accounting year including net factor income from abroad”. Therefore, it includes all the income earned by the nationals of the country both within the domestic boundary and outside it. The income earned from the foreign sector is known as the net factor income from abroad.

$$\text{GNP}_{\text{MP}} = \text{GDP}_{\text{MP}} + \text{Net Factor Income from abroad (NFIA)}$$

Gross National Product at Factor Cost (GNP_{FC}):

According to Peterson, “Gross national product at factor cost is the sum of factor cost of the gross product attribute to the factors of production supplied by the normal residents of the country during a year and net factor income from abroad”.

$$\text{GNP}_{\text{FC}} = \text{GNP}_{\text{MP}} - \text{Net Indirect Taxes}$$

2.3.4 Net National Product at Market Price (NNP_{MP}) and Factor Cost (NNP_{FC})

Net National Product at Market Price (NNP_{MP}):

It considers the net money value of all the final goods and services produced by the normal residents of a nation during one year. It is also known as National income at market price.

$$\text{NNP}_{\text{MP}} = \text{GNP}_{\text{MP}} - \text{Depreciation}$$

Net National Product at Factor Cost (NNP_{FC}):

It refers to net money value of all the final goods and services produced by the normal residents of a country during a period of one year. It is known as the national income. It refers to the cost that the individuals of the economy face in terms of resources of the economy to produce the net output.

$$NNP_{FC} = GNP_{MP} - \text{Net Indirect Taxes} - \text{Depreciation}$$

It should be noted here that production of only normal residents of the country is to be included even if they are outside the nation.

Check Your Progress-II

Q1. Define Gross Domestic Product at Factor Cost (GDP_{FC})

Ans. -----

Q2. Write the formula of Gross National Product at Market Price (GNP_{MP}).

Ans. -----

2.3.5 Net Value Added at Market Price (NVA_{MP}) and Factor Cost (NVA_{FC})

Net Value Added at Market Price (NVA_{MP}):

The term that is used to denote the net contribution made by a firm is called value added. It is the difference between the value of output and input or raw material or intermediate product at each stage of production. The net value added at market price refers to the net domestic product at market price which is the difference of gross value added and the depreciation.

$$NVA_{MP} = GVA_{MP} - \text{Depreciation}$$

Net Value Added at Factor Cost (NVA_{FC}):

It gives the net value added by all the productive enterprises of an industry or sector at factor cost. By adding up the net factor income from abroad to it there will be the total national income of the economy.

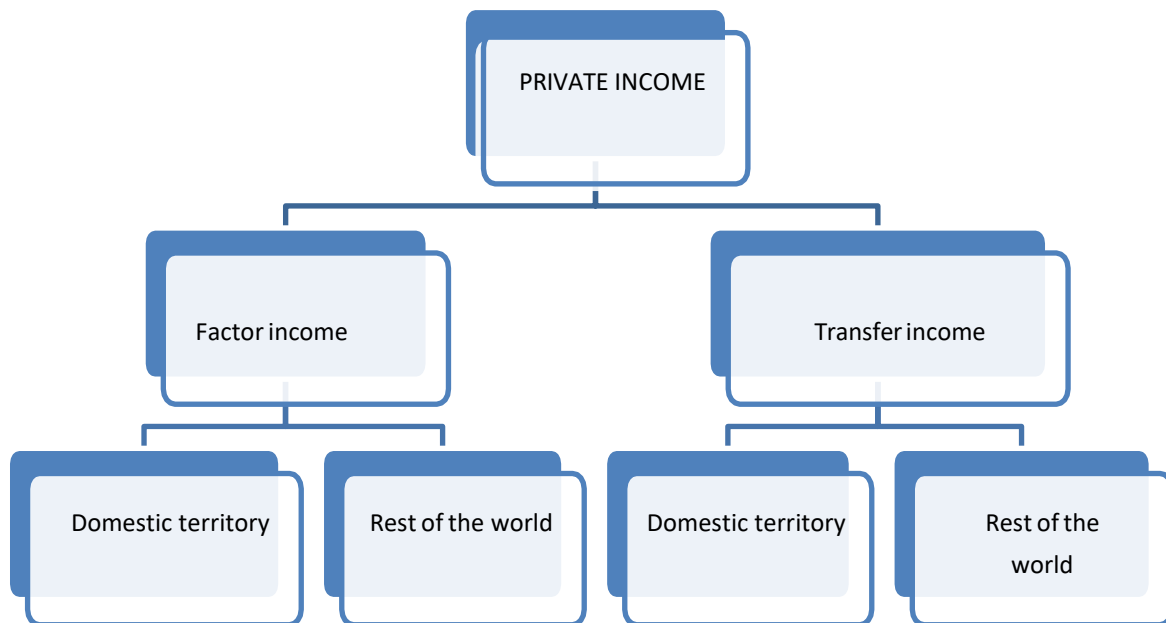
2.3.6 Private Income and Personal Income

It involves the income earned by the private sector of the economy from both the domestic and foreign market. This includes following two parts:

A. Factor income or the earned income

B. Transfer income or unearned income

Private Income = Income from domestic product of private sector + Net factor income from abroad + interest on National Debt + net transfer from government + transfer payments from the rest of the world



Personal income involves the income earned by the household sector of the economy from both the domestic and the foreign market from all the sources. It also includes factor income and transfer income.

Personal Income = Private income – corporate tax – saving of private enterprises (retained earnings of foreign companies)

2.3.7 Personal and National Disposable Income

This includes the income that is available to the household sector for consumption after the payment of taxes, fees and other miscellaneous receipts of the government.

Personal Disposable Income = Personal income – personal/direct taxes – miscellaneous receipts of the government

National disposable income includes the money income that is available to the whole economy for consumption purpose. This involves two terms, i.e.

A. Net National Disposable Income: It is the total income that is available to the whole economy for consumption or saving. It is written as NNDY.

NNDY = National consumption expenditure + National Savings or

NNDY = National Income + Net indirect taxes + Net current transfers from the rest of the world

- B. Gross National Disposable Income: When depreciation is added to the net national disposable income, the result will be the gross national disposable income.

$$\text{GNDY} = \text{Net National Disposable Income} + \text{Depreciation}$$

2.3.8 Nominal GDP and Real GDP

This refers to the market value of all the final goods and services produced in the domestic territory of the country during an accounting year calculated on the basis of current year prices. It is also known as monetary GDP or GDP at current prices.

Real GDP refers to the market value of all the goods and services produced in an accounting year in the domestic territory of the country calculated on the basis of the base year prices. It is also known as GDP at constant prices.

2.3.9 GDP Deflator

It is the ratio of the nominal GDP and real GDP which shows the change in the value of the GDP due to the change in the prices of the economy.

$$\text{GDP Deflator} = \frac{\text{Nominal GDP}}{\text{Real GDP}} \times 100$$

2.4 Basic Differences Between the Domestic Income and National Income at Factor Cost

Basis	Domestic Income	National Income
Nature of Concept	It reflects the value of output and services produced within nation.	It is a national level concept represented the value of goods and services produced in the entire world.
Category of Producers	It is related to those producers that are associated to the goods and services within nation.	It relates to all producers who are normal residents of the nation.
Net Factor Income Abroad (NFIA)	It excludes the NFIA	It includes the NFIA

2.5 Basic Differences Between the GDP and National Income at Market Price

Basis	GDP at Market Price (GDP _{MP})	National Income NNP _{FC}
Nature of concept	It reflects the value of final goods and services produced within nation.	It is associated to national concept involves the value of final goods and services produces in the entire world.
Category of producers	All the producers within nation.	All the producers who are normal residents of the nation.
Net Indirect Taxes	It is a market price i.e, it included net indirect taxes.	It is a factor cost, i.e, it excludes net indirect taxes.
Depreciation	Inclusive of depreciation	Exclusive of depreciation

2.6 Basic Difference between National Income and Private Income

Basis of Difference	National Income	Private Income
Public and private sector	It includes the income earned by both the public and private sector	It includes the income earned by only private sector
Factor and transfer income	It involves only the factor income	It involves the income earned in terms of both the factor and transfer income
Public sector income	It includes the public sector income	It does not include the public sector income
Interest on National Debt	It does not include interest on national debt while its calculation	It involves interest on debt incalculation

Check Your Progress-III

Q1. What are the basic differences between the domestic product and national income at market price?

Ans. -----

Q2. Define Private Income.

Ans. -----

2.7 Methods to Measure National Income

National income is the most important measure to compute the performance of the economy. The Calculation of the national income is very complicated and it reveals that because of the ways of the flow of resources the national income can be computed in three ways. These are termed as:

- A. Product method
- B. Income method
- C. Expenditure method

These can be explained in detail as follows:

2.7.1 Product Method

This method measures the value of national income in terms of the products being produced in the economy in an accounting year. This method is also known as value added method or output method. Value added is defined as the difference between the final goods as they are being produced and the cost of goods that entered that stage.

I) Steps to Measure National Income Under Value Added Method

1. Identification of the Productive Units: firstly, to calculate the national income there is need to identify the producing sectors of the economy. There are mainly three sectors of the economy which are being contributing to the production of the economy. These are:

- A. Primary sector: It involves the agricultural sector of the economy. Along with agriculture there are also allied activities like animal husbandry, horticulture, bee- keeping, etc. are being involved. Thus, the goods and services produced by them are included in the calculation of national income.



- B. Secondary sector: It involves the goods and services produced by the industrial sector of the economy. Along with industrial sector it also includes the construction, manufacturing etc. Here the products are being produced with the help of men, machine, material etc.
- C. Tertiary sector: It involves the services provided to the other sectors of the economy. It includes transportation, banking, real estate, information technology, etc.

2. Calculation of the Value Added: The value added of the economy can be calculated by adding the value of output being produced by all the sectors and subtracting the intermediate consumption from it. It is also known as GDP at market price.

$$\text{Value Added} = \text{Value of output (Primary + Secondary + Tertiary)} - \text{Intermediate goods}$$

3. Calculation of the national income: For calculation of the national income, the depreciation and net indirect taxes are to be subtracted from the value added and then net factor income from abroad is added to this.

$$\text{National Income (NDP}_{FC}) = \text{GDP}_{MP} - \text{Depreciation} - \text{Net Indirect Taxes} + \text{Net Factor Income from Abroad}$$

II) Precautions of Product Method

- A. Double counting should be avoided.
- B. Production for self-consumption should be included.
- C. Sale of second-hand goods is not to be included.
- D. Production from illegal activities should not be included.
- E. Value of services rendered by housewives/family members should not be included.

2.7.2 Income Method

Under this method, the factor incomes being earned by all the factors of production are calculated and added to derive national income. This method is also known as factor income method or income consumption method.

I) Steps Involved in Calculation of National Income:

1. Compensation of Employees: it involves the income being paid by the employers to the workers or employees in the business house. It involves following points:

- A. Wages and salary in cash: it includes the money income being paid by the employers to the workers for the work being done by them in the production of the commodity.

- B. Wages and salary in kind: it includes non-monetary benefits provided to the workers to stay in the business house, such as free cab service, free houses, educational facilities to their child, etc.
- C. Employer's contribution to social security scheme: it includes the contribution made by the employer for the benefit of the workers.

2. Operating Surplus: it involves the income earned by the factors other than labour for their contribution in the production of the commodity. It involves following points:

- A. Rent and Royalty: rent is provided on the land privately used by the entrepreneur for the business purpose. It is the payment made for the use of land. Royalty is the amount paid for the leasing of the sub-soil land to the government officials.
- B. Interest: it is the payment made by the government on public debt or by one firm to the other on the funds provided for the productive purposes.
- C. Profit: it is the reward provided to the entrepreneur for incurring risk in the production of goods and services. It is used by the entrepreneur for mainly three purposes, i.e., to pay corporate tax, to pay dividend and to retain earnings for business purposes.

3. Mixed Income: it involves the imputed value of the self-employed work being done by the normal resident of the economy. It includes the value of rent from owned land, wages of owned work, etc. e.g., Farmers, retail traders, etc. it involves a service of doctor running his clinic at the residence.

4. Net Factor Income from Abroad: the net factor income from abroad involves the income earned by factors of production by working outside of the domestic territory. It involves the net value of the payment made to the foreign world and receipts from them to the domestic economy.

$$\text{NFIA} = \text{Net income earned from abroad} - \text{Net income paid to abroad}$$

Now, the National income can be calculated by adding all the four parts of the income method, i.e. $\text{NDP}_{fc} = \text{Compensation of employees} + \text{Operating Surplus} + \text{Mixed income} + \text{Net factor income from abroad}$.

II) Precautions Regarding Income Method:

- 1) Transfer payments like old age pension, unemployment allowance are not included in estimating national income.

- 2) Imputed rent of self-occupied houses and imputed value of production of goods for self-consumption are to be included in calculating national income. But value of self-consumed services is not to be included.
- 3) Illegal money through smuggling, theft etc. is not included in national income.
- 4) Windfall gains are not included in this method.
- 5) Death duties, gift tax, tax on lotteries etc. are paid from past saving or wealth are not a part of current income. So, they should not be treated as a part of national income of that year.
- 6) The receipts from sale of second-hand goods should not be treated as a part of national income because second-hand goods do not create new flows of goods and services in the current year.
- 7) Sales proceeds of second-hand goods are not included in national income.
- 8) Indirect taxes are not included while estimating national income at factor cost.

2.7.3 Expenditure Method

It is a method of computing GDP that measures the amount spent on all final goods during a given period. Expenditure method is the method which measures final expenditure on gross domestic product at market price during an accounting year. Final expenditure refers to expenditure on final goods and services in an accounting year. The main problem is to find out whether the expenditure is on final good or intermediate good. Only final expenditure is added in this method. If goods and services are purchased for final consumption or capital formation, the expenditure on them is final expenditure.

I) Steps Involved in the Calculation of The National Income:

1. Consumption Expenditure: It involves the expenditure being incurred on the purchase of goods and services. There are many types of goods being available in the economy. Some of these types are as follows:

- A. Durable/Non-perishable goods: refrigerators, air conditioner, cooler, furniture, etc.
- B. Semi-durable goods: Clothes, food items like sugar, salt, etc.
- C. Non-durable/Perishable good: vegetables, fruits, etc.

The expenditure is being done by both the government officials (government final consumption expenditure) and private individuals (private final consumption expenditure) on the purchase of these goods.

2. Investment Expenditure: it involves the expenditure being done by the individuals or the government in the use of funds for further capital formation.

- A. Gross Private domestic investment: This is also known as business investment as it is done by the business houses for their capital formation. This investment is done mainly in the purchase of plant/machinery, furniture, land etc. for business purposes.
- B. Government investment: it is also known as development expenditure as the investment done by the government is mainly for the purpose of the development of the economy. This involves the expenditure being incurred on the construction of roads, dams, bridges, etc.

3. Net Exports: Net exports the difference between exports and imports of the country during one year.

$$\text{Net Exports} = \text{Exports} - \text{Imports}$$

Exports refer to goods and non-factor services from one country to rest of the world, and Imports refer to purchase of goods and non-factor services of one country to rest of the world.

Now, the calculation of national income can be done by adding all these items which lead to the calculation of GDP_{MP} and then subtracting depreciation and net indirect taxes from it with adding net factor income from abroad.

$$\text{GDP}_{\text{MP}} = C + I + G + (X - M)$$

$$\text{National Income} = \text{GDP}_{\text{MP}} - \text{Depreciation} - \text{Net indirect taxes} + \text{Net factor income from abroad}$$

II) Precautions Regarding Income Method

- 1) Since the production value of final goods is included, the expenses for any intermediate goods are not considered. Otherwise, a single expense will be counted twice, causing the national income to inflate inaccurately.
- 2) The transfer payments do not add value to the economy of a nation; hence, they should not be included.
- 3) The purchase of second-hand goods is not included since they do not affect the total value of produced goods and services.
- 4) Buying and selling of bonds and shares signifies a change in ownership and does not affect the value of goods and services. These transactions are not included in national income. However, the brokerage paid for the transfer of shares is considered while using the expenditure method.

- 5) Services provided by the government and non-profit organizations and the expenses incurred for the production of any good that is used for self-consumption are considered in the national income calculation.

Identity Among National Product, National Income and National Expenditure

In the economy, there are final goods and services which are being produced in the accounting year and also the income earned by the factors of production which are being producing these goods and the expenditure incurred on them are identical. Value of final goods is equal to the factor cost which is identical to the expenditure on the final product. Thus, it can be concluded that the national income calculated with the help of product method, income method and expenditure method are all equal.

$$\text{National Product} = \text{National income} = \text{National Expenditure}$$

2.8 Difference Between Final Goods and Intermediate Goods

Basis of Difference	Final Goods	Intermediate Goods
Definition	Those goods which are produced to be directly consumed by the consumer are known as final goods	Those goods which are used for producing other goods are known as intermediate goods
Nature	These are finished goods	These can be semi-finished or non-finished goods
Processing needed	There is no need of further processing as they are ready to be consumed.	There is need of further processing as they are refined to make goods for final consumption
Impact on National Income	These goods form the part of national income	These goods do not form part of national income
Demand for goods	These goods have inherent or direct demand	These goods do not have natural demand as they are based on the preferences of the users and have derived demand

2.9 Difficulties Faced by Underdeveloped Countries in Measuring National Income:

- 1) **Value of Goods Not Included:** In underdeveloped countries, when the transactions are mainly in the form of barter system, they are not included in national income calculation. Also, many of the goods are for self-consumption and are not properly measured in monetary terms. It creates problem in calculation of national income.
- 2) **Illiteracy:** underdeveloped countries have massive illiteracy and backwardness. Most of the entrepreneurs are illiterate in the economy and does not maintain proper accounts for the goods and services which mislead the calculation of national income.
- 3) **Little Specialization:** There is no or very little specialization in the underdeveloped economies due to which products are not of good quality and do not have proper industrial base.
- 4) **Statistical Availability:** There is no proper availability of the reliable statistical data in underdeveloped countries.
- 5) **Method to Calculate:** Because of lack of proper and reliable availability of the data, the method to calculate national income is not proper. There is combined method being used to calculate national income in many countries which lead to misleading results.
- 6) **Economic Stage:** The most important problem in the calculation of national income here is at what economic stage is the income being included. If the aim of the computation is the progress of the economy, then the production is to be included. But, if the aim is to compute the welfare of the economy, then the consumption stage is more effective.

Check Your Progress- IV

Q1. Mention the names of methods to measure national income.

Ans. -----

Q2. What do you mean by consumer expenditure?

Ans. -----

2.10 Summary

In general, national income means the value of goods and services produced by a country during the financial period. It is concerned with the economic activities of a country during a particular year. National income useful to estimate the growth of the nation with respect to the basic requirement. According to “National income is defined as the net output of commodities and services flowing during the year from the country’s productive system in the hands of

ultimate consumers.” There are various concepts or aggregates available related to national income. These are gross domestic product, gross national product, net national product, net domestic product (are at market price and factor cost). Personal and disposable income and private income.

There are three methods available to measure the national income. These are income method, expenditure method and value-added method. Income method is based on income generated by the production factors (i.e., land and labour). However, expenditure method is based on investment and consumption of a country. Value-added method consists of value added of product during the period of manufacturing process.

2.11 Questions for Practice

A. Short Answer Type Questions

- Q1. Define gross domestic product at market price.
- Q2. What is meant by gross national product?
- Q3. Define net domestic product at market price
- Q4. Define net domestic product at factor cost
- Q5. What do you mean by Private income?
- Q6. What do you mean by Private income?
- Q7. What do you mean by Personal income?
- Q8. What do you mean by Disposable income?
- Q9. What is consumption of fixed capital or depreciation?
- Q10. Explain the difference between personal income and personal disposable income.

B. Long Answer Type Questions

- Q1.Explain the concept of domestic product. Distinguish between gross domestic product and gross national product
- Q2.Explain the various aggregates related to national income. Explain the inter-relationship between them with the help of equations and chart.
- Q3.Explain the concepts of
 - a) National disposable income and national income
 - b) Factor income and transfer income
 - c) Private income and personal income
- Q4.Distinguish between the following concepts of national income
 - a) Gross domestic product and gross national product

b) Net national product at market price and net national product at factor cost

Q5. Define national income. Explain the different methods of measuring national income.

Q6. Explain income method of measuring the national income

Q7. Explain expenditure method of measuring the national income

Q8. Explain the precautions to be taken while measuring the national income by expenditure method.

Q9. Explain the precautions to be taken while measuring the national income by income method.

2.12 Suggested Readings

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 3: DETERMINATION OF INCOME, OUTPUT AND EMPLOYMENT (CLASSICAL AND KEYNESIAN APPROACHES)

STRUCTURE

3.0 Learning Objectives

3.1 Introduction

3.2 Basic Concepts

3.3 Determination of Income, Output and Employment: Classical Approach

3.3.1 Assumptions

3.3.2 Say's Law

3.3.3 Interest Rate Flexibility

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3.4 Determination of Income, Output and Employment: Keynesian Approach

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3.0 Learning Objectives

After studying this unit, learner will be able to:

- Know the basic features of Classical and Keynesian school of thought.
- Understand the Determination of the income, output and employment.
- Differentiate between Classical and Keynesian ideas.

3.1 Introduction

The task of economists is to build theories and apply them to understand the working of economy. In Macroeconomics, there have been two primary groups known as Classical Economists and Keynesians. The term “Classical Approach” was used by John Maynard Keynes for the ideas of economists like Adam Smith, David Ricardo, Thomas Malthus and J.S. Mill. Although classical economists had not propounded any coherent theory of macroeconomics but it should not be taken as classical economists had not given any views on output or employment determination. Classical economists had made certain assumptions about the working of economy and their ideas were dominating the macroeconomic theory till early 1900s. In 1936, John Maynard Keynes published his book *The General Theory of Employment, Interest and Money*. He challenged the view of classical economists because thoughts of classical economists were failed to explain the reasons behind unemployment during Great Depression of 1930. The basic difference between classical and Keynesian perspectives is whether market economies, if left to themselves, adjust to full employment or not.

In this unit, we will discuss classical views, criticism of classical views by Keynesians and Keynesian views regarding determination of income, output and employment.

3.2 Basic Concepts

- A. Aggregate Demand (AD):** Aggregate demand is the quantity demanded by households, businesses, the government and rest of the world at the aggregate price level.
- B. Aggregate Supply (AS):** Aggregate Supply is the quantity of aggregate output supplied in the economy at aggregate price level.
- C. Aggregate Expenditure:** Aggregate expenditure is the sum of all expenditures undertaken by the households, business firms and government during a specific time period.

D. Effective Demand: Effective demand is the willingness and ability of consumers to purchase goods at different prices.

E. Real Wages: Real wage is nominal wage divided by price level.

3.3 Determination of Income, Output and Employment: Classical Approach

Let's start with the classical school of thought. The classical school of thought believed that wages and prices adjust quickly to changes in supply and demand. The economy is self-regulating i.e. if the economy is not at full employment then it can move itself to this position. Let us begin with a brief review of the classical postulates.

3.2.1 Assumptions

The classical system is based on certain assumptions. Let's now discuss about what these assumptions are. These are as follows:

- 1) **Laissez-faire:** The classical assumed that economy works on the principles of laissez-faire. It means there is no government intervention (except to ensure free competition) and there is perfect competition in the market.
- 2) **Full Employment:** The classical economists assumed that there is full employment in the economy. If economy is not at full employment there, then there is a tendency towards full employment if government does not intervene. However, there is possibility of frictional and voluntary unemployment in the state of full employment.
- 3) **Say's Law:** A firm hires factors of production (land, labor, capital, and entrepreneur) to produce goods and services and the production of goods and services creates income for owners of these inputs, which in turn creates a demand for goods. Thus supply of goods and services itself generates sufficient income to generate a demand equal to the supply of goods. This is what is known as Say's Law, stated by French economist J.B. Says as "supply creates its own demand." This law is regarded as the central part of 'classical' macroeconomic thought.
- 4) **Stable Equilibrium:** According to Say's law, the owners of inputs, who earn income through the process of production, spend their entire income on purchase of goods and services. Thus, the entire output of goods and services is sold out. There is no general overproduction and underproduction over a period of production and the economy remains in stable equilibrium.

- 5) **Money as Medium of Exchange:** The classical economists focus on medium of exchange function of money. According to classical approach, money is used only to facilitate the transactions and it does not play any significant role in determining the output and employment. The classical economists emphasized the role of real factors in output and employment determination.

We can understand the classical views on income, output and employment determination by studying the working of product market, labour market and credit market. The classical views on all three markets can be derived from Say's law of market, wage price flexibility and interest rate flexibility.

3.3.2 Say's Law

According to Say's law, in market economy whatever produced is sold out. It means that production of goods and services requires factors of production. These factors of production get income (rent, wages, interest and profits) in return. This income is further spent on purchase of goods and services and demand for goods and services is created. Thus, supply of goods and services creates its own demand.

Production of goods and services → generates income → generates demand

Therefore, in classical system, since value of output or income is equal to expenditure, there is equality between demand and supply hence aggregate demand (AD) equals to aggregate supply (AS). The classical economists believe that output level is maximum at full employment level. The classical economists did not differentiate between long-run and short-run supply curve. The only aggregate supply curve in classical system is long-run aggregate supply curve which is vertical.

- A. Aggregate Supply (AS):** In the classical system, there is state of full employment and output is maximum. Therefore, aggregate supply does not change with change in price level and aggregate supply curve is vertical line (parallel to Y-axis) as in figure 1.
- B. Aggregate Demand (AD):** The relationship between aggregate demand and price level is usual inverse relationship. Therefore, aggregate demand curve slopes downwards from left to right as in figure 2.

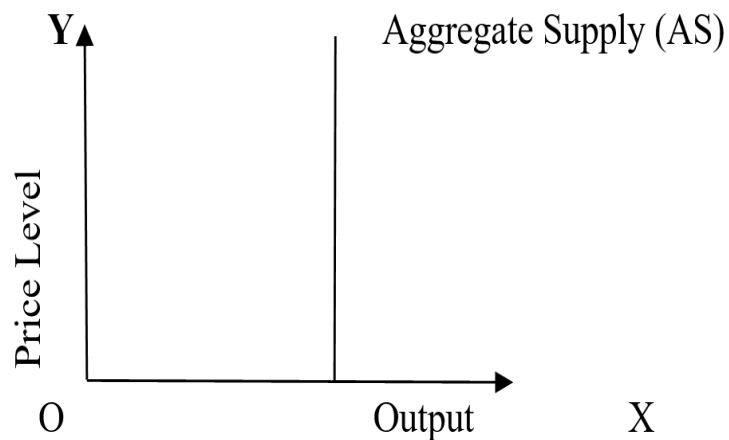


Figure 1

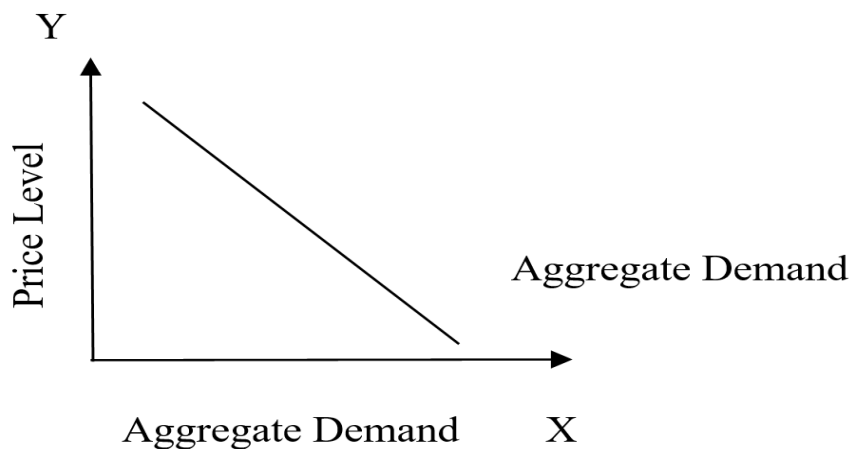


Figure 2

C. Equilibrium Level of Output: In the classical system focuses on full employment and based on Say's law of market. Thus, classical economists assumed that prices are flexible and determined by market forces of demand and supply, hence aggregate demand equals to aggregate supply. Therefore, output produced at full employment is equilibrium level of output. In diagram (Figure 3) AS is aggregate supply curve, AD_1 is initial aggregate demand and E is point of equilibrium where $AD=AS$. Equilibrium output is OQ_1 and price level is OP_1 .

Now let us suppose that if individual do not spend his entire income (due to savings) and there is fall in aggregate demand. Due to fall in aggregate demand, the equality of aggregate demand and aggregate supply is disturbed. This fall in aggregate demand could cause economy to move

towards point A, where resources would be unemployed. The unemployment of inputs would cause fall in input prices and economy will adjust to new price level P_2 .

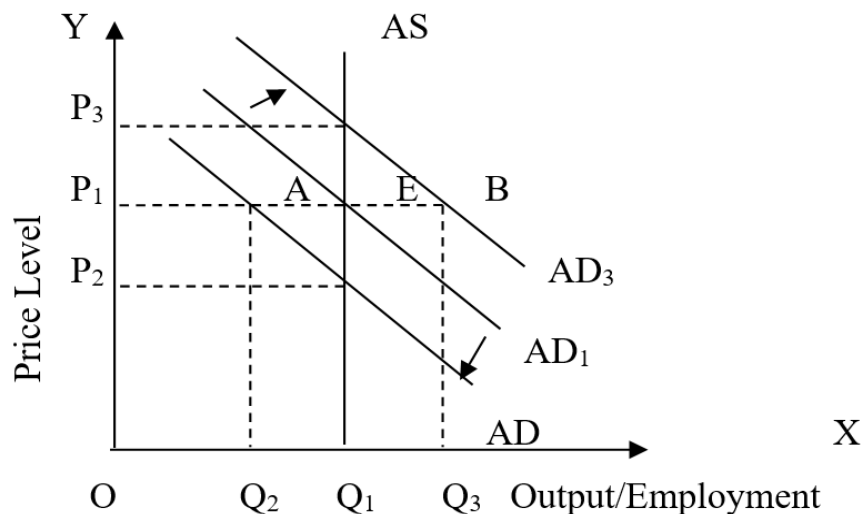


Figure 3

Similarly, if there is an increase in aggregate demand (aggregate demand curve shifts to AD_3), economy could move to point B which is beyond full employment level. The input suppliers bid up input prices and the economy quickly adjust to the new price level at P_3 . Thus, due to flexibility of prices equilibrium is restored if disturbed due to fall in or increase in aggregate demand.

The classical economists believed in Say's law. Therefore, according to classical economists, production creates demand sufficient to purchase all goods and services produced. This law can be easily understood in barter system. Suppose a farmer produces wheat. Some part of the wheat produced will be consumed by the farmer and with the remaining surplus of wheat farmer is thinking of goods and services he can obtain in exchange of it. Thus, production of wheat by farmer creates demand for other products.

But in money economy, farmer may not spend his entire income because he may choose to save some money. Thus, farmer's demand for goods and services does not necessarily match the income of the farmer and it is difficult to believe that Say's law does hold in money economy. But classical economists argued that Say's law still holds in money economy where individuals may spend less than their entire income. They explain their argument on the basis of interest rate flexibility.

Check Your Progress-I

Q1. Define Say's law

Ans. -----

Q2. How to determine Equilibrium level of output?

Ans. -----

3.3.3 Interest Rate Flexibility

The classical economists argued that if an individual is not spending his entire income, he will save. Saving is the leakage out of spending stream and savings are injected back in spending stream through investment. In the classical model, saving is matched by an equal amount of investment because of interest rate flexibility in the credit market.

A. Investment (I): According to classical economists, investment is interest-elastic and there is inverse relationship between investment and rate of interest because rate of interest is cost of borrowing. The higher the rate of interest is, the fewer the borrowings of the firm. Hence the curve showing relationship between investment and rate of interest is downward sloping.

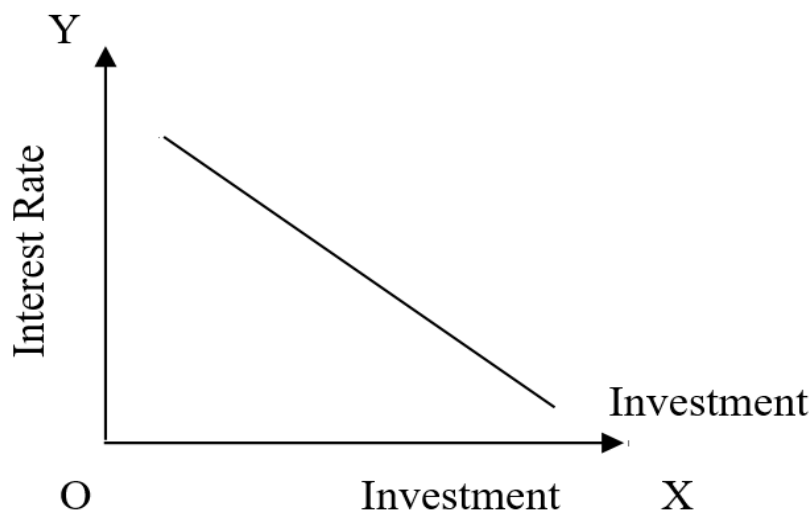


Figure 4

B. Savings (S): According to classical economists, savings of households are also interest-elastic and relationship between savings and interest rate is positive. The higher the reward for savings (rate of interest) is, higher the savings of households since opportunity cost of consuming is high. Hence the curve showing this relationship is upward rising.

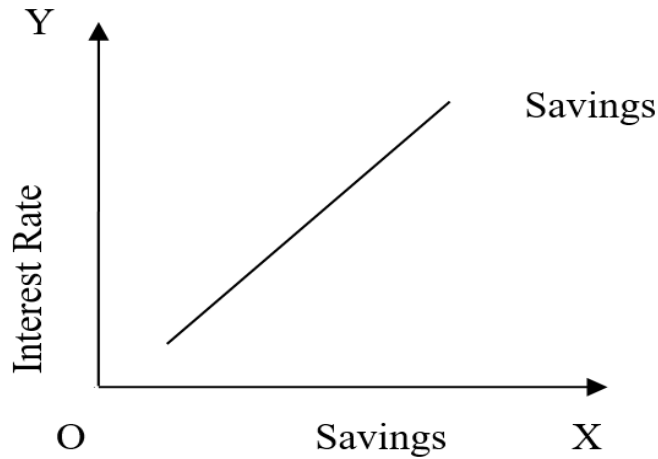


Figure 5

C. Equilibrium in Credit Market: According to classical economists, the interest rate is flexible and adjusts so that savings equals investment. Thus, if savings increase (from S_1 to S_2), interest rate falls (from i_1 to i_2) and hence investment increases (from I_1 to I_2) and saving investment equality restored since increase in saving would result in equivalent cut in consumption and investment increase by same amount as drop in consumption (as shown in figure 6).

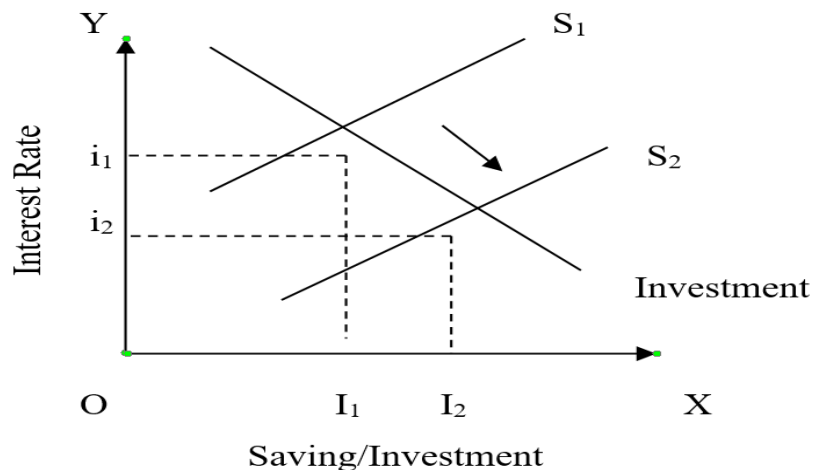


Figure 6

Therefore, saving and investment will always be brought into line by interest rate flexibility. Hence savings will always equal to investment in classical system and economy will always be in equilibrium. Such equilibrium will be at full employment level due to wage flexibility.

3.3.4 Wage Rate Flexibility

The classical economists believe that markets are competitive and forces of demand and supply operate in all market. Hence in labour market, wage rate flexibility would cause the equality of quantity supplied of labour and the quantity demanded of labour.

A. Demand for Labour: A competitive, profit maximizing firm would hire an additional unit of labour by comparing extra revenue generated by additional unit of labour (from increased production) is greater than extra cost of hiring additional unit of labour.

Here, Extra revenue generated by additional unit of labour = $MP_L \times P$ and extra cost of hiring additional unit of labour = W

Where MP_L is marginal product of labour, P is price of output and W is wage.

Now, if $MP_L \times P > W$ i.e. extra revenue exceeds the extra cost, an extra unit of labour increases the profit. Therefore, firm continue to hire labour until the next unit would no longer be profitable. It means,

$$MP_L \times P = W$$

or

$$MP_L = \frac{W}{P}$$

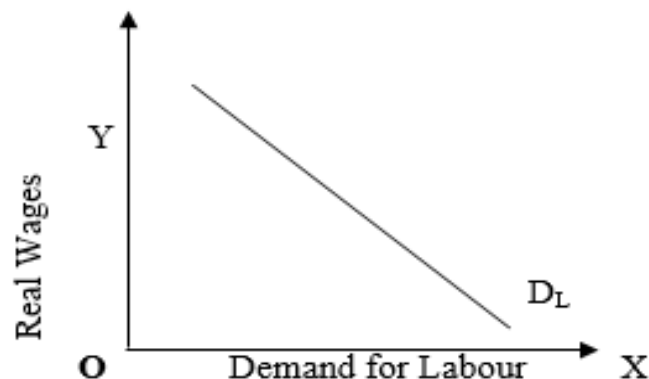


Figure 7

Thus, to maximize profit, the firm hires upto the point where marginal product of labour is equal to real wage. Since marginal product of labour decreases as the amount of labour increases so labour demand curve (D_L) is downward sloping. Therefore, labour demanded increases with decrease in real wage rate as shown in figure 7.

B. Supply of Labour: The supply of labour is positively related to real wage because to get employment worker have to sacrifice leisure. So, employer has to offer additional wage to put worker on additional labour. Therefore, supply of labour increases with increase in the real wage rate as shown by supply curve (S_L in figure 8). But this relationship holds only till the point of work-leisure trade-off i.e after a point, further increase in

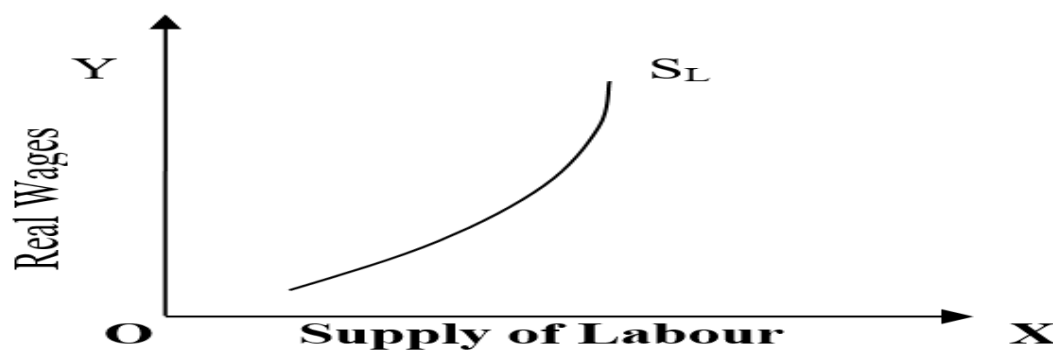


Figure 8

wage rate would induce workers to prefer leisure to work hence supply of labour would fall with increase in wage rate.

C. Equilibrium in Labour Market: The point of intersection of labour demand curve and labour supply curve determines the equilibrium in labour market (figure 9) hence the level of employment (ON) and wage rate (OW) is determined.

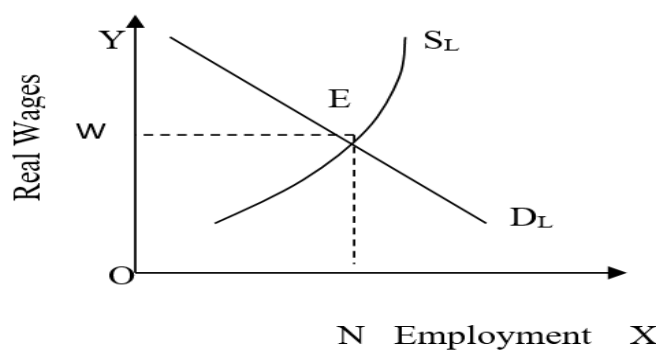


Figure 9

According to classical economists, there is always full employment in the economy. If there is unemployment i.e. demand for labour is less than supply of labour, money wages would fall and full employment level will be restored. Similarly, if there is a shortage in the labor market, the wage rate will rise, and the quantity supplied will equal the quantity demanded. We can understand this process as follows:

Unemployment → fall in money wages → fall in cost of production → fall in product prices → increase in demand for product → increase in sales → increase in production → increase in employment.

Thus, full employment will be attained. This is known as wage-price flexibility in classical system.

3.2.5 Determination of Output and Employment

The level of output and employment in classical system is determined by production function and equilibrium in labour market. According to classical economists, output depends on the labour and capital employed. The classical production function assumed that capital is fixed hence labour is only variable factor and application of labour is subject to the law of diminishing returns i.e. marginal productivity of labour decreases with increase in employment. The figure 10 shows that marginal product of labour goes on decreasing as labour employment increases. The level of output increases as employment increases but less than proportionate.

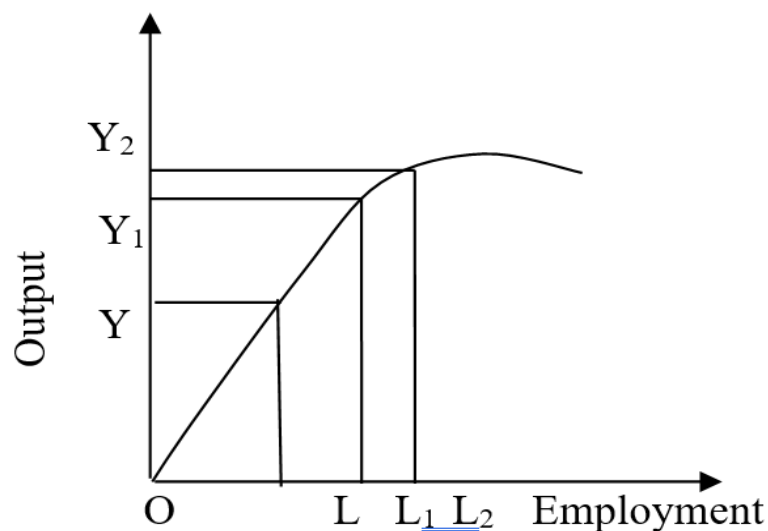


Figure 10

The equilibrium level of employment is determined by equating demand for and supply of labour and determination of output can be shown by putting together the production function with labour market equilibrium (Figure 11).

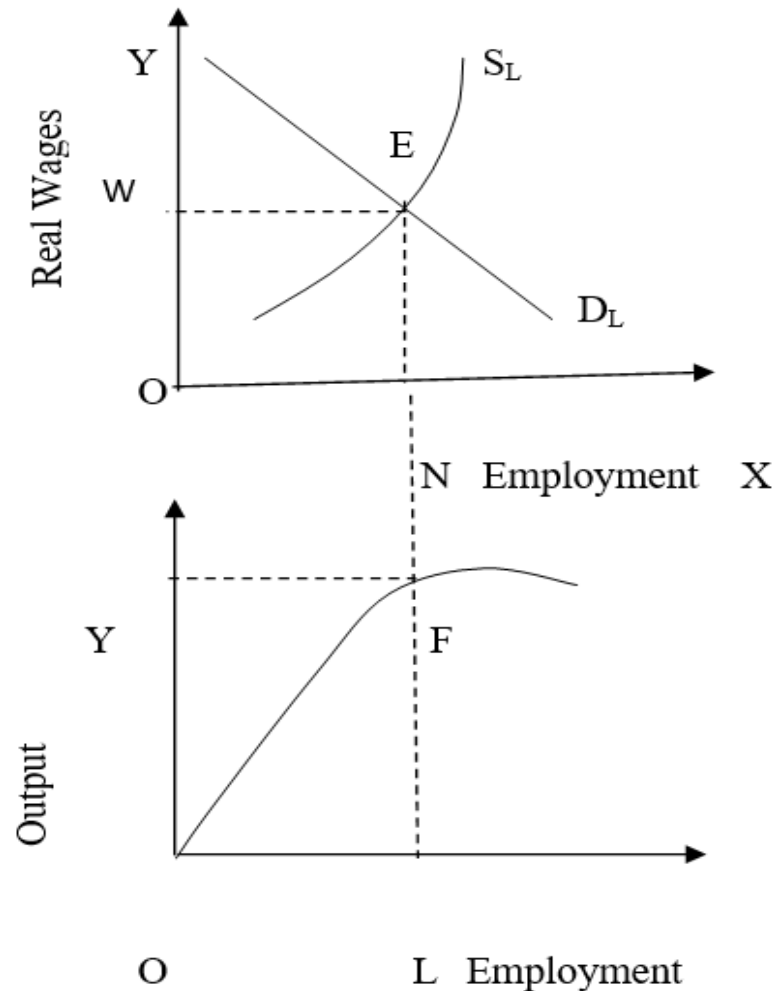


Figure 11

In labour market, the level of employment (ON) and wage rate (OW) is determined. The line ON extended downward to the production function which intersect the production function at point F . A line drawn from point F to Y -axis determines the equilibrium level of output at OY . Thus, employment and output are simultaneously determined in the classical model.

According to classical thoughts there is full employment in economy and prolonged unemployment is impossible in the long run because quick adjustments in prices, wages and interest rates keeps resources fully employed.

3.3.6 Criticism of Classical Economics

With the occurrence of Great Depression in 1930, the basic postulates of classical economics were proved wrong. Keynes challenged the classical thinking in 1936 on following grounds:

- 1) Keynes criticized the classical postulate of state of equilibrium and full employment in the economy. During Great Depression, economies suffered a long-run disequilibrium and a prolonged state of involuntary unemployment.
- 2) Another postulate of classical economics is Say's law i.e. aggregate demand is always equal to aggregate supply in classical system. In the US, due to depression, the supply of labour as well as goods and services was there but demand lagged far behind.
- 3) According to Keynes, increase in savings due to decrease in consumption may not matched by equal increase in investment. Thus, with decrease in total expenditure aggregate demand will fall.
- 4) Keynes challenged the classical economist's belief that saving and investment depend on the interest rate. According to Keynes there are number of factors such as income and business expectations that determines the level of savings and investment.
- 5) Keynes believed in government intervention to influence the level of output and employment.

Thus, classical economics was failed to explain the causes of unemployment and disequilibrium in economy during Great Depression. Hence classical system collapsed and it gave rise to Keynesian economics.

Check Your Progress- II

Q1. Which type of adjustments keeps resources fully employed in classical framework?

Ans. -----

Q2. How Keynes challenged classical thinking?

Ans. -----

3.4 Determination of Income, Output and Employment: Keynesian Approach

After discussing the classical theory, we now move to Keynesian theory of income, output and employment determination. Keynes had developed his theory of income and employment determination in contrast to classical model. He criticized the Say's law and emphasized the role of demand in the determination of output and employment. He also challenged the classical postulates of Laissez faire, self-regulating economy and wage, price and interest rate flexibility.

3.4.1 Assumptions

Before we start the Keynesian theory, let us go through the assumptions on which Keynesian theory is based.

- 1) In Keynesian theory prices are assumed to remain constant even if aggregate demand or aggregate supply change.
- 2) Keynesian theory holds good in short period because Keynes believed that, “in the long run we are all dead.”
- 3) According to Keynes, medium of exchange is not the only function of money. It also performs store of value function.
- 4) In contrast to classical economists, Keynes believed that interest is monetary phenomenon and it is determined by demand for and supply of money.
- 5) There is no foreign trade.

Given these assumptions, we can now study the determination of income, output and employment in Keynesian economics. Before discussing the output and employment determination we need to know the views of Keynesian on wage, price and interest rate flexibility.

In contrast to classical economists, many economists believe that wages and prices are slow in adjusting, especially downwards. This tendency for wages and prices to adjust slowly downward to change in economy is known as wage-price inflexibility. Empirical evidences support the wages and prices to be sticky downwards. Due to long-term labour contracts and efficiency wages (higher wages attract productive workers); firm may not be able to cut wages

which causes downward stickiness of wages. Prices could also be inflexible due to menu cost i.e. cost of printing new catalogs and new advertisement etc.

Keynes also argued that wages and prices are inflexible downward. Wages could be sticky due to long-term labour contracts, trade unions and minimum wage laws. Due to stickiness of wages, price-level will not fall (because some firms adjust price slowly) in response to reduction in aggregate demand. Further Keynes argued that internal structure of economy is not always competitive enough to allow prices to fall. The monopolistic elements in economy sometimes prevent prices from falling.

This stickiness of wages and prices causes the sufficient excess capacity in economy and therefore short run aggregate supply curve is flat. Keynes believed that the time required for wages and prices to adjust downward is long enough to say that the economy is not self-regulating.

3.4.2. Aggregate Demand and Aggregate Supply Framework

According to Keynes, equilibrium level of output is determined by the equality of aggregate demand and aggregate supply.

A. Aggregate Demand: Since there is no foreign trade, aggregate demand consists of consumption, investment and government expenditure. Any change in these variables can cause shift in aggregate demand. For example, rise in autonomous consumption will raise consumption expenditure and hence there would be increase in aggregate demand depending on the multiplier. According to multiplier process, consumption of one person would increase with an initial rise in autonomous consumption level. This increased consumption generates additional income for another person leading to additional consumption spending by that person and so on. The value of multiplier is calculated by following formula.

$$\text{Multiplier} = \frac{1}{1-MPC}$$

Where, MPC is marginal propensity to consume i.e. change in consumption expenditure with change in income.

B. Aggregate Supply: Since the price level is assumed to be constant until the economy reaches full employment, the aggregate supply curve must be horizontal. The Keynesian aggregate supply curve is horizontal until the economy reaches full employment.

Now we can observe the effects of change in aggregate demand given the aggregate supply curve in the Keynesian model (Figure 12). An increase in aggregate demand (from AD_1 to AD_2) before the full employment level raises output but the price remains the same. Once the economy has reached full employment level, an increase in aggregate demand (from AD_3 to AD_4) raises the price level (from P_1 to P_3).

Therefore, changes in aggregate demand before full employment (in the horizontal section of the aggregate supply curve) do not change any price level, but changes in aggregate demand after full employment (in the vertical section of the aggregate supply curve) do change the price level.

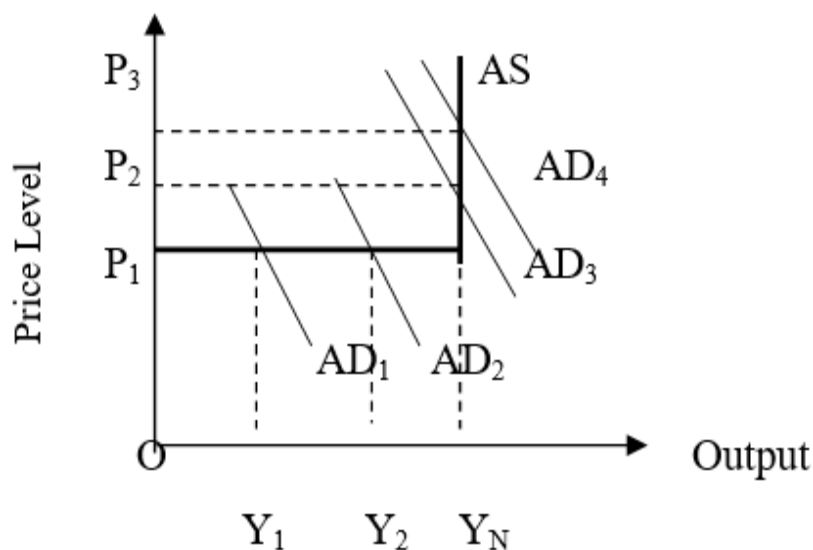


Figure 12

According to classical economists, disequilibrium in the economy is a temporary state. But Keynes believed that the economy could get stuck in a recessionary gap because consumption and investment would not rise enough to shift the aggregate demand curve. Keynes argued that investment spending does not always respond to the change in interest rate. The pessimistic business expectations may resist people to invest more at a lower interest rate.

Therefore, Keynes believed that the economy is not self-regulating and economic instability is possible. Hence government intervention can help to shift aggregate demand.

Check Your Progress- III

Q1. What are the views of Keynes on wage-price flexibility?

Ans. -----

Q2. What is the shape of aggregate supply curve in Keynesian framework?

Ans. -----

3.4.3. Aggregate Expenditure and Output Framework

1. Aggregate Expenditure: In two-sector model, there is no government taxes or subsidies. Hence, aggregate expenditure (aggregate demand) consists of two elements i.e. consumption expenditure and investment expenditure. That is,

$$\text{Aggregate Expenditure (AE)} = C + I$$

Where, C is consumption Expenditure and I is Investment

A. Consumption Expenditure: Consumption Expenditure is positive function of current absolute income. That is, if income increases, consumption expenditure also increases but less than proportionately.

$$C = f(Y)$$

The value of marginal propensity to consume lies between zero and one i.e. $0 < MPC < 1$. Marginal propensity to consume is the change in consumption expenditure with rise or fall in disposable income. The consumption function can be written as:

$$C = a + bY$$

Where, C is consumption expenditure,

a is autonomous consumption and b is $MPC = \frac{\Delta C}{\Delta Y}$

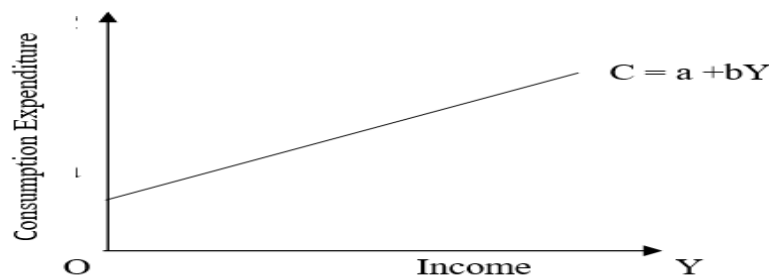


Figure 13

B. Investment: To simplify things, investment is assumed to be constant and the investment curve is horizontal. $I = \bar{I}$



Figure 14

2. Aggregate Supply: Aggregate supply refers to the total supply of goods and services in an economy. Keynes used the classical production function to derive aggregate supply function where short run output depends on level of employment. It means aggregate demand is always equal to aggregate supply ($AD = AS$ i.e. $C + I = C + S$).

Keynes form aggregate supply function on basis of this relationship between AD and AS. In diagram (figure 15) the relationship between aggregate demand and aggregate supply is shown by 45° line. At each point of this line output and aggregate expenditure are equal.

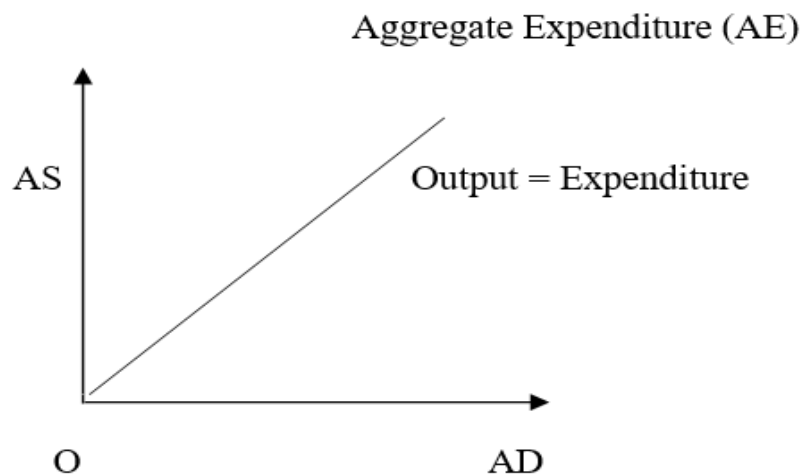


Figure 15

The concepts of aggregate supply and aggregate demand were first used by Malthus. Malthus, in contrast to classical, argued that aggregate demand might fall short of the aggregate supply leading to overproduction, but could not prove it. Keynes used this idea to develop his theory of income and employment determination.

3. Equilibrium: According to Keynes, equilibrium level of output is determined at a point where aggregate demand (C+ I) is equal to aggregate supply (C + S). That is,

$$AD = AS$$

$$C + I = C + S$$

But Keynes argued that aggregate demand and aggregate supply are not always equal. Because aggregate demand depends on households' plan to consume and to save and invest and aggregate supply depends on producers plan to produce goods and services. Therefore, if households' plan coincides with producers' plan only then aggregate demand could be equal to aggregate supply. Thus, national income is in equilibrium at unique level of output and income at which aggregate demand equals to aggregate supply, hence equilibrium condition is:

$$S = I$$

3.4.4 Saving-Investment Approach

Saving investment approach can be derived directly from aggregate demand-aggregate supply approach. The equilibrium condition is

$$AD = AS$$

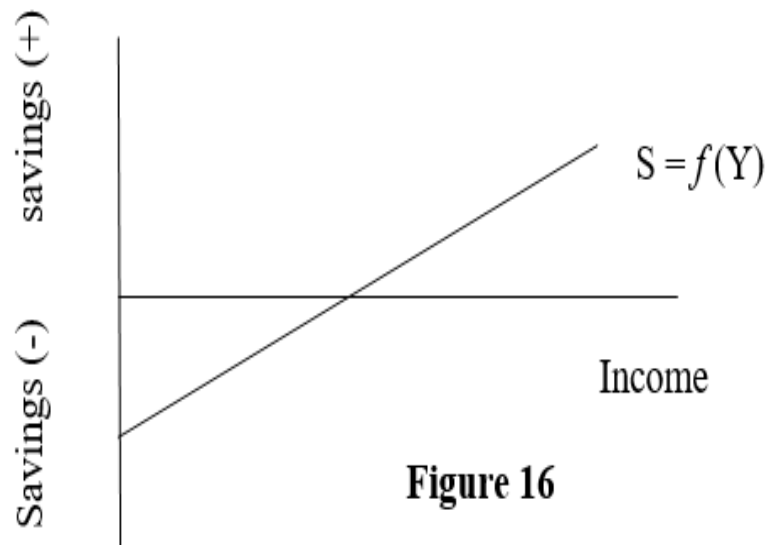
or

$$C + \bar{I} = C + S$$

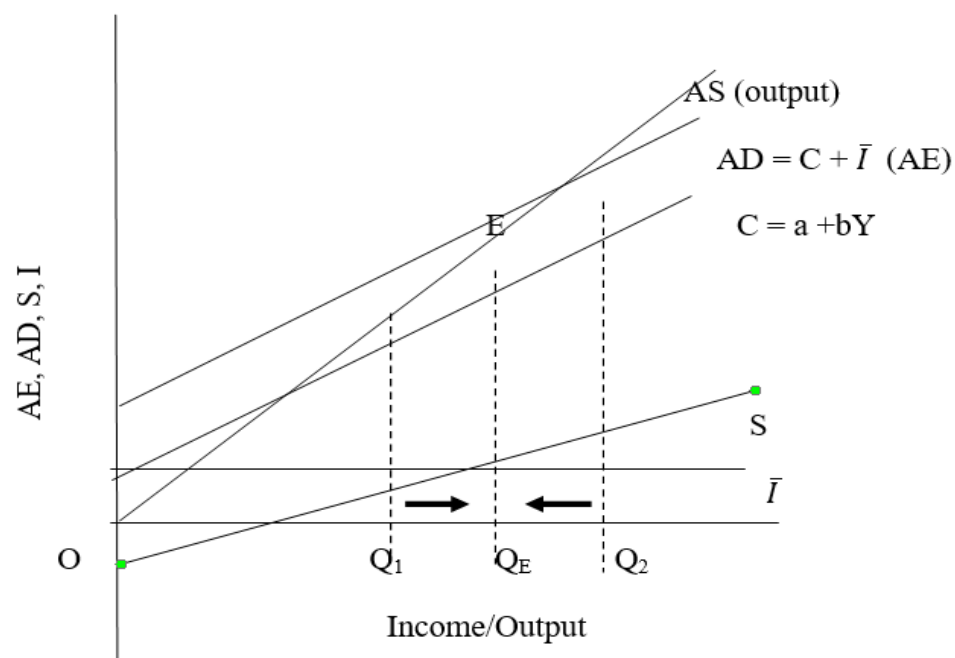
or

$$\bar{I} = S$$

That is, savings equals to investment. Where investment is assumed to be constant and saving is function of income. Since people spends something on consumption at zero level of income, therefore savings are negative till individual is unable to meet his consumption requirements out of his income. When income rises above the consumption expenditure, positive savings takes place and after that savings increase with increase in income.



Saving investment approach determines the same equilibrium level of the national income as determined by the aggregate demand and aggregate supply approach as shown in figure 17.



The point of intersection of AD curve and AS curve (i.e. $AD = AS$) is the point (shown by point E in the diagram) of equilibrium of national income. This point of intersection is called ‘the Keynesian cross.’ The output level other than Q_E when aggregate demand, the amount the people want to buy, is not equal to output produced shows disequilibrium in the economy and

this disequilibrium is corrected through change in inventories. Inventory is the stock of goods that a business firm hold to meet unexpected change in demand. For example,

- At output level Q_1 , aggregate expenditure (AE) > Output produced → unexpected decrease in inventories since firm have to meet this rise in demand from stock held → firm will realize underproduction → increase in production → output move to Q_E .
- At output level Q_2 , aggregate expenditure (AE) < output → firm has produced more than demand → difference is added to inventories → unexpected increase in inventories → firm will realize overproduction → production cut → output move to Q_E .

Therefore, we can say that any change in aggregate expenditure (AD) will shift equilibrium from one point to other and accordingly output level will change. For example, increase in aggregate demand will cause an upward shift in aggregate demand curve, hence shift equilibrium point towards right will cause output to increase. We can further note that change in aggregate demand could be due to change in consumption or change in investment or both. Consumption is a stable function of income. On the other hand, investment is determined by business expectations, innovations, rate of interest etc and how national income changes with change investment depends on investment multiplier.

3.5 Differences in the Views of Classical Economists and Keynes

After discussing the classical and Keynesian approach of output and employment determination, we can easily differentiate the views of both schools of thought.

- 1) Classical economists believed Say's law of market. That is according to classical economists, supply creates its own demand. But Keynes believed that overproduction is possible due to lack of aggregate demand.
- 2) Classical school of thought focused on supply side while Keynes emphasized the role of aggregate demand.
- 3) According to classical economists, savings are directly related to rate of interest. But Keynes believed that it depends on savings goals of savers.
- 4) In classical system, investment is inversely related to interest rate. But in Keynesian economics, if business expectations are pessimistic investor may invest less at lower rate of interest.

- 5) Savings are leakages and investment is injection in the spending stream. So savings are equal to investment in classical system. But according to Keynes, income can be hoarded (in cash or banks) to avoid risky lending of money. In such situation savings will exceed investment.
- 6) Classical economists believed in wage price flexibility. According to Keynes, wages and prices may be inflexible downwards.

Check Your Progress- IV

Q1. Which side Keynes focused upon?

Ans-----

Q2. Does saving investment approach determines the same equilibrium level of the national income as determined by the aggregate demand and aggregate supply approach?

Ans-----

3.6 Summary

The classical economists believed that economy is always in equilibrium given the perfect competition in the market. If there is disequilibrium caused by external forces, the market forces of demand and supply bring it back to equilibrium. The classical economics is based on Say's law which states that aggregate demand is always equal to aggregate supply. The classical economics was dominating the macroeconomic ideas until the Great Depression, when ideas of classical economists were challenged by Keynes. Keynes argued that classical economics is failed to explain the phenomenon of US economy during the Great Depression. He criticized the Say's law and emphasized the role of aggregate demand. Keynes believed that there is possibility of overproduction due to deficiency of aggregate demand. He also questioned the classical economists' postulate of wage-price flexibility and argued that wages and prices may be inflexible downwards.

3.7 Question for Practice

A. Short Answer Type Questions

Q1. Define aggregate demand and aggregate supply.

- Q2. What is principle of laissez-faire?
- Q3. Do Keynes believe in laissez-faire?
- Q4. Explain wage-price flexibility.
- Q5. What is interest rate flexibility?
- Q6. Derive Keynesian aggregate supply curve.
- Q7. Why wages and prices are sticky?
- Q8. Differentiate between classical and Keynesian views.

B. Long Answer Type Questions

- Q1. Explain in detail the classical theory of output and employment.
- Q2. Explain in detail the Keynesian theory of output and employment.
- Q3. Critically examine the classical approach to income, output and employment determination.
- Q4. How equilibrium level of output is determined under AD-AS framework of Keynes.

3.8 Suggested Readings

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 4: KEYNES' PSYCHOLOGICAL LAW OF CONSUMPTION, DETERMINANTS OF PROPENSITY TO CONSUME, ABSOLUTE AND RELATIVE INCOME HYPOTHESIS

STRUCTURE

4.0 Learning Objectives

4.1 Introduction

4.2 Basic Concepts of Consumption

4.3 Keynes' Psychological Law of Consumption:

4.3.1 Assumptions

4.3.2 The Fundamental Psychological Law

4.4 Determinants of Propensity to Consume

4.4.1 Subjective Factors

4.4.2 Objective Factors

4.4.3 Habits of Consumer

4.5 Absolute Income Hypothesis

4.5.1 Short Run Consumption Function

5.5.2 Long Run Consumption Function

4.5.3 Criticism

4.6 Relative Income Hypothesis

4.6.1 Assumptions

4.6.2 Demonstration Effect:

4.6.3 Ratchet Effect

4.6.4 Criticism

4.7 Summary

4.8 Questions for Practice

4.9 Suggested Readings

4.0 Learning Objectives

After reading this unit, learner will be able to:

- Know the concept of consumption function.
- Describe Keynesian consumption function.
- Describe Relative Income Hypothesis.
- Identify the factors influencing consumption decisions.

4.1 Introduction

The consumption decisions of households, i.e. how much to consume and how much to save, are crucial. The classical school of thought tends to view consumption in negative sense because in their perspective, consumption spending is unproductive. The classical economists, based on Say's law, focused on supply side. Keynes, on the other hand, emphasized on demand side. He rejected the view of classical economists and appreciates the central role of consumption expenditure in determining effective demand. Keynes focused on propensity to consume in his theory to explain aggregate consumption expenditure.

4.2 Basic Concepts of Consumption

In the unit, we are going to discuss the consumption behavior of individual household. While studying the consumption behavior of individual household, we will go through Keynes' Psychological Law of Consumption, Determinants of Propensity to Consume, Absolute and Relative Income Hypothesis. Before we discuss these laws related to consumption expenditure, we need to have some idea of the concepts related to these laws such as consumption function, propensity to consume, propensity to save etc. Let us discuss these concepts first.

A. Disposable Income: All personal income is not disposable. Individuals have to pay taxes and they are free to spend left over income after payment of taxes. Thus, Disposal income is the income after receipt of government transfers and payment of taxes.

Personal Disposal Income = Personal Income – (Payable Taxes + Other Deductions)

We can observe from our daily life that people with high disposable income on an average spend more than people with lower disposable incomes.

B. Consumption Function: A functional statement showing relationship between consumption expenditure and its determinants is known as Consumption Function. Consumption expenditure of an individual or household depends on many factors such as income, wealth, expected future income, consumption of other people, age etc. Income is the primary determinant of consumption out of these factors, hence general form of consumption function shows the relationship between consumption expenditure and disposable income. It can be written as:

$$C = f(Y)$$

Where, C – Consumption Expenditure, and Y – Disposable Income.

C. Propensity to Consume: Propensity to consume is a functional relationship between given level of income and consumption expenditure out of that level of income.

i) **Average Propensity to Consume (APC):** The proportion of disposable income which is spent on consumption expenditure is called average propensity to consume.

$$APC = \frac{C}{Y}$$

ii) **Marginal Propensity to Consume (MPC):** The change in consumption expenditure with rise or fall in disposable income is called marginal propensity to consume. It is the amount consumed out of additional rupee of income and calculated by dividing change in consumer spending by change in disposal income.

$$MPC = \frac{\Delta C}{\Delta Y}$$

Where, ΔC – change in consumption expenditure and ΔY - change in disposable income

D. Saving Function: As we know that income is either consumed or saved therefore

$$Y = C + S$$

$$S = Y - C$$

Where S- Savings,

Therefore, saving function is counterpart of consumption function and it shows the relationship between savings and disposable income.

- 1. Average Propensity to Save (APS):** The proportion of disposable income which is not spent on consumption expenditure or saved is called average propensity to save.

$$APS = \frac{S}{Y}$$

- 2. Marginal Propensity to Save (MPS):** It is the amount saved out of additional rupee of income and calculated by dividing change in savings by change in disposal income.

$$MPS = \frac{\Delta S}{\Delta Y}$$

Where, ΔS – change in savings and ΔY - change in disposable income

- E. Relationship between Marginal Propensity to Consume (MPC) and Marginal Propensity to Save (MPS):** We know that that part of income which is not spent on consumption expenditure is saved i.e.

$$Y = C + S$$

$$S = Y - C$$

$$\Delta S = \Delta Y - \Delta C$$

Divide both sides by ΔY

$$\frac{\Delta S}{\Delta Y} = \frac{\Delta Y}{\Delta Y} - \frac{\Delta C}{\Delta Y}$$

$$MPS = 1 - MPC$$

Or

$$MPS + MPC = 1$$

Therefore, total of marginal propensity to consume or marginal propensity to save is equal to one.

- F. Autonomous Consumption Expenditure:** Till now we have studied that consumption expenditure of a household depends on disposable income. But we can imagine a situation, when disposable income of household is nil. What would be the consumption expenditure of a household with zero disposable income? A household with zero disposable income would fund some consumption using its savings or by borrowing from someone. So, the expenditure of a household on consumption if it had zero disposable income is called autonomous consumption expenditure and the level of consumption independent of disposable income is called autonomous consumption.

4.3 Keynes' Psychological Law of Consumption

When we think about consumption function, some mathematical functional relationship comes to our mind. The economists, who study the consumption behavior, rely on data collected on income and consumption expenditure to analyze the behavior of households. However, Keynes, who wrote his book in 1936, made certain assumptions about consumption function based on introspection and observations.

4.3.1 Assumptions

Keynes' Psychological law of consumption is based on following assumptions:

- 1) Households decide their current consumption expenditure on the basis of their current income.
- 2) The marginal propensity to consume (MPC) is between zero and one.
- 3) The average propensity to consume (APC) falls as income rises.

Based on above assumptions Keynes developed a theory of aggregate consumption.

4.3.2 The Fundamental Psychological Law

Keynes' theory of aggregate consumption, what he calls a fundamental psychological law, is based on the concept of propensity to consume.

Keynes' defined this law as “the fundamental psychological law, upon which we are entitled to depend with great confidence, both a priori from the knowledge of human nature and from the detailed facts of experience, is that men are disposed, as a rule and on the average, to increase their consumption as their income increases, but not by as much as the increase in their income.”

In the opinion of Keynes, when a person earns an extra unit of income (say rupee), he typically spends some part of it and saves remaining part of it. But as income increases, people spend less and less proportion of marginal income on consumption i.e. marginal propensity to consume decreases with increase in income. Thus, Keynes talked about non-linear consumption function. We can see from table below that marginal propensity to consume do not remains

constant. It decreased as income increases. This relationship is also shown with the help of Table 1 and the diagram (Figure 1).

Table 1

Income (Y)	Consumption (C)	Savings (S)	$MPC = \frac{\Delta C}{\Delta Y}$
0	50	-50	-
100	130	-30	0.8
200	200	0	0.7
300	250	50	0.5
400	275	125	0.25

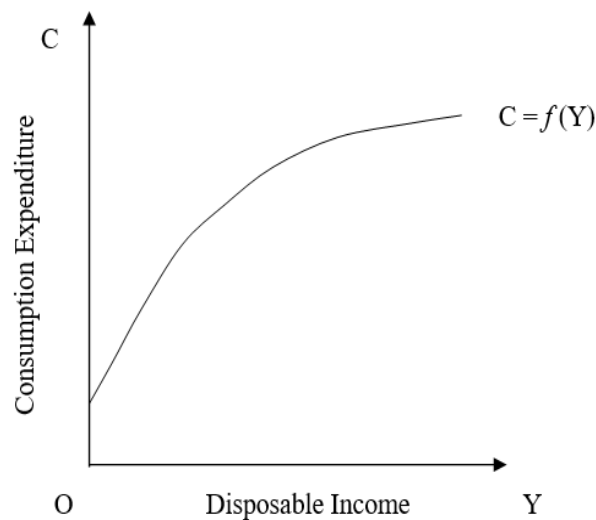


Figure 1

The consumption function produced by Keynesian theory is relevant for individual household's consumption behavior not for the economy as a whole or at the aggregate level. However, Keynesian economists empirically estimated the consumption function for economy of US and found that the relationship of income and consumption expenditure is linear i.e. marginal propensity to consume remains constant. Thus, propensity to consume is central to the consumption theory of Keynes and Keynesian economists.

Check Your Progress- I

Q1. Define consumption function.

Ans -----

Q2. What do you mean by propensity to consume?

Ans -----

Q3. Define saving function.

Ans -----

4.4 Determinants of Propensity to Consume

The propensity to consume out of disposable income is centre-piece of Keynes' theory of aggregate consumption. Although income is the main determinant of consumption spending, but there is other which determine the value of propensity to consume. These are subjective, objective and habitual factors.

4.4.1 Subjective Factors

The subjective factors consist of such factors which motivate people to consume more or which put pressure on people to save more. These motivations may be different in different societies and depends on culture, history and beliefs of the society. We can broadly categorize the subjective factors into two types of motivations.

A) Motivation to Consume: If a community believes in enjoyment and extravagance, it shows that subjective motivations to consume are strong in that society. Hence the propensity to consume out of given income will increase.

B) Motivation to Save: If in a society, there are subjective motivations to refrain from consumption, people will believe in precaution, greed and saving. Hence subjective motivations to save are strong and propensity to consume out of given income will fall.

Keynes believed that subjective factors are unlikely to influence propensity to consume in short period. According to Keynes, subjective factors will only occur over long period of time.

4.4.2 Objective Factors

Keynes also identified some objective factors which can influence propensity to consume. These factors are:

A) Windfall Gain and Loss: Windfall gains and losses are unexpected. Therefore, Propensity to consume increases with windfall gains and it falls with windfall losses.

- B) Expected Future Change in Rate of Interest:** The propensity to consume is likely to increase with low rate of interest. But according to Keynes, propensity to consume is not responsive to small changes in interest rate.
- C) Change in Distribution of Income:** If the distribution of income moves towards poor people of the society, propensity to consume will increase.
- D) Change in Fiscal Policy:** Due to change in taxation policy, if the distribution of income changes, then it can influence the value of propensity to consume.
- E) Change in Aggregate Net Income:** Entrepreneurs set aside financial provision to cover supplementary costs. If aggregate net income falls due to increase in these supplementary costs, propensity to consume will fall.

4.4.3 Habits of Consumer

According to Keynes, another factor along with income, objective factors and subjective factors that can influence the propensity to consume is the habits of consumers. Due to short-period changes in level of income, the habits of consumers do not adjust to the changes instantly. This can cause value of the propensity to consume to fluctuate. However, if the change in income is sustained then eventually the consumer's habits will adjust to the changes.

However, Keynes assumed these subjective, objective and habitual factors remained constant and hence propensity to consume is a reasonably stable function.

4.5 Absolute Income Hypothesis

Keynesian fundamental law of consumption was the first systematic theory of consumption expenditure. However, Keynes' theory of consumption was challenged on the basis of argument that consumption expenditure depends not only on current income but also on other factors like wealth, expectations, income distribution etc. Although the economists have the view that consumption expenditure is function of income but different economists have different concept of income like absolute income, relative income, current income, expected income and permanent income etc. The main theories of consumption are- Absolute Income Hypothesis, Relative Income hypothesis, Permanent Income Hypothesis and Life-cycle hypothesis.

In this unit, we are going to discuss first two theories viz. Absolute Income Hypothesis and Relative Income Hypothesis. This sub-section deals with absolute income hypothesis.

Based on the psychological law of consumption, the absolute income hypothesis states that the current consumption expenditure is function of current and absolute level of income. That is

$$C = f(Y)$$

Where, C- current consumption and Y – Current income

4.5.1 Short-Run Consumption Function

Keynesian theory deals in short-run. Therefore, theory of consumption is also treated as short-run theory.

- Change in income leads to change in consumption as well as change in savings. That is,

$$\Delta Y = \Delta C + \Delta S$$

- Consumption Expenditure is positive function of current absolute income. There is positive relationship between consumption and income. That is, if income increases, consumption expenditure also increases.

$$C = f(Y) \text{ and } \frac{\Delta C}{\Delta Y} > 0$$

- Consumption income relationship is reversible i.e., if income decreases, consumption expenditure also decreases.
- Consumption expenditure of individual household does not depend on consumption expenditure of other consumer.
- Relationship between consumption and income is non-proportional in nature. That is if income increases, consumption expenditure will increase less than proportionately.
- The value of marginal propensity to consume lies between zero and one i.e. $0 < MPC < 1$.
- The marginal propensity to consume is less than average propensity to consume i.e. $MPC < APC$ or $\frac{\Delta C}{\Delta Y} < \frac{C}{Y}$
- There is negative relationship between average propensity to consume (APC) and income (Y).
- The marginal propensity to consume declines as income increases.

Therefore, according to absolute income hypothesis, marginal propensity to consume decreases with increase in income. That is, households with lower income have higher marginal propensity to consume than households with higher income. However, Keynesian economists, on

basis of empirical data, found that marginal propensity to consume is stable in nature and relationship between consumption and income is linear.

Thus, in absolute income hypothesis, consumption function can be written as:

$$C = a + bY$$

Where, C is consumption expenditure,

a is autonomous consumption and

$$b \text{ is } MPC = \frac{\Delta C}{\Delta Y}$$

Example: Keynesian economist's consumption function with constant MPC can be shown (Table 2) as follows (hypothetical example):

Table 2

Income (Y)	Consumption (C)	$MPC = \frac{\Delta C}{\Delta Y}$
0	100	0.65
100	165	0.65
200	230	0.65
300	295	0.65
400	360	0.65

The equation of consumption function representing above example can be written as:

$$C = 100 + 0.65 Y$$

Where, C is consumption expenditure and the value 100 shows the autonomous consumption i.e. level of consumption at zero level of income. Y is income and marginal propensity to consume is 0.65. We can note here that although MPC is less than one but it remained constant with increase in income. This consumption function can also be shown with the help of figure 2.

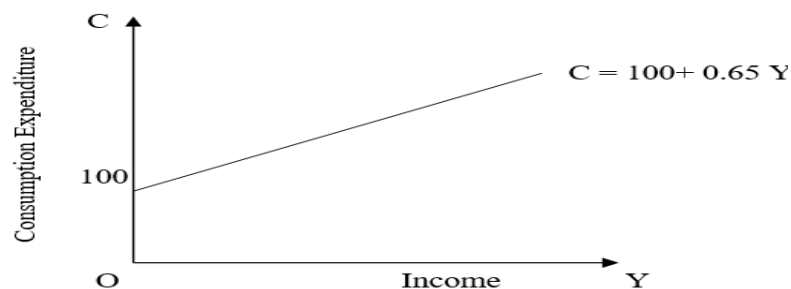


Figure 2

Thus, based on postulates of absolute income hypothesis, short run consumption function reflects that as income increases, people tend to spend a decreasing percentage of income or tend to save an increasing percentage of income. Therefore, marginal propensity to consume is less than average propensity to consume. If with increase in income, the ratio of consumption to income (APC) falls then the ratio of increment to consumption to increment to income (MPC) must be smaller than APC.

4.5.2 Long-Run Consumption Function

In long-run, consumption is determined by income, objective factors and subjective factors.

$$C = f(Y, O, S)$$

Where, C is consumption expenditure, Y is income, O is objective factors and S is subjective factors.

In 1946, Simon Kuznet studied the consumption and saving behavior. The study showed that average propensity to consume does not fall with increase in income and it is equal to marginal propensity to consume over the long run. Therefore, by late 1940s, it was observed that

- Cross-sectional budget studies and business cycle or short run data show that $MPC < APC$.
- Long-run trend data show that $MPC = APC$.

4.5.3 Criticisms

The Keynesian consumption function is criticized on following grounds:

- Keynes' absolute income hypothesis is based more on 'introspection' than on observed facts.
- Concept of income used by Keynes is wrong. Current consumption not only depends on current income but also on past savings.
- Role of wealth is not fully integrated into this theory.
- Keynesian consumption function is unable to explain the long run constancy of APC.
- It has ignored the role of expectations in consumption decisions.
- Role of relative income in determining consumption expenditure is also ignored in absolute income hypothesis.

In spite of these criticisms, Keynesian theory is the first theory of consumption and other theories are improvements of this theory. This theory is able to explain the cross-section consumption function.

Check Your Progress- II

Q1. Define absolute income hypothesis.

Ans -----

Q2. Define long run consumption function of propensity to consume.

Ans -----

4.6 Relative Income Hypothesis

We have noted that Keynes' consumption theory could not be supported by empirical data. Therefore, economists tried to develop a consumption theory based on empirical data. The model developed by Duesenberry in 1949 differs from absolute income hypothesis. Duesenberry by using income-consumption data propounded the theory of consumption based on two Relative Income Hypotheses.

- A) According to first hypothesis, consumers are not so much concerned about their absolute level of consumption as they are with their consumption relative to that of the rest of the population.
- B) Duesenberry's second hypothesis is that present consumption is not only influenced by present levels of absolute and relative income but also by levels of consumption attained in previous period.

4.6.1 Assumptions

Relative income hypothesis of consumption is based on following assumptions:

- A. Consumption decisions of households are interdependent.
- B. The interdependence of consumption decisions is based on strong demonstration effect i.e. imitation of consumption decisions of other households in the same relative income group.
- C. Consumption habits are irreversible. Once acquired cannot be changed easily.

4.6.2 Demonstration Effect

According to relative income hypothesis, the consumption expenditure of a household does not depend on its absolute income but on the level of its income in relation to the households with which it identifies itself. That is households having a relatively lower income and living in the community of higher incomes tend to spend a higher proportion of their income than the households with higher incomes. This is called demonstration effect on consumption.

This hypothesis is particularly based on social pattern of consumption. Consumption is not independent. Consumption behavior of a person is affected by consumption of society. A statement showing social pattern of consumption, known as *Joneses Effect* is:

- To keep up with Joneses

The statement indicates that middle class people try to keep their standard according to high standard families

Therefore, implications of the relative income hypothesis are:

- MPC remains the same for all the households if their income changes by the same amount.
- If the income of other households remains same, MPC remains same with increase in absolute income of household.
- If the income of other households of the group increases, then MPC of the household with constant income increases.
- If a household moves up from a lower income-group to a higher income-group then its MPC decreases.

The proposition of fall in MPC as household move to higher income group is same as Keynes' propositions. However, the relative income hypothesis makes a significant deviation from the absolute income hypothesis.

While absolute income hypothesis holds that relationship between consumption expenditure and absolute income is positive, the relative income hypothesis holds that consumption does not decrease in proportion to decrease in income. Duesenberry explained it in the form of so called, the Ratchet Effect.

4.6.3 Ratchet Effect

According to Duesenberry it is much more difficult for a family to reduce consumption level once attained than to reduce savings. Thus, previous income put forth its influence on current consumption. Duesenberry maintains that basic consumption-income relationship is proportional. During expansion, the higher current income tends to raise consumption in proportion to it. But the depressant pull of previous lower income permits it to rise only less than proportionately and APC falls with a rise in income. On the other hand, decline in current income tends to reduce consumption in proportion to it. But as the people had become used to a higher consumption standard, the ascendant pull of previous higher income restrains people to cut consumption only less than proportionately and APC goes on rising with fall in income.

This type of consumption behavior gives us the Ratchet Effect. During period of recovery, as income increases, consumption increases slowly because of two reasons:

- Due to depressant pull of low level of income of previous period.
- People will like to compensate for decline in their savings due to previous decline in income. As soon as the previous dissavings are made good, consumption starts rising in long run in proportionate relation with income.

Thus, this hypothesis points out that consumer find it much easier to increase consumption than to reduce it. This is called the Ratchet Effect. It can be shown with the help of following diagram example and diagram.

Table 3

Income(Y)	Consumption (C)	$MPC = \frac{\Delta C}{\Delta Y}$	$APC = \frac{C}{Y}$	Relation between MPC and APC
Increase in Income				
100	80	0.8	0.8	MPC = APC
110	88			
Fall in Income				
100	80	0.5	0.83	MPC < APC
90	75			

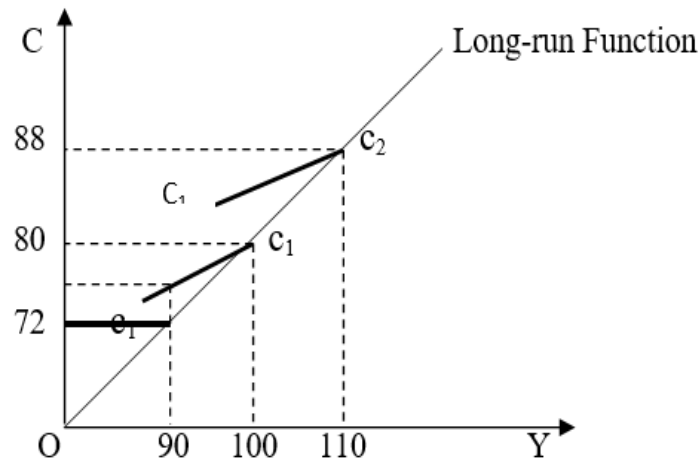


Figure 3

As income increases (from Rs. 100 to Rs. 110), consumption also increases (from Rs. 80 to Rs. 88) along the long run function with constant APC. But let us suppose at point C_1 , there is recession in the economy and income falls off (from Rs. 100 to Rs. 90) then consumption expenditure decreases (from Rs. 80 to Rs. 75) along a short run function C_1C_1 not along long run (i.e. from Rs. 80 to Rs. 72). Ratchet effect keeps consumption at Rs. 75. Recovery of income takes consumption back to previous level trend growth resumes along the long-run function.

Thus, Duesenberry's model implies a ratchet effect is that when income falls off, fall in consumption is less than it rises as income grows. Hence consumption-income relationship is not reversible.

4.6.4 Criticisms

The economists have pointed out following shortcomings in the relative income hypothesis:

- 1) This theory ignores the role of absolute income and wealth in consumer decisions.
- 2) Role of expectations has also been ignored.
- 3) This hypothesis is silent about the role of non-income determinants viz. subjective and objective factors in consumption decisions.
- 4) Consumer decisions are not only based on imitations but also on preferences.
- 5) This theory does not tally with latter empirical evidences. The empirical evidence however suggests that with unexpected increase in incomes, consumption increases less than proportionately.

- 6) Consumption standards are reversible in long run. Because If there is a continuous fall in income, people cannot go on dissaving in the long run to maintain their earlier living standards. However, the relative income hypothesis does admit the reversibility of consumption expenditure with decrease in income but less than proportionately.

Thus, we can say that, despite its criticism, Duesenberry's relative income hypothesis is regarded as a significant improvement over the absolute income hypothesis as it taken into account the role of demonstration effect and past consumption habits in consumption decisions.

Check Your Progress- III

Q1. Explain the statement *To keep up with Joneses*.

Ans -----

Q2. Define Ratchet effect.

Ans -----

4.7 Summary

The consumption behavior of household is important in determining aggregate demand. Consumption expenditure of an individual or household depends on many factors such as income, wealth, expected future income, consumption of other people, age etc. but income is the primary determinant out of these factors. Therefore, functional statement showing relationship between consumption expenditure and its determinants is known as Consumption Function. The change in consumption expenditure with change in income is shown by marginal propensity to consume. According to Keynes, current consumption expenditure depends on current income and marginal propensity to consume lies between zero and one. In his Fundamental psychological law, Keynes stated that as income increases, people spend less and less proportion of marginal income on consumption i.e. marginal propensity to consume decreases with increase in income. However, Keynesian economists based on empirical findings argued that marginal propensity to consume although less than one but remains constant with increase in income. According to Keynes, along with income there are some objective factors, subjective factors and habitual factors which may influence the consumption behavior of individual. On the other hand, Duesenberry by using

income-consumption data propounded the theory of consumption based on two Relative Income Hypotheses. According to Duesenberry, consumers are very much concerned about their consumption relative to rest of the population. He also highlighted the role of consumption attained in previous period in determining consumption levels.

4.8 Questions for Practice

A. Short Answer Type Questions

- Q1. Explain briefly the concept of APC and MPC.
- Q2. What is the relationship between APC and MPC?
- Q3. What is autonomous consumption?
- Q4. What do you mean by non-linear consumption function of Keynes?
- Q5. Explain Demonstration Effect.
- Q6. What is Ratchet Effect on consumption?
- Q7. What are the subjective factors influencing consumption behavior?

B. Long Answer Type Questions

- Q1. Explain in detail the Fundamental Psychological Law of Consumption.
- Q2. What is Absolute Income Hypothesis?
- Q3. Explain in detail the theory of consumption based on Relative Income Hypothesis.
- Q4. How demonstration effect and Ratchet Effect influence the consumption behavior of individual?
- Q5. What is propensity to consume? What are the determinants of propensity to consume?

4.9 Suggested Readings

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 5: INVESTMENT FUNCTION AND MARGINAL EFFICIENCY OF CAPITAL

STRUCTURE

5.0 Learning Objectives

5.1 Introduction

5.2 Basic Concepts of Investment

5.3 Types of Investment

5.3.1 Autonomous and Induced Investment

5.3.2 Gross and Net Investment

5.3.3 Ex-ante and Ex-post Investment

5.4 Investment Function

5.5 Factors Affecting Investment Decisions

5.5.1 Marginal Efficiency of Capital

5.5.2 Marginal Efficiency to Investment

5.5.3 Market Rate of Interest

5.6 Investment Demand Schedule

5.7 Relationship between MEC, Rate of Interest and Investment

5.8 Decision Rule for the Entrepreneur

5.9 Summary

5.10 Questions for Practice

5.11 Suggested Readings

5.0 Learning Objectives

After going through this unit, learner will be able to:

- Describe the concept of Investment function
- Differentiate between different types of investment
- Identify the factors affecting the investment decisions
- Interpret the concept of marginal efficiency of capital

- Illustrate the investment demand schedule
- Recognise the relationship between MEC, rate of interest and investment.

5.1 Introduction

Term investment is a very common phrase and it usually refers to the addition in the existing stock of capital. In macroeconomics literature, investment has always been an important factor. This importance has been enjoyed not only in the Keynesian and post-Keynesian theories but also in the pre-Keynesian business cycle theories. This is so because aggregate investment expenditure is an important and volatile component of the aggregate demand function. Investment expenditure is found to be at higher levels in course of prosperity due to high rates of profitability, whereas it is found to be at lower levels in times of depression due to very low rates of return. In course of depression, investors become risk-averse and even reluctant to incur expenditure even for replacing the depreciated capital equipment. Therefore, we can say that investment plays a crucial role in determining the level of national income/output/employment in the country. Moreover, higher level of investment provides a push factor to productive capacity and hence assists in generating higher level of aggregate demand and supply, which will further help in achieving the goal of full employment in the economy.

In the light of above introduction, this unit will first of all provides the meaning of investment concept, then we will differentiate between different types of investment- gross and net; induced and autonomous and ex-ante and ex-post investment. After this, unit will focus on the determining factors of investment decision. From this, you shall be able to derive the meaning and determinants of the MEC. Finally, in the last sections of the unit, you will be able to analyse that how the investment decisions are undertaken by the investors in particular capital asset or project.

5.2 Basic Concepts of Investment

In common parlance investment is considered as the purchase of the existing stocks, shares, debentures and securities. But this is not generating or adding any increment to the productive capacity of the economy, which is regarded as the general outcome of the investment. So, in economics, such kind of expenditure on the purchase of stocks, shares, bonds and other financial instruments is not regarded as the investment, rather it is referred to as the financial investment, in which money merely transferred from one hand to another. In economics, investment is usually defined as the addition in the existing stock of capital.

In Keynesian economics, there is difference between real and financial investment. Real investment means, the investment undertaken in the purchase of new machines, construction of new factory buildings, roads, bridges and other forms of productive capital stock of the community, including the increase in inventories. On the other hand, financial investment refers to purchase of financial instruments (stocks, bonds, debentures, securities etc.), which comprises a transfer of money from one party to another party involved in the transaction. Financial investment does not lead to any change in the employment level in the economy. It is the real investment, which leads to change in the employment in the economy. An increase in the real investment will results in increase in demand for labour as well as for other physical resources and hence increasing the employment in the economy. Therefore, investment plays a strategic role in achieving the major goals of the economy. From above discussion it is clear that in economics, we are concerned with the Keynesian sense of investment.

Different economists have defined the term investment differently. In the words of J.M. Keynes, 'investment refers to the increment of the capital equipment.' According to Edward Shapiro, 'investment is that part of the economy's output for any time period that takes the form of new structures, new producer's durable equipment and change in inventories.' According to Rosalind and Rebmann, 'Investment refers to the accumulation over time by firms of real capital goods, which will yield a future flow of services. Real capital goods can be subdivided into two types- fixed capital and working capital. Fixed capital comprised of plant, machinery, buildings and transport infrastructures, which keep their particular physical form throughout their working life. Working capital consists of stocks of raw materials, manufactured inputs and final goods.'

In simple terms, investment refers to the addition in the existing physical stock of capital in a given time period.

5.3 Types Of Investment

There are different types of investment and their classification is based on the purpose, which they are solving. In this unit, we have emphasised on the following types of the investment-

1. Autonomous and Induced investment
2. Gross and Net Investment
3. Ex-ante and ex-post investment

5.3.1 Autonomous And Induced Investment

On the basis of returns from investment, it can be classified into two categories autonomous or induced type. Induced investment is usually associated with private sector and autonomous is associated with public sector. Induced investment, as its name suggest, is induced by the profit motive, this type of investment is determined by the changes in the income i.e. induced investment increases as income increases. The functional relationship between the investment and the income, indicating the induced investment in the economy can be illustrated with the help of Figure 1. On the x-axis income is measured and along with y-axis corresponding changes in the investment level are measured. II is the induced investment curve having positive slope. It is clearly shown in the figure that induced investment curve is upward sloping, implying the increase in investment level as a result of increase in the income level.

Figure 1: Induced Investment

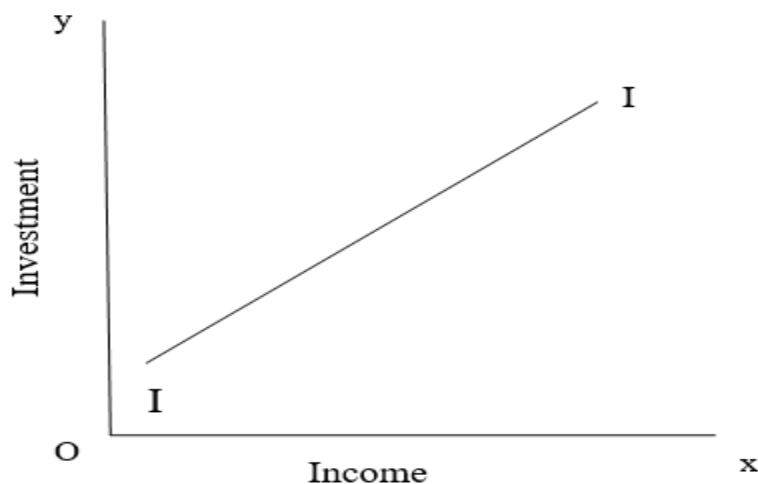
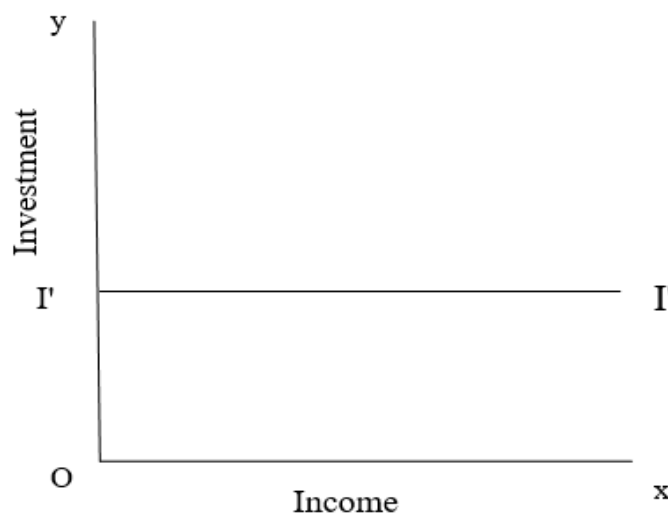


Figure 2: Autonomous Investment



Autonomous investment is not motivated by the profits. Autonomous investment is independent of the fluctuations in the output/income/profits level. Such type of investment is usually undertaken by the government- either central or state level or both. In simple words, autonomous investment is the expenditure incurred on the capital formation exclusively by the government, and which is independent of the change in income, output, rate of interest (profit rate) etc. The curve of autonomous curve is shown in the Figure 2. Figure is depicting the relationship between the investment and the income variables in the economy. 'IT' is the autonomous investment curve. Shape of autonomous investment curve is horizontal, parallel to x-axis, representing income-inelasticity. Thus, we can say that autonomous investment is independent of economic activity. During the period of depression, government tries to boost the economic system by increasing the level of autonomous investment. Therefore, autonomous investment is one of the components of the welfare state.

5.3.2 Gross and Net Investment

Gross investment is defined as, the expenditure incurred on purchase of new fixed capital goods and on the maintenance of the existing stock of capital, in a given time period. Expenses incurred on the maintenance of the existing stock of capital are known as the replacement investment. Replacement investment is undertaken to offset the depreciation, wear and tear and obsolescence in the existing stock of capital. On the other hand, net investment can be obtained by subtracting the replacement investment from the gross investment. Thus, net investment actually shows the net addition to the stock of capital in a given year. It is the change in net investment, which leads to changes in the income, output and employment level in the economy. We can show the relationship between gross and net investment symbolically also-

$$I_g = I_n + I_r$$

I_g refers to the gross investment taking place in the economy in a given period; I_n refers to net investment- net addition to stock of capital and I_r shows the replacement investment in a given year. From the above equation three possibilities can be drawn regarding addition in the productive capacity of the economy

- 1) $I_g > I_r$: If in the given period value of I_g is more than I_r , it means I_n is positive and there is actual increase in the stock of capital in that year and hence increase in the productive capacity of the economy.

- 2) $I_g < I_r$: If in the given period, value of I_r is more than I_g , then I_n would be negative for that year, indicating decline in the productive capacity of the economy on account of depreciation and obsolescence expenses.
- 3) $I_g = I_r$: When the value of gross investment is equal to the value of replacement investment, then the value of net investment is found to be zero, indicating zero addition to the productive capacity of the economy.

Therefore, net investment is an addition to the stock of capital in a given time period and the gross investment is made up of new structures and new producers' durable equipment and allowance for the wear and tear and obsolescence of the existing stock of capital. Shapiro (2001) has classified the gross investment into three components- non-residential investment (which is essentially business fixed investment); residential investment (largest component of which is single unit houses) and the inventory investment (non-fixed component, change in the business inventories).

5.3.3 Ex-Ante and Ex-Post Investment

Ex-ante investment, also known as planned or intended investment, is usually undertaken by the firms in a planned way so that pre-determined targets can be achieved. The reason behind such type of investment by the firms is that- firstly, firms have anticipation that there will be increase in demand, so in order to earn profits, firms make planned investment. Secondly, ex-ante investment is required when the government want to achieve the goal of certain level of employment in the economy. On the other hand, ex-post investment is also termed as unplanned or unintended investment. As the name suggest, it is not planned investment, it takes place due to unexpected changes in the economic activity (demand in particular) in the economy. Simply, such type of investment is not intended or anticipated by the firms and the firms increase the stock of capital all of sudden in order to offset the fall in demand.

Check Your Progress- I

Q1. What do you understand from autonomous investment?

Ans. -----

Q2. Differentiate between gross and net investment.

Ans. -----

5.4 Investment Function

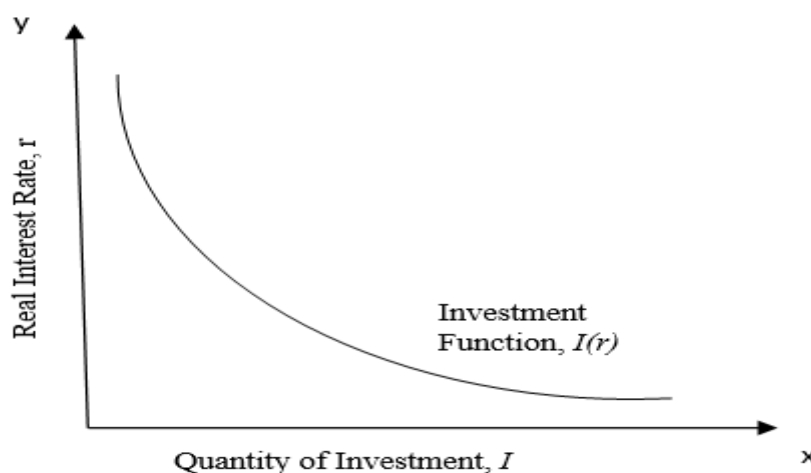
Investment function refers to the functional relationship between the level of investment and the real interest rate. In any economy volume of investment depends on the rate of interest. Interest rate reflects the cost of the borrowed funds, utilised for the investment purpose. Investment in profitable manner will take place only when the returns from the investment are more than the cost of borrowing the funds. In the context of interest rate, it is essential to distinguish between two types of interest rates i.e. nominal and real interest rate. Nominal interest rate is that interest rate, which is usually reported and investors pay in order to borrow money. Real interest rate, on the other hand, is that rate of interest which is corrected for the effects of inflation (Mankiw, 2008). For example if in year 2020, the nominal interest was found to be 6 per cent and the inflation rate was 2.6 per cent, in that case our real interest rate would have been 3.4 per cent. From the above distinction it is clear the real interest rate is most important because it helps us in calculating the actual cost of borrowing. Therefore, real interest rate is an important determinant of the investment decision.

We can depict the investment function in the functional form as-

$$I=I(r)$$

This equation shows that investment (I) is function of the real rate of interest (cost of borrowing). Further this functional relationship between investment and real rate of interest can be illustrated with the help of figure. Figure 3, shows the investment function. $I(r)$ curve shows the change in quantum of investment due to changes in the real rate of interest. Real interest rate (r) and quantity of investment is measured along y-axis and x-axis respectively.

Figure 3: Investment Function



From the figure it is clear that, slope of the investment function is negative (downward) implying inverse relationship between the interest rate and quantity of investment. When the interest rate is lower, more quantity of investment will be demanded and vice-versa. If there is change in interest rate then it will be depicted on the same investment demand curve. But if interest rate remaining the constant and there is change in other factors such as technological progress, future expectations, change in cost etc. then it will be shown by shift in investment demand curve either rightward or leftwards depending upon the direction of change in other variables.

5.5 Factors Affecting Investment Decisions

As it is known fact that capital goods are useful for long time, so producers or firms usually take the decision to invest after considering returns from the investment. Decision to invest is affected by the cost of borrowing funds and expected returns out of this particular investment. Entrepreneur's estimate of the profit or loss that will accrue from any particular investment is based on the relationship among three components- the expected income flow from the capital good, purchase of price of the capital good and the prevailing market rate of interest. Although, there are several factors influencing the investment decision of the entrepreneur but Keynes has focused on two major determinants namely, market rate of interest and marginal efficiency of capital. Usually, entrepreneurs compare the marginal efficiency of capital with the market rate of interest; decision to investment will be taken only when the former is more than the later. If the rate of interest comes out be more than the marginal efficiency of the capital, then no investment will be undertaken by the entrepreneurs. In the following section we will elaborate the case of marginal efficiency of capital and rate of interest and their relationship with investment.

5.5.1 Marginal Efficiency of Capital (MEC)

This is an important variable in the Keynesian theory of investment. Marginal efficiency of capital is also termed as Internal Rate of Return (IRR). Keynes has defined the MEC as, that rate of discount which makes the present value of the series of annuities given by returns expected from the capital asset during its life just equal to its supply price. So, MEC can be considered as that rate of discount which makes the discounted present value of expected income stream equal to the cost of capital. Keynes has termed the expected rate of return from capital asset as the prospective yield and cost of capital as supply price.

Therefore, marginal efficiency of capital is determined by these two factors i.e. prospective yield and supply price of capital asset.

A. Prospective Yield: It actually shows the net return which is expected from the capital asset, over its whole life. In order to find out the net return, all costs like maintenance, wear and tear expenditure, depreciation or obsolescence cost etc. are deducted from gross returns. If the expected life of the capital asset can be segregated into number of series of years, then the returns per annum can be converted into series of annuities. Here the term annuity refers to the returns of a fixed amount at uniform intervals of time. Let us assume that series of annuities is shown by-

$$R_1, R_2, R_3, \dots, R_n,$$

where R_1 refers to returns in 1st year, R_2 as returns in 2nd year and similarly, R_n means returns in the n th year of the capital asset. By adding these annual returns over the life time of capital asset, we will be having prospective yield of the asset.

B. Supply Price: Supply price is also known as replacement cost. Supply price reflects the cost of the asset, particularly of new asset not the existing one. In simple words, supply price is the purchase price of the new capital asset.

After discussing the relevance of prospective yield and supply price, we can focus on the MEC. According to Kurihara, marginal efficiency of capital can also be represented in the form of ratio of prospective to the supply price, symbolically $i=y/p$, i is the marginal efficiency of capital; y is perspective yield and p is the supply price of the capital asset. For example, cost of new capital asset to investor is Rs. 10 lakhs, further, suppose that net return from this asset over its life time is expected to be Rs. 5000 per annum. So, MEC of this capital asset can be calculated by the ratio of annual return to its supply price, i.e.

$$MEC = (5000/100000) * 100 = 5\%.$$

So the value of MEC, in this project is found to be 5 per cent, which is actually showing expected annual return on the investment of Rs 10 lakhs. From this result, it is clear that any increase or decline in supply price of asset will reduce or increase the MEC, given the value of prospective yield. So, it can be stated that MEC is having a direct relationship with the prospective yield and inverse relationship with supply price.

But in this uncertain or dynamic world, it is not so easy to calculate the expected return with so much accuracy. So, there is need to calculate the discounted value of returns with respect to future. Therefore, Keynes has considered the MEC as that rate of

discount, which will equate the discounted present value of the expected income with the supply price of cost of capital asset. Accordingly, the formula for estimating the MEC will be,

$$MEC = R/(1+r) = C$$

In above equation, r is the rate of discount which makes the discounted value of expected returns (R) equal to the supply price of the asset (C). So, r actually shows the marginal efficiency of capital or internal rate of return. The value of r can be obtained from the above equation, i.e.

$$r = (R/C) - 1$$

In order to illustrate, we can take an example, let us assume that an entrepreneur undertake an investment in capital asset having life of one year, which costs Rs 100 million and the expected returns from investment are Rs 125 million at the end of one year. Putting these values in the above-mentioned formula, we will get the value of MEC as,

$$MEC = r = (125/100) - 1 = 0.25 \text{ or } 25 \text{ per cent}$$

If the same capital asset is having life of two years and expected return at the end of second year is Rs 144 (it is expected to give no return in first year), then the MEC would be-

$$MEC = 144/(1+r)^2 = 100 = 20 \text{ per cent}$$

Similarly, if the life of the capital asset is extending to n number of years, in that case MEC can be estimated with the help of following formula-

$$MEC = R_1/(1+r) + R_2/(1+r)^2 + R_3/(1+r)^3 + \dots + R_n/(1+r)^n = C$$

For any investment, value of discount rate can be estimated only if we are having the information regarding C and $R_1, R_2, R_3, \dots, R_n$ variables.

Check Your Progress- II

Q1. Define investment function.

Ans. -----

Q2. What is the meaning of supply price of capital asset?

Ans. -----

5.5.2 Marginal Efficiency of Investment (MEI)

This concept is general form of the marginal efficiency of capital. Difference between the two is, MEI is related to particular project, whereas, MEC is related to particular capital asset. Marginal efficiency of investment (MEI) is that rate of discount which will make the present value of expected returns from the given investment to the cost of financing that project. Symbolically-

$$C = R_1/(1+d) + R_2/(1+d)^2 + R_3/(1+d)^3 + \dots \dots \dots R_n/(1+d)^n$$

Here C is the cost of financing the given investment project, R is the expected returns or prospective yield from the given amount of investment and d implies the rate of discount or marginal efficiency of investment, which makes the expected yields equal to the costs. Importance of this concept is that it assists us in ranking the investment projects or making the choice among different investment projects. If the value of the MEI is found to be high, then obviously ranking of that investment project would be higher and vice-versa.

Difference Between the MEC and MEI

- A. Marginal efficiency of capital is related to the most gainful capital asset, on the contrary, marginal efficiency of investment is related a fixed amount of investment in particular project.
- B. Marginal efficiency of capital is a stock concept, whereas marginal efficiency of investment is a flow concept.
- C. Under marginal efficiency of capital, supply price is important variable, while under marginal efficiency of investment, cost of financing the project is determining factor.

5.5.3 Market Rate of Interest

Assessment of the decision to investment cannot be done on the basis of MEC or MEI alone. Market rate of interest also plays a determining role in the investment decision of the firms. If the investment decision is undertaken solely on the basis of MEC, then in that case it is presumed that market rate of interest is zero and funds are easily available. But in reality, this is not the case. We have to pay a positive price for using the borrowed funds. Therefore, entrepreneur or firms considers both the MEC i.e. expected returns from the investment and the market rate of interest i.e. cost of borrowing funds for investment purpose.

Market rate of interest is defined as the rate at which the funds are borrowed. The relationship between level of investment and rate of interest is inverse type i.e. higher rate of interest implies the higher cost of borrowing the funds and it will discourage the investments. On the other hand, if the rate of interest is lower, then it will encourage the investments in the economy.

5.6 Investment Demand Schedule

This is also known as schedule of marginal efficiency of capital. Investment demand schedule depicts a functional relationship between the marginal efficiency of capital and amount of investment/stock of capital. According to this relationship, demand for capital asset/investment is inversely related to the marginal efficiency of capital. That is MEC diminishes with the increase in investment in capital assets and vice-versa. Causes for such diminishing nature of MEC are as- firstly, due to increase in the investment in capital asset during a given period, prospective yields will decline. The reason being that more assets are produced and ultimately, they will give competition to each other in order to meet the demand for product, subsequently, prospective returns from the investment will decline. Secondly, supply price of capital asset will rise as more capital assets are produced. Thus, we can say that MEC diminishes with an increase in investment level, either due to falling prospective yield or rising supply price of the capital asset.

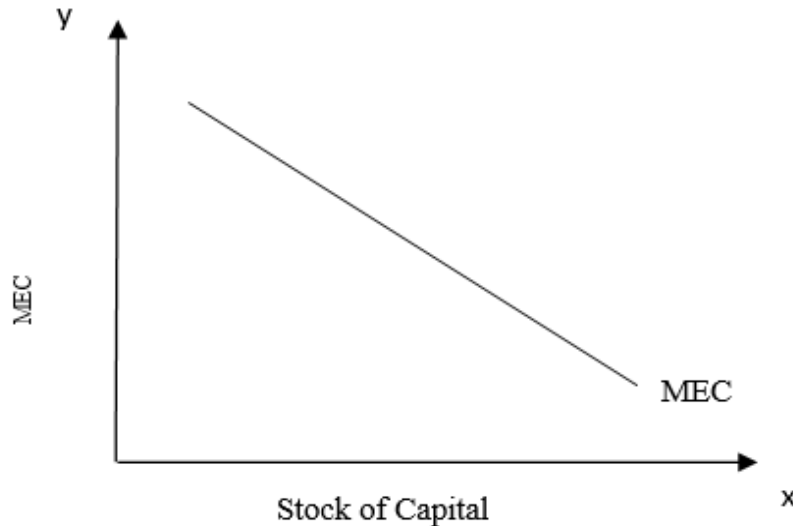
Investment demand schedule can be illustrated with the help of an example, described in the following Table 1. Table depicts the relationship between stock of capital and marginal efficiency of capital. We can observe from the table that when the investment was of Rs 20 millions, MEC was the highest. As the quantity of investment increased to 100 millions, marginal efficiency of capital reduced to 7 per cent only.

Table 1: Marginal Efficiency of Capital and Quantity of Investment

Investment (in Million Rs.)	Marginal Efficiency of Capital (%)
20	25
40	18
60	13
80	10
100	7

Investment demand schedule can be illustrated with the help of a diagram, as shown in Figure 4. On vertical axis MEC is measured and on horizontal axis stock of capital is measured.

Figure 4: Investment Demand Schedule



It is clearly depicted in the diagram that investment demand schedule is downward sloping showing inverse relationship between MEC and stock of capital. Investment demand schedule can shift rightwards or leftwards depending upon the changes in MEC. If at the given market rate of interest, there is expectation that expected returns on investment will increase then subsequently, MEC schedule will shift rightwards. On the other hand, in times of depression, due to lesser business confidence, there are expectations of falling expected returns on investments and hence MEC schedule will shift leftwards.

5.7 Relationship Between MEC, Rate of Interest and Investment

From the above discussion, it is clear that marginal efficiency of capital and market rate of interest are two determining factors in investment decision. Interest rate shows the cost of borrowing the funds, which is determined by the demand for and supply of funds. Marginal efficiency of capital is the anticipated rate of profitability on the investment/capital asset. For taking a wise decision i.e., whether to undertake the investment in new project or not, an entrepreneur usually compares the value of MEC with rate of interest. Investor will be interested in undertaking the investment in new capital stocks as long as the value of MEC is more than market rate of interest, as it indicates the excess of expected returns over the cost of borrowing the funds. If the value of MEC is found to be equal to market rate of interest then investor can be neutral in this situation. If the value of MEC is less than interest rate then no investment will take place because cost of borrowing funds is more than expected return

from this particular investment. This relationship between MEC, rate of interest and investment can be depicted with the help of an illustration, shown in Table 2.

Table 2: Relationship Between MEC And Rate of Interest and Investment Decision

Supply Price (C) (in Rs)	Expected Annual Returns (R) (in Rs)	MEC(r) (in %)	Rate of Interest (i) (in %)	Investment Decision
25000	1000	4	4	Neutral
25000	1000	5	4	Profitable to undertake investment
25000	1000	2	4	Unfavourable

From the above table it is clear that supply price of capital asset is Rs. 25,000, having annual return of Rs. 1,000. Now the decision of the investor will depend on the cost of borrowing the funds and the corresponding returns on that investment. In the three different scenarios, investment seems to be profitable when the $MEC > i$, i.e. in second case where the MEC is 5 per cent and rate of interest is 4 per cent, clearly indicating the positive difference.

5.8 Decision Rule for the Entrepreneur

After estimating the marginal efficiency of capital and market rate of interest, entrepreneur can take decision about the investment. There are rules of thumb in this context-

- A. If value of $MEC > i$, then investment project is acceptable to the entrepreneur
- B. If value of $MEC = i$, then the project is acceptable to entrepreneur only on the non-profit basis.
- C. If value of $MEC < i$, then the investment project is rejected by the entrepreneur

Check Your Progress- III

Q1. Define Marginal Efficiency of Capital.

Ans. -----

Q2. Explain market rate of interest.

Ans. -----

Q2. What are the different rules of thumb for investment decision?

Ans. -----

5.9 Summary

Investment refers to the addition in the existing physical stock of capital in a given time period. Investment can be classified in to different types, like- gross and net investment, autonomous and induced investment, ex-ante and ex-post investment. Gross investment is sum of net investment and replacement investment, whereas net investment refers to the net addition in the existing stock of capital. Autonomous investment undertaken usually by government on non-profit considerations, whereas, induced investment is intended by the profit motive. There are two main determinants which affect the investment decision- marginal efficiency of capital and market rate of interest. MEC is that rate of discount which makes the discounted present value of expected returns equal to the cost of capital. Investment decision will be undertaken when the marginal efficiency of capital is more than the market rate of interest.

5.10 Questions For Practice

A. Short Answer Type Questions

- Q1. What is an investment function?
- Q2. Differentiate between induced and autonomous investment.
- Q3. Explain the followings:
 - a) Gross and net investment
 - b) Ex-ante and Ex-post investment
- Q4. Explain Marginal Efficiency of Capital.
- Q5. Define Marginal Efficiency of Investment.
- Q6. Difference between the MEC and MEI.
- Q7. Explain the decision rules of the entrepreneur.\

B. Long Answer Type Questions

- Q1. Elaborate the factors affecting investment decision
- Q2. What do you mean by investment? Briefly explain its types.
- Q3. Explain MEC, also discuss the relationship between MEC, rate of interest and investment decision.

5.11 Suggested Readings

- Abel, A.B.; Bernanke, B.S. & Croushore, D. (2014). Macroeconomics. New York: Pearson Publishers, 8th edition.
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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 6: STATIC AND DYNAMIC MULTIPLIER AND ACCELERATION THEORY AND ITS WORKING

STRUCTURE

6.0 Learning Objectives

6.1 Introduction

6.2 Basic Concept of Multiplier

6.3 Multiplier Theorem: Derivation of Investment Multiplier

6.4 Operation or Working of Multiplier

6.5 Static and Dynamic Multiplier

6.5.1 Static Multiplier

6.5.2 Dynamic Multiplier

6.6 Limitations of Multiplier

6.6.1 Leakages from income stream

6.6.2 Non-availability of consumer goods and services

6.6.3 Full employment

6.7 Multiplier and LDCs: Keynes' MPC and Multiplier Paradox

6.8 Acceleration Theory and Its Working

6.9 Assumptions of Acceleration Theory

6.10 Working of Acceleration Principle

6.11 Limitations of Acceleration Theory

6.12 Summary

6.13 Questions for Practice

6.14 Suggested Readings

6.0 Learning Objectives

After reading this unit, learner will be able to:

- Define the concept of multiplier
- Differentiate between static and dynamic multiplier

- Derive the working of multiplier
- Interpret the accelerator principle
- Illustrate the operation of accelerator principle

6.1 Introduction

In general, equilibrium level of income and output is determined by the aggregate spending level in the economy. Any change in aggregate spending will consequently affect the income and output level and this will further result in either unemployment or full employment depending upon the direction of change. Increase in the aggregate spending or consumption expenditure leads to multiple times increase in the income and output level and vice-versa. Ratio of this change in income and output to the change in consumption expenditure is known as the multiplier. So, the analysis of multiplier mechanism helps us in understanding, the change in circular flow of economic activity due to change in any component of aggregate spending/demand (consumption, investment, government spending or net exports).

Concept of multiplier was first embraced to macroeconomics analysis in the 1930s, when Keynes used it in his analysis of income determination for explaining the Great Depression of 1930s. However, this concept was introduced by FA Kahn in early 1930s and later on refined by Keynes. Kahn has focused on the employment multiplier, whereas Keynes has emphasised on investment multiplier. Employment multiplier indicates that for any increase in employment, there will be multiple times increase in aggregate employment level. Similarly, investment multiplier refers to manifold increase in income/output/employment due to initial increase in investment level in economy. Another concept related to multiplier is the accelerator, which is opposite to multiplier. Accelerator refers to the change in investment level due to change in aggregate spending/consumption expenditure.

6.2 Basic Concepts of Multiplier

In Keynesian approach to income/output determination, multiplier occupies an important position. Not only this, it is an important variable in the business cycle theories too. Keynes believed that in any economy employment relies on the effective demand, which is, further determined by the consumption and investment expenditure. Since, consumption remains constant in the short-run, it is the investment which led to change in income/output level in economy. According to Keynes, it is the initial increase in the investment which

plays a significant role in income determination process. So, this relationship in investment and change in income or employment or output can be expressed in terms of multiplier.

An injection to circular flow of economic activity leads to an increment in national income, this increment is usually larger than the extent of the injection. The ratio of incremental increase in income to the quantum of fresh injection is referred to as multiplier. The injection to circular flow of economic activity can take any form, such as- investment, government spending and exports. These forms of injection, results in upward shifts in the national income/output. For example, if the economy is injected with the investment of Rs.1 crore, consequently national income of the economy boost up by Rs.3 crores. In this illustration income has increased by three times, simply implying that increase in investment has resulted in multiple times increase in the national income/output level in the economy.

We are concerned with the autonomous investment expenditure incurred by the government which will take the form of injection to circular flow of economic activity. In short, investment multiplier can be described as the ratio of change in income to the change in autonomous investment expenditure.

6.3 Multiplier Theorem: Derivation of Investment Multiplier

Investment multiplier can be derived with the help of aggregate spending function in the two-sector economy. We know that in the equilibrium position, aggregate spending function is composed of consumption function and investment function. In simple terms, income is either consumed or saved (=investments under equilibrium), accordingly the income expenditure is sum of consumption expenditure and investment expenditure in the economy. In algebraic form, we can define the above relationship as-

$$Y=C+I \quad \dots(1)$$

Where, Y , is initial income level; C , is the consumption expenditure and I , is the autonomous investment expenditure. Equation 1, shows the initial equilibrium in the economy.

Suppose that investment expenditure increased in the economy from I to ΔI and this leads to increase in the Y and C as well. So the 1 equation becomes,

$$\Delta Y = \Delta C + \Delta I \quad \dots(2)$$

ΔY , shows the change in income; ΔC , change in consumption and ΔI , change in investment spending. Rearranging the above equation, we will get-

$$I = \Delta C / \Delta Y + \Delta I / \Delta Y \quad \dots(3)$$

Here the ratio of change in consumption expenditure (ΔC) due to change in income level (ΔY) is known as the marginal propensity to consume (MPC). Using this identity in equation 3, we will obtain-

$$I = MPC + \Delta I/\Delta Y \quad \dots(4)$$

$$\Delta I/\Delta Y = I - MPC \quad \dots(5)$$

Taking reciprocal of equation 5 on both sides,

$$\Delta Y/\Delta I = 1/(I - MPC) \quad \dots(6)$$

By putting $\Delta Y/\Delta I = k$, which is actually our multiplier's coefficient, so equation 6 becomes-

$$k = 1/(I - MPC) \quad \dots(7)$$

Since, we know that $MPC + MPS = I$ (sum of marginal propensity to consume and marginal propensity to save is equal to unity), so $I - MPC = MPS$, by using this identity in above equation,

$$k = 1/MPS \quad \dots(8)$$

Finally, value of multiplier coefficient can be determined either with the help of MPC or MPS. Equation 7 and 8 are describing the value of multiplier and also the relationship between k and MPC and k and MPS. Following are the major results of this functional relationship-

- 1) As the value of MPC varies between zero and unity, similarly, the value of multiplier lies between 1 and ∞ .
- 2) There is a positive relationship between MPC and k . If the value of MPC is higher/lower, value of multiplier will be also higher/lower.
- 3) There is negative relationship between MPS and k . If the value of MPS is higher, then value of multiplier (k) will be lower and vice-versa.

For example, if the value of $MPC = 1$, then putting this in above formula,

$$k = 1/(I - MPC) = 1/(1 - 1) = 1/0 = \infty$$

Similarly if the value of $MPC = 0.5$, then value of multiplier will be,

$$k = 1/(1 - 0.5) = 1/0.5 = 2$$

On the other hand, if the value of $MPS = 0.3$, multiplier will be equal to-

$$k = 1/MPS = 1/0.3 = 3.33$$

for the value of MPS= 0.7, value of multiplier would be, $k = 1.43$.

6.4 Operation of Multiplier or Working of Multiplier

As discussed earlier, multiplier is the process through which income gets multiplied as an outcome of initial investment in the economy. How the operation of multiplier goes on? can be well explained with the help of working of multiplier. Let us assume that economy is in the position of equilibrium and government undertake an autonomous investment of Rs. 1000 crores. So, in the first period/round, this will raise the income by Rs. 1000 crores in the economy, particularly to those engaged in the investment goods sector. Further, assume that marginal propensity to consume is worked out to be 0.8, which implies that out of every increase in income, 80 per cent is spent on consumer goods. Accordingly, 80 per cent of Rs. 1000 i.e. Rs. 800 crores, will be our consumption expenditure in the first round. This expenditure on consumer goods will form the income to consumer goods producers. This idea is based on the assumption that one person's consumption expenditure is forming another person's income. Therefore, those who received Rs 800 crores as income in second round, they will spend 80 per cent of this income on the consumption activity, i.e. Rs. 640 crores as consumption expenditure in this period. Similarly in third round, income of Rs 640 crores will be generated. Important point to mention here is that, this increases in income in each successive round will go on declining and this process will continue till additional increase in income tends to zero. Ultimately, this process will end up when additional income becomes equal to 5000 ($k=1/(1-0.8)=5$, which means income will increase five times of initial increment in investment).

Illustration of working of multiplier is depicted in Table 1, which clearly shows the process of income generation by an additional investment of Rs. 1000 crores in the system.

From table no.1 it is clear that injection in the circular flow of income will lead to multiple times increase in the income of the economy. It is generally perceived that it will take around two-three months' time to actualise the expenditure incurred in each period. This gap in realisation of consumption expenditure is termed as the multiplier period or propagation period.

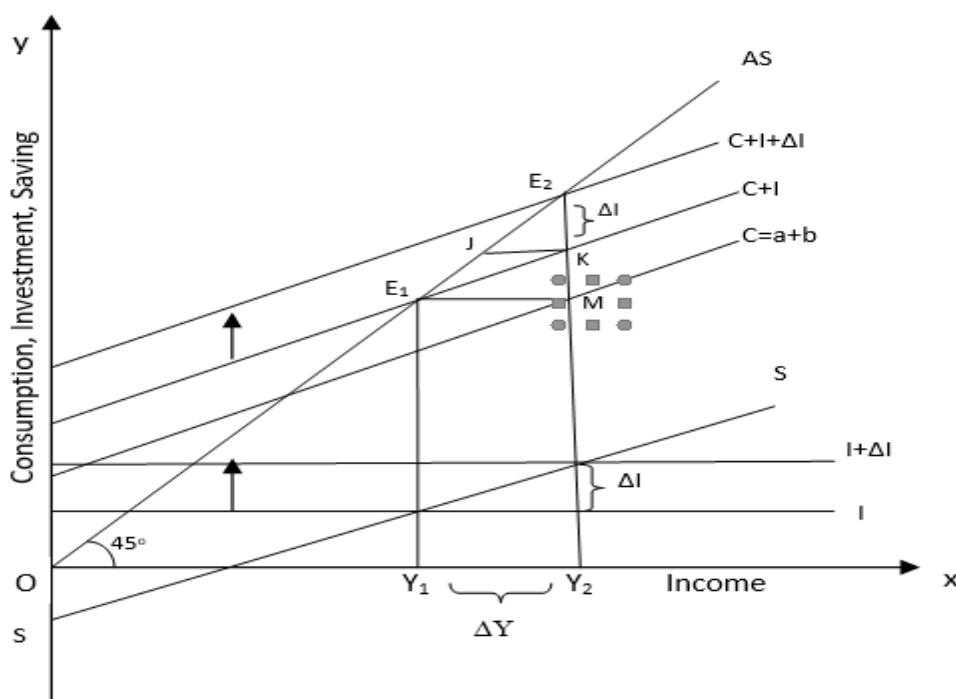
Table 1: Working of Multiplier

Period/Rounds	Change in investment (ΔI)	Income Generation or Change in income (ΔY)	Change in Consumption Expenditure (ΔC) ($MPC=0.8$)
1	1000	1000	800
2	--	800	640
3	--	640	512
4	--	512	409.6
5	--	409.6	327.68
.....	--
.....	--
.....	--
Last round	--	0
Total	1000	5000	4000

So, multiplier period can be defined as the mean/average time which will be involved in conversion of income-consumption-income, i.e. when income received is converted into consumption and this consumption expenditure becomes someone else's income. Shift from one round to another round, will leads to gradual fall in the consecutive additions in the income.

The working of multiplier is illustrated graphically in the figure 1. Consumption expenditure and savings are measured along y-axis and income/output measured along x-axis. It is assumed that economy is in equilibrium and it is indicated by consumption function $C=a+bY$ and initial investment given by the line I , which is parallel to horizontal axis. Further, with the given consumption function and investment level, aggregate spending/demand is indicated by $C+I$. Equilibrium level of income is determined at Y_1 , where aggregate demand ($C+I$) curve intersects with the aggregate supply curve (AS). Aggregate supply is equal to addition of consumption expenditure and savings ($AS=C+S$)

Figure 1: Working of Multiplier



With the injection of autonomous investment in the system, original investment curve) shifted upward to $I+\Delta I$ curve. This upward shift in the investment schedule results in shift in aggregate demand curve from $C+I$ to $C+I+\Delta I$. The new AD (Aggregate Demand) demand curve intersects the AS (Aggregate Supply) curve at point E_2 , hence equilibrium level of income shifts rightwards from Y_1 point to Y_2 point. So, increase in national income (ΔY) can be expressed as-

$$\Delta Y = Y_2 - Y_1 = Y_1 Y_2 = E_1 M$$

This increment in income is the outcome of change in investment (ΔI). If we look at the figure, we can notice that increase in income is more than the increase in investment level i.e. $\Delta Y > \Delta I$, which implies that there will be multiple times increase in the income due to initial injection of investment. So, the multiplier can be expressed as the ratio of change in income due to change in investment level, algebraically,

$$m = \Delta Y / \Delta I, \text{ here } m \text{ is the investment multiplier.}$$

Check Your Progress- I

Q1. If the value of $MPC=0.5$, what would be value of multiplier.

Ans.-----

Q2. What is the relationship between multiplier and MPC and MPS?

Ans.-----

6.5 Static and Dynamic Multiplier

On the basis of time lag involved in consumption function, multiplier is considered as static and dynamic. Under static multiplier, no time lag is involved, whereas, dynamic multiplier considers the time involved in consumption response.

6.5.1 Static Multiplier

Actually, static multiplier is independent of time, this is the reason that static multiplier is also known as comparative static multiplier, simultaneous multiplier, logical multiplier, timeless multiplier and instant multiplier. According to static multiplier, if there is change in the investment in the economy, then it will cause immediate change in the income levels, means no time lag is involved in response. In simple terms, static multiplier entails that change in investment results in instantaneous change in income. For example, if government injected the investment of Re 1 in the system, it will instantly increase the society's income by multiple of Re 1. Working of static multiplier is explained in the earlier section and the illustration shown in Table 1 is an example of static multiplier.

In real world, we are not dealing with timeless economic activities, we are living in dynamic world. So, time lag is involved in initial autonomous investment and final change in income, moreover, series of successive rounds happen in order to complete the working of multiplier. Therefore, limitation of static multiplier is that it does not consider the course of time involved in completion of the multiplier process.

6.5.2 Dynamic Multiplier

It is also termed as period multiplier or sequence multiplier. In contrary to static multiplier, dynamic multiplier, considers the time lag involved in working of multiplier. According to dynamic multiplier, change in investment will not cause immediate/instant change in income of the economy rather it is a gradual process through which the income will change. So, this multiplier is fundamentally a stage-by stage calculation of change in income due to change in initial investment and this process will continue till the full potential of multiplier is comprehended.

Let us assume that initially, our economy is in equilibrium position. Government injected the system with the autonomous investment of Rs 1000 crores. Suppose further that this investment is undertaken on the purchase of capital goods and labour, which leads to increment in income of capital goods producers and labourers by Rs 1000 crores in the period 1, denoting this by ΔY_1 . If the marginal propensity to consume is found to be 0.8 of the society, then it implies that who received this income (Rs 1000 crores), will make consumption expenditure of Rs 800 crores. Consequently, in next period, income of the consumer goods producers rises by Rs 800 crores, denoting it as ΔY_2 . Further, 80 per cent of this Rs 800 crores i.e. Rs 640 crores, will be increment in income in period 3, denoted by ΔY_3 . This procedure will go on until the increment in income and consumption expenditure is reduced to zero. This illustration is pre-assuming that there is one period lag in the change in consumption expenditure due to change in income of the economy, i.e. change in consumption expenditure to be incurred in t time period is the function of change in income in t-1 time period.

This exercise of dynamic multiplier can be summed up in the following expression-

$$\Delta Y = \Delta Y_1 + \Delta Y_2 + \Delta Y_3 + \Delta Y_4 + \dots + \Delta Y_{n-1} \quad \dots(1)$$

So the aggregate change in income (ΔY) due to initial investment of Rs 1000 crores, will be-

$$\Delta Y = 1000 + 1000 (0.8)^1 + 1000 (0.8)^2 + 1000 (0.8)^3 + 1000 (0.8)^4 + \dots + 100 (0.8)^{n-1}$$

$$\Delta Y = 1000 + 800 + 640 + 512 + 327.7 + \dots + \rightarrow 0 = 5000$$

In order to match this aggregate increase in income, we can compute the value of multiplier as, ratio of proportionate change in income to proportionate change in investment i.e.

$$\Delta Y / \Delta I = 5000 / 1000 = 5$$

Since in period 1, increase in income is equal to the autonomous investment, so it can be written like this, $\Delta Y_1 = \Delta I$ and dynamic multiplier can be generalised as-

$$\Delta Y = \Delta I + \Delta I (c)^1 + \Delta I (c)^2 + \Delta I (c)^3 + \Delta I (c)^4 + \dots + \Delta I (c)^{n-1} \quad \dots(2)$$

$$\Delta Y = \Delta I (1 + c^1 + c^2 + c^3 + c^4 + \dots + c^{n-1}) \quad \dots(3)$$

In equation 3, c is the marginal propensity to consume, replacing the sum of an infinite geometric series by $1/(1-c)$, we will get-

$$\Delta Y = \Delta I (1/(1-c)) \quad \dots(4)$$

By putting the values of $\Delta I = \text{Rs } 1000$ crores and $c = 0.8$, we get

$$\Delta Y = 1000 * (1/(1-0.8)) = 1000*(1/0.2) = 1000*5 = \text{Rs } 5000 \text{ crores}$$

From equation 4, it is clear that cumulative change in aggregate income is equal to a multiple of increase in autonomous investment expenditure. The term $1/(1-c)$, is termed as multiplier, whereas equation 2, implies the working of dynamic multiplier in the economy.

6.6 Limitations of Multiplier

Although, it has been realised that investment multiplier plays a determining role in economy and helps in bringing about desired results in income/output/employment. Still, it is not free from limitations. It has been seen that in order to achieve the target growth rate, nation just need to measure the exact requirement of investment, given the value of MPC. But in reality, we can't compute the quantum of investment required to push the economy, with so much exactness. So, the limitations of working of multiplier can be classified into three main categories-

- Leakages from income stream
- Non-availability of consumer goods and services
- Full employment situation

6.6.1 Leakages From Income Stream or Leakages in the Working of Multiplier

It is clear from the above discussion that value of multiplier is neither one nor infinity. We never spent the whole amount of increase in income and never saved the whole increased portion of income. Reason behind such behaviour is that there are many leakages under income stream, which reduced the speed of income propagation process and hence the working of multiplier gets affected. Moreover, under theory of multiplier it is assumed that certain portion of increased income will be spent on the consumer and capital goods. But in reality, society tends to spend on the various non-consumption and non-capital goods. These types of expenses are termed as leakages from income stream in the process of multiplier. These leakages include, like savings, debt cancellation, imports, hoardings, purchase of existing wealth etc. Detailed discussion on different types of leakages from income stream follows as-

- 1) Payment of Past Debts:** If the increase in income is used for payment of loans purpose, then it will lead to fall in marginal propensity to consume. This decline in MPC, further, reduces the value of multiplier.

- 2) **Savings and Hoardings:** Savings are considered as an important leakage in the multiplier process. As we know that there is inverse relationship between marginal propensity to save and value of multiplier, therefore, more the share of additional income goes for savings; less effective will be the multiplier. On the other hand, activity of hoarding i.e. high liquidity preferences also restricts the value of multiplier.
- 3) **Purchase of Existing Wealth:** This is also an important type of leakage in the working of multiplier. If the society have a tendency to spend the increased portion of their income on the purchase of existing stock of wealth and property such as real estate, second-hand consumer durables, purchase of shares, bonds, stocks and securities etc. then it will inhibit the process of income propagation because such types of expenses never come back in consumption stream, hence affecting the working of multiplier.
- 4) **Imports:** If the economy is open economy, then inflow of foreign products and services, negatively affect income propagation process of the economy. This is so because, income spent on the imported goods and services will flows out of the country and having the lesser chances to come back to income stream of the nation.

6.6.2 Non-Availability of Consumer Goods and Services

The theory of multiplier is based on the pre-assumption that there is efficient and instantaneous supply of consumer goods and services in the system. But in practice, this is not the case. Supply of consumer goods and services does not respond instantaneously to the increased demand, time lag is always there. So, time dimension involved in adjustment process has been ignored. In course of lag period, increased income generates additional demand for goods and services which in turn generates the demand pressure and thus resulting in rise in prices (inflation). These rise in prices reduce the consumption expenditure in real terms, which restraint the multiplier effect.

6.6.3 Full Employment

Working of multiplier is not compatible with full employment. If the economy is in full employment or close to full employment situation, then further increase in production capacity is not possible. Thus, increase in autonomous investment will only result in inflation, not the generation of additional real income in the economy.

6.7 Multiplier And LDCs: Keynes' MPC And Multiplier Paradox

As per the multiplier theory, higher the value of MPC, more effective will be the multiplier and vice-versa. Further, lower the income, higher proportion will be spent (higher

MPC). In context of less developed countries (LDCs), it was found that income, saving and investment rates were low as compared to developed countries scenario. In the LDCs, usually the saving rates are lower, which implies relatively higher MPC. It is perceived under the multiplier theory that higher the value of MPC, higher will be the size of multiplier. Therefore, in LDCs, higher value of MPC should accommodate higher values of multiplier and hence given quantum of autonomous investment should result in higher employment and output and consequently high economic growth rates. But in practice, this whole scenario does not hold true in case of less developed countries. Generally, in LDCs value of multiplier and rate of economic growth are lower, despite the larger size of MPC. This shows a paradoxical situation in context of multiplier theory and is termed as Keynes' MPC and multiplier paradox. So, we can say that Keynesian investment multiplier is not compatible with the less developed countries.

The reasons behind, non-applicability of multiplier principle to less developed countries are the assumption taken by this principle. These assumptions are not fulfilled by the LDCs.

Assumptions:

- 1) High level of industrial development in the economy
- 2) Existence of involuntary unemployment
- 3) Existence of excess productive capacity
- 4) Price-elastic supply of goods and services
- 5) Absence of dynamic changes i.e. technological progress, capital formation and accumulation, factor supplies etc. remains constant
- 6) Based on the closed economy model
- 7) Instantaneous changes in consumption expenditure as a result of change in income

Many of the above-mentioned assumptions do not hold in case of LDCs. According to V.K.R.V. Rao (1952), there are certain other reasons (along with these assumptions) behind this inapplicability of multiplier theory to LDCs. Other reasons include, the circumstances prevailing under LDCs, such as- pre-dominancy of agriculture sector, substantial portion of disguised unemployment, shortage of capital, outdated technology, existence of non-monetised sector (barter system) and production for self-consumption purpose. Due to these features of LDCs, multiplier does not work effectively in LDCs.

Check Your Progress- II

Q1. What do you mean by static multiplier?

Ans.-----

Q2. What are the leakages in the process of multiplier?

Ans.-----

6.8 Acceleration Theory and Its Working

In the previous sections related to principle of multiplier, we have seen that investment is treated as the autonomous and most important variable in income determination process. However, the post-Keynesian refinements in the investment theory has realised the interdependency of the investment and income on each other. That is level of investment relies on the national income and national income in turn depends on the level of investment. This interdependent correlation among income and investment is explained by super multiplier and accelerator principle. We are here concerned mainly with the acceleration principle, popularly known as accelerator theory of investment. Principle of acceleration was developed by A. Aftalion (1909), Hawtrey (1913) and C.F. Bickerdike (1914) and J.M. Clark (1917). The main idea of this theory is that accelerator is related to quantum of desired or optimum stock of capital rather than change in autonomous investment. So, the basic relationship with which we are concerned, i.e. relationship between change in level of output and volume of investment spending, is known as the acceleration principle. As we know that ratio of capital stock to output is termed as capital-output ratio, this ratio is known as accelerator under this theory.

6.9 Assumptions of Acceleration Theory

This theory is based on some assumptions, which are as follows-

- 1) Capital to output ratio or accelerator coefficient is assumed to remain fixed. This fixed ratio, further, implies that there is absence of technological progress in the economy.
- 2) Capital goods in the economy are fully utilised.
- 3) Absence of excess capacity.
- 4) There is no upper limit on investment, which implies that supply function is perfectly elastic.

- 5) There is absence of time lag between demand and production, i.e. instantaneous adjustment in demand for and supply of product.
- 6) Net investment will increase instantaneously with the increase in output in the economy.
- 7) Supply of funds is elastic i.e. no financial restriction on availability of funds.

6.10 Working of Acceleration Principle

According to acceleration principle, investment enlarges the stock of capital as more capital is required to produce more output. Increase in output can be brought with the help of technological advancements also, but for simplifications we have assumed that capital-output ratio remains constant in the system.

Let us assume that the output of firms in the economy is measured by Y and the stock of capital required to produce it be measured by K . Capital-output ratio (K/Y) is indicated by v . So, the formal relationship between capital stock and the output can be articulated as-

$$K = vY$$

Or

$$v = K/Y$$

Here value of v is assumed to be more than unity i.e. $v > 1$.

With fixed capital-output ratio over time, the desired stock of capital will change over successive time periods only with the changes in output levels. Considering the some particular time frame as t , preceding time periods as $t-1$ and $t-2$ and subsequent time periods as $t+1$ and $t+2$; according to this we can assume that in period $t-1$, desired stock of capital was required to produce the particular level of output in period $t-1$. Symbolically,

$$K_{t-1} = v Y_{t-1} \quad \dots(1)$$

When there is increase in output level from Y_{t-1} to Y_t , it will lead to change in desired stock of capital also, from K_{t-1} to K_t , i.e.

$$K_t = v Y_t \quad \dots(2)$$

If there is rise in desired stock of capital, then it is measured by $K_t - K_{t-1}$. In order to raise the stock of capital, net investment expenditure (I_t) is required, which is equal to the difference between the capital stock in t and $t-1$ time period. In equation terms-

$$I_t = K_t - K_{t-1} \quad \dots(3)$$

By using 1st and 2nd equations in 3rd equation, net investment can be expressed as-

$$I_t = vY_t - vY_{t-1} = v(Y_t - Y_{t-1}) \quad \dots(4)$$

This equation implies that net investment during t period relies on the change in output from t-1 to t period multiplied by capital-output ratio v. Possible outcomes related to net investment-

- A. if $Y_t > Y_{t-1}$, then net investment would be positive in period t;
- B. if $Y_t < Y_{t-1}$, then net investment turns out to be negative or disinvestment has taken place in the economy in t period and
- C. if $Y_t = Y_{t-1}$, then there will be zero net investment in the economy. In simple terms, given the value of v, any change in output level from t-1 to t period is responsible for the change in net investment, which could be either positive or negative.

In order to check out the importance of gross investment under the acceleration principle, we can make addition of replacement investment in the equation system. As we have learned in the previous unit that gross investment is equal to the sum of net and replacement investment, thereby adding the replacement investment component in both sides of the 4th equation, we get,

$$I_t + R_t = v(Y_t - Y_{t-1}) + R_t \quad \dots(5)$$

Since gross investment (I_{gt} , gross investment in t period in economy.) is sum of net and replacement investment, so equation 5 can be represented as-

$$I_{gt} = v(Y_t - Y_{t-1}) + R_t \quad \dots(6)$$

This is the final equal of the accelerator theory, here v is the accelerator coefficient. It is clear from the above equation that value of accelerator coefficient, v, depends on the output level also along with the capital-output ratio. Further, if the value of v is found to be more than one, then the required increase in capital stock must outweigh the increase in output.

Working of the acceleration theory can be better understood with the help of numerical example exhibited in Table 2. This example is based on certain assumptions, i.e. capital-output ratio is considered as two and rate of depreciation or replacement investment is considered as five per cent of the initial capital stock (in period 1).

Table 2: Working of the Acceleration Principle, With N=2 And RT=5%

Period	Output	Required/Desired Capital Stock	Actual Capital Stock	Replacement Investment	Net Investment	Gross Investment
1	200	400	400	20	0	20
2	210	420	420	20	20	40
3	220	440	440	20	20	40
4	250	500	500	20	60	80
5	270	540	540	20	40	60
6	260	520	520	20	-20	0
7	256	512	512	20	-8	12
8	250	500	500	20	-12	8
9	230	460	460	20	-40	20
10	200	400	400	20	-60	40

In this table column 1 refers to the time periods under consideration, column 2 provides us the information regarding output level in the economy in each period. Since capital to output ratio is taken as two, so we can estimate the required stock of capital by simply multiplying the output level with two, which is shown in column 3. Actual stock of capital is given in column 4 and in column 5, replacement investment is given, which is assumed to be five per cent of initial stock of capital. In our example, stock of capital in first period is given as Rs 400 crores, so replacement investment is Rs 20 crores (5 per cent of 400). Further, column 6 deals with net investment, which is estimated by subtracting the actual capital stock in t-1 period from actual capital stock in t period. In last column 7, gross investment is computed by simply adding column 5 and 6. The acceleration or deceleration in net investment can be seen from column 6. Upto period 5, there is acceleration in net investment, after that process of deceleration has started.

On the basis of above illustration, we can measure the change in output in period 1 and 2, i.e. 10 units increment in output level has been registered. Provided the value of v as two, gross investment required in order to achieve this increment of 10 units in output level can be estimated as-

$$I_{gt} = v(Y_t - Y_{t-1})$$

$$I_{gt} = 2(210 - 200) = 2 * 10 = \text{Rs. 20 crores.}$$

Similar calculation can be worked for other periods as well.

6.11 Limitations Or Criticism of The Accelerator Theory

Accelerator theory suffers from serious defects and these defects are mainly based on the rigid assumptions taken by this theory. Some of the points of criticism are as follows-

- 1) **Constancy of Capital-Output Ratio:** Acceleration principle is based on fixed value of capital-output ratio. Under the dynamic and uncertain situations, we can't retain this constancy. Moreover, in reality this ratio is found to be determined by changes in technology, expectations, uncertainty, changes in composition of output etc. factors.
- 2) **Absence of Excess Capacity:** It has been assumed that there is inexistence of excess capacity in consumer goods industries, which is totally wrong. In practice, firms always maintain reserve capacity in order to capture the sudden increase in demand. In such circumstances, acceleration principle becomes less effective or ineffective.
- 3) **Financial Limitation:** According to this theory there is no ceiling on availability of funds. But in practice, there are financial limitations on meeting the additional capital requirements.
- 4) **Time Lag:** It has been assumed that there is no time lag between demand and production process. In reality, existence of discontinuities and indivisibilities in the production function hampers the production process and prevents smooth and instant adjustments.
- 5) **Profitability Considerations:** According to this principle major objective of firms is to maximise their profits. Business firms do not always focus on profit maximisation goal, there are many other goals along with this goal. Such as, sales maximisation goal, securing certain market share, building reputation etc.
- 6) **Lacks Practical Utility:** This principle lacks practical utility. According to this principle, for acceleration coefficient to work in effective manner, full capacity is a pre-condition. Statistical evidences have shown that full capacity rarely exists.

Although, this theory is less practicable, still it can be used along with other factors by economists to explain the oscillations, which are observed in investment in the economy from time to time.

Check Your Progress- III

Q1. Define Accelerator

Ans.-----

Q2. Discuss any two limitations of the acceleration theory.

Ans.-----

6.12 Summary

Investment multiplier can be described as the ratio of change in income to the change in autonomous investment expenditure. The value of multiplier depends upon the marginal propensity to consume and save. On the basis of time dimension, distinction is made between static and dynamic multiplier. Further, according to static multiplier, if there is change in the investment in the economy, then it will cause immediate change in the income levels, means no time lag is involved in response. According to dynamic multiplier, change in investment will not cause immediate or instant change in income of the economy rather it is a gradual process through which the income will change. Accelerator is related to quantum of desired or optimum stock of capital rather than change in autonomous investment. Relationship between change in level of output and volume of investment spending, is known as the acceleration principle. Theory of acceleration principle is criticised on the basis of rigid nature of its assumptions.

6.13 Questions for Practice

A. Short Answer Type Questions

- Q1. Describe the meaning of investment multiplier.
- Q2. Define dynamic multiplier with the help of example
- Q3. Explain the concept of MPC and multiplier paradox.
- Q4. Give assumptions of acceleration theory.
- Q5. Discuss the leakages in the working of multiplier
- Q6. Briefly explain the working of acceleration principle

B. Long Answer Type Questions

- Q1. What do you mean by multiplier? Derive investment multiplier.
- Q2. Differentiate static and dynamic multiplier and discuss in detail the working of multiplier.
- Q3. Explain the limitations of multiplier in detail.
- Q4. Critically examine the theory of acceleration.

6.14 Suggested Readings

- Abel, A.B.; Bernanke, B.S. & Croushore, D. (2014). Macroeconomics. New York: Pearson Publishers, 8th edition.

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 7: BUSINESS CYCLES AND INFLATION: MEANING, PHASES AND TYPES

STRUCTURE

7.0 Learning Objectives

7.1 Introduction

7.2 Meaning and Basic Concepts of Business Cycle

7.3 Phases of Business Cycle

7.3.1 Prosperity

7.3.2 Recession

7.3.3 Depression

7.3.4 Recovery

7.3 Meaning of Inflation

7.4 Types of Inflation

7.5.1 Types of Inflation by Level of Employment in the Economy

7.5.2 Types of Inflation by the rate of Increase in Price

7.5.3 Types of Inflation by the Causes

7.5.3.1 Demand Pull Inflation

7.5.3.2 Cost Push Inflation

7.6 Effects of Inflation

7.7 Summary

7.8 Questions for Practice

7.0 Suggested Readings

7.0 Learning Objectives

After reading this unit, learner will be able to:

- Know about the meaning of the business cycles
- Describe the different phases of business cycles
- Define the concept of the inflation
- Know about the different types of inflation
- Identify the causes and the effects of inflation

7.1 Introduction

This unit throws light on the concepts and types of business cycles as well as inflation. Most of the classical economic theories are based on the assumption that the economy is always in equilibrium. Any deviation from that is only for the short period and in the long run, the economy automatically reaches the full employment level, where the supply creates its own demand (Say, 1834) and aggregate demand is equal to aggregate supply. These theories also assume that the savings are passive in nature which means that they adjust themselves according to the demand for investment. Hence, there is no need of government intervention. But in real life, we find gaps in aggregate demand and aggregate supply along with the gaps in savings and investment. If government does not intervene, then these gaps continue to exist for a long period. This leads to inflationary or deflationary tendencies in the economy. Keynes (1936), too, has pointed out that underemployment equilibrium is the general condition of the economy. He tried to show the gaps in aggregate demand and supply through his psychological law of consumption. He said that a marginal propensity to consume being less than one, causes the turning points in any business cycle. Schumpeter (1961) says that the innovations are the causes of cyclical fluctuations in the economy while according to Samuelson (1948), the business cycles are caused by the interaction of accelerator and the multiplier. All these theoreticians' emphasis that any market economy goes through several fluctuations. Therefore, it is important to know about the concept, types and causes of business cycles in general and inflation, in particular.

7.2 Meaning and Basic Concepts of Business Cycles

Business cycles, trade cycles, cyclical fluctuations are being identified by many economists since 19th century. In economic literature, Clement Juglar is supposed to be the first economists to talk about it in his writings. Some also call these cycles as Juglars after his name. Mitchell and Burns define a business cycle as a cycle which consists of expansions and contractions in various sectors of the economy at the same time or at different time periods,

giving an overall picture of expansion or contraction. This sequence of change is recurrent not periodic. The durations of the cycles may differ from sector to sector or from economy to economy, depending upon the macro economic policies. In short, a business cycle exhibits a wave-like fluctuation in economic activity which expansion or prosperity is followed by contraction and vice-versa. Some trade cycles are of shorter duration and may last for two to three years while others may last for longer period, of say 8-10 years or even larger. The experience of various economies has displayed that there is no fixed duration of a complete cycle. Even the cyclical movements within a single cycle may not be symmetrical, e.g., movement towards the peak can be gradual while that of the trough can be sudden or vice-versa.

7.3 Phases of A Cycle

In economic theory, a trade cycle has four phases, which are mentioned below:

7.3.1 Prosperity

It is a phase that is characterized by rising income, employment and output, there are no unemployed resources, wages and consumption levels are high, prices are rising and profitability is also very high. Thus, during this phase, most of the economic activities are moving towards their peak levels. This period is also called as a period of inflation. General optimism prevails in the economy. This phase also witnesses the cumulative growth of consumption of durables as well as non-durable items, giving a boost to agriculture, industry as well as services. The confidence in future is so strong that people are increasing investments in financial and non-financial instruments and real estate. But this trend cannot go for ever. The forces of expansion get weaker with time. Marginal propensity to consume being lower than one leads to slower growth in consumption than income which results in overproduction, further causing a stagnation in prices, profits, additional investments, employment etc. before they move to a declining phase.

7.3.2 Recession

As we have seen above that the slow down starts in the period of prosperity itself and after all the economic activities reach their peak level, declining tendencies are set in. Since the optimism of the earlier phase did not bring the desired results, the investors, producers as well as

the households become skeptical in making new investments. The projects are halted, flow of credit to existing projects/ventures slows down or stops. This lead to declining prices, lower wages, higher rate of unemployment etc. The level of investment can not be increased by reducing the rate of interest as the marginal efficiency of capital is declining during this phase. Thus, this phase is characterized by contraction of every economic activity, yet the real economic variables remain above the equilibrium path.

7.3.3 Depression

Depression is a dismal condition of the recessionary tendencies. This is the phase when all the economic variable attains a value below the equilibrium path. During this phase, the production, investment, employment, prices, profitability etc. undergo a substantial decline. The rate of interest remains at the lowest level, still the investors are not willing to make any investments. They rather prefer to keep the money with themselves. This phase experiences a liquidity trap and all sectors of the economy like manufacturing, construction and services experience a substantial fall in investment and many enterprises just shut down due to extremely pessimistic economic conditions. This phase is also termed as a phase of deflation. Bearish tendencies prevail in the financial sector, people lose money on the value of their securities, shares or other financial instruments. Unemployment is also at its highest level and there is a sharp fall in demand despite the fact that the prices are falling. However, this phase is also not permanent. After, many weaker enterprises have left the market, the gap in demand and supply narrows down. Though, the fall in income and employment leads to a fall in consumption but the fall in consumption is not as sharp as that of the income. This further leads to fall in gap in demand and supply. As a result, the fall in prices, profitability and employment is checked and the economy starts gaining some relief from the declining tendencies. Some sectors start gaining some confidence in the economy which lead the economy to the path of recovery.

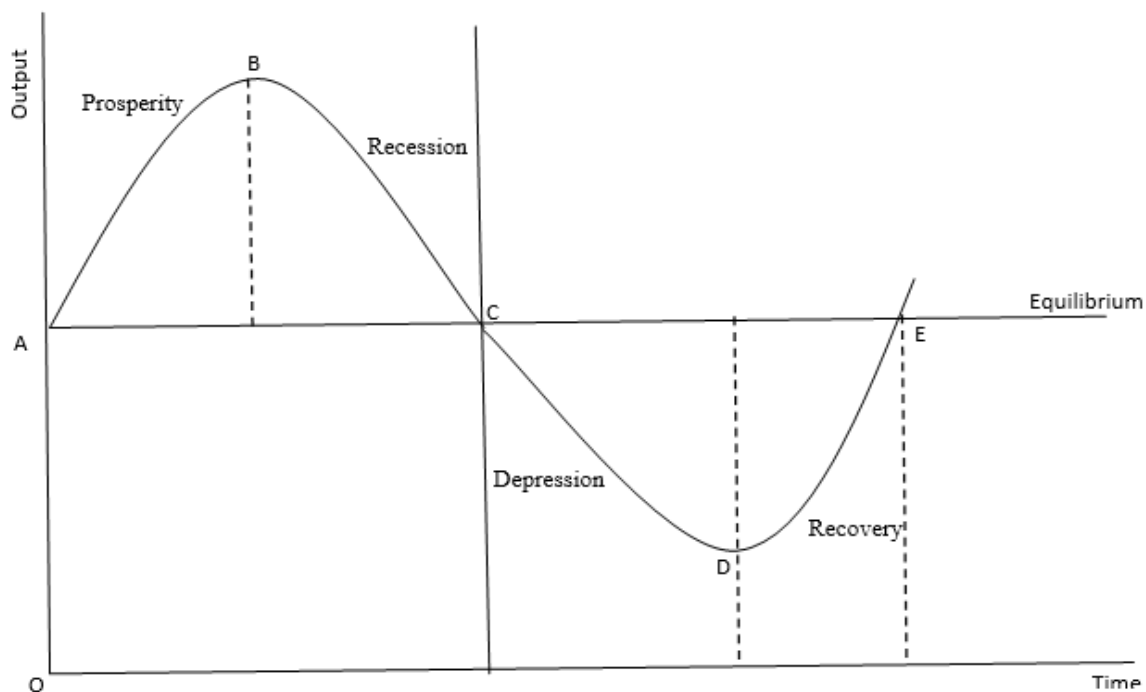
7.3.4 Recovery

This phase begins by the lower turning point from the period of depression and ends at the point of equilibrium from where, the prosperity starts. This phase shows the signs of restoring the business confidence and every economic activity starts improving. The level of income, output and employment starts increasing. The investors start making new investments, the stalled projects may restart during this phase. An increase in wages, profits and interest also leads to

increase in demand which further increases prices, profitability, rate of investment and hence, employment. The financial sector also regains the confidence of the investors as securities and shares start showing increase in their values. Thus, money starts flowing in, giving a renewed life to the economic activities, which leads to fading away of general pessimism that was prevailing in the economy during the preceding phase. But the economy still remains below the equilibrium level. The shorter this phase is, the quicker will be the transformation of the economy to the path of prosperity.

Above mentioned four phases of a business cycle can be observed from figure 1. In figure, the cycle starts from point A, where the economy was in original equilibrium. From A to B, we can see the prosperity phase which starts declining after the economy reaches its peak at point B. Then from point B to C, the economy witnesses the period of recession. This phase continues until the economy reaches the equilibrium level. But as the declining tendencies do not stop, the economy slips below the equilibrium level and enters the phase of depression which ranges from point C to D. Finally, the economy recovers from the declining tendencies and a turning point at the trough, marked by D leads the economy back to the point of equilibrium. This is known as the recovery phase. In figure, it is marked by the movement of the economy from point D to E.

Figure 1: Four Phases of a Business Cycle



Check Your Progress- I

Q1. What do you mean by recession?

Ans. -----

Q2. Define the business cycle of depression.

Ans. -----

7.4 Meaning of Inflation

In common parlance inflation often refers to a sustained increase in prices. Yet, the economists differ in their approaches while defining inflation. Some simply express it as fall in value of money at a constant rate of growth. They say that it is a purely monetary phenomenon when too much money follows too few goods. Thus, it follows that increase in money supply causes rise in prices along with the fall in purchasing power.

7.5 Types of Inflation

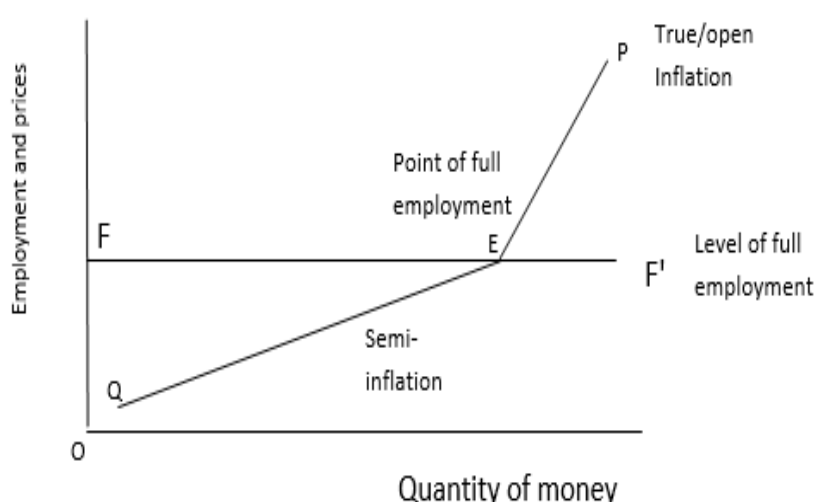
Inflation is further categorized on various scales. Some categorize it by its causes, some by its time of occurrence while some by its rate of change. These types are discussed below:

7.5.1 Types of Inflation by Level of Employment in the Economy

Most of the Keynesian economists think that inflation occurs after the level of full employment is achieved in the economy. They say, any rise in prices before the level of full employment only induces the investors to invest more which further leads to increase in demand for factors of production and pushes the economy towards the level of full employment. Keynes opined that the inflation is caused by the excess of effective demand and hence open inflation occurs only after the level of full employment is achieved in the economy. He says that any increases in quantity of money before the level of full employment increases the level of income, output and employment proportionately and any increase in prices during this phase is mainly due to the structural bottlenecks. Therefore, any inflation that occurs before the level of full employment is achieved is termed as semi-inflation, reflation or bottle-neck inflation. But as the level of full employment is achieved, any increase in money supply leads to pressure on demand for productive resources and since all the resources are already fully employed, therefore, it leads to sharper increase in prices. Keynes calls this phase as a phase of open or true

inflation. These types can be observed from the figure 2. The figure shows that FF' is the level of full employment, curve QEP shows the price level and E is the point where the full employment is achieved. Below the curve FF', as money supply increases, it leads to slower increase in prices than the period after level of full employment is achieved. This is shown by lower slope of the curve QE than that of the PE. Thus, we can observe that the economy faces semi-inflation, reflation or bottleneck inflation below FF' and open or true inflation above the curve FF'.

Figure 2: Types of Inflation by Level of Employment

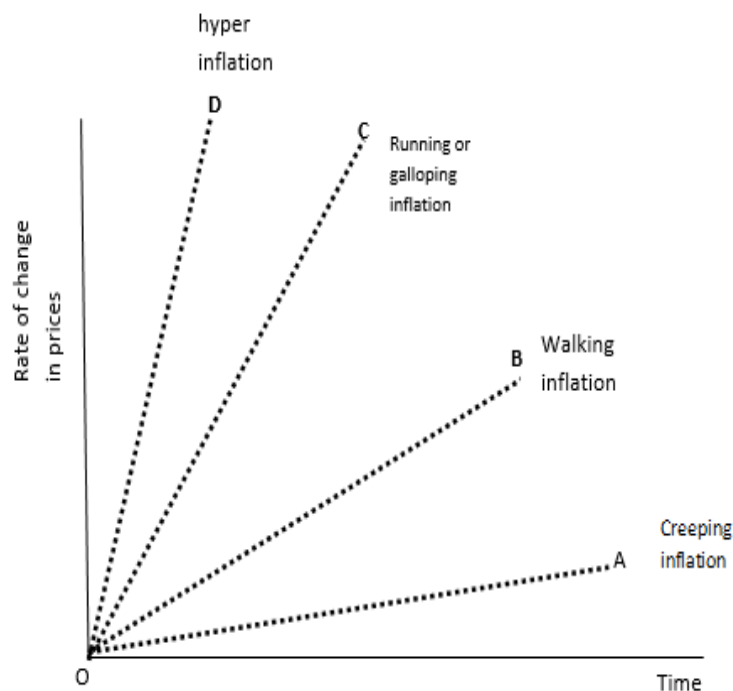


7.5.2 Types Of Inflation by The Rate of Increase in Prices

Open inflation may assume different types by the rate of change in prices. Initially, prices may rise at a lower rate but if the problem is not overcome by conscious policy actions, the situation may aggravate. Little doses of inflation are considered as the oxygen of the economy as it gives the investors a feeling of optimism that their profitability is rising. However, a very high rate of inflation may cut their profits drastically as the cost of inputs also increases. The economists believe that not all types of inflation are bad. A smaller rate of change in prices is good for the economy. They call this rate as creeping inflation while a rate of inflation higher than that may fall in to a category of walking or running inflation while the hyper-inflation is caused by wars, a catastrophe or some other emergency situation which halts the production with drastic economic consequences. Under such situations the purchasing power of the money people have in their hands is eroded overnight. However, under normal

circumstances, any economy may go through the phases of creeping, walking or running inflation. Figure 3 shows these types by the rate of change in prices. The curve OA shows that the prices are increasing at a very slow rate, usually less than 10 per cent per decade or less than 1 per cent per annum. This curve shows the case of creeping inflation. The curve OB shows the case of walking inflation i.e. the prices are rising at a rate of 30-40 per cent per decade or 3-4 per cent per annum while the running inflation (shown by curve OC) shows that the rate of change in prices is about 100 per cent per decade or 10 per cent per year. On the other hand, the curve OD shows the case of hyper-inflation which means that the prices rise by 100 per cent in a period of less than one year and the cumulative change in such cases can be more than 1000 per cent in a decade if it is left unchecked by any government. This will definitely lead to devastating conditions for any economy.

Figure 3: Types of Inflation by Rate of Change in Prices



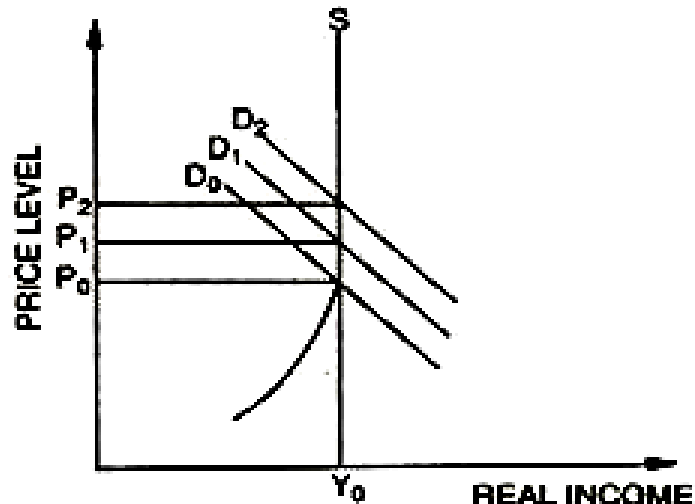
7.5.3 Types of Inflation by the Causes

In this section we will discuss the types of inflation by their causes. It is generally stated that inflation can be caused by both demand and supply sides. Hence, it can be called demand pull or cost push inflation. All other types like credit inflation, wage inflation or structural inflation can be put under these two broader categories.

7.5.3.1 Demand Pull Inflation

This type of inflation is caused by excess demand, relative to the available supply of goods and services. When the economy has already reached the full employment level, there is no possibility of increasing the supply of goods and services but increase in supply of money increases the demand. This leads to increase in prices in factors as well as goods market. This can be observed from figure 4. In this figure, S is the supply curve while D_0 is the original demand curve. The original equilibrium is obtained at OP_0 level of prices and the economy is at the level of full employment as we can see that after the point of intersection of original demand and supply curves, the supply curve becomes parallel to Y-axis which means that the supply of goods and services cannot be increased with existing resources. Hence, any increase in demand will lead to increase in prices. The figure shows that as the demand increases, the demand curve shifts upwards to D_1 and the new equilibrium is attained at higher prices i.e. OP_1 . Similarly, when demand further increases to D_2 , the prices also increase to OP_2 .

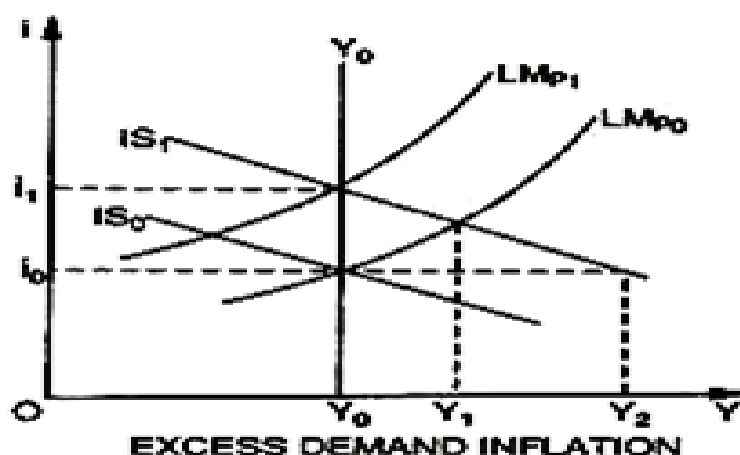
Figure 4: Demand Pull Inflation



The concept of demand pull inflation can also be understood with the help of the IS and LM curves. Figure 5 shows that the initial increase in excess demand is to the extent of Y_0Y_2 as the IS curve shifts from IS_0 to IS_1 . This leads to increase in prices and new equilibrium is attained at Y_1 at an interest rate higher than the original Oi_0 . During this process, the contraction in LM curve occurs due to two reasons, an increase in excess demand, shifts the existing resources to transaction purposes and there will be lesser demand for speculative purposes at higher rate of

interest. Further, increase in prices resulting from this excess demand also reduces the real value of the money balances people have in their hands, this is just like a fall in money supply. Hence, the LM curve shifts inwards to LM_{p1} and the final equilibrium is restored at full employment level i.e., Y_0 but at higher rate of interest and prices.

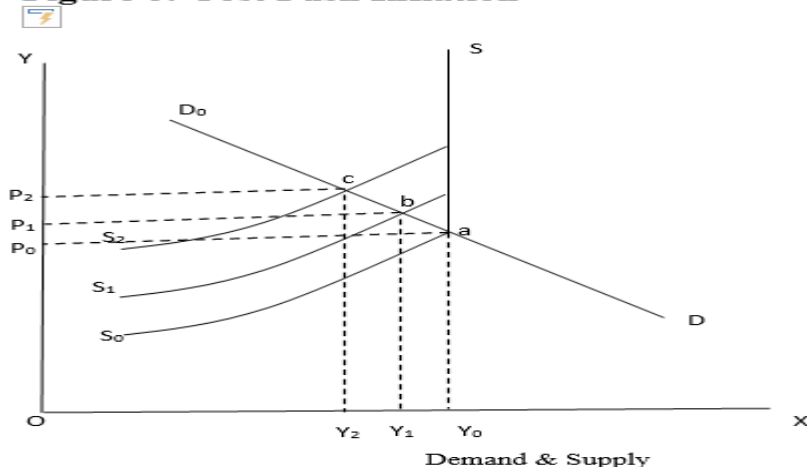
Figure 5: Demand Pull Inflation: IS And LM Curves



7.5.3.2 Cost Push Inflation

Another view point is that instead of excess demand, the prices rise due to increase in cost of production. It may occur due to demand for higher wages by the labour unions, increase in prices of raw materials or other inputs or due to a higher mark-up by the sellers, especially in an oligopolistic market. The idea of cost push inflation was put forth in its theoretical form by Thorp and Quandt (1959). Whenever, there is an increase in prices, the producer will ask for higher prices for the same level of supplies as their cost of production has increased.

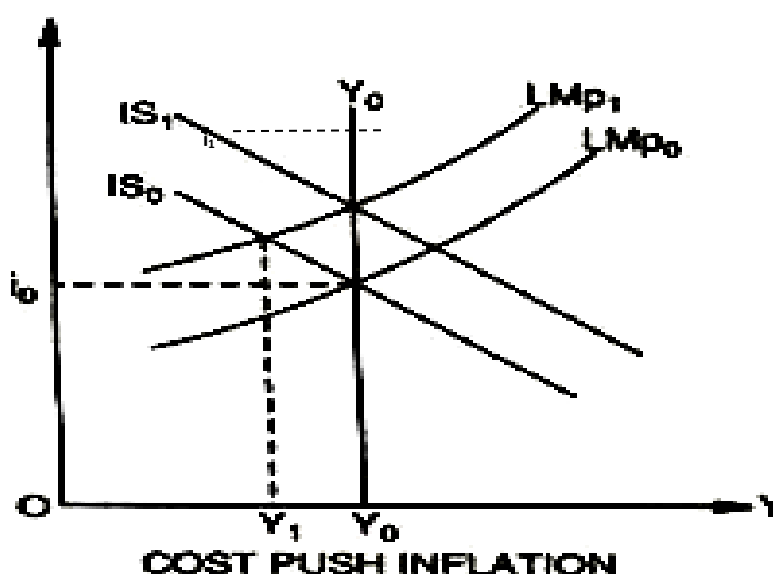
Figure 6: Cost Push Inflation



In figure 6, DD_0 is the demand curve and SS_0 is the original supply curve. The original equilibrium is attained at point 'a', where the economy is at the full employment level. After increase in cost of the inputs, the marginal cost of production increases as a result, the supply curve shifts from SS_0 to SS_1 and the new equilibrium is attained at point 'b'. This leads to increase in prices to OP_1 and unemployment is created to the extent of Y_0Y_1 . A further increase in cost shifts the supply curve to SS_2 and the price level increases to OP_2 while the level of unemployment increases to Y_0Y_2 . Thus, the increase in cost not only leads to rise in prices but also an increase in unemployment.

The working of cost push inflation can also be understood with help of the IS and LM curves, as shown in figure 7.

Figure 7: Cost Push Inflation: Is and LM Curves



In this figure, the original equilibrium is attained where IS_0 and LM_0 intersect each other and full employment is achieved at OY_0 and the rate of interest is i_0 . With an increase in cost of production, more of the money is spent in purchase of inputs and less of the money is left for other purposes, this is like contraction of money supply, which is represented by inward shift of the LM curve to LM_{P1} . The new equilibrium is attained at OY_1 level of income which is less than the full employment level. The level of full employment can only be achieved if there is fiscal expansion and the IS curve shifts to IS_1 . But it will cause a further rise in rate of interest to i_1 which is equivalent to increase in prices.

Check Your Progress- II

Q1. Define Demand Pull Inflation.

Ans. -----

Q2. Define cost push inflation.

Ans. -----

7.6 Effects Of Inflation

As we have discussed earlier lesson that every increase in prices, is not considered bad. Though, most of the theories assume that the money is neutral, indicating in simple terms that the increase in prices is similar for all the sectors and sections of the economy. But this does not happen in real life. When prices rise, different factors are affected differently. The lower income sections of the society, those with fixed income and consumers often suffer more than the richer sections and the producers or the sellers. So, it is important to discuss the effects of inflation on different sections of the society.

Some of these effects are discussed below:

- 1. Effects on the Producers:** After the level of full employment is achieved, any increase in money supply may turn the rise in prices from a creeping inflation to walking or running inflation and if it remains uncontrolled then even to hyperinflation. Under such situations, the producers have to bear a very high cost of production. So they have only two options of either reducing the supplies or to maintain the supplies at higher prices. This will further have a negative impact on their sales and hence on the profitability.
- 2. Effects on Distribution:** Inflation is often seen as an agent to increase the income inequalities as it does not increase the income of various factors of production in equal proportions. Big hoarders and speculators earn more while those with fixed income lose their purchasing power. The profits, rent etc. may increase while the wage rate may not change in proportion to the rate of inflation. This redistributes the resources from the hands of the low income groups to the high income groups. Thus, inflation increase the income inequalities.

3. **Effect on Debt:** As the increase in prices leads to deterioration in the purchasing power, the debtors are considered to be benefited from the inflation. If the rate of interest remains unchanged with increase in prices or the change in rate of interest is less than the rate of inflation, then the debtor will return lower amount of money in real terms. Under such cases, the creditors will suffer from inflation as they will not get back the same amount of money in real terms.
4. **Effect on Wage/Salaried Earners:** Many studies have indicated that the after inflation, the wages or salaries of the persons increase after a lag and more often this increase is not in proportion with the inflation rate. In countries where agricultural sector employs a big proportion of its workforce and/or a majority of the workers belong to the unorganised sector (as in India), any increase in prices pushes the people towards the poverty line. With a small increase in prices, a big majority of them fails to make their both ends meet. Thus, with inflation, the middle class is pushed towards poverty; those who were earlier just above the poverty line, are pushed below the poverty line and poor become poorer.
5. **Effect on Human Capital Formation:** Inflation has a negative impact on standard of living of common masses. With limited income, when the prices increase, they find it difficult to maintain their original standards. This leads to cut in expenditure on education and health of the family members. During the periods of inflation, the school fees and cost of medical treatment also increases. Hence, people find it difficult to attain higher education, nutritional diets and proper medical care for their wellness. This has an adverse effect on the process of human capital formation.
6. **Social Problems and Political Instability:** Inflation aggravates the income inequalities. A big proportion of the population of developing economies live under the conditions of vulnerability to poverty. The growth does not percolate to the lower sections of the society and inequalities are in their worst form. This leads to wide spread unrest among the common masses. With a life full of deprivations, public often lose faith in the democratically elected governments. This results in to political instability. Wider inequalities also leads to social problems. When people do not get enough from their livelihoods and their labour is not adequately rewarded, they resort to other means such as looting, corruption, dowry, or other illegal ways to amass money.

7.7 Summary

Business cycle can be defined as the downward and upward fluctuations of gross domestic product (GDP) along with its natural growth rate over a long period of time. Business cycles influence business decisions enormously and set the tendencies for future business. In this unit, there are four phases of business cycles namely, Depression, Recovery, Prosperity and Recession. The period of prosperity opens up new and larger opportunities for investment, employment, and production and promotes business in the economy. Whereas, the period of depression reduces business opportunities and investment as well as employment in the economy. Thus, in order to earn maximum profit, an entrepreneur must analyze the economic environment of the period before taking his important business decision. We have further discussed about the meaning and types of inflation. Here, inflation means increase in money supply which causes rise in prices along with the fall in purchasing power. Demand pull and cost push inflation are the types of inflation. Demand pull inflation means rise in prices is caused by excess demand, relative to the available supply of goods and services, while cost push inflation means, instead of excess demand, the prices rise due to increase in cost of production.

7.8 Questions for Practice

A. Short Answer Type Questions

- Q1.What do you mean by a business cycle?
- Q2.Define prosperity.
- Q3.How would you differentiate between recession and recovery?
- Q4.What are the characteristics of the phase of depression in any business cycle?
- Q5.What do you mean by inflation?
- Q6.Define hyper-inflation
- Q7.Do you think that all types of inflation are bad? If not, why?
- Q8.Differentiate between cost-push and demand-pull inflation.

B. Long Answer Type Questions

- Q1.What do you mean by a business cycle? Discuss various phases of a business cycle.
- Q2.Discuss various types of inflation.
- Q3.What is inflation? Discuss its causes and effects.

7.9 Suggested Readings

- Thorp, Willard L. and Richard E. Quandt (1959). The New Inflation. McGraw-Hill Book Company Inc., New York.
- Keynes, J.M. (1936). General Theory of Employment, Interest and Money. Palgrave Mcmillan, London.
- Keynes, J.M. (1940). How to Pay for the War: A Radical Plan for the Chancellor of the Exchequer. Macmillan and Co., Ltd. London.
- Samuelson, Paul A. (1948), Economics: An Introductory Analysis, McGraw-Hill.
- Say, J. B. (1834). Treatise on Political Economy. 6th American Edition. Grigg and Elliot, Philadelphia.
- Schumpeter, J.A. (1961). The Theory of Economic Development: An inquiry in to profits, capital, credit, interests and business cycles. Translated from German Edition (trans. Redvers, Opie). Oxford University Press, New York.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 8: MONEY: DEFINITION, TYPES, FUNCTIONS AND ROLE

STRUCTURE

8.0 Learning Objectives

8.1 Introduction

8.2 Meaning of Money

8.3 Origin of Money

8.4 Stages of Growth of Money

8.5 Definitions of Money

8.6 Features of Money

8.7 Functions of Money

8.7.1 Primary Functions

8.7.2 Secondary Functions

8.7.3 Contingent Functions

8.8 Importance of Money

8.9 Evils of Money

8.9.1 Economic Evils of Money

8.9.2 Non-Economic Evils of Money

8.10 Classification of Money

8.10.1 On the Basis of Nature

8.10.2 On the Basis of Legality

8.10.3 On the basis of Money Material

8.11 Paper Money

8.12 Near Money

8.13 Difference Between Money and Near Money

8.14 Summary

8.15 Questions for Practice

8.16 Suggested Readings

8.1 Learning Objectives

After reading this unit, learner will be able to:

- Know the Meaning and Origin of money
- Problems of barter system and stages of growth of money
- Identify the difference between money and near-money
- Identify the functions of money
- Know about evils and classification of Money

8.2 Meaning of Money

Basically, term money was derived in English language from Latin word 'Moneta'. Moneta is another name of the Roman Goddess Juno. The first regular mint was established in Rome in the temple of the Goddess Juno or Moneta. The early Roman coins minted on one side, the head of the Goddess with her name Moneta. With the passage of time, the name of money passed on to the product of the mint after the name of this Goddess. Money cannot be described on the basis of the matter it is made of it. It can be defined in terms of its functions.

8.3 Origin of Money

The difficulties of barter made it essential for people to derive some meaning of money to overcome the problems of barter system, the method derived was the use of something which served as a medium of exchange and a measure of value which later on considered as money, has gradually become the central figure in an economy and revolution in the history of mankind. The need for money was realized long ago and the idea originated in the very early stages of man's economic life. The difficulties of barter were felt more and more as production increased and exchange expanded. Specialization developed exchange and the use of a medium and a standard became necessary. But money developed through a number of stages and its nature has been changing from time to time and from region to region.

However, there are two theories related to the growth of money.

1. **Theory of Spontaneous Growth of Money:** Spontaneous growth theory of money was propounded by Prof. Spalding. This theory states that money was not discovered by any particular individual. Its growth was just spontaneous. With the development of civilization, exchange increased and to overcome the problems of exchange, people

started to use a particular commodity as a medium of exchange. Thus, with the passage of time, this commodity came to be accepted as money. In this way, money came into existence of its own.

2. **Theory of Evolution of Money:** This theory is associated with the name of Prof. Crowther. This theory states that money has come into being not on its own but due to specific human efforts. According to Crowther, "Money is one of the most fundamental of all man's invention. It needed the conscious reasoning power of man to make the step from simple burden to money accounting. It was with a view to find a standard measure of value and a medium of exchange.

8.4 Stages of The Growth of Money

1. Commodity Money: As human civilization went on to develop, commodities were used as money. For instance, in the hunting stage, people used animal skins, bows and arrows etc. as money. In the animal stage, goats, sheeps, cows and oxes were used as medium of exchange. 'Similarly, in agricultural stage, grains were used as medium of exchange. Thus, in different stages, different commodities were accepted as medium of exchange.'

Demerits: The following are the main demerits of commodity money:

- a. These commodities lacked profitability.
- b. All cattle or other goods are not homogeneous.
- c. Supply of commodities could abruptly change.

2. Metallic Money: Metallic money was introduced in 8th century by king Midas to overcome the difficulties of commodity money. With the growth of human civilization man discovered various metals like iron, gold, —brass, copper, silver etc. These metals were used as money. In the beginning, people were indifferent to the weight of the pieces of these metals. But with the passage of time, different pieces of metals were weighted to ensure uniformity. As a result, the metal pieces were stamped and their value was inscribed on them.

Demerits. Some of the elements of metallic money are as under:

- a. Metal coins proceed to expensive form of money supply.
- b. Supply of metallic coins could not always be adjusted to their demand.
- c. Metal coins used to be very heavy in weight.

3. Paper Money: Paper money was first of all introduced in China in 1807 to remove the difficulties of metallic money. As is known, metallic money is inconvenient as well as risky

affair to transfer. There is involved a lot of risk of being stolen. Therefore, to cope with these difficulties, traders in the past used to deposit their metal money with money lenders and obtain certificate of deposit. These certificates were used to obtain metal money at different stations. Therefore, these certificates came to be used as money.

Merits: The main Merits of paper money are as under:

- a. This is a cheap source of currency.
- b. It can easily be transferred from one place to other.
- c. Its supply can be easily adjusted according to its need.
- d. Credit Money. Banking system came into existence due to expansion of trade.

Growth of banking system led to the creation of credit money. It comprises of cheques, promissory notes etc. This is a very simple, convenient secured as well as less expensive form of monetary system.

4. Near Money: Near money means those promissory notes which are readily converted into money. Near money comprises of Treasury Bills, Exchange Bill, Bonds, Securities, Fixed Deposits with the Banks, Insurance policies and the like. Therefore, near money is less liquid as compared to paper money.

8.5 Definitions of Money

Money is not easily defined because it has many definitions due to its scattered subject matter. Still, it is controversial what money is and what we constitute in money. The near money assets perform the functions of money and satisfy the definition of money. It is possible to know the constituents of money, but it is very difficult to give its suitable and universal definition. Another reason due to which it is not easy to define money precisely because of changing usages and customs. How can in a dynamic society, fixed or rigid definition of money can be given? In old times, precious metals were regarded as money like gold and silver coins. But in the modern times, paper notes and demand deposits, plastic money (ATM Cards, and Credit Cards) have become part and parcel of money. The present controversy has been cleared by including time deposits or fixed liabilities referred to by Milton Friedman, Radcliffe Committee and Gurley and Shaw, the non-banking financial in term diaries and liabilities of the saving banks into money.

H. G. Johnson in his "Monetary Theory and Policy" and *EL. Feige* in, "Demand for Liquid Assets: A Temporal Cross Section Analysis" have followed four approaches to the definition of money.

1. Conventional Approach.
2. Chicago Approach or Monetarists Approach.
3. Gurley and Shaw Approach or Liquidity Approach.
4. Central Bank Approach.

These approaches are discussed below:

- 1. Conventional or Traditional Approach:** This is the oldest approach to the definition of money. According to this approach, money acts only as a medium of exchange. It means money is defined in terms of its characteristics like spend ability, and liquidity, etc. According to *G. Crowther* "if a thing that is fact generally acceptable in payment and generally used as a medium of payments, it is money." General acceptability depends upon the social and legal conventions. Keynes opined, "Money is that delivery by which debt contracts and price contracts are discharged and in the shape of which a store of general purchasing power is held."

This definition of money includes in it the currency (which is the liability of the central bank) and demand deposits (which are the liabilities ' of the commercial banks.)

$$M = C + D$$

M - Money Supply, C- Currency, D- Demand Deposits.

- 2. Chicago Approach or Monetarist Approach or Quantity Theorist Approach:** This approach is associated with the Nobel Prize Winner, Milton Friedman and other Quantity Theorists or Monetarists. The Chicago economists have broadened the scope of money by defining it as "a temporary abode of purchasing power" (Milton Friedman). It means money can function as a temporary abode of purchasing power if it is kept in the form of cash, demand deposits or any other asset which is close to currency: *i.e.*, near money asset. According to this approach money includes currency, demand deposits and time deposits,

$$M = C + D + T$$

M. Friedman and D. Meiselman have given two criteria to include time deposits in money.

- 3. Gurely and Shaw Approach or Liquidity Approach:** This approach has been given by Professors John G. Gurley and Edward S. Shaw, in their book 'Money in a Theory of Finance', and the Radcliffe Committee. They have stated that there are many assets which

have claims against financial intermediaries: currency and demand deposits are just two among them. They lay stress on large spectrum of financial assets. On the basis of this approach, they include in money (M), the currency (C), demand deposits (Z), time deposits (T), saving bank deposits (SB), shares (S), bonds (B) etc.

$$M = C + D + T + SB + S + B,$$

Thus, Radcliffe Committee and Gurley and Shaw approach include in money the Chicago definition plus the liabilities of non-banking financial intermediaries. Thus the

4. The Central Bank Approach: The central banking approach has further broadened the scope of the concept of the money. According to this approach, there is similarity between money and other means of financing purchases which are measurable and immeasurable. The *measurable-concept* means, it is the total amount of credit outstanding that matters and the money supply affects only because bank credit is a part of total credit. The *unmeasurable concept* means the concept of liquidity of the economy and credit can be substituted for money without limit. Money is the credit extended by a wide variety of sources. The credit has to be controlled to regulate the economy. Thus, under this approach, money includes currency (C), bank credit (D), time deposits (T) credit from non-banking financial institutions ($NBFI$) and credit from unorganized agencies (CUA) to economize its use.

$$M = C + D + T + NBFI + CUA.$$

Check Your Progress- I

Q1. Mention the names of the stages of the growth of money.

Ans.-----

Q2. Define conventional or traditional approach of money.

Ans.-----

8.6 Features of Money

The main features of money are as stated below.

- 1. General Acceptability:** The main features of money are that people accept it as a medium of exchange. It is accepted as a standard of payment without any hesitation. In this regard Neralyn has rightly observed, "The essential function which money enables

to identify money is that, it is generally accepted as a means of payment”.

2. **Money is Not a Veil:** Economists regarded money as a veil. It was held that money acts as a medium of exchange without affecting the level of economic activity in any way. However, modern economists opined that money is not a veil. It is an active agent of the economic system. In this way, money is required in every economy before the process of production starts. Changes in the demand for and supply of money significantly influence the nature and level of economic activity.
3. **Measure of Value:** It is possible to measure the value of goods and services in terms of money.
4. **Liquid Asset:** Money is considered as the most liquid asset. Liquidity refers to that asset which can be converted into goods and services as and when desired. Other assets, other than money, are not equally liquid. Thus, houses, land, furniture etc. are not as liquid as money. One has to first dispose off these assets, convert them into money, before other goods and services are bought.
5. **Voluntary Acceptability:** Another important feature of money is that it has voluntary acceptability of the people. The people always wish to hold money. This does not need any legal sanction.
6. **Money is a Means and Not an End:** Money is useful only indirectly. It means, we can buy goods and services with money to satisfy our wants. Therefore, money is only a means to satisfy human wants. Thus, money is of no direct satisfaction.
7. **Medium of Exchange:** Money acts as the medium of exchange for the sale and purchase of goods and services.
8. **Government Control:** All economic problems are related to the flow of money in the economy. In the modern economies, the role of Govt. is not nearly restricted to the administration of the country. Rather, it is increasingly participating in economic activities. To control, the inflationary and deflationary tendencies in the system, the role of the Govt. is regarded as an unsuitable phenomenon. Generally, the Central Bank of country acts on behalf of the Govt. to regulate the flow of money in the system.

8.7 Functions of Money

Money came into existence due to various difficulties of the barter system. The functions of money are such that they are expected to remove the difficulties of barter. Even the best definition of money cannot bring out the exact features of money. We must,

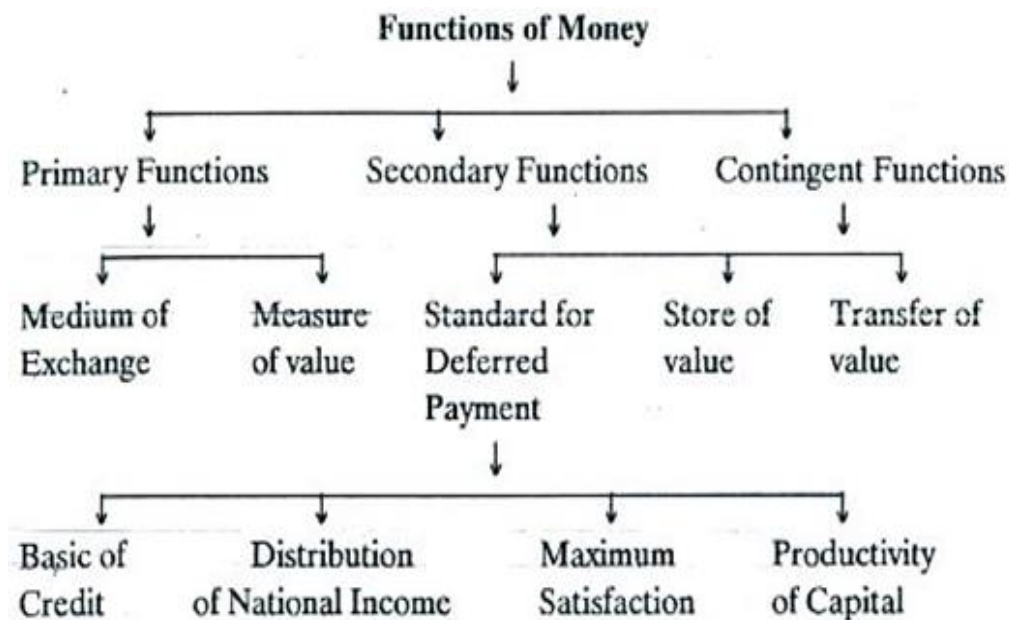
therefore, like Prof. Walker, say, *money is what money does*, i.e. anything that performs the functions of money. A proper understanding of the term money, therefore, necessitates a discussion of the functions of money. It will not be out of place to quote a couplet which describes the function of money as:

*"Money is a matter of functions four,
A medium, a measure, a standard and a store."*

Prof. Kinley has classified the functions of money into three groups:

- (i) Primary or essential,
- (ii) Secondary, and
- (iii) Contingent.

The following picture is illustrative of the functions which money performs in modern times:



8.7.1 Primary Functions

Primary functions of money are the following:

- 1. Medium of Exchange:** The most important function which money performs is the medium of exchange. Medium of exchange implies that anything which is generally accepted in exchange of goods and services. The acceptance of money as a means of payment is a matter of social or legal convention. Each person accepts money with the influence that others will accept it in payment. The social convention could be set up through a formal pledge by all members of society to accept a certain commodity agreed upon as a medium of exchange. If some social convention is enforced by law, it is called legal convention. According to Newton, "The essential function which enables us to identify money is that it is generally accepted as a means of payment." By performing its

role on a medium of exchange, money has removed the difficulties of barter system.

2. **Common Measure of Value.** Another function of money is the measure of value. It implies that the value of each commodity is measured in the monetary unit. Money is looked upon as a collective measure of values. Since all values are expressed in terms of money, so it is an easy job to determine the rate of exchange between various goods and services under the barter system, it is very difficult to determine the rate of exchange between various types of goods and services. But the discovery of money has removed this difficulty. But money still has difficulty in its role as a collective measure of value. And commodity which acts as a measure must itself be stable in value. But this cannot be said of money. Money as a unit of account helps in economic comparison and hence preferences can be ranked on the basis of satisfaction achieved. Moreover, this function facilitates accounting and book-keeping. The planners use shadow prices for the evolution of a project. Individuals on the basis of this function of money get the economic information.

8.7.2 Secondary Functions

In the secondary functions of money, include:

1. **Store of Value:** The store of value is the most important function of money. It is very useful for economic analysis. The store of value is also termed as generalized purchasing power of money. It implies the shifting of purchasing power from present to the future. Money is also stored as permanent abode of purchasing power. Keynes was first who realized its importance. In this sense, money is stored in the form of asset. Money is an asset because it is claim against all goods and services, which one likes to buy. People may keep their wealth in the form of money. Money has to compete with other assets. It is the most liquid of all assets. It is so because it can be easily exchanged for any goods and services. Liquidity in general means the ability of an asset to be converted into cash without any risk or loss or wastage of time. The liquidity of an asset depends on its ready transferability and stability in value. All assets other than money lack reversibility in the sense that their value in payment is not equal to their value in receipt.
2. **Standard of Deferred Payments:** Under barter system, borrowing and lending were very difficult. But the modern money economy has facilitated these processes. Now both lending and borrowing are done in terms of money. A large volume of transactions are consented with contractual payments which are expressed in money, it serves as a

standard of deferred payments. It is more stable and durable as compared to other goods and has general acceptability. Therefore, due to these reasons money continues to be desirable as a standard of deferred payments.

3. **Transfer of Value.** The area of exchange has widened with the growth of the economies. The exchange of goods is done at distant places. It is necessary in these cases to transfer purchasing power from one place to another. Money has facilitated the transfer of value. In modern times, the wants of the people are multifarious. Therefore, to meet these wants, the goods and services are bought from remote areas. Money being liquid and generally acceptable can be used for transfer of value. Any person can sell any asset at a place and buy it at another place; it is due to this function of money that the idle funds lying with one person can be lent at interest to another person to use them optimally. As a result, it helps in the economic development of the country.
4. **Guarantor of Solvency:** Prof. Kent referred to this function of money as guarantor of solvency. In order to meet the unexpected obligation, the person and -business firms have to keep large sums of money. They hold money to avoid insolvency. Thus, when money is kept to avoid insolvency, it is called guarantor of solvency. Kent lamented that money as guarantor of solvency is different from money as a store of value. Store of value function of money implies the buying of goods sooner or later. But when money is kept as guarantor of solvency, individual has not to part with it until it becomes absolutely necessary.

8.7.3 Contingent Functions

The main contingent functions of money are as under:

1. **Distribution of National Income:** The goods and services are produced by four factors of production. They have to be duly rewarded for their efforts. It is with the help of money that the national income produced by four factors of production i.e. land, labour, capital and entrepreneur is distributed in the shape of rent, wages, interest and profit-respectively. Thus, money facilitated the distribution of national income and each factor of production is paid in terms of money.
2. **Basis of Credit System:** In the modern economic setup credit has occupied a vital place. Credit is called promise to pay. Every currency notes or cheque carries the legend: On demand I promise to pay Rupee. Prior to the invention of money, the manufacturing of credit by banks was not possible. But in the modern money world, the cheque system, drafts and bills of exchange are widely used. The basis of these credit instruments is

money. People save some part of their income and put in the bank. On the basis of these deposits the banks create credit. Thus, money serves as the basis of credit.

- 3. Equalization of Marginal Utilities and Productivities:** It is money with which consumers and producers maximize their satisfaction. The use of money results in the application of principle of substitution. Human wants are unlimited and variegated whereas income is scarce. The consumer uses his limited resources in such a way so what marginal utilities from various goods are equal, e.g.,

$$\frac{MU_x}{P_x} = \frac{MU_y}{P_y} = \frac{MU_z}{P_z} = \dots, \frac{MU_n}{P_n}$$

Similarly, the producer uses his limited resources in such a fashion as the cost of production is minimum and profits are maximum.

This equates the marginal physical productivities of different factors of production.

$$\frac{MPP_x}{P_x} = \frac{MPP_y}{P_y} = \frac{MPP_z}{P_z} = \dots, \frac{MPP_n}{P_n}$$

Static And Dynamic Functions of Money

Paul Einzig had classified all the functions of money into two broad categories, viz., static functions and dynamic functions.

- 1. Static Functions:** Static functions of money apply to conventional, fixed, technical, and passive functions of money. These functions only help to regulate the economic system; they do not infuse any element of dynamism into the system. These basically include the Primary and Secondary functions of money, such as medium of exchange, standard of value, store of value, transfer of value and standard for deferred payments.
- 2. Dynamic Functions:** Dynamic functions of money imply those functions of money which impart dynamism to the economy. By imparting dynamism, we mean to ensure stability of price level as well as to improve the level of income and employment. Dynamic functions also consist of such functions as increasing the liquidity of capital and serving as the basis of credit creation. All such functions of money make it amply clear that money is a Dynamic Force. In order to resolve the problems of inflation and deflation, the Govt. in its formulation of the monetary policy, focuses only on the dynamic functions of money.

The basic dynamic functions of money are:

- (i) Money creates the situation of inflation or deflation through changes in the price

level

- (ii) Money facilitates full utilization of the natural and man-made resources. This increases the level of national income.

Check Your Progress- II

Q1. What are the primary functions of money?

Ans-----

Q2. Define static and dynamic functions of money.

Ans-----

8.8 Importance of Money

In modern economy, money plays a very crucial role because the modern economies cannot function properly without money. Thus, money occupies a prime place in all branches of economics. The following are the main points of significance of money:

- 1. Importance in Consumption:** The invention of money has greatly benefitted the consumers. The consumers get their incomes in the form of money which gives them a ready command over a variety of goods and services. They can postpone their demand if they so desire. According to Robertson, "Money helps each member of society to ensure that the means of enjoyment, to which he has access, yield him the greatest amount of actual enjoyment which is within his reach.
- 2. Importance in Production:** Money helps the producers in a number of ways by its significant role in deciding, planning and managing the productive activities in the most efficient way. Moreover, the existence of money helps the producers to discover what people want and how they want.
- 3. Removal of the Difficulties of Barter System:** The existence of money has removed the drawbacks of old barter system. Under barter system goods are exchanged for goods. There always exists the double coincidence of wants. But, the invention of money has greatly facilitated by removing these difficulties. Now, the value can be measured easily and quickly. There is no difficulty in the exchange of indivisible goods.
- 4. Importance in Distribution:** Money has greatly facilitated the process of distribution of national product among different factors of production in terms of rents, wages, interest and profit. All these payments are made in terms of money. It signifies the fact that money acts as a medium of exchange.

- 5. Importance in Public Finance:** The magnitude of public finance is so vast that it cannot be managed without money. Public finance deals with the income and expenditure of the govt. The government receives income in the form of taxes, fees, fines etc. and spends this income on developmental and administrative purposes. Without money, these functions of the modern states would become difficult and complex.
- 6. Importance in Capital Formation:** Money has greatly facilitated the process of capital formation. It means increase in investment. Investment will be undertaken only when there are savings. The financial institutions mobilize the savings from the general public and channelize them into productive processes by the way of advancing loans to the investors.
- 7. Increase in National Unity:** In every country of the world, money has served as a helping hand to promote the national unity. It has curtailed the social isolation. People living in far off regions meet each other for commercial purposes. It serves to encourage the national unity in a country.
- 8. Measure of Social Welfare:** Social welfare can be measured only through money. The utility derived by a person can only be measured in terms of money.
- 9. Importance in Trade:** Money through its function as a medium of exchange facilitates trade. In modern economics, the rapid exchange of goods and services is possible because of money. Money constitutes the basis of price mechanism through which the economic activities of the community are adjusted.
- 10. Economic Development:** Monetary policy of every country greatly influences its economic development. In an economy, if money supply is more, people will spend more which will lead to an increase in demand, production and thus, there is every possibility of economic development.
- 11. Increase in Standard of Living:** The smooth functioning of money economy helps the society to raise its standard of living. It does so by increasing the overall production and through equitable distribution of income and wealth.
- 12. Solution to Central Economic Problems:** Money facilitates convenient and appropriate solution of the central economic problems of an economy. The main central problems of an economy are what to produce, how to produce and for whom to produce.
- 13. Division of Labour and Extent of Market:** Because of money, there has been a phenomenal expansion of the markets. Production is now being done on large scale. This has increased the degree of mechanization. High degree of mechanization has facilitated division of labour and specialization.

14. Basis of Credit: In modern age, trade depends on credit. In the absence of money, credit creation was not possible. As a store of value, money has facilitated the creation of credit. To quote Halm, "Money is the most appropriate mode of credit, because compared to goods; its value remains relatively stable. Credit system will just come to end in the absence of money.

8.9 Evils of Money

According to *Ludwig Von Mises*, "Money makes the mare go." But money is not an unmixed blessing. Money is stated as the root of all evils." Highlighting the evils of money Mises has further stated, "Money is regarded as the cause of theft and murder of deception and betrayal. Money is blamed when the prostitute sells her body and when the bribed judge perverts the law. It is money against which the moralist declaims when he wishes to oppose accessible materialism. Significantly enough, avarice is called the love of money and all evil is attributed to it."

Robertson has stated, "Money, which is a source of so many blessings to mankind, becomes also, unless we can control it, a source of peril and confusion". Money is a valuable though dangerous invention. It is a good servant but a bad master. . The various economic and non-economic evils of money are discussed as under:

A. Economic Evils of Money. The economic evils of money are as stated below:

1. Inflationary and Deflationary Pressures: Inflation and deflation which are caused by monetary factors have been causing hardship to the people. One of the greatest demerits of money is the change in its value. It means there may be inflationary or deflationary pressures.

During inflation, wealth concentrates in the hands of business communities and the poor have to suffer due to sky-high prices. In this case the rich become richer-and-the poor-gets poorer. The inflationary pressures jeopardize the economy. The real production will fall and speculative activities will be encouraged. During deflation, the purchasing power of money rises and the business community suffers a great loss. The working class faces the situation of unemployment. Of course, the middle-class gains. Deflation was severe in 1929 which caused a radical fall in employment. Thus, the pattern of production changes due to change in the value of money.

2. Trade Cycles: Wide fluctuations in business activity and prices have been the result of the flow of money. Under a capitalistic system, trade cycles are a normal feature. A boom is followed by a slump and slump results in boom. Therefore, instability exists in the

economy. The result is that different sections of the society face difficulties and inconveniences. In fact, money is the cause for ups and downs in the country. In a barter economy, there is no possibility of trade cycles because there are no chances of over production and under production.

- 3. Inequalities of Income:** One of the greatest evil of money is the inequalities of income and wealth. It has divided the society into two classes i.e. haves and have nots. It results in concentration of wealth in the hands of capitalistic classes. But it adversely affects the working class. It makes the rich richer and poor poorer. It is due to this reason; money had created a wide gulf between different groups of the society. This has led to the exploitation of working class and the existence of degradation in the midst of plenty.
- 4. Over-Capitalization:** With the inception of money, borrowings and landings have become possible. But the easy borrowing and lending have led to the problems of over-capitalization and over-production. It means some industries use more capital than required. Over capitalization results in over production and therefore uncertainty and instability.
- 5. Misuse of Credit:** Money is the basis of credit. If with the help of money, more and more credit is created, but output is not increased, in that case too much money chases too few goods. It will result in rise in prices which is a chronic problem in the modern economy. Thus, money results in misuse of credit.
- 6. Hoarding:** In the materialistic world, people give more importance to money than what it deserves. Instead of putting money in productive channels, people start hoarding it. Thus, it creates problems in production. The concept of money will function nicely only if all that is saved is invested. But the Hoarding of savings would adversely affect income, output and employment.
- 7. Black Marketing:** Money has also created the problem of black money. In the face of exorbitant tax rates, people start evading taxes by concealing income. They find it convenient because of the storability characteristic of money. Black money in turn induces black marketing and speculative activities. This existence of black money runs a parallel economy within an economy. It has devastating effects on the sound functioning of monetary and fiscal policies.

(B) Non-economic Evils of Money

If money is not properly managed, it pollutes social, political, moral and ethical life. The non-economic evils of money are as follows:

- 1. Political Evils:** Money is a source of danger and disaster in political life if it is not managed in the best interests of the community. Money has not only spoiled political life and democratic institutions but has also bred ferocious wars. Money in reality has become the life blood of modern economy. In a poor country like India, it is with money that votes can be purchased by the economically rich. Thus money affects the political institutions adversely.
- 2. Special Evils:** Money has stepped up the propensity of materialism cum so was wrecked social life. The success or failure of a person is measured in terms of money. Friendship, love, affection and respect, etc., are measured likewise. Money puts a curtain on all the evils of man. Everyone in order to have a good status in the society wishes to accumulate more and more wealth. For that he resorts to all types of exploitations. Thus, good social institutions have been relegated to the background with the inception of money. Further, the spiritual values have declined and avarice has prevailed over. Money has encouraged thefts, murders, frauds, etc.
- 3. Moral and Ethical Evils:** Moral and ethical considerations have been sacrificed at the altar of money. People in the modern times derive more pleasure from money rather than from anything else. Money is regarded as end rather than a means. It has corrupted all political and social institutions. It has made the people money-minded and hence corrupt. Thus, money has resulted in moral and ethical degeneration. A greedy husband may murder his wife for bringing fewer dowries. Likewise, a greedy father may get his educated and beautiful daughter married to an ugly and uneducated rich man. Thus, for man, money has become '*Gospel of Mammon.*'

Check Your Progress- III

Q1. Mention the importance of money in consumption.

Ans.-----

Q2. What are the non-economic evils of money?

Ans.-----

8.10 Classification of Money

The various types of money can be known by its classification. Different economists have classified money on different grounds. But mainly money can be classified as under:

8.10.1 Classification on the basis of Nature

Prof. Keynes has divided money in two parts on the basis of nature as i.e. Actual money and Money of Account.

1. Actual Money

Actual money refers to that money which circulates actually in a country. It is the actual medium of exchange. It acts as a medium of exchange, measure of value and store of wealth. It is through money that goods and services are exchanged in the market. In India, all coins in the form of rupees and paise and currency notes of different denomination in circulation constitute actual money. Benham termed this kind of money as Unit of Currency and Seligman calls it *Real or Concrete Money*. Lord Keynes has divided money into two sub-parts.

A. Commodity Money: Various commodities have been used as money in different places and at different periods. *Pastoral tribes* and *advises* used cattle, and some still do, as money. But as cattle were neither divisible nor uniform in size and quality, it did not prove to be a good medium of exchange. Some common articles of trade, such as tobacco or salt or skins, were later used as money, since they were not perishable, and under those circumstances, handled easily. Rum was used as a medium of exchange in the early years of New South Wales. Cigarettes were used both as a medium of exchange and as a measure of value in some prisoners-of-war camps and in the black market of Europe immediately after the war.

B. Representative Money: It refers to that money whose intrinsic value is not equal to its face value. Such money is allowed to be converted into commodity money. It is indicative of value. Paper money is an example of representative money. It is also of two types: Convertible and Inconvertible. Convertible money can be exchanged for commodity money but so far as inconvertible money is concerned, authorities issuing it or the government are not liable to convert it into commodity money. Therefore, it is called Fiat Money.

2. Money of Account

Money of account refers to that in which all sorts of accounts are kept. According to Keynes, "Money of account is that in which debts and general purchasing power are expressed. For example, in India, Rupee is a money account although its forms and contents

have undergone changes many a times. There was a time when rupee coin was made of silver. These days, it is made of nickle. Such money has been referred to as ideal money by Seligman.

8.10.2 Classification on the basis of Legality

In this category, money can be divided into following three parts.

1. Legal Tender Money (Standard money): Legal money refers to the money having force of law at its back. No one can refuse to accept it as a means of payment. It is standard money through which all economic transactions are carried out within boundaries of a country. Legal tender money may be of the following two types:

A. Limited Legal Tender Money: Limited legal tender money is accepted as legal tender only up to a certain limit. As in our country, the small coins of 1, 2, 5, 10 and 25 paisa are legal tender only to a sum of Rs. 25.

B. Unlimited Legal Tender Money: It refers to that money which has to be accepted as a medium of payment up to any amount. For instance, in India, 50 paise coins, one-rupee coins and currency notes of all denominations are unlimited legal tender.

2. Optional Money: Optional money is that which is ordinarily accepted by the people but legally nobody can be compelled to accept it. In simple words, this type of money does not enjoy a legal status. To accept or not to accept it as a medium of exchange depends on the people. Cheques, drafts, hundies, bills of exchange etc. are some of the instances of optional money. Robertson termed optional money as bank money.

Difference between Legal Tender and Optional Money

	Legal Money	Optional Money
1.	The acceptance is compulsory	Acceptance is expedient and optional.
2.	Legal tender money is issued under statutory provisions.	Optional money is issued on the basis of deposits lying in the banks.
3.	Legal Tender Money is a medium of payment in UDC's.	Optional money is a medium of payment in developed countries.
4.	Legal tender money is bought with risk.	Optional money entails no risk.
5.	Receipt is called on for payment in case of legal tender money.	No receipt is required for payment in case of optional money.

3. Outside and Inside Money: Outside money refers to that monetary asset which has its origin in the act of the Government, purchase of goods and services. This asset consists of the claim of private sector against public sector. When there is change in the revenue, expenditure and transfer payments of the Government there exists corresponding change in the stock of outside money.

Inside money refers to that monetary asset which has its origin in the act of financial institutions purchases of securities. This sort of money develops due to purchase of securities by the financial institutions. It is generated by banks. Therefore, the money whose supply comes into being as a result of expenditure by private sector is termed as inside money. Its stock increases when financial institutions like commercial banks purchase the securities.

8.10.3 Classification on the Basis of Money Material

On the basis of money material, money can be classified into following parts.

A. Metallic Money: With the advent of gold and silver and the discovery of other metals, the use of commodities as money was suspended. Their place was taken up by gold and silver and these have probably been used as money for some five thousand years. Their exchange value would have been considerably lower than their intrinsic value had they not been widely used as money. They serve as a medium of exchange because they are durable, divisible, homogeneous and not very bulky. Besides, since their total supply is quite consistent over time and distance fluctuations in their value are not very significant as was the case with perishable goods.

In the beginning, gold and silver was used as a medium of exchange without being coined. It meant that everyone using them as medium of exchange had to satisfy himself as to the weight and fineness of the metal. Later on, the invention of coinage saved him from this trouble.

B. Standard Coins: These coins are those whose value as commodity is equal to its value as money. Those coins are made either of gold or silver. These coins have definite weight and fitness. Their face value is equal to their intrinsic value.

C. Token Coins: Token coins refer to those coins whose value as commodity is less than their value as money. It comprises of all those coins whose face value is more than intrinsic value. They are used for making small payments. These coins are made of copper, nickel etc. They serve as subsidiary to standard coins.

Now the issue is that Is Indian Rupee a Standard Coin or A Token Coin

It is not easy to analyse whether Indian rupee is a standard coin or a token coin. The reason in what it contains the attributes of either standard coin or token coin. Prior to 1893, Indian rupee was a standard coin. It was made of silver. Its intrinsic value was equal to the face value. There was free coinage of it. But now its position has changed altogether. In other words, now Indian rupee is both a standard coin as well as token coin. As a token coin it comprises of less coinage of it, it is made of silver. On the other hand, as a standard coin it has attributes of principal money of the country, medium of exchange and unlimited legal tender.

D. Subsidiary Coins: Subsidiary coins refer to those coins whose intrinsic value is less than their face value. These coins are of small denomination. These coins are made of light and cheap metal. These are used to make small payments. These are limited legal tender. There is no free coinage.

Check Your Progress- IV

Q1. Briefly classify money on the basis of nature.

Ans.-----

Q2. Define inside and outside money.

Ans.-----

8.11 Paper Money

Paper money means promissory notes printed on a special type of paper. The issuing authority promises to pay the bearer the sum mentioned there in. Basically, in 19th century, paper money was first of all used in China. But with the passage of time, it spread to the other countries of the world.

Types of Paper Money

Paper money is of following four types:

- 1. Representative Paper Money:** Representative paper money refers to that money which is fully backed by gold and silver. In the beginning, the main purpose of issuing paper notes was to check the loss caused by wear and tear of precious metal. Paper money used to serve merely as a representative of gold and silver lying in reserve fund. People were ensured that actual money was gold and silver. In order to inspire the confidence

among people, paper money was fully backed by gold and silver. It is called representative money because it represented gold and silver lying in fund. It is fully convertible into gold and silver. In America, gold & silver certificates were issued as representative money for a short period. In Indian context, Hilton young Commission in 1925 suggested the adoption of Gold Bullion Certificates, but it is not carried out.

- 2. Convertible Paper Money:** Convertible paper money refers to that money which is convertible into standard coins. Govt. guarantees to give gold or silver at a fixed rate in exchange for paper money. This system was valued to revalue this drawback of representative paper money.

Features: The representative convertible paper money has the following characteristics.

- a) It is backed by gold and silver.
- b) Public is ensured by the Government that it can get gold and silver in exchange for paper notes.
- c) Gold or silver is bought or sold at predetermined rates.
- d) A part of reserve fund is kept in the form of full bodies.

- 3. Inconvertible Paper Money:** Inconvertible paper money means money which is not convertible into gold and silver. In simple words, Government does not give any guarantee to convert currency notes into precious metals. No metallic reserves are kept to back the currency notes. This type of money remains in circulation on the basis of credit of the govt.

Features: The main features of inconvertible paper money are as

- 1. No insurance is given by the Government, to convert it into gold and silver.
- 2. Paper money serves as standard money.
- 3. Paper money is unlimited legal tender.
- 4. Exchange rate of currency is fixed for the convenience of foreign trade.

- 4. Fiat Paper Money.** Fiat money refers to the money which circulates on the authority of the Govt. In the words of Keynes, "Fiat money is that money which is created and issued by the state but is not convertible by law into anything other than itself. It is also known as emergency money. The reason is that it is issued under emergency condition. This type of money is not backed by any reserves. Government does not give any guarantee to convert it into metallic coins. In fact, it is extra-ordinary money which is issued under exceptional cases.

8.12 Near Money

To know the concept of near money it is necessary to understand the nature of wealth. Wealth is of two types: *Real wealth and financial wealth*. Real wealth comprises of physical assets like houses, land, machines, materials etc. Financial wealth includes currency notes, coin, and demand deposits of banks. These can be used to buy goods and services. These are liquid in nature. Contrary to this, time deposits, treasury bills, bills of exchange, bonds, debentures, shares, life insurance policy etc. are called Near Money. To buy goods and services, these are first to be converted into cash. These can be converted into money without any loss of time and wealth. Therefore, near money refers to those assets which cannot be used immediately to buy goods and services, but which can be converted into money very easily and their values are known in terms of money.

Parts of Near Money: The following assets are included in near money

1. **Time or Fixed Deposits:** Time deposits mean those amounts which are deposited in the banks for a fixed period. However, it can be withdrawn before the expiry of specified period.
2. **Bills of Exchange:** It is an instrument of credit in which a debtor is ordered to pay with interest the amount of loan on the expiry of the specified period, say 90 days.
3. **Treasury Bills:** Treasury bills are those instruments of credit on the basis of which Government gets loan from the public for a short period.
4. **Bonds:** Bonds means documents on whose strength the Govt. & the firms get loans for a long period. Bond issued by the firm and industries are called debentures.
5. **Shares:** Joint stock companies collect their funds by issuing shares to the public. The shareholder can encash their shares by selling the same in the share market.
6. **Policies of Life Insurance:** On the basis of security of policies of life insurance, loans can be obtained from LIC. Likewise, policies of Unit Trust of India can also be converted easily into money.

8.13 Difference between Money and Near Money

Money	Near Money
1. Money includes currency notes, coin and demand deposit of banks.	1. Near money includes treasury bills, bills of exchange, bond, Govt. securities, and fixed deposit in banks.
2. Money has general acceptability.	2. Near money lacks general acceptability.

3. Money is liquid.	3. Near money is less liquid.
4. Money does not yield any income.	4. Near money is a source of income.
5. Money is a medium of exchange.	5. Near money is not a medium of exchange.

Check Your Progress- V

Q1. Define convertible paper money.

Ans.-----

Q2. What do you mean by convertible money?

Ans.-----

8.14 Summary

Money, the term is derived to overcome the difficulties of barter system. Initially, barter system was used in the economy for the exchange of commodities. In this barter system one product or commodity was exchanged for another commodity as per the requirement of the consumer. Generally, Money is accepted in the form of medium of exchange, measure of value, store of value and standard of deferred payments. The primary functions of money include the medium of exchange and measure of value; however, the secondary functions of money contain standard of deferred payments, store of value, transfer of value. Contingent functions of money consist of basis of credit creation, maximum satisfaction, distribution of income, guarantee of solvency, increase in the liquidity of capital.

8.15 Questions for Practice

A. Short Answer Type Questions

- Q1. Define Money.
- Q2. What are the stages of money?
- Q3. What are the primary functions of money?
- Q4. Explain the four evils of money.
- Q5. Explain the dynamic functions of money.
- Q6. Give suitable definition of money.
- Q7. Discuss the types of paper money.

Q8. Distinguish Money and Near Money.

Q9. Define legal tender money.

B. Long Answer Type Questions

Q1. What is Money? Write the stages and main features of Money.

Q2. Discuss the primary and secondary functions of Money.

Q3. Describe the economic and non-economic evils of money.

Q4. What is money? Discuss its importance.

Q5. Money is what money does critically examine the statement.

Q6. Classify money on the basis of nature and legality.

8.16 Suggested Readings

- Money and Banking, by T.N. Hajela,
- Money and Banking by KPM Sundram.
- Money and Banking by Schuam Series, McGrawHill Publishing Co. Ltd., New Delhi.
- Money Economics-Institutions, Theory and Policy by Suraj B Gupta.
- Innovations in Banking Services by H.R. Suneja.
- Monetary Economics: Institutions by Suraj B. Gupta.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 9: THEORIES OF MONEY: FISHER’S TRANSACTION BALANCE APPROACH AND CAMBRIDGE CASH BALANCE EQUATION, KEYNESIAN LIQUIDITY PREFERENCE THEORY

STRUCTURE

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9.0 Learning Objectives

After reading this unit, learner will be able to:

- understand concepts of theories of money
- distinguish the difference between value of money and price level
- know about quantity theory of money-definitions
- Describe the equations of quantity theory of money
- Know about the comparison between transaction and cash balance approach

9.1 Introduction

Value of different goods and services is expressed in terms of money, but the value of money cannot be expressed in terms of money. If the value of money is expressed in terms of goods and services, it will have millions of expressions. In a view to overcome the difficulties we calculate the collective value of money. We select some goods and services as used in day-to-day life. Their average price is calculated. It is known as general price level. There is inverse relation between the value of money and general price level. When general price level (P) falls, value of money rises. Therefore,

$$\text{Value of Money} = \frac{1}{P}$$

In the words of Fisher, "Purchasing power of money is the reciprocal of the level of prices, so that the study of purchasing power of money is identical with the study of price value."

9.3 Quantity Theory of Money: Meaning

The quantity theory of money has a long history. But the pure version of the theory is said to have come from David Hume. It was stated in several forms. The classical economists' quantity theory assumed two forms. The first one is the Transactions Approach of Irving Fisher, an American economist. The second version known as the Cash Balances Approach came from the Cambridge economists led by Marshall. The quantity theory of money became quite popular in these two forms. The theory was eclipsed for sometimes due to the Keynesian Revolution. Milton Friedman, a Chicago economist, made a restatement of the theory in 1956.

According to Fisher's quantity theory of money there is a direct and proportionate relation between quantity of money and general price level and inverse relation between quantity of money and value of money.

Definitions

According to R.S. Sayers, *"The value of money changes inversely and the price level directly to the changes in the quantity of money"*.

According to **Fisher**, *"Other things remaining unchanged, as the quantity of money in circulation increases the price level increases in direct proportion and the value of money decreases and vice versa"*.

According to **J.S. Mill**, *"The value of money, other things being the same, varies inversely as its quantity; every increase of quantity lowers the value and every diminution raising it in a ratio exactly equivalent."*

According to **Prof. A.C.L. Dey**, *"The quantity theory of money states that the price level varies in direct proportion to the quantity of money. If the quantity of money doubles so will be the price level. Similarly, they will fall together."*

Equations of Quantity Theory of Money

1. Transaction or Fisher Equation
2. Cash Balance or Cambridge Equation.

9.3 Transaction or Fisher Equation

Prof. Irving Fisher in 1911 put forward transaction approach of money in his famous book, "The Purchasing Power of Money". According to Fisher, "The quantity theory is correct in the sense that the level of prices varies directly with quantity of money and values of trade are not changed." To Fisher demand for money is made for transaction motive. Value of money, like any other good is determined by the demand for and supply of money. Therefore, value of money or price level is determined at that point where demand for money is equal to supply of money.

Demand for Money

The demand for money is just different from the demand for other commodities. Sugar or cloths are demanded because they directly satisfy some want of the consumer. But demand for money is not direct, it is a derived demand. Money is demanded because it is a medium of exchange. Thus, greater the number of transactions to be done, the larger will be the demand for money. So, we can write,

$$MV = PT$$
$$\therefore M = \frac{PT}{V}$$

Supply of Money

For a clear understanding of the theory, supply of money should be examined separately in the context of point of time and period of time. At a point of time, quantity of money is equal to stock of money i.e., currency. Currency is the amount of notes and coins issued by the Government. Let it be denoted by M.

In equilibrium, the demand for money is equal to its supply. Therefore,

$$MV = PT$$

When a period of time is considered, flow of money is to be taken into consideration; another factor enters the scene. It is known as transaction velocity of circulation of money. Velocity of money is the average number of times a unit of money changes hands during a given period and is denoted by V. Every time the unit of money changes hands, it is as if a new unit of money has come into being. Thus, a unit of money changing hands five times during a period is doing the work of five rupees (1 X 5= 5). Thus, supply of money now becomes MV.

Velocity of Money:

It is not only the quantity of money but its velocity which adds to the purchasing power of money. Velocity refers to the rate at which money passes in payment from one person to another person. Thus, it means an average number of times a single unit of money changes hands in course of transactions during a certain period of time. It depends upon a number of factors and is considered to be independent of changes in M. In the long period V depends upon the habits of the people regarding the use of cheques, hoarding of cash, the frequency of income receipts, population, rapidity of transport, etc. In the short period it depends upon rate of interest, changes in the price level, and the degree of confidence about future events. Many times it offsets changes in M. If M does not increase, V increases to meet the demand for more money. V declines, if people accept cheques and do not insist on cash in payment for goods. It also goes down when liquidity preference increases or credit is easily available or political instability is anticipated. If wages are paid after longer intervals, more money is needed for transaction purpose. Therefore, V increases when economic development is increasing and the monetized sector is expanding. It is also high where density of population is high. Thus, in equilibrium,

$$PT = MV$$

$$\text{or} \quad P = \frac{MV}{T}$$

Here, we have only assumed that all transactions are done in cash. But this is not always so. People have deposits in the banks on which they draw cheques to make payments. So such bank money should legitimately form part of money supply. Let the bank money be denoted by M'. It has a velocity of its own, represented by V and is evident from the fact that the total payments made through cheques are far more than the deposits in the banks. Thus, money supply increases by M'V' and the total quantity of money becomes MV + M'V'. Therefore, we can write it as under:

$$PT = MV + M'V$$

$$\text{or } P = \frac{MV + M'V}{T}$$

where P stands for price-level, T for number of transactions, M for Quantity of Money *i.e.*, currency.

V for transaction velocity of circulation, M' for bank money

V' for velocity of circulation of bank money.

This form of equation was developed by Fisher and called as Fisher's equation of exchange. Fisher assumed that V, V' and T are constant. There is fixed proportion between M and M'. Therefore, we can conclude it as under:

(a) P changes because M changes. P is the passive factor.

(b) P changes in the same proportion in which M changes.

In short, there is direct and proportional relationship between quantity of money and price level. We, further conclude that:

(i) There is inverse relation between value of money and quantity of money.

(ii) The change in value of money is inversely proportional to change in the quantity of money. When quantity of money is doubled, value of money is halved.

9.3.1 Assumptions

The main assumptions of the theory are as stated below:

1. **Constant Ratio between Bank Money and Currency Money:** The ratio of credit money to cash remains stable during the short period. In fact, bank money (M_1) is a function of currency money (M). With expansion of currency, bank money expands and vice versa.
2. **Money is a Medium of Exchange:** Fisher's approach is based on the medium of exchange function of money. Money is used for transactions purposes only.
3. **No Hoarding:** There exists no hoarding. It means that the entire quantity of money is put into circulation.
4. **Full Employment:** The theory is based on the assumption of full employment. It means there are no idle resources available to expand the production of goods and services.
5. **Price Level (P) is a Passive Factor:** The price level is a passive factor itself. It states that price is affected by other variables of the equation and it does not effect the other variables of the equation. An increase in the supply of money (M) or velocity of circulation (V) raises the

price level and vice versa. An increase in transaction reduces the price level but an in-price level does not increase supply of money or velocity or total transactions.

6. **Constant Velocity or Constant V and V:** The velocity of circulation of money (V) is an independent element in the equation and is constant in the short period. Any change in the quantity of money (M) does not affect velocity of circulation because it depends on exogenous factors like banking habits of people, population, consumption pattern. These factors are normally stable in the short period, so V also remains constant. Similarly M does not affect V.
7. **Constant Volume of Transactions (T):** The total volume of trade or total transactions are also not affected by any change in the quantity of money (M) and other factors in the equation because Fisher says that T depends upon natural resources, technological development and population etc. which are outside the equation, so that any change in M does not affect T.
8. **Long Period:** Fisher's theory is based on the assumption of long period. According to this theory, a proper co-ordination is established between quantity of money and price level in the long run.

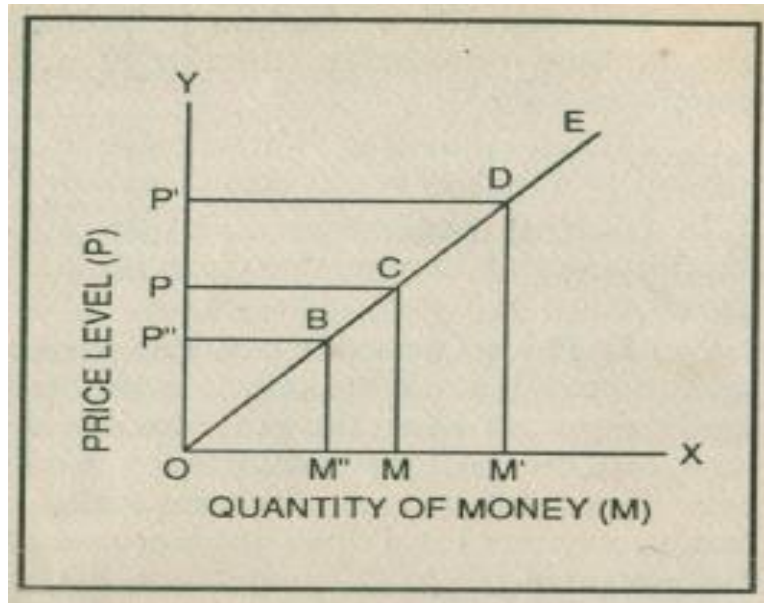
9.3.2 Diagrammatic Presentation

It should be remembered that the equation of exchange in itself is not the quantity theory of money. Fisher has used it only as a tool to prove the validity of the theory. For better understanding, the theory can be expressed with the help of a diagram given below:

In this diagram, quantity of money is shown along the horizontal axis and the general price level along the vertical axis. When the quantity of money is equal to OM price level is OP. If quantity of money rises to OM', price level also rises to OP'. The proportionate rise in the general price

level $\frac{P-P'}{P}$ is equal to the proportionate increase in the quantity of money $\frac{M-M'}{M}$. Similarly, when the total quantity of money in circulation falls to OM'', price level also falls to OP'' and the

proportionate fall $\frac{M-M''}{M}$ in the quantity of money. Thus change in the quantity of money causes an equi-proportionate change in the price level. By joining the points B, C and D, we get the curve BE. This curve forms an angle of 45° with the horizontal axis and represents the equi-proportionate relationship between AM (changes in M) and AP (changes in P).



9.3.3 Criticisms

The quantity theory, as propounded by Fisher is by no means the final word regarding the determination of value of money. It has been subjected to a severe criticism. It has been denounced as unsuitable, at least, in its rigid form. The main points of criticism are as under:

1. **No Fixed Relation between M and M':** The theory has assumed a constant ratio between the amount of currency (M) and the amount of credit money (M'), so that when M is doubled M' is also doubled. In actual practice, however, it may not be so. For example, during periods of boom and depression M and M' do not move in the same proportion, or even in the same direction. During boom period, because of greater demand for credit, M' will continue to rise even if there is no increase in M. On the contrary, during depression M' will be low in spite of a rise in M.
2. **Causal Process not Explained:** The theory has been expressed in the form of an equation. It becomes too mechanical. It does not explain what forces arise when M changes which lead to subsequent increase in P. For example, Keynes was to explain later that increase in M reduce rate of interest which cause investment, output, costs to mount and thus give the price level the push in the upward direction.
3. **Difficulty of Measuring Variables:** It is very difficult to measure V and V. Again T is difficult to calculate because it is not easy to add up transactions expressed in different units like meters of cloth, tons of steel etc. Moreover, V, V and T are not constant.
4. **Stress on Supply Side:** The theory is based on both the demand and supply sides, but in reality, more attention is paid to changes on the supply side *i.e.* M to the exclusion of other forces. Demand side remains constant at PT.

5. **Ignores Money as a Store of Value:** Money is not only a medium of exchange; it is a store of value as well. The quantity theory as developed by Fisher ignores this second important function of money. An increase in demand for hoarding should be treated as a reduction in money supply in circulation.
6. **Assumption of Full Employment:** The theory assumes full employment, while in reality; generally, unemployment is seen, thus rendering inoperative the logical sequences of the Quantity Theory. Keynes proved that Say's Law of Markets was invalid.
7. **Static Theory:** The theory applies only in a world in which many things remain constant. But in the real-world changes are always taking place. Thus, the theory is not dynamic.
8. **Money not a Medium of Exchange:** Quantity theorists regard money only as a medium of exchange. They believe that the entire quantity money is used for purchasing goods and services. It has, however, been pointed out by Keynes and other modern economists that money is used as a store of value also.
9. **Ignores the Role of Rate of Interest:** It is not a satisfactory theory of money because it ignores the role of the rate of interest. The relation between the changes in the supply of M and P is not direct but indirect. Given the liquidity preference, an increase in the supply of M lowers the rate of interest and consequently investment increases which along with consumption expenditure raises the level of income and output thereby affecting price level.
10. **Existence of Barter System:** The theory assumes the existence of the barter system. But in most of the backward countries barter is still popular with rural population. Thus, the scope of the theory becomes limited.
11. **Ignores Short Period Fluctuations:** The theory considers only long period changes in prices, as a result of changes in the quantity of money. It fails to explain short period fluctuations which, according to Keynes, are of greater significance.
12. **Fails to Integrate the Theory of Value and Theory of Money:** Keynes has pointed out that the equation of $MV = PT$ fails to integrate the theory of money with the theory of value. Money plays an active role and affects rate of interest which in turn determines the level of output and employment. Therefore, theory of prices should form an integral part of theory of money.

This drastic criticism against this theory should not lead us to believe that it is absolutely useless. Indeed, the Chicago School of Economists has tried to show that the money supply is one significant influence on the value of money. In fact, there has been a tendency to over-criticize the theory and try to read into it more than that Irving Fisher really intended. In reality, the theory merely illustrated a static position of equilibrium which is assumed to prevail at a given moment

either before or after a change has taken place. Money, however, is a dynamic factor in the economy, so the picture of the situation presented by the equation is not a realistic one.

Check Your Progress- I

Q1. What do you mean by quantity theory of money?

Ans.-----

Q2. Define demand for money in Fisher's equation.

Ans.-----

9.4 Balance Approach or Cash Balance Equation

Another version of quantity theory of money is contained and finalized in cash balance or Cambridge approach. It was developed and finalized by a group of Cambridge economists i.e. Marshall, A.C. Pigou, Robertson and J.M. Keynes. This theory states that value of money is determined by demand for and supply of money. At any particular time, supply of money remains constant, therefore, changes in demand for money have more influence on value of money. This theory lays more stress on demand for money compared to its supply. Therefore, it is also known as Demand Theory of Money.

Supply of Money

Supply of money at a certain time includes all the notes, coins with the public and the demand deposits. Therefore,

$$\text{Supply of Money} = \text{Notes} + \text{Coins} + \text{Demand Deposits}$$

Demand for Money

Demand for money refers to people's desire for holding cash balances. According to cash balance equation demand for money is not for the purpose of transaction alone but for the purpose of storing up value also. Therefore, people store up value in the form of cash balances so as to use the same as a medium of exchange. Cash balance is that proportion of the annual real income which people desire to hold in the form of money. Thus, total demand for money is the aggregate of cash balance of money holdings of all individuals at a given moment of time.

$$\text{Demand for Money} = \text{Cash Balances}$$

Different Equations of Cash Balance Approach

Different economists have put forward the following equations to determine the value of money.

1. Marshall's Equation: According to Marshall, the value of money is determined not only by

changes in money supply but also by change* in demand for money. Symbolically,

$$M = KY + K'A$$

M = Quantity of Money, K = Fraction of real income, Y = Aggregate real income

K' = Fraction of total assets, A = Aggregate money value

The followers of Marshall abandoned the asset part of the equation. Symbolically,

$$M = KY$$

$$Y = PO$$

P = Price level, O = Output

Therefore, the equation can be expressed as

$$M = KPO$$

$$P = \frac{M}{KO}$$

In terms of purchasing power, it is opposite to the price level

$$P = \frac{KO}{M}$$

Thus, there is inverse and proportionate relationship between value of money and money supply.

2. Pigou's Equation: Pigou has given his equation of money in the form of purchasing power or value of money. In terms of value of money

$$P = \frac{KR}{M}$$

P = Value of money, K = Properties of cash held by people.

R = Real resources, M = Money supply.

In terms of price level, the equation can be written as

$$P = \frac{M}{KR}$$

Since K and R are assumed to be constant, so there is direct and proportionate relation between money supply and price level. According to Pigou, demand for money consists of legal money. So, he modified the equations as

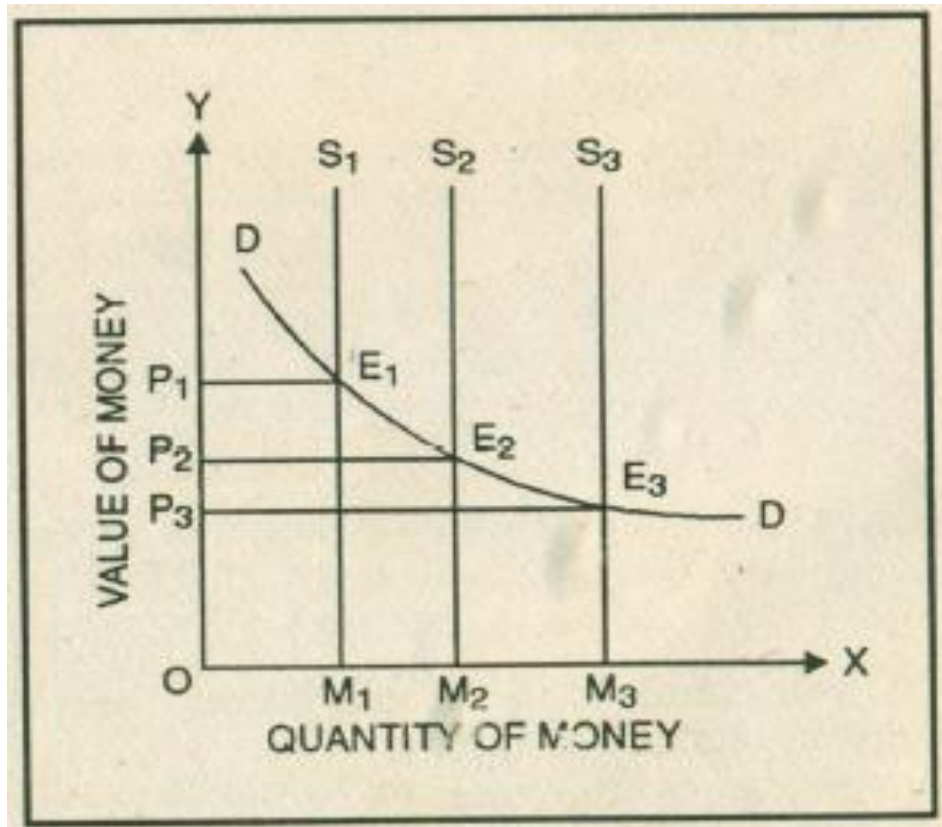
$$P = \frac{KR}{M} [C + h(1 - C)]$$

C = Cash with people, $1 - C$ = Bank deposits, h = Proportion of bank deposit held by bank

This can be shown with the help of figure.

In the diagram DD is the demand curve for money and M_1S_1 , M_2S_2 and Af_3S_3 are the supply curves of money drawn on the assumption that money supply is fixed at a point of time. It means

money supply is a stock concept. On Y-axis Pigou's purchasing power or value is taken. When the money supply is Af_3S_3 and demand is DD , in that case the value of money is OP_1 . Now with the increase in money supply from OM_1 to OM_2 , the value of money is reduced from OP_1 to OP_2 . The fall in the value of money by P_1P_2 exactly equals the increase in the supply of money by M_1M_2 . If money supply increases three times, from OM_1 to OM_3 the value of money is reduced by exactly one third from OP_1 to OP_3 . Thus, DD is the rectangular hyperbola where elasticity is equal to one.



Thus, it is clear that the price level will vary inversely with K or R and directly with M . Pigou in his equation has laid stress on K rather than M . It means the value of money depends on demand for money to hold cash.

3. Robertson's Equation: Robertson has given the more or less the similar equation of exchange as given by Pigou. The only difference between the two is that Pigou gave total real resources whereas Robertson gave the volume of total transactions. This equation is as

$$M = KPT$$

or

$$P = \frac{M}{KT}$$

P = Price Level, M = Quantity of Money, T = Quantity of Goods and Services

K = Portion of T which people want to keep cash.

4. Keynes' Equation: Keynes in his equation laid more emphasis on consumer goods. According to Keynes, people hold cash to buy consumer goods and services. Keynes equation is

$$n = P(K + rk') \text{ or } P = \frac{K + rk'}{n}$$

n = Quantity of money, P = Price level, K = Proportion of consumer goods

rk' = Proportion of Cash reserves

Criticisms:

1. **Nothing New:** It is alleged that the cash balance equation is simply quantity theory in new algebraic dress. The conclusions of the analysis are not different from those of transaction analysis except for a change in emphasis.
2. **Fails to explain casual process:** This approach also fails to explain the casual process. It holds that changes in P are caused by changes in K . But the authors have failed to realize that K itself is influenced by changes in P . It is, therefore, both a cause and effect of changes in P .
3. **Speculative Demand for Money Ignored:** Explanation of demand for money is incomplete as it fails to take into consideration the speculative demand for money which is a very powerful factor in determining the demand for money in modern times. This means that the link connecting the theories of interest and level of income through the demand for money is missing.
4. **Long Period Theory:** Like traditional theory, Cambridge equation also explains only long period changes in the value of money. It fails to explain short period fluctuations.
5. **Narrow Approach:** An important drawback in cash balance equation is that it deals with money in terms of consumption goods alone. It is a narrow view of the determination of the price level.
6. **Static Theory:** The cash balance approach provides a set of equations which are only exercises in comparative statics. These cannot analyze the dynamic economic analysis.
7. **Fails to explain Trade cycles:** This theory fails to explain trade cycles. It does not explain the causes that give rise to boom and depression.
8. **Excessive Emphasis on Value of Money:** It ignores the real forces like income, saving and investment on the value of money. The theory considers the changes in demand for money only which bring about changes in value of money which is wrong.
9. **Unreal Assumptions:** It assumes some of the factors like K and T to be constant. But in real life K and T are not constant. They are subject to change.

9.5 Comparison Between Transaction and Cash Balance Approach

A. Similarities: Both the equations have following similarities.

1. **Same conclusions:** Both equations reach the same conclusion that price level changes in the same proportion as the quantity of money does.
2. **Same Equation:** The cash balances equation $P = \frac{M}{KT}$ of Robertson is quite similar to the equation of exchange given by Fisher, $P = \frac{MV}{T}$. Both the equations use the same notations, meaning the same thing. The only difference lies in V and K. But in reality, V and K are reciprocal to each other.
3. **Functions of Money:** Both the approaches regard function of money as medium of exchange. To Robertson, Fisher equation and Cambridge equations are not fundamentally different from each other.
4. **Concept of Money Supply:** From the different equations we find that MU + M'U' of Fisher equation and M' of Robertson and Pigou and 'n' of Keynes refer to total supply of money.

B. Dissimilarities: The points of dissimilarities between transaction and cash balance approach are stated below.

1. **Functions of Money:** In Fisher theory money has been treated as medium of exchange whereas in Cambridge equation, its function of store of value has been given due importance.
2. **Velocity of Circulation:** Fisher theory lays more emphasis on velocity of circulation of money. Cash balance theory lays greater emphasis on that part of total money which is kept cash.
3. **Nature of Price:** In Fisher Equation and in Cambridge equation price is not used identically. In fisher equation price refers to general price level. But in Cambridge version price is concerned only with the prices of consumption goods.
4. **Relative Importance of Demand for Money and Supply of Money:** *Fisheman* approach has stressed on supply of money. But in the cash balance approach there is shift of emphasis from the supply of money to the demand for money. It is more realistic since demand for money definitely plays an important role.
5. **Definition of Money:** The two approaches to the quantity theory of money use the concept of money in different ways. The Fisherian version emphasis is on the medium of exchange function of money. The Cambridge version emphasize on the store of value function of money. In this way, Fisher's version of quantity uses the concept of money in a narrow

sense.

6. **Transaction Velocity and Income Velocity:** Fisher approach stressed on the importance of transaction-velocity or circulation of money. On the other hand, Cambridge equations emphasize on that part of income which is kept in the form of cash balance. Therefore, Fisher considers the transaction velocity of money while cash balance approach considers the income-velocity.
7. **Stock and Flow Concepts:** The Cambridge version regards money as a stock concept, where as in Fisher's equation it is a flow concept. According to Cambridge equation, the money supply refers to given stock at any point of time. But Fisherian equation refers money supply as a flow. To elaborate this argument, Fisher links the flow of money expenditure and money holdings. But the Cambridge economists link the money holding and stock of wealth. It is on this account that Fisher emphasizes V whereas Cambridge economists lay stress on the importance of K.
8. **Nature of V and K:** The nature of V and K has been interpreted differently by the two approaches. In Fisher's equation velocity of circulation is a highly mechanical concept. It is a measure of speed at which money changes hands. Velocity depends on various factors like length of the pay period, spending habits of the people, the development of banking system, etc. But on the other hand, the Cambridge version has laid stress on K which depends on psychological and introspective factors like habits, human attitude, behavior, etc.

9.6 Superiority of Cash Balance Approach

Despite similarities and dissimilarities between the two approaches, cash balance approach is certainly superior to the transaction approach on the basis of the following points:

1. **Basis of Liquidity Preference Theory:** Further, the cash-balances approach has helped Keynes to develop his famous "Liquidity Preference Theory" which is based on the preferences of the people to hold cash for various motives.
2. **Explanation of Trade Cycle:** It is also claimed that K is definite while V is vague. It is easier to find out K rather than V. Cash balance approach is, therefore, more significant in understanding the cyclical fluctuations.
3. **Integration of Theory of Money with the Theory of Value:** By recognizing the forces of demand and supply and using demand supply analysis for the determination of value of money, the Cambridge equation has integrated the theory of money with the general theory of value.
4. **Casual Process:** Fisher's approach explains that changes in the price-level are caused by

changes in supply of money. This does not explain the casual process between money supply and the price level. Cambridge approach explains how price level changes even if money supply is hold constant due to changes in K.

5. **Broader Concept of Demand:** Cambridge equation gives a broader concept of demand because according to the approach money is demanded not only for transaction but also for storing of value
6. **Importance to Demand Side:** Another achievement of Cambridge equation is that it takes into consideration supply as well as demand for money. In the traditional theory, demand side is ignored.
7. **More Realistic:** The Cambridge equation stresses on cash balances. They regard human motives as important factor which affect the price level. The subjective factor behind K has led to the study of factors like expectation, uncertainty, motives for liquidity and i ate of interest.
8. **Short Period:** Cambridge equation is more appropriate as it studies short term factors. On the other hand, Fisher's equation studies long term factors.
9. **Easy Calculation:** According to Kurihara, calculation of K' and 'R' in Cambridge equation is easier than V and T in Fisher equation.
10. **Based on Micro Factors:** Another reason for the superiority of Cambridge equation is that it is based on micro decisions and behavior. Contrary to this Fisher equation is criticized on the ground that it is based on macro factors.

Check Your Progress- II

Q1. Define Marshall's equation of money.

Ans.-----

Q2. Discuss the ssuperiority of cash balance approach.

Ans.-----

9.7 Liquidity Preference Theory

The famous economist of twentieth century, Lord Keynes explained a monetary method of the determination of rate of interest in his famous book "*The General Theory of Employment, Interest and Money*". This theory is also known as Liquidity Preference Theory. According to this theory, interest is price of the services of money. Accordingly, interest is determined by demand

for and supply of money. Interest is a monetary phenomenon.

First of all, we must know what is meant by interest? According to Keynes, "Interest is the reward for parting with liquidity". And the rate of interest is the premium which is to be offered to induce the people to hold wealth in some form other than the hoarded money.) He further explained, "The rate of interest is the premium which is to be offered to induce the people to hold wealth in some form other than the hoarded money."

According to Prof. Mayers, "Liquidity preference is the preference to have an equal amount of cash rather than claims against others."

In other words, people give preference for holding money in cash form (liquidity) to lending it to others. Thus, preference for liquidity is called liquidity preference. Again, they will, therefore, part with liquidity only if they are given a reward or price for it. This reward for parting with liquidity is called interest.

Determination of Interest

According to liquidity preference theory, interest is determined by the demand for and supply of money. It is determined at a point where supply of money is equal to demand for money. A detailed description of demand for and supply of money is given as below.

9.7.1 Demand for Money

To Keynes, money is not only a medium of exchange, but also a store of wealth. Now, there arises a question, why people want to hold cash? According to Keynes, there are three motives behind liquidity preference.

9.7.1.1 Transaction Motive

According to Peterson, "The transactions motive relates to the need to hold some quantity of money balances (either currency or demand deposits) to carry on day-to-day economic dealings". Most of the people receive their incomes by the week or month while the expenditure goes on every day. Therefore, a certain amount of ready money is kept in hand to make daily payments. Not only individuals and households need money to meet daily requirements, but business firms also need it to meet daily transactions like the payment of wages, purchase of raw-materials and to pay for the cost of transport, etc.

The demand for money for transactions purposes depends upon various factors like income, the general level of business activity, and the interval at which income is received. For instance, if income is received after a long interval of time, a larger proportion of income will have to be kept

in ready cash. Similarly, where goods are available on credit, fewer amounts of ready cash is needed. Thus, as a general rule, it can be said that the transactions demand for money is income elastic and may be expressed as^c

$$(L_t) = f(Y)$$

Demand for money for transaction motive (L_t) is the function (f) of income (Y) i.e. depends on income.

9.7.1.2 Precautionary Motive

Every individual and firms keep their savings in liquid form for rainy days. Some part of the income is saved to provide for contingencies as illness in the family, a journey that may be required to be undertaken under compelling circumstances, some guests may arrive, some money is to be kept apart for some such event as birth or marriage, some friend or relative may require financial assistance. For all such purposes, the person would like to keep money in liquid form or semi-liquid form, e.g., in savings bank. Liquidity preference for such motive is not as high as for the transaction motive. Nevertheless, there is some liquidity preference for precautionary motives.

This fact can be expressed in the form of an equation as

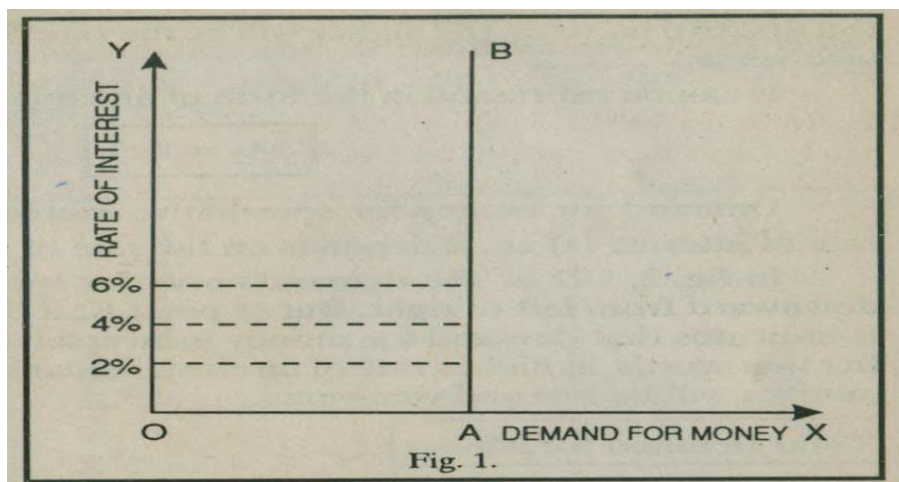
$$L_p = f(Y)$$

Demand for money for precautionary motive (L_p) is a function (f) of income (Y) i.e. depends on income.

According to Keynes, demand for money for precautionary motives depends on income. Keynes denoted M_1 , the combined demand for these two motives. Thus,

$$M_1 = L_t + L_p = f(Y)$$

In fig. 1 vertical line AB represents the demand for precautionary and transactionary motives. It signifies the fact that demand for money for these two purposes remains OA irrespective of any change in rate of interest.



9.7.1.3 Speculative Motive

If a man has money that he can spare even after satisfying his consumption needs and after building funds sufficient to meet contingencies, he would like to invest money in such a way that brings him profits. In this case he would not be very keen for keeping his money in liquid form. The liquidity preference is low in such cases. Thus, holding back money in cash form in the hope of earning more income in future is called speculative motive. According to Keynes "Speculative motive is the motive of earning profit from knowing better than the market what the future will bring forth." Therefore, people prefer to hold cash to earn more profit on account of change in future rate of interest or price of bonds. In short, demand for money for speculative motive is interest elastic.

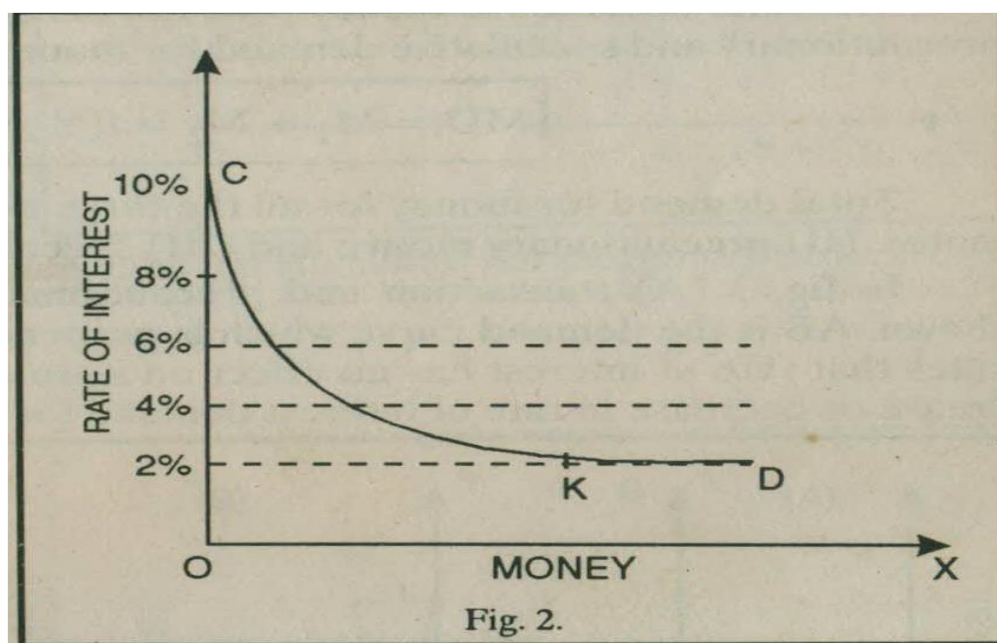
A high rate of interest can bring some money kept for precautionary motive for lending, but it will hardly be possible to bring out the money kept for transactional motive for lending. The more the money that is kept for the first two motives, the higher will be the rate of interest in the society and vice-versa.

It can be expressed in the form of an equation

$$M_2 = f(r)$$

Demand for money for speculative motive (M_2) is a function (f) of rate of interest (r) i.e. it depends on the rate of interest.

In fig. 2, CD is the demand curve for speculative motives. It slopes downward from left to right. But at point K, it becomes parallel to X-axis. It indicates that demand for money is inversely related to rate of interest. In other words, at higher rate of interest, demand for money for speculative motives will be low and vice-versa.



Now, the total demand for money (MD) in the summation of transaction, precautionary and speculative demand for money.

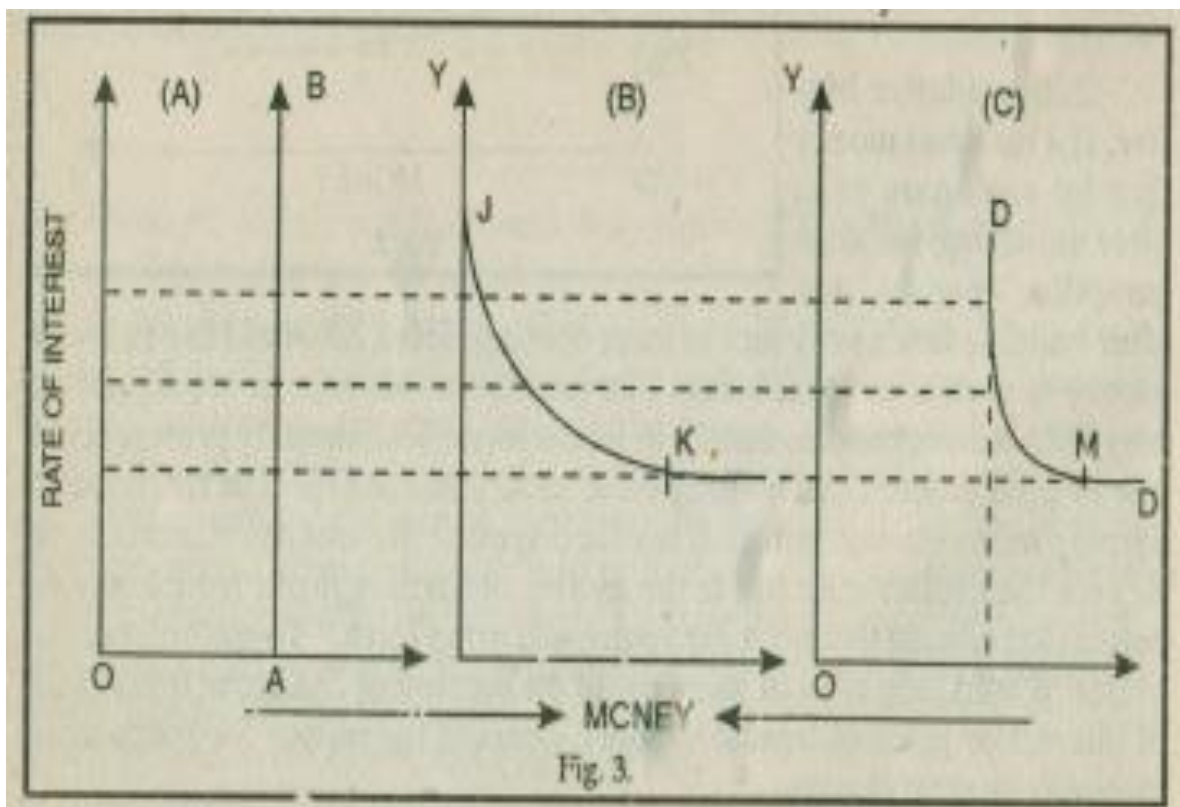
$$MD = M_1 + M_2 = f(Y, r)$$

Total demand for money for all the three motives i.e. (I) transaction motive (II) precautionary motive and (III) speculative motive.

In fig. 3 (A) transaction and precautionary demand for money is shown. AB is the demand curve which is perpendicular to X-axis. It indicates that rate of interest has no effect on it. In other words, with the increase or decrease in rate of interest demand for money remains stable.

In fig. 3(B) speculative demand for money is shown. JK is the demand curve which at point K becomes horizontal to X-axis. It signifies that rate of interest does affect the demand which is lower and vice-versa

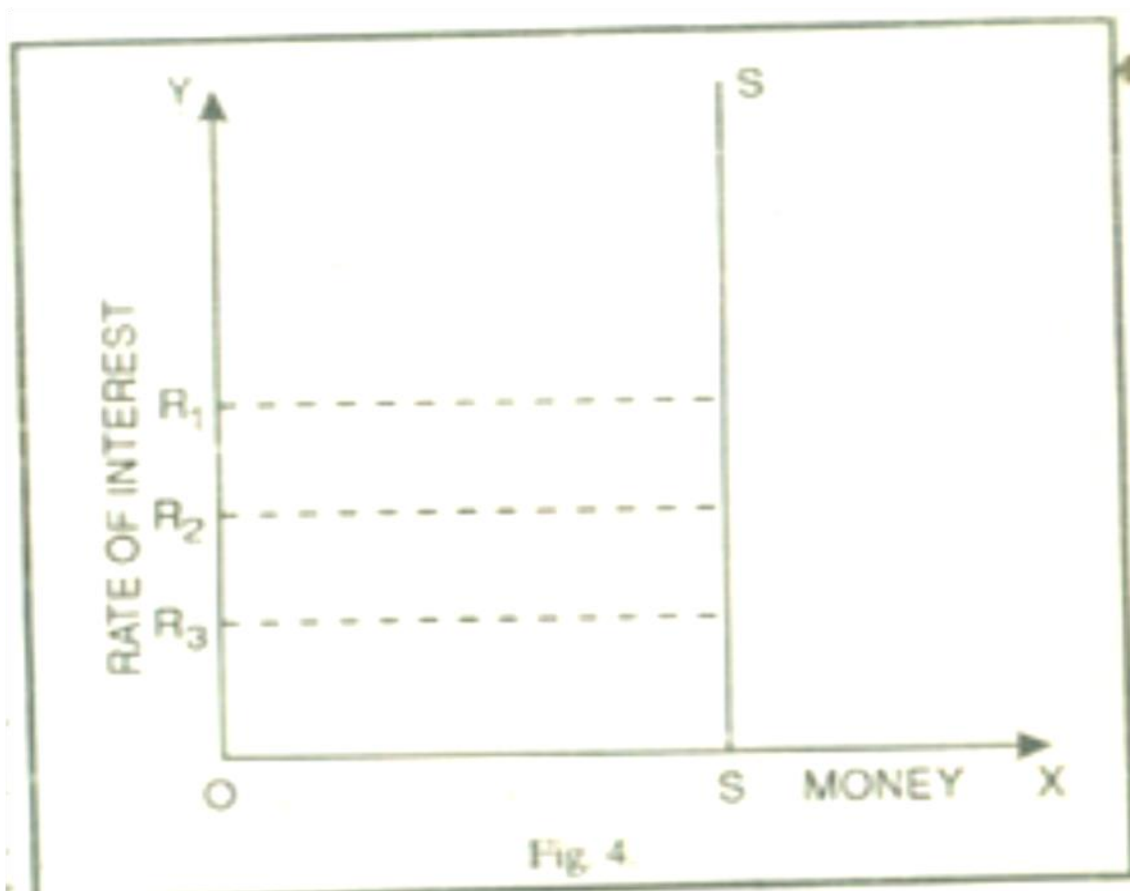
In fig. 3 (C) total demand for money is shown. It is the summation of transaction, precautionary and speculative demand for money. It is DD curve which at point M becomes horizontal to X-axis. This demand curve is known as liquidity preference curve.



9.7.2 Supply of Money

By supply of money is meant the sum total of currency and bank deposits held by non-banking public. The money supply in a country is determined by the monetary authority such as the central bank. Money supply is not related to the rate of interest. It is the need of the economy which will determine the quantity of money.

Therefore, the supply curve of money (M) is shown as a vertical line parallel to the ordinate (Y) axis as shown in Fig. 4.



Equilibrium Rate of Interest

According to Keynes, equilibrium rate of interest is determined at a point where demand for money is equal to supply of money.

$$MD (LP) = MS.$$

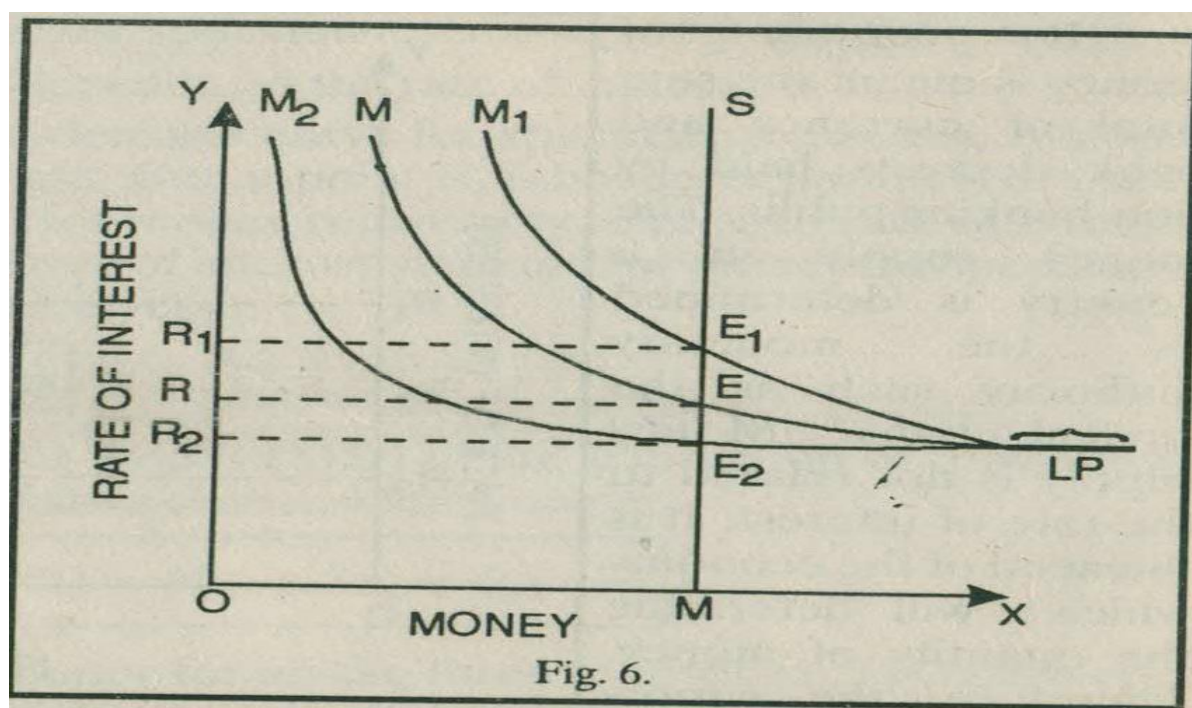
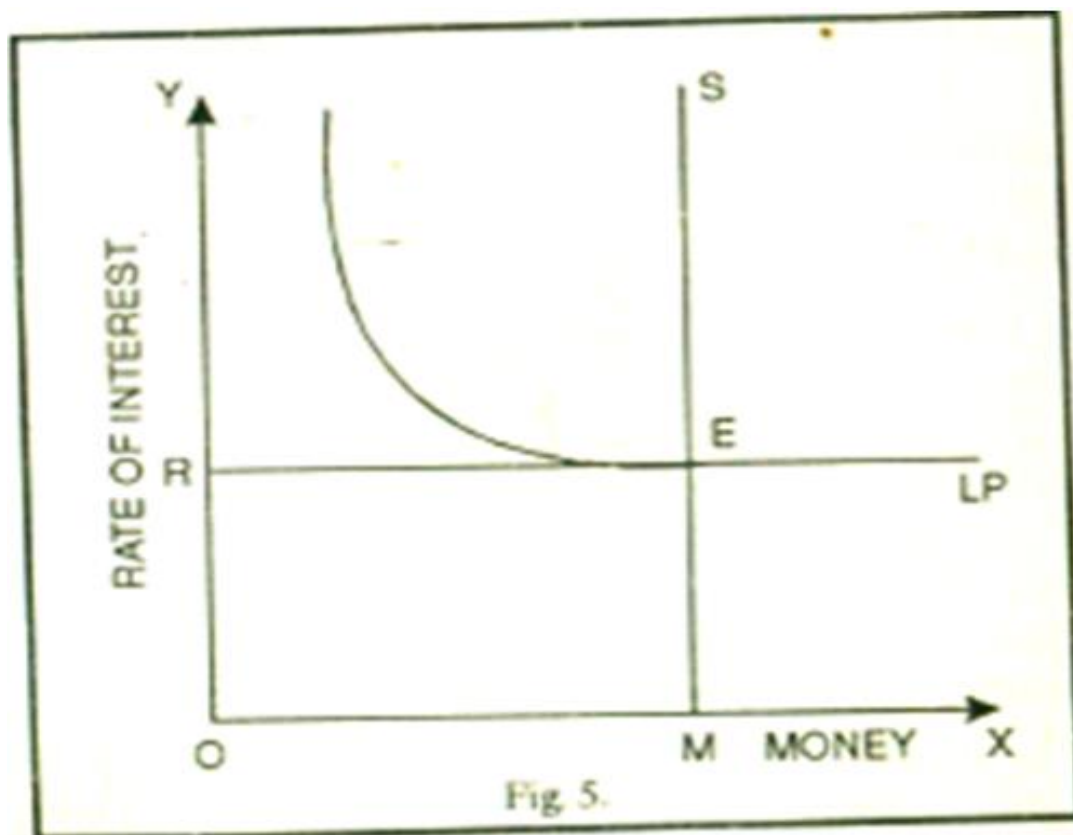
In fig. 5 MS is the supply curve of money where LP is the liquidity preference or demand curve for money. Both these curves intersect each other at point E which determines OR rate of interest. However, effect of change in demand for money and supply of money are explained as under.

Change in Demand for Money

If the supply of money remains constant, and as the liquidity preference for money increases rate of interest also increases and vice-versa.

In fig. 6 SM is the supply of money curve. M, M₁, M₂ are the demand for money curves. Now suppose that initially M is the demand curve. Here equilibrium is restored at point E where M curve cuts MS and or rate of interest is determined. If liquidity preference increases to M₁, new equilibrium will be at E₁ and the interest rate increases to OR₁. If contrary to this liquidity

preference curve falls to M_2 , equilibrium will be at point M_2 which will determine OR_2 interest rate.

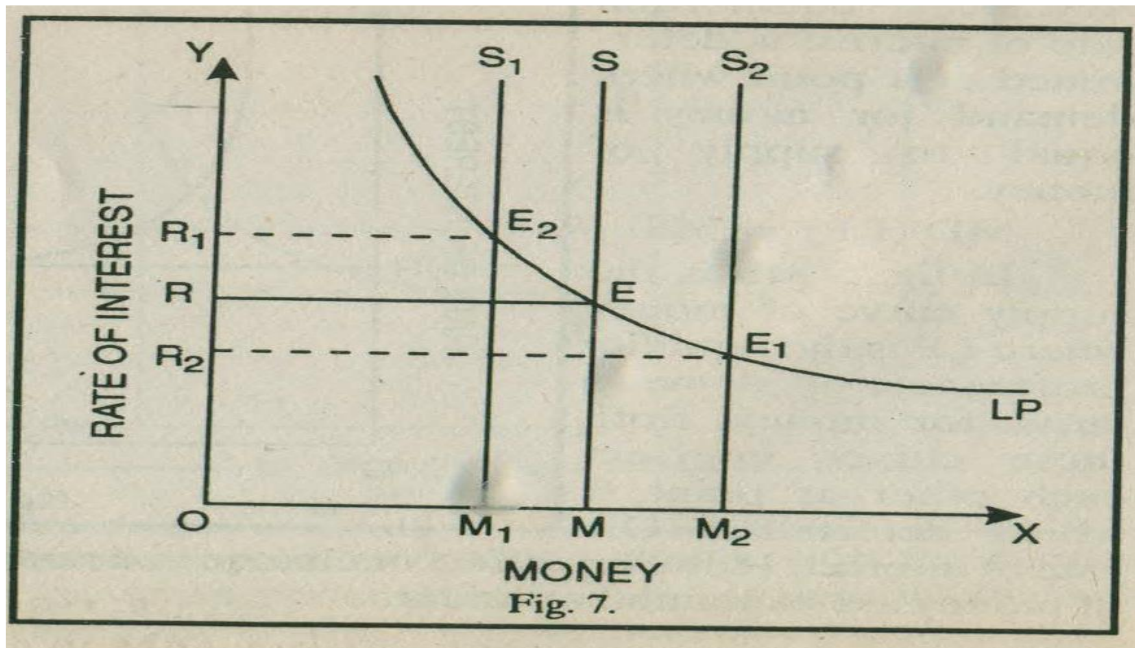


Change in the Supply of Money

If demand for money remains constant, as the supply of money increases, rate of interest decreases and vice-versa.

In fig. 7 LP is the liquidity preference curve while MS, M_1S_1 and M_2S_2 are the supply curves. In the beginning, MS is the supply curve which intersects demand curve at point E. Here equilibrium rate of interest is OR. Now if the supply of money decreases to M_1S_1 . Here LP curve cuts supply curve at E_2 . The equilibrium rate of interest is OR_1 .

On the other hand, if supply of money increases to S_2M_2 , equilibrium interest rate falls to OR_2 .



Main Points of the Theory

1. Interest is a monetary phenomenon and the rate of interest is determined by the intersection of demand for money and supply of money;
2. Given the supply of money, the rate of interest rises as the demand for money increases and falls as the demand for money decreases
3. Given the demand for money, the rate of interest falls as the supply of money increases and rises as the supply of money decreases
4. The rate of interest cannot be reduced beyond the lower limit set by the liquidity trap.

Check Your Progress- III

Q1. Explain transaction motive of money.

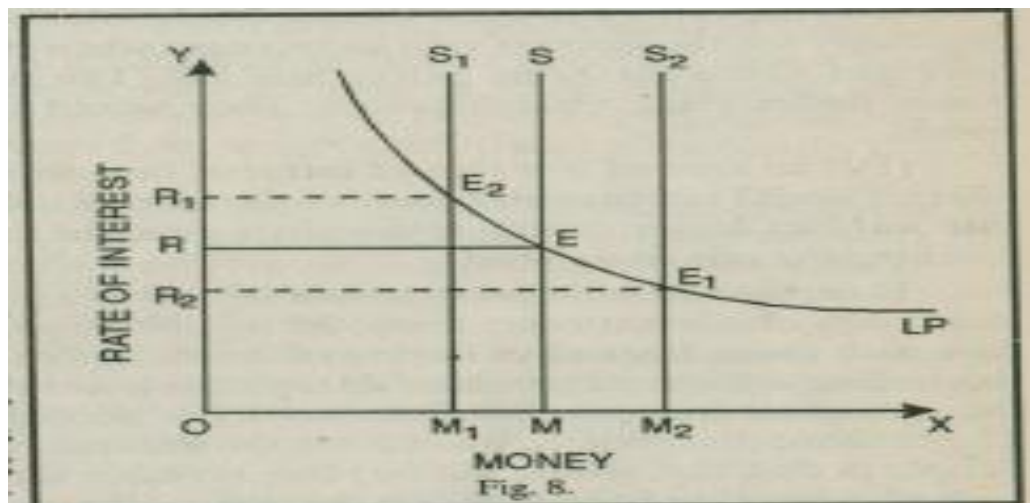
Ans.-----

Q2. Define speculative motive of money.

Ans.-----

9.8 Liquidity Trap

By liquidity trap, we mean a situation where the rate of interest cannot fall below a particular minimum level. It means rate of interest is always positive. It cannot be zero or negative. It can be shown with the help of fig. 8.



Along the X-axis is represented the speculative demand for money and along the Y-axis the rate of interest. The liquidity preference curve LP is downward sloping towards the right. It signifies that the higher the rate of interest, the lower the demand for speculative motive and vice-versa. Thus, at the high current rate of interest OR , a very small amount OM is held for speculative motive. This is because at a high current rate of interest much money would have been lent out or used for buying bonds and therefore less money will be kept as inactive balances. If the rate of interest rises to OR_1 then less amount OM_1 will be held under speculative motive. With the further fall in the rate of interest to OR_2 , money held under speculative motive increases to OM_2 . It will be seen in Fig. 9 that the liquidity preference curve LP becomes quite flat *i.e.*, perfectly elastic at a very low rate of interest.

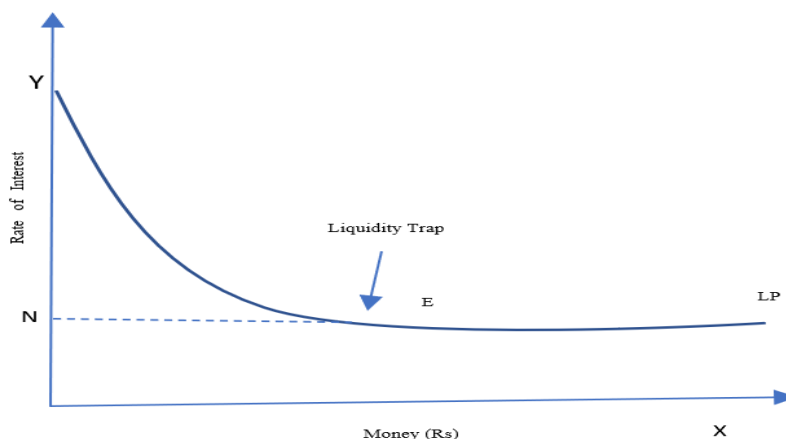


Figure 9

It is horizontal line beyond point E, towards the right. This perfectly elastic portion of liquidity preference curve indicates the position of absolute liquidity preference of the people. That is, at a very low rate of interest people will hold with them as inactive balances any amount of money they come to have. This portion of liquidity preferences curve with absolute liquidity preference is called liquidity trap by some economists.

$$M_1 = L_1 (Y)$$

Now let us examine why interest rate cannot fall below a particular level:

- A. substituting bonds for money, apart from loss of liquidity, also involves some cost and inconvenience. Some minimum return is required to offset this cost and inconvenience. When the interest rate is very low say zero, the lenders will not lend money.
- B. At the lowest possible interest rate, people will hold money rather than to make an investment in bonds or securities.
- C. The rate of interest cannot fall below floor level. There is every possibility for the interest rate to increase it has reached its lowest level and hence the bond prices may fall. The investors would not buy bonds under these circumstances. They would rather like to sell their bonds.
- D. In case of low rate of interest, investors hope that the rate of interest would increase and come to the natural level. A rise in the interest rate involves lesser capital losses than a rise in the rate of interest after reaching the minimum level.

Thus, the rate of interest cannot fall below a particular level. The minimum rate of interest represents the liquidity trap, where people keep all cash with them. Instead of buying of bonds and securities, they sell them. According to Keynes there of interest can never reach zero because once the rate of interest reaches floor level the people expect it to increase.

9.9 Importance of Liquidity Preference Theory

- 1. Importance of Money:** Keynes' liquidity preference theory of interest highlights the importance of money in the determination of the rate of interest. According to this theory, interest is a monetary phenomenon and the rate of interest is determined by the demand for and supply of money.
- 2. Importance of Liquidity Preference:** Liquidity preference or the demand for money has attained the special importance in Keynes' theory of interest refers to the desire of the people to hold their wealth in liquid form (i.e. to hold cash). Keynes gives three reasons for holding cash, i.e., the transactions motive, the precautionary motive, and the speculative motive. Interest has been considered as the reward for parting with liquidity. Thus, Keynes has laid

greater emphasis on the store of value function of money.

- 3. Importance of Speculative Demand:** Speculative demand for money or demand for idle balances is the unique Keynesian contribution. It means the demand for holding certain amount of cash in reserve to make speculative gains out of the purchase and sale of bonds through future changes in the rate of interest. According to Keynes, the rate of interest is determined by the decision as to how much saving should be held in money and how much allocated to bond purchase.
- 4. More Generalized:** The classical theory was a special theory applicable only to a full-employment situation. Keynes theory is more general in that it is applicable both to full as well as under employment situations.
- 5. Integrated Theory:** A great merit of Keynes theory is that it has integrated the theory of interest with the general theory of output and employment. Employment depends on the level of investment and inducement to invest is influenced apart from marginal efficiency of capital, by the rate of interest.
- 6. Integration with Price:** Keynes has integrated the theory of interest with the theory of price. The classical writers had unduly emphasized such real factors as abstinence and time preference. According to Keynes, interest is the price of money, and like the price of any commodity, it is determined by the demand for and supply of money.
- 7. More Practical:** The theory is of great practical significance also. The rate of interest depends on the demand for and supply of money. The supply of money is regulated by the government or the monetary authority of the country. Therefore, the government can greatly influence the rate of interest by regulating money supply. Also, through its liquidity trap hypothesis, the theory stresses the limitation of monetary authority in lowering the rate of interest beyond a certain level.
- 8. Long Term Vs Short Term Interest Rates:** According to Keynes, interest is a reward for parting with liquidity. The interest rate differs on debts of different lengths and maturities. The interest rate on daily loans will be different from the rates of interest on weekly, monthly and yearly loans. Debts of longer maturity like three, five or ten years will have different interest rates.

9.10 Criticisms/Shortcomings of Liquidity Preference Theory

The liquidity preference theory of interest has been widely criticized by Prof. Hansen, Don Patinkin and Hazlitt on the following bases:

- 1. No liquidity Without Savings:** Keynes argued that interest is the reward for parting with

liquidity. However, critics point out that without saving there can be no funds. The question of parting with liquidity arises only after we have saved money. If there are no savings, there is no parting with liquidity either. According to Prof. Hansen, "without savings there can be no liquidity to surrender. The rate of interest is the return for saving without liquidity."

2. **Real factors ignored:** It is observed that the rate of interest is not purely a monetary phenomenon. Real factors comprising of productivity and savings play an important role in the determination of the interest-rate. According to Keynes, interest is independent of the demand for investment funds whereas in reality cash balances of businessmen are greatly influenced by their demand for investment funds. The demand for investment funds depends on the marginal revenue productivity of capital. When marginal efficiency of capital is high, businessmen expect higher profits, there is greater demand for investment funds and so the rate of interest goes up. Similarly, if the propensity to consume of the people declines, savings would increase. Therefore, supply of funds in the market will increase which tend to lower the market rate of interest.
3. **Indeterminate:** Most economists have pointed out that like the classical and the neo-classical theories of interest, the liquidity preference theory is also indeterminate. According to Keynes, rate of interest is determined by the speculative demand for money and the supply of money available for speculative purposes. Given the total supply of money we cannot know how much is available for the speculative motive, unless we know what the transactions demand for money is. And we cannot know the transactions demand for money unless we first know the level of income
4. **Applicable to Advanced Countries:** Keynes theory of interest is applicable only to advanced countries where money is widely in circulation and the money market is well organized. It is only in such countries that people can choose among different types of securities. It does not apply to backward countries where the choice of assets is limited. It cannot be applied to a barter economy.
5. **Contradictory:** According to the theory, the rate of interest depends on liquidity preference. Greater the liquidity preference, higher is the rate of interest; smaller the liquidity preference, the lower is the rate of interest. However, it is noticed that during depression, people have high liquidity preference and yet the market rate of interest is low. Similarly, in times of inflation, peoples' liquidity preference is low but the rate of interest is high. These facts contradict with Keynes theory.

In the words of Prof. Hazlitt 'For if a man is holding his funds in the form of a time deposits or short-terms treasury bills, he is being paid interest on them, there he gets interest and liquidity

too. What becomes then of Keynesian theory that interest is the reward for parting with liquidity."

- 6. All or Nothing Theory:** Keynes assumes that the choice always lies between liquid cash and liquid bonds. The theory is, therefore, all or nothing theory. In reality, however, various investible assets, differing in liquidity, are available in the market. A person who has some savings does not want to either hold in cash or invest it in illiquid bonds. Instead, he keeps some cash, some liquid assets, and some illiquid assets. Keynes has thus unnecessarily separated the liquid from the illiquid assets for the determination of the interest-rate.
- 7. Hoarding:** Keynes in his theory has not explained the term hoarding properly. All those factors which raise propensity to hoard have not been explained by Keynes. On this account, we cannot call Keynes theory as complete.
- 8. Productivity of Capital:** Keynes theory ignores productivity of capital. According to critics, interest is not only the reward for parting with liquidity but it arises due to productivity of capital. Had the capital not been productive, no one had demanded it and, hence, paid no interest on capital.
- 9. Supply Side Ignored:** Keynes theory has limited validity from supply side also. It is not possible to reduce the rate of interest by increasing money supply and vice-versa. It is possible that when supply is increased, increase in liquidity preference in the same ratio may keep the interest rate unaffected.
- 10. Several Motives for Liquidity Preference:** According to Keynes, "interest is a reward for parting with liquidity. In reality, liquidity is kept not only for three motives. Practically, liquidity preference depends on money, and other factors like rate of savings, propensity to consume, marginal efficiency of capital etc. All these factors are completely ignored by Keynes.
- 11. Contrary to Facts:** Another defect of the theory is that liquidity preference theory goes directly contrary to the facts that it presumes to explain. According to this theory, the rate of interest should be the highest at the bottom of depression when, due to falling prices, people have great liquidity preference. But, in reality, rate of interest is the lowest at the bottom of a depression. On the contrary, according to the liquidity preference theory, the rate of interest should be the lowest at the peak of a boom when, due to general rise in incomes and prices, the liquidity preference of the people is the lowest. But generally, the interest rate is the highest at the peak of a boom. Hazlitt has observed Keynes liquidity preference theory as incomplete. According to him, "This type of demand and supply theory is not incorrect but it is superficial and incomplete." But this theory in modern economics occupies an important place because it

takes into account monetary factors in determining interest rate. There is always less than full employment in an economy. It is with the help of liquidity preference theory that full employment can be restored.

Check Your Progress- IV

Q1. Define liquidity trap.

Ans.-----

Q2. Give any two criticisms of liquidity preference theory.

Ans.-----

9.11 Summary

Quantity theory of money used to determine the general price level in the economy. As per Fishers theory of money, there is direct determination of price level on the basis of supply of money. Therefore, it has direct and proportional relationship between money supply and price level. i.e., if money supply doubles, price will double and as money supply is reduced to half, it will decline by the same amount. According to Fisher theory of money, total value of all the goods sold during a particular period is equal to the total quantity of money spent during that period. Another approach of quantity theory of money is cash balance approach. According to this theory it is not the total money, but that portion of cash balance that people spend which influence the price levels. Most of the people in the society hold a cash balance in their hands rather than spending the entire amount all at once. In liquidity theory of money, as given by Keynes, money does not directly affect the price level. A change in quantity of money lead to change in the rate of interest, which further lead to change in income, output and employment. Therefore, all these factors will lead to change in price of goods. In liquidity trap, we mean a situation where the rate of interest cannot fall below a particular minimum level. It means rate of interest is always positive.

9.12 Questions for Practice

A. Short Answer Type Questions

Q1. Distinguish Value of Money and Price Level.

Q2. What do you mean by Quantity theory of money?

Q3. Give the equations of cash balance approach under:

a. Pigou's equation

b. Keynes's equation

Q4. What do you mean by Liquidity Trap? Explain with diagram.

Q5. Define Liquidity Preference theory briefly.

Q6. Define demand and supply of money under liquidity preference theory.

Q7. Brief Note on

a. Precautionary Motive.

b. Speculative motive

Q8. Write the assumptions of Fisher's quantity theory of money.

Q9. Explain transaction equation of money with the help of diagram.

Q10. Why rate of interest cannot fall below a particular level under liquidity preference theory? Explain it.

B. Long Answer Type Questions

Q1. Critically explain Transaction Approach of Fisher's Theory of Money.

Q2. Discuss the Cambridge Equation or Cash Balance Approach of Theory of Money.

Q3. What do you mean by liquidity preference? Give its importance.

Q4. Critically examine Keynes's liquidity preference theory of money.

Q5. Write Similarities and dissimilarities of Transaction and cash Balance Approaches of Money.

9.13 Suggested Readings

- Money and Banking, by T.N. Hajela,
- Money and Banking by KPM Sundram.
- Money and Banking by Schuam Series, McGrawHill, Publishing Co. Ltd., New Delhi.
- Money Economics-Institutions, Theory and Policy by Suraj B Gupta
- Innovations in Banking Services by H.R. Suneja
- Monetary Economics: Institutions by Suraj B. Gupta

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 10: FUNCTIONS OF COMMERCIAL BANKS AND PROCESS OF CREDIT CREATION

STRUCTURE

10.0 Learning Objectives

10.1 Introduction

10.2 Meaning and Definition of Commercial Bank

10.3 Types of Banks

10.3.1 On the Basis of Reserve Bank Schedule

10.3.2 On the Basis of Ownership

10.3.3 On the Basis of Domicile

10.3.4 On the Basis of Functions

10.4 Functions of Commercial Banks

10.4.1 Basic Function

10.4.1.1 Accepting Deposits

10.4.1.2 Advancing Loans

10.4.1.3 Credit Creation

10.4.2 Agency Functions

10.4.3 General Utility Function

10.5 Summary

10.6 Questions for Practice

10.7 Suggested Readings

10.0 Learning Objectives

After reading this unit, learner will be able to:

- Know the meaning of commercial banks
- Describe the types of banks
- Understand the functions of banks

10.1 Introduction

As far as the origin of the present banking system in the world is concerned, the first bank called the "Bank of Venice" is believed to be established in Italy in the year 1157 to finance the monarch in his wars. The first bank in India was started in 1770 by the Alexander & Co., an English Agency as "Bank of Hindustan" which failed in 1782 due to the closure of the Agency House in India. The first bank in the modern sense was established in the Bengal Presidency as "Bank of Bengal" in the year 1806.

According to G. Crowther the modern banking has three ancestors in the history of banking in this world: -

- A. The Merchants
- B. The Goldsmiths
- C. The Money Lenders

A. The Merchants

It was the merchant bankers who first evolved the system of banking as the trading activities required remittances of money from one place to another place which is one of the important functions of a bank even now. Because of the possibility of theft of money during physical transportation of money, the traders began to issue the documents which were taken as titles of money. This system gave rise to the institution of "Hundi" which means a letter of transfer whereby a merchant directs another merchant to pay the bearer of hundi the specified amount of money in the Hundi and debit this amount against the drawer of Hui

B. The Goldsmiths

The second stage in the growth of banking was the role of goldsmiths. The business of goldsmiths was such that he had to secure safe to protect the gold against theft and take special precautions. In a period when paper was not in circulation and the money consisted of gold and silver,

the people started leaving their precious bullion and coins in the custody of goldsmiths. As this practice spread, the goldsmiths started charging something for taking care of the gold and silver. As the evidence of receiving valuables, he started to issue a receipt. Since the gold and silver coins had no mark of the owners, the goldsmiths started lending them. The goldsmiths were prepared to issue an equal amount of gold or silver money to the receipt holder, the goldsmith receipts became like cheques as a medium of exchange and a means of payment by one merchant to the other merchant.

C. The Money Lenders

The third stage in the growth of banking system is the changing of the character of goldsmiths into that of the money lenders. With the passing of time and "on the basis of experience the goldsmiths found that the withdrawals of coins were much less than the deposits with them and it not necessary to hold the whole of the coins with them. After keeping the contingency reserve, the goldsmiths started advancing the coins on loan by charging interest. In this way the goldsmith money lender became a banker who started performing two important functions of the modern banking system that of accepting deposits and advancing loans. The only difference is that now it is the paper money and then it was gold or silver coins.

10.2 Meaning and Definition of Commercial Bank

It is very difficult to give a precise definition of a bank due to the fact that a modern bank performs a variety of functions. Ordinarily a 'Bank' is an institution which deals with the money and credit in such a manner that it accepts deposits from the public and makes the surplus funds available to those who need them, and helps in remitting money from one place to another safely. Different economists have given different definitions of a bank. Some of the important definitions are as under:

According to G. Crother "*A bank collects money from those who have it to spare or who are saving it out of their incomes, and it lends this money to those who require it.*"

As per R.P. Kent "*A bank is an organization whose principal operations are concerned with the accumulation of the temporarily idle money of the general public for the purpose of advancing to other for expenditure.*"

From these definitions it can be concluded that a bank in the modern times refers to an institution which is having the following features:

- A. That it is a commercial institution - earning profits
- B. That it deals with money - accepts deposits from public and advances loans to the needy borrowers.

- C. That it deals with credit - it has the ability to create credit.
- D. That it creates demand deposits - which serves as a medium of exchange and manages the payment system of the country.

Therefore, an ideal definition of a bank can be given as under:

A bank is a commercial establishment which deals in debts and aims at earning profits by accepting deposits from general public at large, which is repayable on demand or otherwise through cheques or bank drafts and otherwise which are used for lending to the borrowers or invested in Government securities.

10.3 Types of Banks

Banks are of various types and can be classified: on the basis of reserve bank schedule, on the basis of ownership, on the basis of domicile and basic functions. These types of banks explain below:

10.3.1 On the basis of Reserve Bank Schedule

Banks can be of the following two types on the basis of Second Schedule of the Reserve Bank of India Act, 1934. i.e., Scheduled Banks and Non-scheduled Banks.

- A. Scheduled Banks:** All those banks which are included in the list of Schedule Second of the Reserve Bank of India are called the Scheduled Banks. Only those banks are included in the list of scheduled banks which satisfy the following conditions:
 - a. That it must have a paid-up capital and reserves of Rs.5 lakhs.
 - b. That it must ensure the Reserve Bank that its operations are not detrimental to the interest of the depositors.
 - c. That it must be a corporation or a cooperative society and not a single owner firm or a partnership firm.
- B. Non-scheduled Banks:** The banks which are not included in the Second Schedule of the Reserve Bank of India Act, 1934 are called non-scheduled banks. They are not included in the second schedule because they do not fulfill the three pre conditions laid down in the act to qualify for the induction in the second schedule.

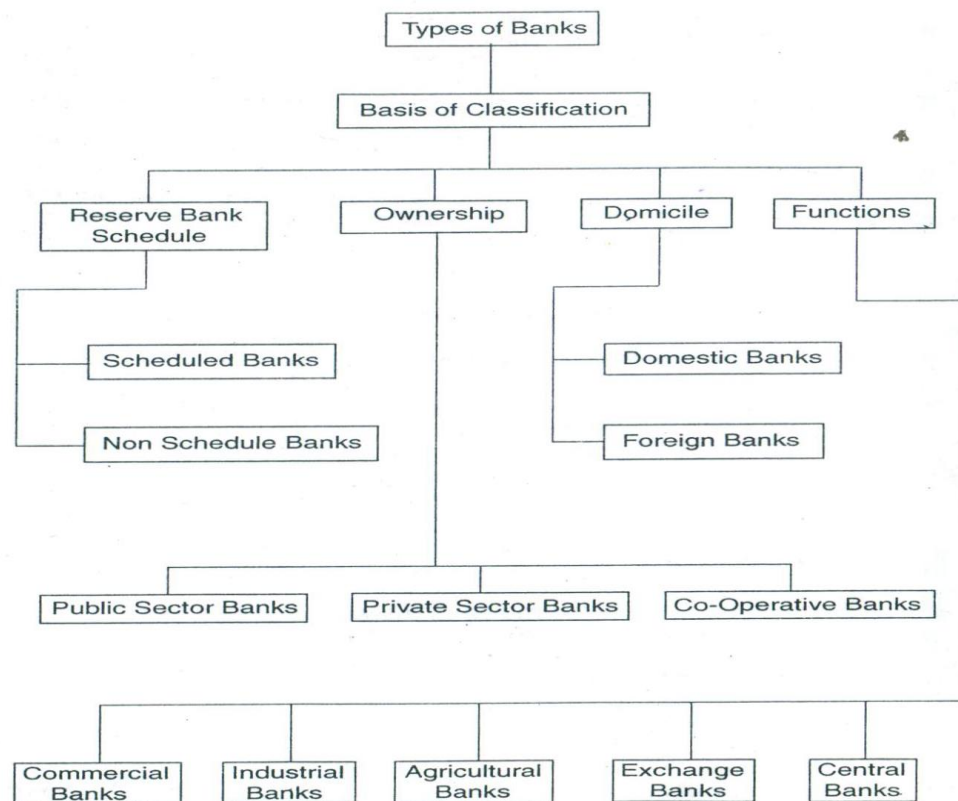
10.3.2 On the Basis of Ownership

Banks can be classified on the basis of ownership in the following categories:

- A. Public Sector Banks:** The banks which are owned or controlled by the Government are called

"Public Sector Banks" 1955 the first public sector commercial bank was established by passing a special Act of Parliament which is known as State Bank of India. Subsequently the Government took over the majority of shares of other State Banks which were operating at the state levels namely State Bank of Patiala, State Bank of Bikaner & Jaipur, State Bank of Travancore, State Bank of Mysore, State Bank of Indore, State Bank of Saurashtra and State Bank of Hyderabad presently working as subsidiaries of State Bank of India.

In the field of banking, the expansion of public sector was marked with the nationalization of 14 major commercial banks by Mrs. Indira Gandhi on July 19, 1969 through an ordinance with the deposits Rs.50 crores each. Again, on April 15, 1980 another group of 6 commercial banks were nationalized with the deposits Rs.200 crores each, resulting in the total of 20 such banks. But due to the merger of New Bank of India with the Punjab National Bank in 1993-94, the number of nationalized banks has been reduced to 19. The State Bank of India and its seven subsidiaries had already been nationalized. The progressive nationalization of banks has increased the role of public sector ranking in the country. In 1996 these nationalized commercial banks and 31,055 branches all over India whereas State Bank of India and its subsidiaries alone had 12,903 branches.



At present there are 27 Public Sector Banks (1 State Bank of India +7 Subsidiaries of State Bank +19 Nationalized Banks). The regional Rural Banks are also covered under the category of Public Sector Banks. At present there are 196 Regional Rural Banks in India.

Under the new liberalization policy of the Government, The Oriental Bank of Commerce, State Bank of India, Corporation Bank, Bank of India and Bank of Baroda have offered their share to the general public and financial institutions and therefore these banks are no longer owned by Government of India. Although majority of the shares are still with the Government, therefore these are still public sector banks.

B. Private Sector Banks: On the contrary Private Sector Banks are those banks which are owned and controlled by the private sector i.e., private individuals and corporations. The private sector played a strategic role in the growth of bank stock banks in India. In 1951 there were in all 566 private sector banks of which 92 banks were scheduled banks and the remaining 474 were non-scheduled banks. At that time there was not even a single public sector bank. With the nationalization of banks in 1969 and 1980 neither role in commercial banking had declined considerably. Since then, the number of private sector banks is decreasing and the number of public sector banks is increasing. However the following known private sector banks continued to operate in the banking sector (Total there are 25 such banks operating in India):

- 1.The Federal Bank Ltd.
- 2.The Nedungadi Bank Ltd.
- 3.Bharat Overseas Bank Ltd.
- 4.Lord Krishna Bank Ltd.
- 5.The Laxmi Vilas Bank Ltd.
- 6.The Vysya Bank Ltd.
- 7.The Jammu & Kashmir Bank Ltd.
- 8.The South India Bank Ltd.
- 9.The Karur Vysa Bank Ltd.

Private sector banks include Foreign Banks, Scheduled Commercial Banks and Non-Scheduled Commercial Banks. The Government of India set-up a nine-member committee under the chairmanship of Sh. Narsimham, former Governor of Reserve Bank of India, to examine the structure and functioning of the existing financial system of India and

suggest financial sector reforms. According to Committee report which was submitted to the parliament on December 17, 1991, the private sector banks should be allowed to be established in India. But the minimum capital of new private sector banks should be at least Rs.100 crore. Thereafter a number of private commercial banks have been established in India. At present the major private sector banks established in India are:

1. UTI Bank Ltd.
2. HDFC Bank Ltd.
3. IDBI Bank Ltd.
4. Times Bank Ltd.
5. IndusInd Bank Ltd.
6. Bank of Punjab Ltd.
7. Centurion Bank Ltd.
8. Global Trust Bank Ltd.
9. Development Credit Bank Ltd.
10. ICICI Banking Corporation Ltd.

Till March 1996 all these private sector banks had 76 branches. Existing private sector banks have been assured that they will be allowed to expand their activities without any fear of nationalization.

- C. Co-operative Banks:** The word cooperation stands for working together. Therefore, co-operative banking means an institution which is established on the principle of cooperation dealing in ordinary banking business. Cooperative banks are special type of banks doing ordinary banking business in which the members cooperate with each other for the promotion of their common economic interests.

Features of Cooperative Banking

Following are the distinguishing main features of a cooperative bank: -

1. Membership of Cooperative Banks is voluntary.
2. Functions of a Cooperative Bank are common banking functions.
3. Organization and management of a Cooperative Bank is based on democratic principles.
4. Main objectives of a Cooperative bank are to promote economic, social and moral development of its members.
5. Basic principle of Cooperative Bank is equality.

Therefore, we can conclude and define a cooperative bank as under:

"Cooperative Bank is an institution established on cooperative basis which deals in ordinary banking business for the promotion of economic, social and moral development of its members on the principle of equality."

The short-term agricultural credit institutions cater to the short term financial needs of the agriculturists which have the following three tier federal structure:

- a) At the Village level : Primary Agricultural Credit Societies.
- b) At the District level : Central Cooperative Banks.
- c) At the State level : State Cooperative Banks.

10.3.3 On the Basis of Domicile

The banks can be classified into the following two categories on the basis of domicile:

A. Domestic Banks: Those banks which are incorporated and registered in the India are called domestic banks.

B. Foreign Banks: Foreign Banks are those banks which are set up in a foreign country with their control and management in the hands of head office in their country of origin but having business branches in India. Foreign Banks are also known as Foreign Exchange Banks or Exchange Banks. Traditionally these banks were set up for financing the foreign trade in India and discounting the foreign exchange bills. But now these banks are also accepting deposits and making advances like other commercial banks in India. Notable leading foreign banks in India are:

- i) ANZ Grindlay's Bank having 56 branches in India.
- ii) The Standard & Chartered Bank with 24 branches in India.
- iii) Hongkong Bank having 21 branches in India.
- iv) American Express Bank.
- v) Citi Bank.
- vi) Bank of America and others foreign banks.

Check Your Progress- I

Q1: Define the term bank.

Ans.-----

Q2: Define public sector banks.

Ans.-----

Q3. What do you mean by scheduled banks?

Ans.-----

10.3.4 On the Basis of Functions

The banks can be classified on the basis of functions in the following categories:

- 1. Commercial Banks:** Commercial banks are those banks which perform all kinds of banking business and functions like accepting deposits, advancing loans short term loans, credit creation, and agency functions for their customers. Since their major portion of the deposits are for the short period, they advance only short term and medium-term loans for business, trade and commerce. Majority of the commercial banks are in the public sector. Of late they have started giving long term loans also to compete in the commercial money market. These commercial banks are also called joint stock banks because they are constituted and organised in the same manner as the joint stock companies are constituted. Major commercial banks operating in India are as under:

State Bank of India & Its Subsidiaries	Nationalized Banks
1. State Bank of India.	1. UCO Bank.
2. State Bank of Mysore.	2. Dena Bank.
3. State Bank of Indore.	3. Indian Bank.
4. State Bank of Patiala.	4. Canara Bank.
5. State Bank of Hyderabad.	5. Vijaya Bank.
6. State Bank of Travancore.	6. Andhra Bank.
7. State Bank of Saurashtra.	7. Syndicate Bank.
8. State Bank of Bikaner and Jaipur.	8. Allahabad Bank.
	9. Bank of India.
	10. Bank of Baroda.
	11. Corporation Bank.
	12. Bank of Maharashtra.

	13. Punjab National Bank.
	14. Punjab and Sind Bank.
	15. Union Bank of India.
	16. United Bank of India.
	17. Indian Overseas Bank.
	18. Central Bank of India.
	19. Oriental Bank of Commerce.

2. Industrial Banks: The Industrial banks are those banks which provide medium term and long-term finance to the industries for the purchase of Land and Building, Plant and Machinery and other industrial equipment. They also underwrite the shares and debentures of the industries and also subscribe to them. The main functions of an Industrial Banks are as follows:

- A. They provide long term finance to the industries to purchase Land and Buildings, Plant and Machinery and construction of factory buildings.
- B. They also accept long term deposits.
- C. The under write the shares and debentures of the industry and sometimes subscribe to them.

In India there are number of financial institutions which perform the functions of an Industrial Bank. Major financial institutions are as under: -

- A. Industrial Development Bank of India (IDBI).
- B. Industrial Finance Corporation of India (IFCI).
- C. Industrial Credit and Investment Corporation of India (ICICI) and
- D. State Industrial Development Corporations such as Punjab State Industrial Development Corporation (PSIDC).

3. Agriculture Banks: The needs of agricultural credit are different from that of industry, business, trade and commerce. Commercial banks and Industrial banks do not deal with agriculture credit financing. An agriculturist has both types of needs:

- i) He requires short term credit to purchase seeds, fertilizers and other inputs and
- ii) He also requires long term credit to purchase land, to make permanent improvement on land, to purchase agricultural machinery and equipment such as tractors etc.

Agricultural credit is generally provided in India by the Cooperative institutions. The

Cooperative Agricultural Credit Institutions are divided into two categories: -

A. Short term agricultural credit institutions

The short-term agricultural credit institutions cater to the short-term financial needs of the agriculturists which have the following three tier federal structure:

- a) At the Village level: Primary Agricultural Credit Societies,
- b) At the District level: Central Cooperative Banks
- c) At the State level: State Cooperative Banks.

B. Long term agricultural credit institutions

The long-term agricultural credit is provided by the Land Development Banks which were earlier known as Land Mortgage Banks. The land development banks provide long term to agriculturists for a period ranging from 5 years to 25 years.

- 4. Exchange Banks:** The exchange banks are those banks which deal in foreign exchange and specialized in financing the foreign trade. Therefore, they are also called foreign exchange banks. Foreign Exchange Banks are those banks which are set up in a foreign country with their control and management in the hands of head office in their country of origin but having business branches in India. Notable leading foreign exchange banks in India are:

- i) ANZ Grindlay's Bank having 56 branches in India, Head office in England
- ii) The Standard & Chartered Bank with 24 branches in India, Head office in England.
- iii) Hongkong Bank having 21 branches in India, Head office in Hongkong.
- iv) American Express Bank with Head office in United States of America.
- v) Citi Bank with Head office in United States of America.
- vi) Bank of America with Head office in United States of America.

- 5. Central Bank:** The Central Bank is the apex bank of a country which controls, regulates and supervises the banking, monetary and credit system of the country. The Central Bank is owned and controlled by the Government of the country. The Reserve Bank Of India is the Central Bank in India.

The important functions of central bank are as follows: -

- i) It acts as banker to the Government of the country.
- ii) It also acts as agent and financial advisor to the Government of the country.
- iii) It has the monopoly to issue currency of the country.

- iv) It serves as the lender of the last resort.
- v) It acts as the clearing house and keeps cash reserves of commercial banks.

Check Your Progress- II

Q1. Define industrial banks.

Ans.-----

Q2. What do you mean by agricultural banks?

Ans.-----

10.4 Functions of Commercial Banks

The Commercial Banks perform a variety of functions which can be divided in the following three categories: -

- Basic Functions.
- Agency Functions.
- General Utility Functions.

10.4.1 Basic Functions

The basic functions of bank are those functions without performing which an institution cannot be called a banking institution at all. That is why these functions are also called primary or acid test functions of a bank. The basic/primary/acid test functions of a bank are:

- a) Accepting Deposits
- b) Advancing of Loans.
- c) Credit creation.

10.4.1.1 Accepting Deposits

The first and the most important function of a bank are to accept deposits from those people who can save and spare for the safe custody with the bankers. It serves two purposes for the customers. On one hand their money is safe with the bank without any fear of theft and on the other hand they also earn interest as per the kind of saving they have made. For this purpose, the banks have different kinds of deposit accounts to attract the people which are as under:

- 1) **Saving Deposit Account:** The Saving Bank Account is the most common bank account being utilized by the general public. The basic purposes of this account are to mobilize the small savings of the general public. Certain restrictions are imposed on the depositors regarding the number of withdrawals and amount to be withdrawn in a given period of time. Generally, the rate of interest paid by the bank on these deposits is low as compared to recurring or fixed deposit accounts. Cheque facility is also provided to the depositors with certain extra restrictions on the depositors. One of the conditions is that the depositor shall have to maintain a minimum balance in the account say Rs.500 which is otherwise very low in the case of an account without the facility of the cheque book, say Rs.20 only. Some service charges are also imposed if the depositor uses the cheque facility at large levels.
- 2) **Fixed Deposit Account:** This is an account where money can be deposited for a fixed period of time say One Year or Two years or Three Years or Five Years and so on. Once the money is deposited for a fixed period of time, the depositor is prohibited from withdrawal of money from the bank before the expiry of the stipulated period of time. The basic advantage to the customer is that he is offered interest at the higher rate of interest and the banker is free to utilize the money for that fixed period. But where a customer is in need of money in any contingency or emergency, the bank also has the facility to provide loan against the fixed deposit receipt at liberal terms and conditions. Even if a customer insists on the withdrawal of his money the fixed deposit receipt can also be encashed before the expiry of the stipulated period of time with the condition that the customer shall not be entitled to higher rate of interest, but the customer is allowed that rate of interest which is applicable on the saving deposit account as if the amount was deposited in the savings account.
- 3) **Current Deposit Account:** In the savings bank account, there are restrictions on the number of withdrawals that can be made in a day or a week or a month. Therefore, it does not suit to the needs of traders and businessmen who have to make several payments daily and deposits money in a similar manner. Therefore, there is a facility for them in the shape of another account called Current Deposit Account. These accounts are generally maintained by the traders and businessmen who have to make a number of payments every day. Money from this account can be withdrawn by the account holder as many times as desired by the customer. Normally bank does not pay any interest on these current accounts, rather some incidental charges are charged by the banker as service charges. These accounts are also called demand deposits or demand liabilities.

The facility of Over Drafts is providing to the traders through these current accounts for which the banks charge interest on the outstanding balance of the customers. A limit is fixed by the bankers for withdrawal of over drafts and the customer is not allowed to withdraw more than that limit from his O/D current account. Say if a trader has an O/D limit of Rs. 100,000. with a bank, he can withdraw money upto Rs. 1,00,000 from the bank without depositing any money with the bank. But he cannot withdraw more than Rs.1,00,000. He shall have to pay interest on such withdrawals.

- 4) **Recurring Deposit Account:** To encourage regular savings by the general public, another account is opened in the banks called Recurring Deposit Account. This account is preferred by the fixed income group, because a particular amount fixed at the time of opening the account has to be deposited in the account every month for a stipulated period of time. Say Rs.500 per month for a period of three years. In this case the customer is bound to deposit Rs.500 per month regularly for a period of three years. Generally the bank pays rate of interest higher than that of a saving account and just equal to the fixed deposit account on such recurring deposit accounts. The withdrawal of money is allowed only after the stipulated period of time along with the interest. Rather the account stands closed at the end of the stipulated period of time. In this case also the bank provides a facility to withdraw the money before the stipulated period of time in the case of any emergency. The bank shall allow rate of interest which is applicable on saving bank account in case the customer want to close the account before then stipulated period of time.
- 5) **Home Loan Account:** Home loan account facility has been introduced in some scheduled commercial banks to encourage savings for the purchasing of or construction of a house to live. In this account the customer is required to deposit a particular amount per month or half yearly or even yearly for a period of five years. After the stipulated period bank provide three to five times of the deposited amount a loan to the subscribers to purchase or construct a house. Rate of interest is also very attractive on this account nearly equal to that of the fixed deposit account. Even the rebate of Income Tax is also available on the amount contributed in this account under Section 88 of the Income Tax Act, 1961. Facility to close the account after the stipulated period of time is also allowed.

10.4.1.2 Advancing of Loans

Advancing of loans is the second acid test function of the commercial banks. After keeping

certain cash reserves, the banks lend their deposits to the needy borrowers. It is one of the primary functions with out Which an institution cannot be called a bank. The bank lends a certain percentage of the cash lying in the deposits on a higher rate of interest than it pays on such deposits. The longer is the period for which the loan is required the higher is the rate of interest. Similarly higher the amount of loan, the higher shall be the rate of interest. Before advancing the loans, the bank satisfies themselves about cheque credit worthiness of the borrowers. This is how a bank earns profits and carries on its banking business. There are various types of loans which are provided by the banks to the borrowers. Some of the important ways of advancing loans are as under: -

- 1) **Call Money Advances:** The Call Money Market which is also known as inter-bank call money market deals with very short period loans called call loans. The Call Money Market is a very important constituent of the organized money market which functions as an immediate source of very short term loans. The major suppliers of the funds in the call money market are All Commercial Banks, State Bank of India (SBI), Life Insurance Corporation of India (LIC), General Insurance Corporation (GIC), Unit Trust of India (UTI) and Industrial Development Bank of India (IDBI) and the major borrowers are the Scheduled Commercial Banks. No collateral securities are required against these call money market loans.

As the participants are mostly banks, it is also called inter-bank call money market. The Scheduled Commercial Banks use their surplus funds to lend for very short period to the bill brokers. The bill brokers and dealers in stock exchanges generally borrow money at call from the commercial banks. The bill brokers in turn use them to discount or purchase the bills. Such funds are borrowed at the call rate which varies with the volume of funds lent by the commercial banks. When the brokers are asked to pay off the loans immediately, then they borrow from SBI, LIC, GIC, and UTI etc. These loans are granted by the commercial banks for a very short period, not exceeding Seven Days in any case. The borrowers have to repay the loan immediately whenever the lender bank calls them back.

- 2) **Cash Credits:** This is a type of loan which is provided to thy businessmen against their current assets such as Shares, Stocks, Bonds etc. These loans are not based on credit worthiness or personal security of the customers. The bank provides this loan through opening an account in the name of the customer and allows them to withdraw borrowed amount of loan from time to time up to the limit

fixed by the bank which is determined by the value of security provided by the borrowers. Interest is charge only on the amount of money actually withdrawn from the banks and not on the amount of the sanctioned amount of loan.

In some other cases certain banks follow a different procedure for cash credits. The whole amount of loan is credited to the current account of the borrower. In case of a new customer a separate account is opened and amount of loan is transferred to it. The borrower is free to withdraw the money through cheques as and when required by the borrower. But in this case the borrower has to pay the interest on the whole amount credited in their accounts.

- 3) **Overdrafts:** The facility of Over Drafts is providing to the traders and businessmen through current accounts for which the banks charge interest on the outstanding balance of the customers. A limit is fixed by the bankers for withdrawal of over drafts and the customer is not allowed to withdraw more than that limit from his Over Draft Current Account. This facility is required by the traders and businessmen because they issue several cheques in a day and similarly deposits so many cheques daily in their current accounts. They may not be knowing at a particular day that whether there is a balance in the account or not and their issued cheques are not dishonored they are provided with the facility of overdrafts. Say if a trader has an Over Draft limit of Rs. 200,000 with a bank, he can withdraw money upto Rs. 2,00,000 from the bank without depositing any money with the bank. But he cannot withdraw more than Rs.2,00,000. He shall have to pay interest on such withdrawals.
- 4) **Discounting Bills of Exchange:** This is another popular type of lending by the commercial banks. A holder of a bill of exchange can get it discounted with a commercial bank. Bills of Exchange are also called the Commercial Bills and the market dealing with these bills is also called commercial bill market. Bills of exchange are those bills which are issued by the businessmen or firms in exchange of goods sold or purchased. The bill of exchange is a written unconditional order signed by the drawer (seller) requiring the drawee (buyer) to pay on demand or at a fixed future date, (usually three months after date written on the bill of exchange), a definite sum of money. After the bill has been drawn by the drawer (seller), it's accepted by the drawee (buyer) by countersigning the bill. Once the buyer puts his acceptance on the bill by signing it, it becomes a legal document. They are like postdated cheques issued by the buyers of goods for the goods received. The bill holder can get this bill discounted in the bill market if he wants the amount of the bill before its actual maturity.

These bills of exchange are discounted and re-discounted by the commercial banks for lending credit to the bill brokers or for borrowing from the central bank. The bill of exchange market is not properly developed in India. The Reserve Bank of India introduced the bill market scheme in 1952. Its main aim was to provide finance against bills of exchange for 90 days. The scheduled commercial banks were allowed to convert a part of their advances into promissory notes for 90 days for lodging as collateral security for advances from Reserve Bank.

In 1970 on the recommendations of Narsimham Committee, the Reserve Bank Of India introduced the Bill Re-discounting Scheme. Under this scheme, all licensed scheduled commercial banks are eligible to re-discount with Reserve Bank of India genuine trade bills arising out of actual sale or purchase of goods. Apart from the scheduled commercial banks, certain other financial institutions were also allowed to re- discount the bills. These financial institutions included LIC, GIC, UTI, IDBI, ICICI, IFCI, NABARD, SBI and CANBANK Mutual Fund.

- 5) **Term Loans:** Earlier the commercial banks were advancing only short-term loans. The commercial banks have also started advancing medium term and long-term loans. Now the maturity period of term loans is more than one year. The amount of the loan sanctioned is either paid to the borrower or it is credited to the account of the borrower in the bank. The interest is charged on the whole amount of loan sanctioned irrespective of the amount withdrawn by the borrower from his account. Repayment of the loan is accepted in lump sum or in the installments.

10.4.1.3 Credit Creation

Credit creation is one of the basic functions of a commercial bank. A bank differs from the other financial institutions because it can create credit. Like other financial institutions the commercial banks also aim at earning profits. For this purpose, they accept deposits and advance loans by keeping small cash in reserve for day-to-day transactions. In the layman's language when a bank advances a loan, the bank creates credit or deposit. Every bank loan creates an equivalent deposit in the bank. Therefore, the credit creation means multiple expansions of bank deposits. The word creation refers to the ability of the bank to expand deposits as a multiple of its reserves.

The credit creation refers to the unique power of the banks to multiply loans and advances, and hence deposits. With a little cash in hand, the banks can create additional purchasing power to a considerable extent. It is because of this multiple credit creation power that the commercial banks have

been named the "factories of creating credit" or manufacturers of money.

10.4.2 Agency Functions

The Commercial Banks also perform certain agency functions for and on behalf of their customers. The bank acts as the agent of the customer while performing these functions. Such services of the banks are called agency services. Some of the important agency services are as under:

- 1) **Remittance of Funds:** Commercial banks provide a safe remittance of funds of their customers from one place to another through cheques, bank drafts, telephone transfers etc.
- 2) **Collection and Payment of Credit Instruments:** The commercial banks used to collect and pay various negotiable instruments like cheques, bills of exchange, promissory notes, hundis, etc.
- 3) **Execution of Standing Orders:** The Commercial Banks also execute the standing orders and instructions of their customers for making various periodic payments like subscriptions, rents, insurance premiums and fees on behalf of the customers out of the accounts of their customers.
- 4) **Purchase and Sale of Securities:** The commercial banks also undertake the sale and purchase of securities like Shares, Stocks, Bonds, Debentures etc., on behalf of their customers performing the function as a broker agent.
- 5) **Collection of Dividends on Shares and Interest on Debentures:** Commercial banks also make collection of dividends announces by the companies of which the customer of the bank is a shareholder, and also collects the interest on the debentures which becomes due on particular dates generally half yearly or annually.
- 6) **Trustees and Executors of Wills:** The commercial Banks preserves the wills of their customers as their trustees and execute the wills after the death of the customer as per the will as the executors.
- 7) **Representation and Correspondence:** The commercial banks also act as the representative and correspondents of their customers and get passports, travelers' tickets, book vehicles and plots for their customers on the directions of the customers.

10.4.3 General Utility Functions

In addition to basic functions and agency functions the commercial banks also provide general utility services for their customers which are needed in the various walks of life and the commercial banks provide a helping hand in solving the general problems of the customers, like safety from loss or

theft and so many other facilities some of them are as under:

- 1. Locker Facility:** The commercial banks provide locker facility to its customers at very reasonable charges, which is not possible at the premises of the customers. The customers can avail the facility of lockers in different sizes according to the needs of the customers. The locker charge also varies with the size of the lockers. The customers can keep their valuables in it and important documents in these lockers for safety. Lockers can be operated in the usual business hour of the bank on all working days.
- 2. Traveler's Cheque Facility:** Where customers want to visit long distant places and also need money, they need not carry the money with them which is not safe during long distant journeys and there is always a fear of loss or theft during the journey. The commercial banks provide a unique facility through traveler's cheque. The customers can get traveler's cheques from the banks and travel without the fear of theft or loss of money. Where ever they need money they can approach the branch of the bank in that city and encash the traveler's cheque according to the need of the customer and keep the balance in traveler's cheques again.
- 3. Gift Cheque Facility:** Some commercial banks also provide the facility of issuing gift cheques in the denomination of different amounts according to the needs of the customers, say for Rs.11, 21, 51, 101, 501 and so on. This facility is provided for the special occasions for the customers and normally the banks do not charge anything for issuing these gift cheques.
- 4. Letter of Credit:** The commercial banks also help their customers by providing another unique service by providing the letter of credit in which the bank certifies the credit worthiness of the customers. These letters of credit are used in the long distant trade and specially in foreign trade where the parties do not know each other's and it is bank which provides the safety to them regarding their credit worthiness by issuing letter of credit.
- 5. Underwriting Contracts:** The commercial banks underwrite the securities issued by the public or private companies and Government securities. It is the reputation of the bank which matters in the underwriting contracts. Where the bank is a very reputed one, the investors shall not have any hesitation in investing the money in which their banker is the underwriter. In case the public do not purchase the securities, it is the underwriting bank which has to purchase the securities up to the amount of which the bank has underwritten.
- 6. Provide Statistical Data:** The commercial banks also help their customers by providing them important information through statistical data. Commercial banks collect statistical data in which

important information relating to industry, trade, commerce, money and banking is collected and published in their journals and bulletins containing research articles on the economic and financial matters. Such statistical data may be useful for the customers in dealing with their own business, trade or commerce.

- 7. Foreign Exchange Facilities:** The commercial banks also deal in the business of foreign currencies. These banks provide foreign exchange and also discount the foreign bills of exchange. Some commercial banks have also opened special branches for the foreign exchange services to the non-resilient Indians settled abroad.
- 8. Merchant Banking Services:** The commercial banks have also started providing merchant banking facilities. The Banking Commission Report, 1972 emphasized the need of creating specialized institutions to cater financial requirements of different sectors exclusively and examined the need of setting up merchant banking institutions. Commission recommended the setting up of merchant banking institutions. Consequently, in 1972 itself State Bank of India started its merchant banking division. Since then, a number of other commercial banks and financial institutions started their merchant banking divisions. Now the merchant banking firms in private sector have started gearing up to meet the challenge posed by commercial banks and financial institutions in the field of merchant banking in India.

Merchant Banking activities were regulated by guidelines of SEBI and Ministry of Finance, Companies Act, 1956, Securities Contract (Regulation) Act, 1956 and listing guidelines of stock exchanges in India. In December 1992, in its wisdom SEBI came out with Securities And Exchange Board of India (Merchant Banking) Regulations, 1992, a comprehensive enactment to regulate merchant banking activities in India.

Merchant Banking is no longer a monopoly of Institutional and Banker merchant bankers only. After SEBI (Merchant Bankers) Regulation 1992, merchant banking has been given a specific direction. Since their role in public issues is exhaustive and their responsibilities also huge, professional expertise is necessarily needed. In India the merchant banking activity can be divided basically amongst the following main segments:

- A. Financial Institutions like ICICI, IDBI, IFCI, and SIDBI floated merchant banking divisions.
- B. Public Sector Nationalized Commercial Banks promoted subsidiaries to carry out merchant banking activities like SBI Caps, PNB Caps and Canfinia etc.
- C. Foreign Banks promoted merchant banking divisions like Grindlays Bank, Standard

Chartered Bank Citi Bank and Honkong Bank etc.

D. Private sector merchant banker's corporate firms like JM Financials, Kodak Mahindra Finance, DSP Finance etc.

9. Acting as Referee: The commercial banks are the best source of seeking information about the creditworthiness of the customers. Banks may be referred for seeking information regarding credit worthiness, financial position, business reputation and respectability of their customers.

Check Your Progress- III

Q1. Define current deposit account in banks.

Ans-----

Q2. What do you mean by credit creation?

Ans-----

Q3. Mention the name of general utility functions of banks.

Ans-----

10.5 Summary

Bank is an institution which deals with the money and credit in such a manner that it accepts deposits from the public and makes the surplus funds available to those who need them, and helps in remitting money from one place to another safely. In other words, a bank is a commercial establishment which deals in debts and aims at earning profits by accepting deposits from general public at large, which is repayable on demand or otherwise through cheques or bank drafts and otherwise which are used for lending to the borrowers or invested in Government securities. As far as types of banks is concerned, based on reserve bank schedule (i.e., schedule banks and non-scheduled banks) ownership (i.e., public sector, private sector banks and co-operative banks), domicile (i.e., domestic and foreign banks) and functions (i.e., commercial banks, industrial banks, agricultural banks, exchange banks and central banks). In the context of functions of commercial banks, broadly divided into three parts: basic functions, agency functions and general utility functions. Basic functions consist of accepting loans, advancing loans and credit creation.

10.6 Questions for Practice

A. Short Answer Type Questions

- Q1. Write a note on the origin of banks.
- Q2. Give a comprehensive definition of a bank.
- Q3. What are the different types of banks?
- Q4. What are Scheduled Commercial Banks?
- Q5. Write a note on Private Sector Banks.
- Q6. Explain the functions of banks under advancing loans.
- Q7. What are the agency functions of banks?
- Q8. Write a note on Foreign Banks.
- Q9. What are Industrial Banks?
- Q10. What do you mean by credit creation?

B. Long Answer Type Questions

- Q1. Define a bank. Write a detailed note on types of banks on the basis of ownership.
- Q2. Write the classification of Commercial Banks.
- Q3. Explain the basic functions of Commercial Banks.
- Q4. Define the agency functions and general utility functions of banks.

10.7 Suggested Readings

- Money and Banking, by T.N. Hajela,
- Money and Banking by KPM Sundram
- Money and Banking by Schuam Series, McGrawHill Publishing Co. Ltd., New Delhi.
- Money Economics-Institutions, Theory and Policy by Suraj B Gupta
- Innovations in Banking Services by H.R. Suneja
- Monetary Economics: Institutions by Suraj B. Gupta.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: MACRO ECONOMICS

UNIT 11: MONETARY POLICY- OBJECTIVES AND TOOLS FISCAL POLICY - OBJECTIVES AND TOOLS

STRUCTURE

11.0 Learning Objectives

11.1 Introduction

11.2 Meaning of Monetary Policy

11.3 Objectives of Monetary Policy

11.4 Types of Monetary Policy

11.5 Tools or Instruments of Monetary Policy

11.6 Application of the tools of Monetary Policy to Achieve Objectives

11.7 Meaning of Fiscal Policy

11.8 Objectives of Fiscal Policy

11.9 Types and Various Combinations of Fiscal Policy

11.10 Tools or Instruments of Fiscal Policy

11.11 Application of the tools of Fiscal Policy to Achieve Objectives

11.12 Summary

11.13 Questions for Practice

11.14 Suggested Readings

11.0 Learning Objectives

After reading this unit, learner will be able to:

- Outline the concept of fiscal and monetary policy
- Know the objectives of fiscal and Monetary policy
- Use of tools of fiscal and Monetary policy for its objectives

11.1 Introduction

Macro Economic policies play crucial role in an economy. Fiscal Policy is a significant policy tool of economic framework of the economy. Fiscal Policy is the policy related to Public Revenues, Public Expenditures, Public Debts and also Deficit Financing by the government. Fiscal policy helps to mobilize the resources, allocation of resources, capital formation, rise in investment levels and alike. Fiscal Policy aims to promote development and productive activities. It includes both Development activities (like expenditure on infrastructure, transport, small scale industries etc.) and non-development activities (like salaries, pensions, subsidies etc.). Fiscal Policy provides incentives to private sector investment and production. Fiscal Policy is designed by the government of the country. For example, in India, the union finance minister formulates and deals with Fiscal policy through annual budget and other interventions.

11.2 Meaning of Monetary Policy

Monetary policy means the policy relating to supply of money, availability of money and cost of money. Through monetary policy, central bank regulates the supply of money, direction and cost (rate of interest) of money in the economy.

Harry, Johnson, “A policy employing the central banks control of supply of money as an instrument for achieving the objectives of general economic policy is a monetary policy.” G k Shaw, “By monetary policy, we mean any conscious action undertaken by the monetary authorities to change the quantity, availability or cost (rate of interest) of money.”

Aston, D.C. “Monetary policy involves the influence on the level and composition of aggregate demand by the manipulation of interest rates and availability of credit.”

These definitions explain the following points:

- a) Central bank or monetary authority operates monetary policy
- b) Regulation of quantity/ cost/ direction of money supply
- c) Influence on aggregate demand
- d) Specific objectives of monetary policy.

11.3 Objectives of Monetary Policy

1. **Achievement of Full Employment:** Generation of employment is a pertinent issue in all the economies especially in less developed economies. Monetary policy aims at generating

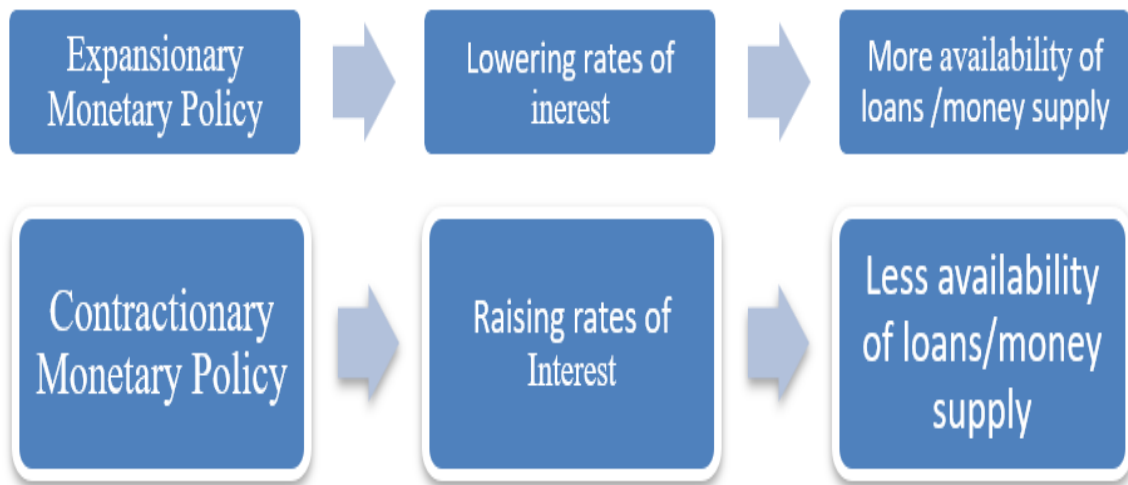
more employment through the expansion of AD, incomes and outputs. For this objective, central bank adopts 'cheap monetary policy/expansionary monetary policy' and lowers the rates of interest in order to increase the flow of credit for consumption and investments.

2. **Promote Economic Growth and Development:** Economic growth means the process by which the real national and real per capita income continue to rise for a long period of time. This process will enhance the production capacities, lead to skill formation and capital formation. Less developed economies face the problem of shortage of financial resources and less capital formation. Therefore, monetary policy aims to mobilize the financial resources for more investments and capital formation.
3. **Price Stability:** It refers to lessen the fluctuations in price level. The process of persistent rise in prices is called inflation. Greater flow of Money supply, higher AD and less production of goods are main causes of inflation. Inflation brings social injustice, inequality of income and wealth. It lowers the purchasing power of people and reduces consumption expenditures and AD. The process of falling prices called deflation is also harmful because it discourages investment and production. Monetary policy aims to correct both the situations by regulating money supply and rates of interest.
4. **Exchange Stability:** The issues relating foreign exchange rate, stock of foreign exchange reserves and balance of payments (BOP) are significant for the external price stability. The problems of shortage of foreign exchange reserves and adverse BOP can be solved with monetary policy.
5. **Equitable Distribution of Income and Wealth:** This objective of monetary policy relates to redistribution of national income in such a manner that more incomes and funds flow to the poorer sections of society. Monetary policy aims to provide more loans and funds at low rates of interest to marginalized sections, weaker sections, women and small investors for providing better opportunities of businesses, work and investment in industry and agriculture.

In short, monetary policy works in tune with the main objectives of economic policies and planning for growth and development.

11.4 Types of Monetary Policy

Following are the main types of monetary policy:



- A. Expansionary Monetary Policy:** Expansionary monetary policy expands the amount of money/credit supply available to consumers, producers and investors. Lowering of rates of interest makes the loans/credits cheaper. It encourages the consumers to borrow more for buying goods like cars, furniture, and house construction and provides boost to the investors to borrow more for starting up businesses, industries and trade activities. This raises the level of aggregate demand in the economy. As a result, levels of income output and employment start rising.
- B. Contractionary Monetary Policy:** Contractionary monetary policy restricts/contract the amount of money/credit supply available to consumers, producers and investors. Raising of rates of interest makes the loans/credits costlier. It discourages the consumers to borrow more for buying goods like cars, furniture, and house construction and restricts the investors to borrow more for starting up businesses, industries and trade activities. This reduces the level of aggregate demand in the economy. As a result, levels of income output and employment start shrinking.

Check Your Progress- IV

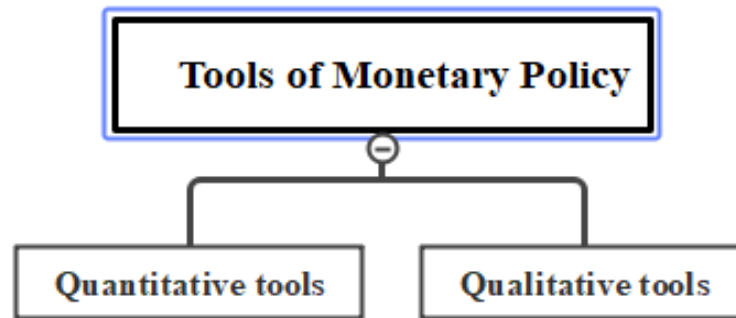
Q1. Define monetary policy.

Ans. -----

Q2. Outline the differences between liberal/cheap monetary policy and restrictive/dear monetary policy.

Ans. -----

11.5 Instruments/Tools of Monetary Policy



A. Quantitative Tools: Quantitative tools are those tools which target at changing the quantity of money supply in circulation. Generally, the use of such tools affects the entire economy. This is a non-discriminatory credit policy operated by central bank. Following are the main quantitative tools of monetary policy.

- Bank Rate;
- Open market operations;
- Cash reserve ratios (cash minimum reserve ratio and statutory liquidity ratio)

Let us analyze these tools in detail.

1. Bank Rate: It is defined as that rate of interest at which central bank lends to commercial banks and discounts the securities of banks. Bank rate is positively related to market rate of interest. Market rate of interest is the rate at which commercial banks give loans to the people (investors and consumers). A rise in bank rate increases the market rate of interest (called as Dear money policy or Restrictive monetary policy; and a fall in bank rate decreases the market rate of interest (called as Cheap money policy or Expansionary monetary policy). A rise in bank rate and market rate of interest brings a contraction in credit available to investors and consumers. A fall in bank rate and market rate of interest brings an expansion in credit available to investors and consumers.

2. Open Market Operations (Omo): This is the mechanism through which central bank sells and buys the securities in the open market. A) The sale of securities by the central bank to the public has a contractionary effect on money/credit supply in the economy (called as Dear

money policy or Restrictive monetary policy) because when people buy securities from central bank, their money is transferred to central bank. B) When central buys securities from people then money is transferred from central bank to people so that this has an expansionary effect (called as Cheap money policy or Expansionary monetary policy). However, the effectiveness of OMO depends on securities market, excess reserves with commercial banks and such other factors. In India, RBI changes the repo rate and Reverse repo rate. Repo rate is a rate at which commercial banks borrow money by selling their securities to RBI. Reverse repo rate is the rate at which RBI borrows money from commercial banks when there is excess money supply in the market. At the time of inflation, RBI raises the reverse repo rate so that banks give more of their funds to RBI to earn more returns. This has a contractionary effect.

3. Changes in Minimum Reserve Ratios:

- a. Minimum Cash Reserve Ratio (CRR):** It refers to the minimum percentage of the total deposits of each commercial bank which is to be kept with central bank. For example, every commercial bank will deposit/transfer this amount to central bank. This cannot be used by the commercial banks as advancing loans to the investors and consumers. It is a check on the lending capacity of the commercial banks. A higher cash minimum reserve ratio (called as Dear money policy or Restrictive monetary policy) leads to fall in the credit creation capacity of commercial banks through loans to investors and consumers; and a fall in this ratio expands the credit creation capacity of commercial banks (called as Cheap money policy or Expansionary monetary policy).
- b. Change in Statutory Liquidity Ratio (SLR):** It refers to the percent of total deposit of commercial banks which they have to keep in cash or liquid form. For example, every commercial bank will keep a fixed percent of its total deposits in cash and it will not be able to lend this money to investors and consumers. This ratio is a big check on the credit creation capacity of commercial banks. A higher statutory liquidity ratio (called as Dear money policy or Restrictive monetary policy) leads to fall in the credit creation capacity of commercial banks through loans to investors and consumers and a fall in statutory liquidity ratio expands the credit creation capacity of commercial banks (called as Cheap money policy or Expansionary monetary policy).

Remember: a) Expansionary monetary policy means fall in bank rate, buying of securities by central bank, fall in minimum cash reserve ratio and fall in statutory liquidity ratio; and b) Contractionary/restrictive monetary policy means rise in bank rate, selling of securities by central bank, rise in minimum cash reserve ratio and rise in statutory liquidity ratio.

B. Qualitative Tools/Selective Tools: Qualitative tools are used as discriminatory credit policy. These tools aim to change the direction of money supply. These tools are used to discriminate between different uses of credit. For example, more credit can be made available to agriculture and export sector and less to car manufacturing industry.

a. Change in the Margin Requirements of Loans: The central bank can raise or lower the margin requirements of loans. Margin is the difference between the value of goods pledged as security and amount of loan. It means that proportion of loan amount which is not offered by the bank. Higher margin means low amount of loan and lower margin means more amount of loan. This tool helps to divert financial resources from less important sectors to more and needy sectors. This is done by raising the margin requirements of loans for less important sectors and reducing it for more necessary sectors.

For example, lowering the margin requirements of loans for farmers/agriculture sector and raising it for production of cars.

b. Rationing of Credit: Central bank lends money to all the commercial banks. Under rationing, credit is advanced by putting a limit. Central bank can

- directly refuse to give loans;
- it can reduce the amount of loans;
- fix credit quotas for different banks; and
- it can fix quotas for various sectors. Central bank can regulate the consumer credit also.

c. Moral Persuasion by Central Bank: Central bank can suggest the commercial banks to work in coordination with the policies of central bank which are adopted time to time. In a way, central bank can exercise some pressure on commercial banks in order to achieve the objectives of monetary policy.

Remember: Central bank uses a judicious mixture of these tools for effective implementation of monetary policy. It can use a combination of tools to get the desired results.

Check Your Progress-V

Q1. What is the link between bank rate and market rate of interest?

Ans. -----

Q2. Mention the changes in quantitative tools, under expansionary monetary policy.

Ans. -----

Q3. What is rationing of credit?

Ans. -----

11.6 Applications of the Tools of Monetary Policy

Use of Monetary Policy for Internal and External Stability

1. To Control Inflation: During inflation, it is necessary to restrict money supply in the economy. For this, following tools can be used.

- (i) Application of quantitative tools such as increase in bank rate, sale of securities by central bank, increase in CRR and SLR.
- (ii) Qualitative tools can be used for reallocation of funds into more productive sectors such as increasing the margin requirements of loans and more rationing of credit.

One or all the tools can be used as per the requirements.

- (iii) Besides, central bank can prohibit the printing of new currency.

This will help to check the money supply in the economy because the above changes will discourage more borrowing by investors and consumers, leading to fall in AD and this will control the rising prices.

2. To Control Deflation: During deflation, it is necessary to expand money supply in the economy. For this, following tools can be used.

- a) Application of quantitative tools such as decrease in bank rate, purchase of securities by central bank, reduction in CRR and SLR.

- b) Qualitative tools can be used for reallocation of funds into more productive sectors such as lowering the margin requirements of loans and more credit to banks. This will ease the borrowings by people.

One or all the tools can be used as per the requirements.

- c) Besides, central bank can increase the printing of new currency.

This will help to enhance the money supply in the economy because the above changes will encourage more borrowing by investors and consumers. This will increase available money with consumers and investors. It will increase AD in the economy and control the falling prices.

3. Exchange Rate and Balance of Payments Position: In simple words, balance of payments (BOP) refers to the account of exports and imports. The deficit BOP means excess of imports over exports. This means more payments for imports are to be made in terms of foreign currency (say Dollar, \$). This raises the demand for foreign exchange (say Dollar, \$). As a result, the value of Dollar, \$ in terms of say, Rupee start rising. It means dollar\$ becomes more costly in exchange of Rupee. This worsens the BOP situation. To tackle this situation, central bank can use tools of monetary policy.

When there is deficit BOP (as sated above), following tools can be used as under.

- (i) Reduction in money supply to lower the level of domestic prices. This will make exports cheaper and lead to rise in demand for exports and discourage imports because cheap goods are available in the home country now. The deficit in BOP will become lesser, requiring less demand for foreign currency (say dollar\$).
- (ii) Lowering the rates of interest and making more credit/money supply available to domestic businesses and investors and foreign investors as well. The increased production of goods and services will lead to fall in demand for imported goods and less demand for foreign exchange.
- (iii) More credit available to exporters will also help to increase the export earnings. This will increase the inflow of foreign exchange in the country and will reduce the demand for foreign currency in world market.

Remember: The combination of different tools of monetary policy can be used such as combining OMO, CRR /SLR or qualitative tools.

Economic Growth and Development:

Let us first understand the process of economic development and growth. Economic growth/development is a continuous process whereby the real national income and real per capita income continue to rise for a long time period. This process requires rise in capital formation which in turn involves:

- A) Higher volume of savings;
- B) Mobilization of savings through banking/financial systems; and
- C) Investments of savings.

An effective monetary policy uses its tools for financing the development process. This is very much significant especially for developing economies. Let us know it through an example.

India is a developing economy. More and more funds are required for financing the development activities such as businesses, village industries, small entrepreneurs, women entrepreneurs, factories, farming, infrastructure and alike. For this task, monetary policy aims at following steps

- Better mobilization of savings through large number of financial institutions,
- Lucrative savings schemes
- More finances for investments even for startups, small businesses
- Identification of priority sectors and providing these sectors loans at lower rates of interest
- Easy loans for consumption purposes
- More and easy loans for more and more productive purposes.

Check Your Progress-VI

Q1. Mention the tools of monetary policy for controlling inflation.

Ans. -----

Q2. What is the difference between CRR and SLR?

Ans. -----

Q3. What are the steps of tools of monetary policy are needed for the expansion of business activities in the economy?

Ans. -----

11.7 Meaning of Fiscal Policy

Fiscal Policy is the policy related to public revenues, Public Expenditures, Public Debts and also Deficit Financing by the government. It is a policy relating to government tax and non-tax revenues and government expenditures and government borrowings. Let us understand with the help of following definitions.

Rowan, D.C.- *“Fiscal Policy is defined as the discretionary action by the government to change the level of government expenditure on goods and services and transfer payments and the yield of taxation at any given level of output”*.

G.K. Shaw- *“Fiscal Policy is defined as any decision to change the level, composition and timing of government expenditure or change the burden, structure and frequency of the tax payment.”*

Both the above definitions state the main elements of fiscal policy- Revenues and expenditures. Government can change the magnitude, composition, direction and timings of taxes and expenditures.

Monetary policy is an effective policy for regulating the economy in terms of internal and external stability and generation of employment. It is a policy tool which manages the quantum/size of money supply and growth rate of money supply in an economy. The central bank of the economy generally regulates monetary policy through its financial system/banking system/commercial banks and uses its tool such as Bank rate, Rate of interest adjustments, Cash reserve requirements and Repo rates to change the quantity and direction of money supply to achieve various objectives. It regulates (expand or contract) the flow of credit and money supply to available the public in the economy.

11.8 Objectives of Fiscal Policy

Main objectives can be explained as under:

- 1. Price Stability:** Price stability means fewer fluctuations in the general price level. It is measured by rate of inflation. Price stability means when there is no/low rate of inflation or deflation. Let's understand the two situations.
 - a. When there is higher rate of inflation, a contraction in aggregate demand and expenditure is required and for this, government reduces the fiscal deficit and public

expenditure and raises the taxes, introduces various tax saving schemes. The policy is to use all financial resources in a productive way.

- b. When there is deflation, an expansion of aggregate demand is required and for this, government increases the public expenditure and reduces the taxes.
2. **Higher Economic Growth and Development:** Economic growth and development is measured by rate of increase in gross domestic Product (GDP) of an economy. Expansionary fiscal policy is needed for this. For economic growth and development, GDP and per capita income must rise for a long time period. Fiscal Policy can raise the levels of investments in an economy. For this, regular investments are required which leads to increase the rate of capital formation. This in turn, helps to increase the levels of output, income and employment in the economy. As a result, the rate of economic growth and development starts increasing.
3. **Higher Employment Rate:** Fiscal Policy aims to accelerate the rate of employment generation so that economy can move towards full employment level. This is possible by raising the level of aggregate demand. Fiscal policy can help to increase the productive public expenditure and reduce taxes on productive activities like small scale industries. Investments in productive activities and infrastructure generate more employment. This expansionary act will boost up investment in the economy which in turn will increase the level of output, income and employment.
4. **Economic Equality:** Most economies suffer from the issue of income and wealth inequalities. The society is divided between rich and poor sections. Fiscal policy aims to reduce these inequalities and bring more equal distribution of income and wealth. For this, Government designs fiscal policy in such a manner that money/income is transferred from the rich to poor via government activities. Government imposes progressive taxes like income and wealth taxes on the richer section and collects tax revenue. This amount is spent by the government on provision of welfare activities for the poor and weaker sections.
5. **Reducing Balance of Payments Deficits:** Balance of Payments (BOP) is a record of all international transactions (current and capital accounts) of a nation during a year. A deficit BOP means that receipts (inflow of money incomes) are less than the Payments (outflow). To reduce this deficit, fiscal policy aims to promote exports by provision of certain fiscal

incentives to producers/exporters like exemption in taxes and provision of subsidies. Rise in exports increases the export receipts which reduces the deficit in BOP.

- 6. Balanced Regional Development:** It means more development of backward regions/states so that all the regions/states grow equally. Fiscal policy aims to raise the growth rates of backward regions/states through the allocation of more grants and other funds for creation of infrastructure like roads, power and directly productive activities like small scale enterprises, cottage and villages industries.
- 7. Optimum Allocation of Resources:** Fiscal Policy aims to allocate resources mobilized through tax revenues. These allocations are made keeping in view the objectives of fiscal policy like allocation of funds for education, health, development of social and physical infrastructure, investment in small sector, village industries and measures to boost investment in private sector.

To sum up, fiscal policy plays significant role to promote welfare of the people, growth of industries and agriculture and other sectors.

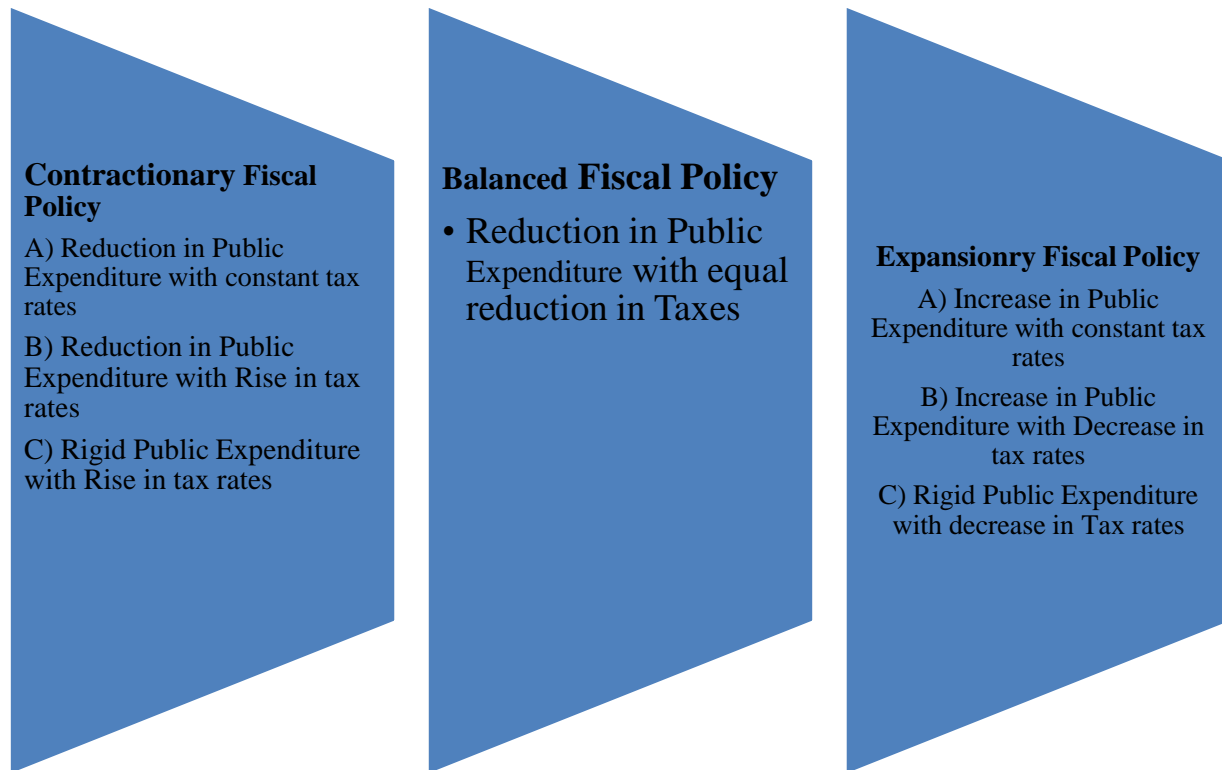
11.9 Types and Various Combinations of Fiscal Policy

- A. Neutral Fiscal Policy
- B. Expansionary Fiscal Policy
- C. Contractionary Fiscal Policy

Neutral Fiscal Policy	Expansionary Fiscal Policy	Contractionary Fiscal Policy
<ul style="list-style-type: none"> • Government expenditure = Tax Revenue • Budget has neutral effect on the economy 	<ul style="list-style-type: none"> • Government Expenditure > Tax Revenue • Boost to investment and production in the economy 	<ul style="list-style-type: none"> • Government Expenditure < Tax Revenue • Control and contraction of expenditures especially unproductive expenditures

Most often, the Fiscal Policy is either expansionary or Contractionary. We must understand that under different situations, government uses different combinations of the tools of fiscal policy to get the desired results. When there is need to give boost to investments,

government will design and implement expansionary fiscal policy, for example- during the time periods of deflation or recession/depression. When there is need to restrict/contract the expenditures, government will design and implement contractionary fiscal policy, for example- Inflation.



In Contractionary Fiscal Policy, there are following possibilities mainly,

- A) Reduction in Public Expenditure with constant tax rates
- B) Reduction in Public Expenditure with Rise in tax rates
- C) Rigid Public Expenditure with Rise in tax rates

In Expansionary Fiscal Policy, following combinations are:

- A) Increase in Public Expenditure with constant tax rates
- B) Increase in Public Expenditure with Decrease in tax rates
- C) Rigid Public Expenditure with decrease in Tax rates

Government has to monitor the Fiscal Policy very closely so that price stability as well growth and development and other objectives are achieved. Government will take the decision regarding the combinations of fiscal policy as per the objectives of the policy.

Check Your Progress- I

Q1: What is fiscal policy?

Ans. -----

Q2: Mention the name of types of fiscal policy?

Ans. -----

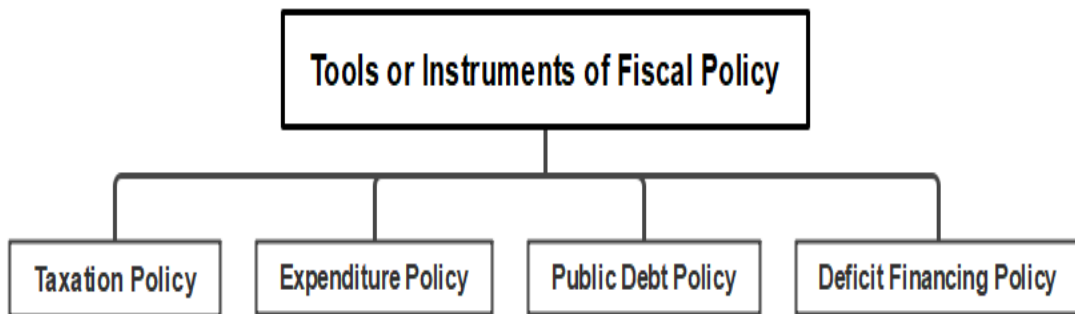
Q3: Differentiate between expansionary and contractionary fiscal policy.

Ans. -----

11.10 Tools or Instruments of Fiscal Policy

Here, we will know the main tools/methods which government uses to achieve the various objectives of fiscal policy during different economic situations.

Fiscal Policy is operated and implemented through its main tools explained as under.



A. Taxation Policy

This tool relates to the revenue side of the fiscal policy. Tax is a compulsory payment made to the government. The aim of taxation policy is to

- (i) mobilize the resources,
- (ii) formation of capital,
- (iii) achievement of economic equality and
- (iv) price stability.

Taxes can be direct taxes like income tax or indirect taxes like sales tax, excise duty, GST etc.

Taxes reduces the disposable income of the household sector (Disposable Income = Personal

Income-Taxes). Direct taxes reduce money incomes and indirect taxes reduces real income via rise in prices (Purchasing Power falls). Therefore, changes in tax rates affect the aggregate demand (AD) in the economy. The extent, to which this change affects AD, depends on tax multiplier.

Tax multiplier is the change in AD or Income caused by a change in taxation levels.

Tax Multiplier = $\Delta Y / \Delta T$ or change in income divided by change in tax.

$$\text{Tax Multiplier} = \frac{-MPC}{(1-MPC)} \text{ or } \frac{-MPC}{MPS}$$

MPC= marginal propensity to consume

MPS= marginal propensity to save

Tax multiplier shows negative relation between change in income or AD and change in tax. It means a rise in taxes reduces AD or income and a fall in taxes increases AD or income. Government will adopt tax rate policy as per the set objectives. Under expansionary fiscal policy, tax rates generally fall and under contractionary fiscal policy, tax rate rise.

B. Expenditure Policy

Government expenditure policy includes expenditures made by the government on development and non- development activities. The main heads of such expenditure are welfare activities like social security contributions by government, transfer payments like pensions, scholarships, expenditure on social and economic infrastructure like hospitals, roads, bridges, health care, education, defense, public enterprises etc.

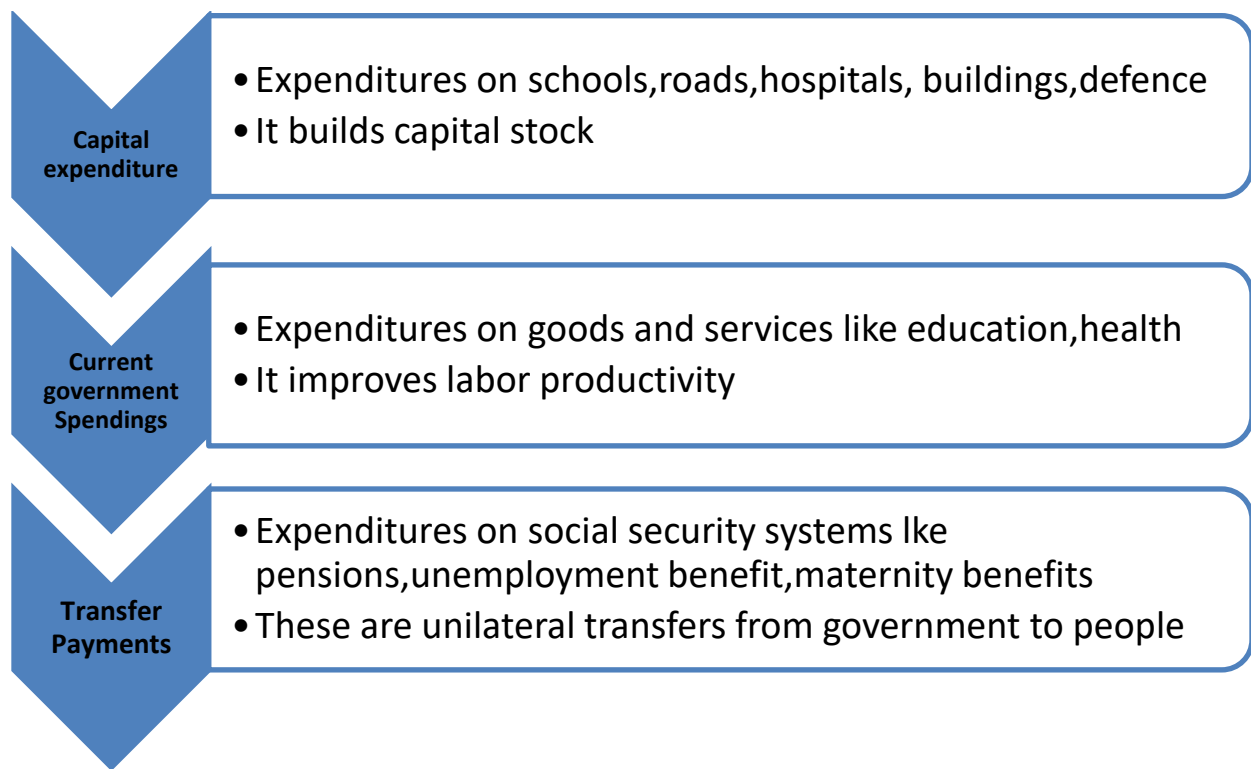
A rise in government expenditure leads to increase in AD and a fall in government expenditure leads to decrease in AD. For example: When government spends money, incomes of people rise, their purchasing power rises, AD in the economy rises. It has expansionary effect.

Government can spend in various ways:

- a) Expenditure to buy goods and service which has direct effect on AD.
- b) Expenditure on Transfer payments like pensions, medical facilities which have indirect effect on AD.

Government expenditure is classified into three main parts:

- (i) Capital Expenditure
- (ii) Current government spending and
- (iii) Transfer payments.



The extent to which government expenditure affect AD or income, depends on the Government expenditure multiplier. Government expenditure multiplier measures the ratio of change in income to the change in government expenditure.

Government expenditure multiplier = $\Delta Y / \Delta G$ or change in income divided by change in government expenditure.

$$\text{Government expenditure multiplier} = \frac{1}{1-MPC}$$

Where MPC= Marginal Propensity to consume

It shows that there is positive relation between the value of MPC and Government expenditure multiplier. It means a rise in value of MPC will increase the values of Government expenditure multiplier and vice versa. Therefore, a rise in government expenditure will increase income or AD multiplier times and a fall in government expenditure will decrease income or AD multiplier times.

Government will adopt expenditure policy as per the set objectives. Under expansionary fiscal policy, government expenditure rises and under contractionary fiscal policy, government expenditure falls. Government expenditure is directed towards specific groups, practices or goods.

C. Public Debt Policy

Public debt refers to the borrowings taken by the government to meet its expenditures. It can be

a) Internal debt- borrowings within the country from non-bank financial intermediaries, commercial banks, central bank and from people through bonds and securities. It involves transfer of funds from people to government. These borrowings may reduce the money/incomes available to/with people. b) External debt- borrowings from outside the country.

Public debt and AD/income generation in the economy are related. Public debt affects AD/income in many ways.

- a) Expansion of AD and incomes: After public debt, if there are constant expenditures or same AD by private sector along with rise in government expenditures out of amount of public debt, then there will be expansion/rise in AD/incomes in the economy. This will have an expansionary effect in terms of income, output and employment.
- b) Contraction of AD/incomes: After public debt, if there is fall in expenditure or fall in AD by private sector along with rise in government expenditures out of the amount of public debt, then there will be fall in AD/incomes in the economy. This will have a contractionary effect in terms of income, output and employment.

In general, these three tools of fiscal policy are highly significant. However, budget deficits form important part of fiscal policy. Therefore, we can analyze here deficit financing as a tool of fiscal policy.

D. Deficit Financing

Deficit financing is a technique to generate funds to fill the deficit of the budget. This is done by borrowings advanced by central bank by printing new money. Therefore, more deficit financing means more money supply with the government. This tool is used when government expenditures exceed its revenues. When this increased money supply is spent by the government for productive purposes which increase levels of output of goods and services, then it is beneficial for the health of the economy. Otherwise, it may be highly inflationary.

To sum up, government uses combination of various tools per the set objectives for desired results.

Check Your Progress- II

Q1. What is tax multiplier?

Ans. -----

Q2. What is Government expenditure multiplier?

Ans. -----

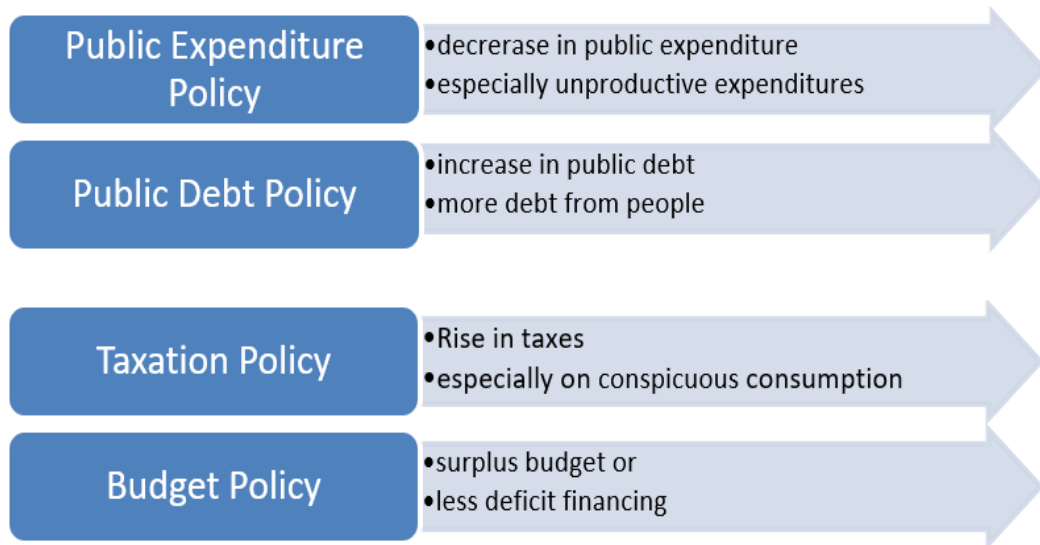
Q3. What is public debt?

Ans. -----

11.11 Application of the Tools of Fiscal Policy to Achieve Objectives

Use of Fiscal Policy for Internal and External Stability:

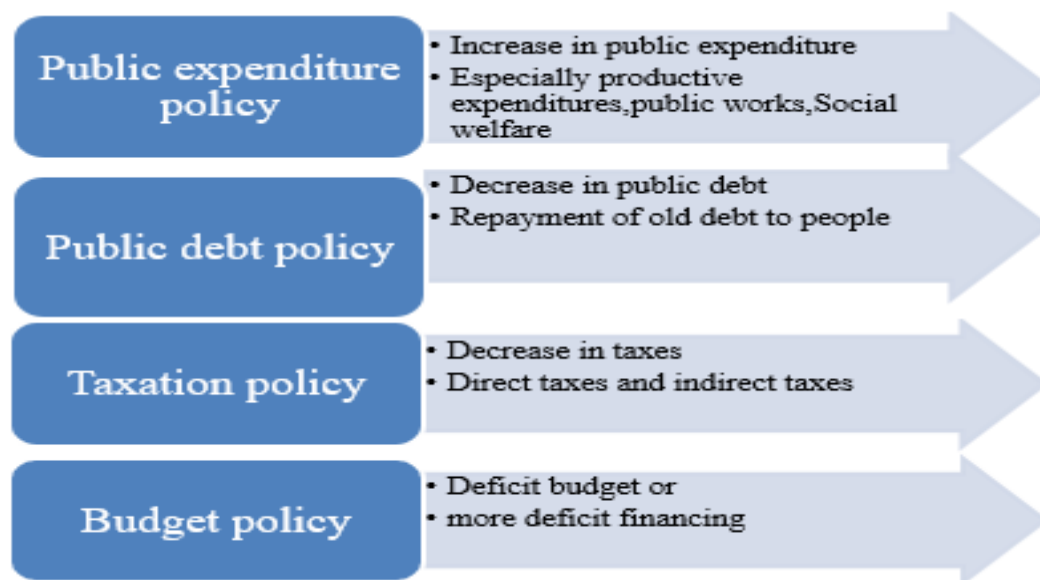
- 1. Use of Fiscal Policy During Inflation:** Inflation is the process of continuously rising prices. Price stability is essential to achieve this objective; following tools of fiscal policy can be applied.



- a. Public expenditure policy:** Government should decrease public expenditure. Higher levels of government expenditures have expansionary money effects in the economy which leads to rise in prices. Therefore, a fall in public expenditure, especially unproductive expenditures will help to control the rising prices.

- b. Public debt policy:** During inflation, it is essential to reduce the purchasing power of the people or to reduce the available money with the people so as to contract the size of AD in the economy. Therefore, government should borrow more especially from people, so that savings of the people are transferred from people to the government. As a result, total spending by the people or AD will fall.
- c. Taxation Policy:** During inflation, a rise in rates old taxes and imposing new taxes will help to curtail purchasing power of the people. As a result, the spending by the people or AD will fall. This will help to check the rise in prices.
- d. Budget Policy/Deficit Financing:** Ideally speaking, a surplus budget policy is needed during inflation. Surplus budget means when revenues of the government exceed its expenditures. It will help to check inflation.

2. Use of Fiscal Policy During Deflation/Recession: Deflation is the process of falling prices. To achieve this objective, following tools of fiscal policy can be applied.



Let us analyze each policy one by one.

- a. Public Expenditure Policy:** Government should increase public expenditure during deflation/recession. Higher levels of government expenditures have expansionary money effects in the economy which will boost the levels of private investment. During times of depression, rise government expenditure acts as *pump priming*. Pump priming means ‘when the increase in government expenditure acts as incentive to private investment’.

- i. Government borrows from banks and idle cash with banks gets utilized and investments by government increase.
- ii. Rise in government investments leads to increase in income by multiplier times which in turn boost the private investments.

Therefore, a rise in public expenditure especially on productive activities will help to control the falling prices and profits. Besides this, government can spend more on social welfare activities such as public health, medical services, social security, grants etc. This will raise the levels of AD and investments.

- b. Public Debt Policy:** During deflation, it is essential to increase the purchasing power of the people or to raise the available money with the people so as to expand the size of AD in the economy. Therefore, government should repay the old debts so that money is transferred from government to people. Government should not borrow from the people. As a result, total spending by the people or AD will increase.
- c. Taxation Policy:** During deflation, a reduction in rates of old taxes and fewer new taxes will help to increase the purchasing power of the people. As a result, the spending by the people or AD will rise. This will help to check the falling prices.
- d. Budget Policy/Deficit Financing:** Ideally speaking, a surplus budget policy is needed during inflation. Surplus budget means when revenues of the government exceed its expenditures. It will help to check inflation.

3. Exchange Rate Stability

Exchange stability means minimization of the fluctuations in foreign exchange rates. For this, the balance of payments (BOP) situation needs to be monitored. An unfavorable BOP (when import payment exceeds export receipts) leads to more fluctuations in exchange rates. Fiscal policy aims to:

- a. promote exports by provision of certain facilities like subsidies, tax concessions and alike
- b. restrict imports by certain import duties and
- c. encourages import substitution

Economic Growth and Development

For economic development, fiscal policy acts as powerful tool. With the use of fiscal policy,

1. Level of investment and rate of capital; formation; mobilization of these savings and increasing investment can be raised.
2. Different tools of fiscal policy like taxation, government expenditures, public debts can be used to achieve this objective.
3. Government itself can invest like private entrepreneurs and encourage private investment for the generation of more production, income and employment.
4. The role of fiscal policy for this purpose is to allocate the resources in an efficient and desirable manner. For example, Government can design fiscal policy to divert resources from non-essential/luxurious production to more useful and essential production.
5. At the same time, price stability is maintained.
6. Fiscal policy focuses on the equitable distribution of income simultaneously and diverts money/incomes from richer sections to poorer sections via its expenditure and tax policies.
7. Employment must be generated along with economic development. Fiscal policy is used for enhancing the skills of human resources (human capital formation). It operates to provide work opportunities. For example, government expenditures on construction work generate employment and tax concessions promotes industries/ small enterprises which provide employment to large number of people.

Remember: ‘Public expenditure in any sector attracts more recourses and investment while taxes imposed in any sector leads to withdrawal of resources and investments from that sector’- Meier and Baldwin.

Check Your Progress- III

Q1. What do you mean by public debt?

Ans. -----

Q2. Define deficit financing?

Ans. -----

Q3. What is pump priming?

Ans. -----

11.12 Summary

Monetary policy involves the influence on the level and composition of aggregate demand by the manipulation of interest rates and availability of credit. The challenge before monetary policy is that many of the objectives are conflicting. For example, acceleration of development process needs more money supply while control of inflation needs less money supply. A judicious mix of various tools and proper timings are essential for the desired results.

Fiscal Policy is the policy related to public revenues, Public Expenditures, Public Debts and also Deficit Financing by the government. It is a policy relating to government tax and non-tax revenues and government expenditures and government borrowings. In other words, fiscal Policy is the policy related to public revenues, public expenditures, public debts and also deficit financing by the government. Fiscal policy aims at price stability, exchange rate stability, economic development, equitable distribution, and employment generation. The tools of fiscal policy i.e., government expenditures, public revenues, public debt are used to achieve all the objectives. Generally, more than one tool is used simultaneously for the effective and desired results of fiscal policy.

Central bank can use various tools simultaneously for achieving various objectives or to control any instability like inflation and deflation/depression and can regulate the quantum and direction of money/credit supply in the economy.

In the end, for achieving various objectives, fiscal and monetary policies are used simultaneously. A judicious blend of these two macro-economic policies will help to get the desired results. The tools of both these policies must operate in tune with each other, i.e., in the same direction.

11.13 Questions for Practice

A. Short Answer Type Questions

- Q1. What do you mean by fiscal policy?
- Q2. What are the objectives of fiscal policy?
- Q3. Discuss the types of fiscal policy.
- Q4. Explain the government expenditure policy under the tools of fiscal policy.
- Q5. Explain the use of fiscal policy for the economic growth and development.
- Q6. Define monetary policy

Q7.What are the objectives of monetary policy?

Q8.What are the types of monetary policy?

Q9.Explain the quantitative tools of monetary policy

B. Long Answer Type Questions

Q1. Define fiscal policy. Also explain its objectives and types.

Q2. Explain the various tools of fiscal policy

Q3. Explain the applications of the tools of fiscal policy

Q4. Discuss the objectives and types of monetary policy

Q5. Explain the quantitative and qualitative tools of monetary policy

Q6. Discuss the applications of the monetary policy for internal and external stability.

11.14 Suggested Readings

- Blanchard,Oliver.(2016). Macro Economics 7ed.Pearson education Ltd.
- Mankiw,Gregory,N. and Taylor,Mark,P.(2016).Macro Economics, W.H. Freeman & Co.
- Jones,C.(2016).Macro economics, 5th ed. W.W.Norton
- Dornbusch,R., Fischer,S., & Startz, R.(2018)Macro economuics,12th ed. McGraw-Hill.



**The Motto of Our University
(SEWA)**

SKILL ENHANCEMENT

EMPLOYABILITY

WISDOM

ACCESSIBILITY



**JAGAT GURU NANAK DEV
PUNJAB STATE OPEN UNIVERSITY, PATIALA**

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)

Core Course (CC): ENGLISH ELECTIVE

SEMESTER-II

**BLAB31202T
READING PROSE**

Head Quarter: C/28, The Lower Mall, Patiala-147001

Website: www.psou.ac.in

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JAGAT GURU NANAK DEV PUNJAB STATE OPEN UNIVERSITY, PATIALA
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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counselling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



**B.A (LIBERAL ARTS)
CORE COURSE (CC): ENGLISH ELECTIVE**

**SEMESTER-II
BLAB31202T: READING PROSE**

MAX.MARKS: 100

EXTERNAL: 70

INTERNAL: 30

PASS: 35%

Credits: 6

Objective:

This course aims to introduce the student to some representative varieties and forms of prose. Besides, the understanding of literary concepts and basic terminology pertaining to prose will help in developing learners' abilities to respond to and appreciate literary texts, both fictional and non-fictional in nature.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A and B of the question paper and any ten short questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

Section A

Understanding Prose: An Introduction to the study of Prose, Varieties of Prose, Forms of Prose: Fiction and Non-Fiction

Terms pertaining to Prose:

1. Satire
2. Allegory
3. Parable
4. Utopia
5. Historical Writing
6. Travelogue
7. Philosophical Writing
8. Essay
9. Biography and Autobiography
10. Irony
11. Atmosphere
12. Euphemism
13. Fable

Novella: The Old Man and The Sea by Ernest Hemingway

Section B

Prescribed book: Essays and Stories from the prescribed book 'Creative Minds', Ed., Board of Editors, Hyderabad, Orient BlackSwan, 2018.

1. Of Studies by Francis Bacon
2. The Trumpet Club by Sir Richard Steele

3. The Man in Black by Oliver GoldSmith
4. Dream Children by Charles Lamb
5. The Thief by Ruskin Bond
6. The Thakur's Well by Premchand (Trans T.C Ghai)
7. The Homecoming by Rabindranath Tagore

Suggested Readings:

- Carter, Ronald and Peter Stockwell, eds., The Language and Literature Reader, New York: Routledge 2008.
- Miller, J. Hillis. On Literature: Thinking in Action, London: Routledge, 2002.
- Thornborrow, Joanna and Shan Wareing, Patterns in Language: An Introduction to Language and Literary Style, London: Routledge, 1998.
- Rees, R.J. English Literature: An Introduction for Foreign Readers, Delhi: Macmillan, 2004.



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BACHELOR OF ARTS (LIBERAL ARTS)
CORE COURSE (CC): ENGLISH ELECTIVE

SEMESTER-II

BLAB31202T: READING PROSE

COURSE COORDINATOR AND EDITOR: DR. GURLEEN AHLUWALIA

SECTION A

UNIT NO:	UNIT NAME
UNIT 1	UNDERSTANDING PROSE
UNIT 2	TERMS PERTAINING TO PROSE- 1
UNIT 3	TERMS PERTAINING TO PROSE-II
UNIT 4	NOVELLA: THE OLD MAN AND THE SEA-1
UNIT 5	NOVELLA: THE OLD MAN AND THE SEA-II

SECTION B

**Prescribed book: Essays and Stories from the prescribed book ‘Creative Minds’, Ed.,
Board of Editors, Hyderabad, Orient BlackSwan,2018.**

UNIT NO:	UNIT NAME
UNIT 6	OF STUDIES BY FRANCIS BACON
UNIT 7	THE TRUMPET CLUB BY SIR RICHARD STEELE
UNIT 8	THE MAN IN BLACK BY OLIVER GOLDSMITH
UNIT 9	DREAM CHILDREN BY CHARLES LAMB
UNIT 10	THE THIEF BY RUSKIN BOND
UNIT 11	THE THAKUR’S WELL BY PREMCHAND (TRANS T.C GHAI) THE HOMECOMING BY RABINDRANATH TAGORE

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

COURSE: READING PROSE

UNIT -1: UNDERSTANDING PROSE

STRUCTURE

1.0 Aims and Objectives

1.1 Introduction

1.2 Prose and verse

1.3 Types of Prose:

1.3.1 Descriptive

1.3.2 Narrative

1.3.3 pository

1.4 Forms of prose:

1.4.1 Fiction – short story, novel

1.4.2 Non-fiction – essay, autobiography, biography

1.5 Summing up

1.6 Glossary

1.7 Suggested Reading

1.8 Questions for Practice

1.0 AIMS AND OBJECTIVES

Prose is a broad term covering a lot of literary discourse. After going through this unit, you should be able to

- define prose and identify its chief elements
- differentiate between prose and verse
- describe different types of prose
- discern one prose type from another
- identify basic forms of fictional and non-fictional prose.

1.1 INTRODUCTION

Unit 1 will define and analyse the term prose. It will allow you a glimpse into the wide variety of existing English prose and to broadly classify prose. Once you are fully acquainted with the various functions of prose and dive through the illustrative examples, you would be able to appreciate the beauty of prose works prescribed in your syllabus. Prose forms a major part of literature and it differs from its elder sister verse which has been a favourite of literature lovers for a long. Literature is an exercise in language or the use of words marked by its imaginative quality. It is not intended to represent facts and is not judged by its truth. It includes a large body of work. A major part of literature is patterned in some kind of regular units which falls in the category of verse. But a lot has been written which is straightforward and lacks regularity of meter and rhyme. This substantial body of work is called prose.

LITERATURE	
VERSE	PROSE
It is the kind of writing marked by recurring meter and rhythm usually having a rhyme.	It is a form of written language comprising a natural flow of speech and grammatical structure.

1.2 PROSE AND VERSE

A lot of literature is marked by the regular recurrence of meter, accent, rhyme, alliteration or parallelism or a combination of these and can be categorized as verse. Take the example of the famous Shakespearean sonnet

**“When to the sessions of sweet silent thought,
I summon up remembrance of things past...”**

We can readily identify verse. But the fact is all literature is not verse. Most of the discourse, written or spoken, not bound into lines or metric patterns is prose. But one should not confuse it with the language of ordinary speech. Ordinary speech can be repetitive, jarring and heavily accented. Now sample this

“A stout old lady was walking with her basket down the middle of a street in Petrograd to the great confusion of the traffic and with no small peril to herself. It was pointed out to her that the pavement was the place for foot-passengers, but she replied: “I’m going to walk where I like. We’ve got liberty now.” It did not occur to the dear old lady that if liberty entitled the foot-passenger to walk down the middle of the road it also entitled the cab-driver to drive on the pavement, and that the end of such liberty would be universal chaos. Everybody would be getting in everybody

else's way and nobody would get anywhere. Individual liberty would have become social anarchy."

The above paragraph introduces A.G. Gardiner's famous essay "The Rule of the Road". You can see that it makes a lot of sense, puts forward the author's point of view strongly and hence is effective. It is a thought-provoking observation in a "world getting liberty-drunk." Thus, it can be said, "Prose is ordinary speech on its best behaviour." When an educated or articulate person adapts the ordinary speech to the higher function of discursive thought, out comes the finished and sophisticated form of language called prose. It is easier to mould an idea into a regular meter of verse. This is the reason prose is a late and sophisticated development in the history of any literature. Having said that there are some rare forms of literature in which both verse and prose intertwine namely poetic prose and the prose poem.

The word prose is derived from the Latin *prosa* or *proversa oratio* meaning straightforward discourse. There are as many styles of prose as there are people to write it. It is evident from the study of users of prose from different ages and countries. Sir Francis Bacon, Sir Thomas Browne, Swift, Addison, Johnson, Fielding, Goldsmith, Jane Austen, Coleridge, Dickens, Henry James, Conrad, Virginia Woolf, the list is endless. They have produced prose of lasting quality in their individualistic styles.

Check Your Progress-1

What is the difference between verse and prose? Elaborate with one example of each of the prose and poetry that you have come across in your reading.

.....
.....

1.3 TYPES OF PROSE

Now that we are sufficiently familiar with the terms prose and verse, we are ready to explore various types of prose. Prose can be broadly classified as descriptive, narrative or expository depending on the functions they perform. The accompanying examples will make the types clear to you.

TYPES OF PROSE

DESCRIPTIVE

It describes things, setting, place, people as they are seen, heard or imagined by the author.

NARRATIVE

It is the description of events as they happen one after another. It amounts to telling a story.

EXPOSITORY

It is the definition, explanation or interpretation of a subject by an author professing to be an expert.

- **Descriptive Prose**

Descriptive writing gives an account of things, persons and events as they are or as they appear to be or as they are perceived by the author. The descriptive prose enables the reader to see things as they are or as they are seen, heard or imagined by the author/ narrator. Good descriptive prose builds up the atmosphere, provides vivid detail of the persons and surroundings and virtually takes the reader to the scene. The author brilliantly and precisely reproduces what he/ she has seen or imagined. Here is an example of a short story “Dusk” in which the author Hector Hugh Munroe (pen name Saki) goes on to describe the hour of dusk painstakingly which would lend a mysterious aura to the story. He connects the hour to the bearing and state of mind of his protagonist Norman Gortsby.

Norman Gortsby sat on a bench in the Park, with his back to a strip of bush-planted sward, fenced by the park railings, and the Row fronting him across a wide stretch of carriage drive. Hyde Park Corner, with its rattle and hoot of traffic, lay immediately to his right. It was thirty minutes past six on an early March evening, and dusk had fallen heavily over the scene, dusk mitigated by some faint moonlight and many street lamps. There was a wide emptiness over road and sidewalk, and yet there were many unconsidered figures moving silently through the half-light, or dotted unobtrusively on bench and chair, scarcely to be distinguished from the shadowed gloom in which they sat.

The scene pleased Gortsby and harmonized with his present mood. Dusk, to his mind was the hour of the defeated. Men and women, who fought and lost, who hid their fallen fortunes and dead hopes as far as possible from the scrutiny of the curious, came forth in this hour of gloaming, when their shabby clothes and bowed shoulders and unhappy eyes might pass unnoticed, or at any rate, unrecognized.

The above story is a special case in point as hardly any action takes place in the whole story and the interest of the story primarily lies in the description of the scene and characters by the author. The author successfully recreates the twilight hour and by calling it the hour of the defeated gives it a new and imaginative dimension.

- **Narrative Prose**

While in descriptive prose, the author’s focus is the description of a scene, in narrative prose he/ she tries to tell a story through a sequence of actions. In other words, it is a description of events. Narration is a specialized art as it is not an account of happenings linearly or chronologically. It begins at a specific moment with a certain end in view. Whatever happens in a narrative is a part and parcel of its structure. Not even a single action is out of place. This arrangement or unfolding of events is called plot and it is integral to any narrative work. Narrative prose can be used for writing works of fiction or non-fiction. The former will include a short story and novel. The narrative prose dealing with facts includes such forms as biography, autobiography, diary,

speech, travelogue, letter, historical writing etc. Look at the following excerpt from “Photographing Lions by Flash-light” by A. Radclyffe Dugmore

We had everything ready by about half-past five, when the boys brought to us our much-needed dinner. After eating it we crawled into a boma, put up the bars of the opening, and settled ourselves down to enjoy a cup of hot coffee and a quiet smoke. We had just finished, and darkness was setting fast on the country, when to our surprise we heard a slight sound in the grass beyond the dead hartebeest. Very soon we were able to distinguish a light shadowy form coming slowly through the grass. Then another and another Lions they were without doubt.

Remember that descriptive or narrative prose are not mutually exclusive which means they are used in combination. It is only when the writer makes use of the right proportion of both that any narrative moves forward and it becomes gripping. If the writer dwells too much on the description, the reader may lose interest in the narrative.

Now events can be external or internal. They may be happening outside or in the mind of a character. In modern fiction, most of the action in the novel takes place in the mind of the character. An outward stimulus triggers a train of thoughts in the mind of one of the characters. This kind of novel was in vogue at the beginning of the 20th century and was called Stream of Consciousness novel. *Mrs Dalloway* by Virginia Woolf is one such novel.

- **Expository Prose**

Expository prose is a kind of formal prose concerned with defining, explaining and interpreting a subject for the reader. The author assumes the position of an authority on the subject and explains and simplifies it for the reader. Precision, logical presentation, rational approach and valid arguments are some of the tools the writer uses to convince his readers. Writings in some of the fields like science, technology, law, philosophy, economy, politics, literary criticism are mainly written in an expository way. Here is an excerpt from the essay “The Elixir of Life” written by Sir C. V. Raman, an eminent scientist of India. He explains the importance of water in a non-technical language emphasizing that it sustains human life on the earth.

Water is the basis of all life. Every animal and every plant contains a substantial proportion of free and combined water in its body, and no kind of physiological activity is possible in which the fluid does not play an essential part. Water is of course necessary for animal life, while moisture in the soil is equally imperative for the life and growth of plants and trees, though the quantity necessary varies enormously with the species. The conservation and utilization of water is thus fundamental for human welfare.

Another example from S.T. Coleridge’s critical essay “Biographia Literaria” will further clarify my point. Here Coleridge is trying to arrive at a definition of a poem.

A poem is that species of composition, which is opposed to works of science, by proposing for its immediate object pleasure, not truth; and from all other species (having this object in common with it) it is discriminated by proposing to itself such delight from the whole, as is compatible with a distinct gratification from each component part.

The first example of prose belongs to the field of science but a layman can easily understand its import whereas Coleridge's prose forms part of literary criticism. Naturally, its style and diction are very pedantic and not easily comprehensible.

Check your progress

Read the following passages and identify the dominant types of prose in each of them:

The man's face fell. He looked wistfully at me for a moment, said 'Good morning,' and went out. I felt a little sorry, and would have called him back, but I found he was returning of his own accord. He came close up to me holding out his offerings and said: 'I brought these few things, sir, for the little one. Will you give them to her?'

(Rabindranath Tagore, *Kabuliwallah*)

.....
.....

Has civilization taught us to be more friendly towards one another? The answer is easy. Robins (the English, not the American species) peck an elderly robin to death whereas men (the English, not the American species) give an elderly man an old-age pension. Within the herd we are more friendly to each other than are many species of animals, but in our attitude towards those outside the herd, in spite of all that has been done by the moralists and religious teachers, our emotions are as ferocious as those of any animal, and our intelligence enables us to give them a scope which is denied to even the most savage beast. It may be hoped, though not very confidently, that the more humane attitude will in time to come prevail, but so far the omens are not very propitious.

(Bertrand Russel, *Ideas that have Helped Mankind*)

.....
.....

There stood the doll's house, a dark, oily, spinach green, picked out with bright yellow. Its two solid little chimneys, glued on to the roof, were painted red and white, and the door, gleaming with yellow varnish, was like a little slab of toffee. Four windows, real windows, were divided into panes by a broad streak of green. There was actually a tiny porch too, painted yellow, with big lumps of congealed paint hanging along the edge.

(Katherine Mansfield, *The Doll's House*)

.....

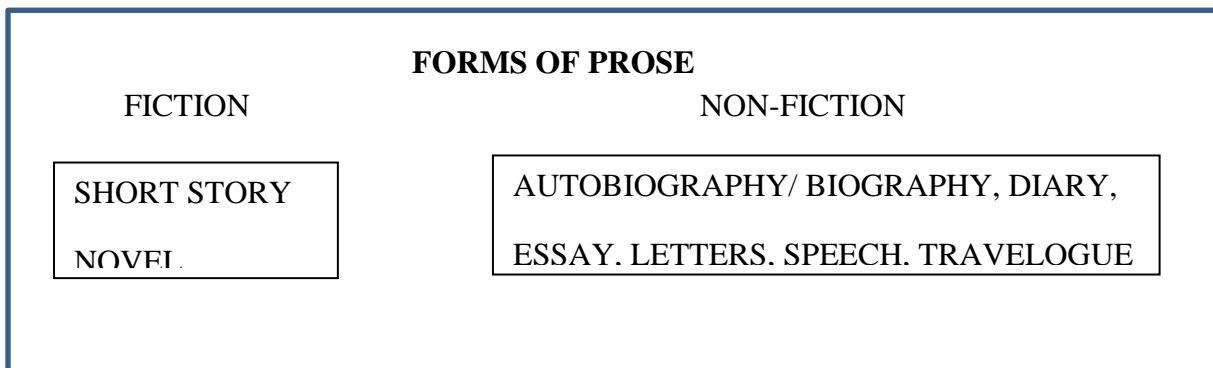
.....

The study of Natural Science is an essential part of education. You should not become lopsided in your pursuit of Science, like Herbert Spencer and Charles Darwin. Herbert Spencer thought that natural science was only valuable subject of study, and Darwin almost lost his capacity for enjoying Art on account of his excessive devotion to Science. But you should give Science its due and a little more.

1.4 FORMS OF PROSE

We just discussed three types of prose in the above section and found out that this categorization is only for the sake of convenience and understanding. The three kinds can co-exist in the same literary work. In fact, they complement one another. A good descriptive passage sets the tone for the impending action. If a writer continues to describe people, places, setting, the flow of the narrative will be stalled. An accomplished author of expository prose makes sufficient use of description and narration to support his arguments and prove his point.

Let us study some common literary forms in prose. They are broadly divided into fiction and non-fiction.



A work of fiction refers to a literary narrative, usually in prose, which is invented rather than based on facts and real happenings. It is a general practice to use the term as a synonym for short

story and novel and at the most novella, a piece of middle length. Non-fiction, on the other hand, includes works that are based on or derived from the life of the author or any historical personage or event. It includes a variety of forms, the most common being essay, biography or autobiography, letter, travelogue, diary, speeches and so on. We are going to briefly discuss these forms in this section. Their detailed description will follow in the next lesson.

- **Fiction**

There are unlimited forms of fictional prose. Two broad categories of prose fiction – short story and novel – are discussed below.

Short Story

Any small work of prose fiction which has a beginning, middle and end like a novel may be called a short story. A good story-teller weaves the action, motives and give and take among its characters in an interesting pattern called plot. Likewise, the plot is the lifeline of a novel too. A plot may be comic, tragic, satiric or romantic.

The story is told from the point of view of either the author or one or more characters or both. There are numerous possibilities in which the author of the short story may choose to present the storyline. More than the story, it is the telling of the story which becomes important. The writer is free to use any mode of representation – be it fantastic, realistic or naturalistic. Some of the forefathers of a short story are myth, legend, exemplum, fable, parable, folk tale. In a “tale” or “story of incident” the focus is on the happening and fall out of events. Many detective and adventure stories fall under this category. “The Gold Bug” by Edgar Allan Poe, the father of the modern short story, is a story of incident. In a story of character, the writer brings out the motives, thoughts and psychological state of the protagonist. Russian writer Anton Chekhov excels in laying bare the mind of his characters. In his story “Grief,” the protagonist is desperate to share his grief with fellow beings over his son’s death.

Novel

This genre needs no introduction as it is the most popular form of literature widely read by the public. The term novel is derived from the Italian *novella* which means a “little new thing.” It referred to a short tale in prose. Now the term is used for such a large variety of writings that it has come to mean any extended work of fiction in prose. It differs from the short story in length and magnitude. It has greater scope for the development of a large number of characters and a more complex plot. Beginning with the 18th century this form has continuously grown and resulted in great literary output. It includes such diverse works of fiction as Samuel Richardson’s *Pamela*, Jane Austen’s *Pride and Prejudice*, Charles Dickens’ *A Tale of Two Cities*, Thomas Hardy’s *Far from the Madding Crowd*, James Joyce’s *Ulysses* and Franz Kafka’s *The Trial*.

Originally, novel was supposed to represent characters and actions realistically that is to create a picture of recognizably everyday life in contrast to the genre of “romance.” Novel has come a long way since its origin. It borrowed from every age, stage, culture and country. We have a picaresque novel in which the protagonist, a rogue (*picaro* in Spanish), visits different places, tricks people and shows little change in character throughout his/ her adventures. Daniel Defoe’s *Moll Flanders* falls in this category. Then there is epistolary novel in which the story is told solely through the exchange of letters. Samuel Richardson’s *Pamela* is an epistolary novel. Modern Age has thrown up new experiments in novel like a stream of consciousness novel which deals with the flux of ideas in the mind of a character. A broad description of novel will suffice here. We will study more specific forms of prose fiction like utopia, allegory in the next lesson.

- **Non-Fiction**

As already explained non-fiction deals with real people, events, places and milieu. In contrast to imaginative literature, it is not invented. It refers to some external reality outside itself and is always written within a context. A general discussion of the forms of non-fiction prose is sufficient here. We will discuss major genres and concepts under this category in detail in the next lessons. As students, you must be familiar with the term essay. We have been taught to write an essay since we were very young. An essay is a short composition in prose used to express a point of view, discuss a subject or convince the reader to accept a line of thought. It is the most flexible of literary forms. The structure, organization and style of an essay are its important attributes.

Biography and autobiography are other popular forms of non-fiction. Autobiography is the story of the life of an individual written by himself/ herself and biography is written by somebody other than the subject. Another form of autobiographical writing is diary which is a daily, mostly dated, the record of everyday experiences/ events happening in the author’s life. As a genre, it is almost five hundred years old.

Letter writing is an art that requires ease and leisure. The milieu of 18th century England was perfect for the development of this art. The writers are mostly the people of means and position. Lady Mary Wortley Montagu and Lord Chesterfield are famous for their letters.

Travelogues are the accounts of the writer’s travels in an interesting and informative way. Speech is the spoken form of communication. Some of the famous leaders and reformers have created history by making forceful speeches. Jawahar Lal Nehru’s speech on the eve of Independence still rankles in the minds of all Indians. There is no exhaustive list of non-fiction writings in prose.

There is a wide variety of historical, philosophical, scientific and religious writings that defy any classification. Robert Burton's *Anatomy of Melancholy* (1621) deals with the causes, symptoms and cure of melancholy. Though the subject belongs to the medical stream, the work is an anatomy of human folly rendered more interesting by the grave humour of Burton.

Check your progress

1. What is the difference between fictional and non-fictional forms of prose? List two forms in each category.

.....

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.....

.....

.....

2. Substitute one word

- An extended work of prose fiction
- The sequence of events in a story or novel
- A story with the focus on action
- Novel which is about the flux of ideas in a character's mind
- Novel in which the protagonist is a rogue who visits many places
- Story of one's own life
- An account of one's travels
- The spoken form of prose addressed to an audience

1.5 SUMMING UP

In this unit we discussed

- The difference between prose and verse
- Varieties of prose
- Definition, nature and examples of descriptive, narrative and expository prose
- Forms of prose
- Fiction – short story, novel
- Non-fiction – biography/ autobiography, travelogue, diary, letter, speech

1.6 GLOSSARY

Accented:	spoken with great stress
Alliteration:	recurring sounds in a poetic line
Anarchy:	total chaos in the absence of government
Boma:	a native hut constructed of logs and leaves
Congeaed:	solidified
Discursive:	involving discussion
Dusk:	time of the day before darkness
Hartebeest:	red deer
Imperative:	urgent
Meter:	a system of arranging sounds into units in poetry
Physiological:	related to the normal functioning of living organisms and their organs
Propitious:	favourable
Rattle and hoot:	the sound of traffic
Rhyme:	similar sounding words usually at the end of successive lines
Sonnet:	short poem comprising fourteen lines
Sward:	grassy patch
Unobtrusively:	without getting noticed
Wistfully:	with a feeling of regretful longing

1.7 SUGGESTED READING

1. *A Glossary of Literary Terms* by M.H. Abrams
2. *Literary Terms: A Dictionary* by Karl Beckson and Arthur Ganz
3. *Prose Literary Terms and Concepts (The Britannica Guide to Literary Elements)* edited by Kathleen Kuiper
4. *The Penguin Dictionary of Literary Terms and Literary Theory* by J.A. Cuddon

1.8 QUESTIONS FOR PRACTICE

1. What is the difference between fictional and non-fictional forms of prose?
2. Discuss in detail two forms of Prose fiction with examples.
3. How is Descriptive prose different from Narrative Prose?

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

COURSE: READING PROSE

UNIT-2: TERMS PERTAINING TO PROSE- 1

STRUCTURE

2.0 Aims and Objectives

2.1 Introduction

2.2 Literary Terms

- Allegory
- Fable
- Parable
- Utopia
- Satire
- Atmosphere
- Euphemism

2.3 Summing up

2.4 Suggested Reading

2.5 Glossary

2.6 Question for Practice

2.0 AIMS AND OBJECTIVES

After going through this unit, you will be able to

- define, explain and trace the origin of forms of fiction – allegory, fable, parable, utopia.
- define, explain and trace the origin of satire, fiction and non-fiction.
- comprehend important concepts related to prose – atmosphere, euphemism.

2.1 INTRODUCTION

We have already discussed the meaning, types and forms of prose in the last section. It is time we take up important forms and concepts related to prose one by one and analyse them in detail. We introduced the terms short story and novel while concluding the last chapter. They are just broad categories and by no means can encompass the vast variety of fiction that has already been written. A short story may be written as a fable or a parable. A novel may be written in the form

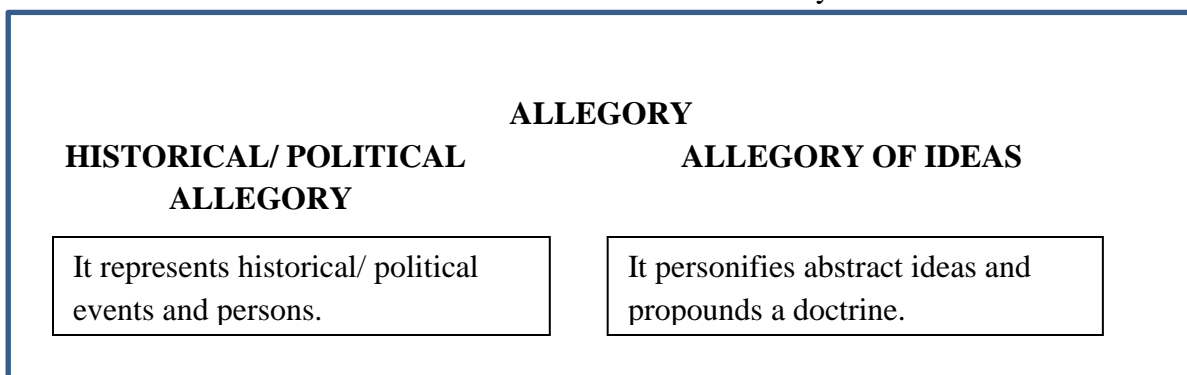
of an allegory or utopia and at the same time, it may function as a satire. It is advisable to club the related terms here for your easy comprehension. In this section, we are going to study the specific genres of fiction and non-fiction produced in different ages of history in England or elsewhere. We will attempt to define them, trace their history, explain and interpret famous examples of the forms in your syllabus. Apart from the forms of prose, we need to comprehend important literary terms/ concepts related to prose. Those, too, will be discussed in these two sections.

2.2 LITERARY TERMS

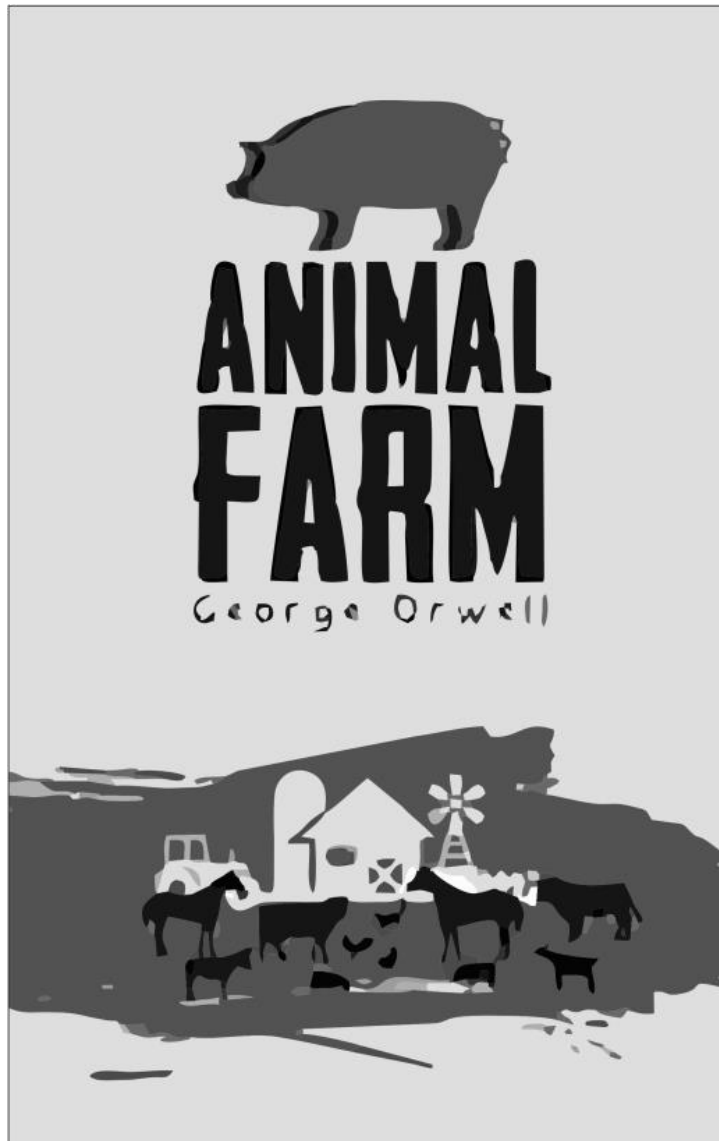
- **Allegory**

The term is derived from Greek *allegoria* which means “speaking otherwise”. It is a story in prose or verse in which the characters, actions and sometimes even the setting are so designed as to generate two levels of meaning – the literal or primary level of meaning and the second underlying meaning. Both run parallel to each other in the narrative. So, the story can be understood at two levels and in some cases at three or four levels.

We come across two common types of allegory in the history of English Literature, one is a **historical or political allegory** and the other is the **allegory of ideas**. The former makes use of characters and events from history.



Animal Farm (1945) by George Orwell, a historical and political allegory of the Russian Revolution, mocks the leaders of the revolution who upheld liberty and equality in the beginning but ended up being dictators themselves. The leaders of the revolution are presented as pigs. They force the farmer out of Manor Farm and take control of the farm only to become corrupt and morally depraved by power later on. Another example of allegorical satire is Jonathan Swift’s *Gulliver’s Travels*. Interestingly, you may read the above books as children’s books unless you are aware of the political and historical contexts of the works.



***Animal Farm* mocks the leaders of the Russian Revolution**

In the allegory of ideas, the characters personify abstract concepts and the plot represents a doctrine. A famous example is John Bunyan's *Pilgrim's Progress* (1678) in which the protagonist named Christian, warned by Evangelist flees the City of Destruction and reaches the Celestial City braving great hardships. On the way, he meets many characters explicitly named Mr Worldly Wise Man, Faithful, Hopeful, and the Giant Despair. He passes through places like Vanity Fair and the Valley of the Shadow of Death. The doctrine exemplifies the journey of a Christian for salvation.

The origin of allegory is quite ancient. This method of articulating truth comes naturally to human beings and is universal. Its seeds lay in religion and myth. Classical literature has many instances of the use of allegory. One of its precursors is the dream vision in which the narrator falls asleep and goes through an allegorical dream, for example, Dante's *Divine Comedy* and Chaucer's *House of Fame*.

- **Fable**

Closely associated with allegory is the fable. It is a short narrative in prose or verse preaching a moral or a principle of human behaviour. The narrator or one of the characters states the moral at the end of the story. The characters generally include non-living things or animals. The most common type is the beast fable in which animals talk and behave like human beings. You must have read the fable of the fox and the grapes as a child.

A fox enters a garden full of grapes. The grapes are hanging so high that the fox is not able to get hold of them. Finally, the fox gives up, thinking that the grapes are sour and are not worth the effort. The moral of the story is that human beings belittle what they fail to achieve.

The form seems to have originated in Greece as Aesop, a Greek slave of the sixth century is credited with producing the first known collection of beast fables called *Aesop's Fables*. Chaucer's "The Nun's Priest's Tale" containing the story of the fox and the cock is also a beast fable. *Jataka Tales* is the Indian version of the beast fable in which numerous beast fables are intricately connected exhibiting brilliant craftsmanship.

- **Parable**

Related to allegory and fable, it also means a short and simple story about human beings that illustrates a moral lesson. What is of utmost importance in the story is its message. A parable has been one of the favourite and effective devices used by Jesus Christ as a teacher. His parables of the prodigal son and good Samaritan are very popular. You must have come across the phrase "Good Samaritan" being used quite often. It refers to a kind and helpful person, somebody who comes to the rescue of the needy without any vested interest. It is derived from the parable of the good Samaritan (Luke 10:25-37). The Parable of Good Samaritan teaches us to be kind to even those who may not be our friends.

To exemplify the commandment "Love your neighbour as yourself", Jesus narrates the story of a Jew and a Samaritan (belonging to Samaria) who normally would not

get along. A Jew was travelling from Jerusalem to Jericho when he was attacked by robbers. As he lay injured, a priest passed by. He moved on without helping the man.



The Good Samaritan, a painting by Jacob Jordaens made in 1616 with oil on canvas. Photo: Wiki Commons

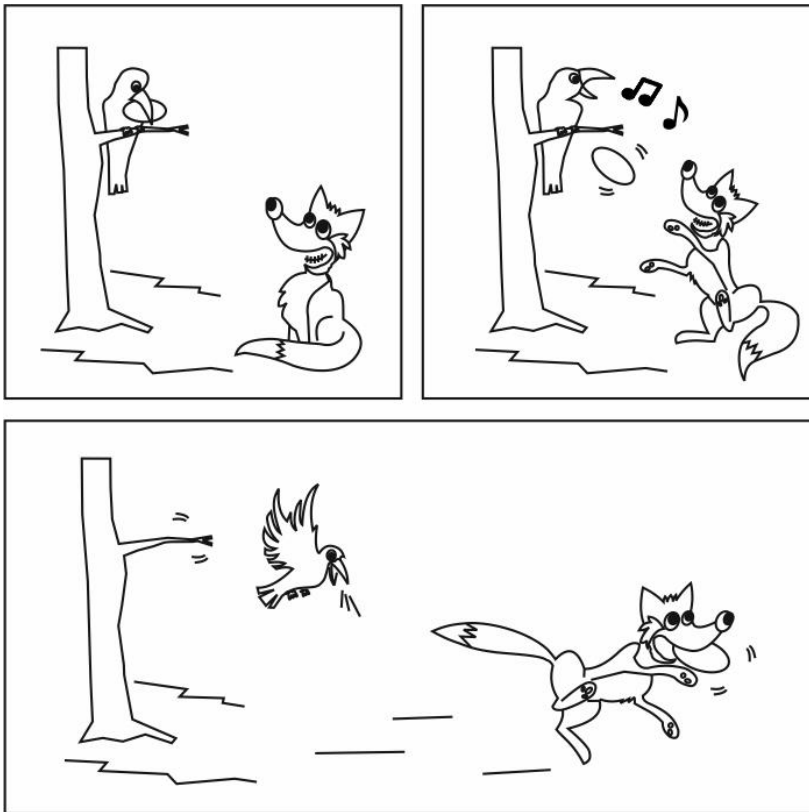
The next person, a Levite and priest's assistant, didn't stop to help the injured man. The third person, a Samaritan, was moved to pity seeing the wounded man. He cleaned his wounds, bandaged him and took him to an inn on his donkey. The parable teaches us to love even our enemies.

Check your progress

A) Fill in the blanks:

- 1) is a short story in which animals talk and behave like human beings.
- 2) is a short story used as an example in a sermon.
- 3) John Bunyan's *Pilgrim's Progress* is an allegory of
- 4) The allegory of the Russian Revolution written by George Orwell is titled.....

B) Write in your own words a beast fable from the pictures given below.



- **Utopia**

The term was first used by Sir Thomas More as the title of his work about an imaginary republic. *Utopia* published in 1516 is derived from two Greek words –

“eutopia” meaning good place and “outopia” meaning no place. Now the term is applied to a whole range of prose fiction that depicts an ideal place and way of life though such a place has no real existence.

The idea dates back to Plato’s *Republic* in the fourth century B.C. The book talks about the model of a Commonwealth in dialogue form. If it cannot be achieved, it is worth striving for. However, Plato’s utopia seems to be a prototype of the totalitarian state. In his republic, rulers are philosophers, women and goods are shared property and slavery is accepted. There is no place for art in this republic.

Many utopias have been written since More’s *Utopia*. Like More’s *Utopia*, most of them feature an adventurous traveller who happens to find an ideal state in a distant land. Some of them are mere fantasies and some are blueprints for the social and political reforms in their present countries. Francis Bacon’s *New Atlantis* (1627), Edward Bellamy’s *Looking Backward* (1888) and William Morris’s *News from Nowhere* (1891) are some of the famous utopias.

Not all literary representations of imaginary countries qualify as utopias as they are intended to be satires on the present systems of governance or modes of thinking. Examples are Samuel Butler’s *Erewhon* (1872) and Swift’s *Gulliver’s Travels* (1726).

Another related term is **science fiction** which offers the vision of a new technologically advanced world. Writers of the Modern Age like H.G. Wells and Jules Verne delved into this form. Some of the works of utopian science fiction are meant to be satires on the disastrous results of scientific research. These works undertake to show horrible imaginary places which have sprung up in due course of time as a result of our present obsession with technology and its abuse. The term **dystopia** is applied to such works. Aldous Huxley’s *Brave New World* (1932) and George Orwell’s *1984* (1949) fall in this category.

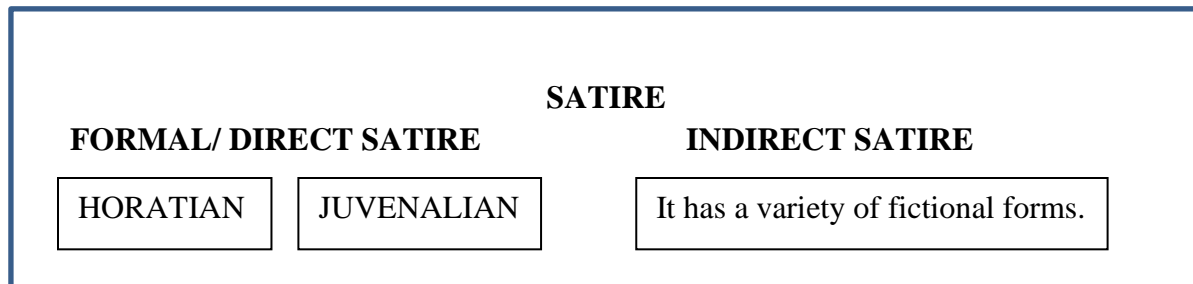
- **Satire**

In literature, the art of belittling a subject -- a person, a type of person, an institution, society or an idea – by ridiculing it is called satire. It does not evoke laughter as an end in itself the way comedy does. Most satirists claim to use laughter as a weapon to reform, correct and improve human behaviour, society, or the whole of mankind. Jonathan Swift’s *Gulliver’s Travels* is a satire against the whole of mankind.

The history of satire is long-winding. Satire was introduced by Greek poets and developed by Roman poets Horace and Juvenal. In England, the golden age of satire begins at the end of the 17th century. It flourished in much of the 18th century. Satire is not associated with one particular genre. In the Elizabethan Age and Ages of

Dryden and Pope, plays and poetry have been the vehicles of satire. Ben Johnson's play *Volpone* (1607) makes fun of the vanity and greed of a frail old man, Corbaccio. Dryden's *MacFlecknoe* (1682) written in verse mocks contemporary poetaster, Thomas Shadwell. Alexander Pope, the greatest master of satire, rightly said, "Those who are ashamed of nothing else are so of being ridiculous."

A literary work may have elements of satire. Maybe a certain character or a situation is satiric in the whole work. But there are writings that have an in-built satiric structure. Such works, in verse or prose, are termed satires. We will mainly concern ourselves here with prose satire.



There are two types of satire – **formal** or **direct** and **indirect**. In the formal satire, the satirist speaks in the first person. He may address the reader or a character within the work, called *adversarius*, who elicits a response from the satiric speaker and hence brings out the satire. The formal satire can be further divided into two types – **Horatian satire** and **Juvenalian satire** after the names of their Roman practitioners. In the former, the speaker feels amused on seeing human folly and hypocrisy. Laughing gently at human weaknesses, he is moved to a wry smile than indignation. Horace describes the aim of such satire as "to laugh people out of their vices and follies." Pope's *Moral Essays* follow this principle.

Juvenalian satire fields a speaker who gets seriously angry at human vices and aims to evoke contempt, disillusionment and anger from the readers as well. Samuel Johnson's "The Vanity of Human Wishes" (1749) belongs to this category.

The **indirect satire** is manipulated by the author in a literary form, mostly prose fiction. It does not address the reader directly. Instead, the targets of the satire are the characters who make themselves and their opinions ridiculous through their dialogues and actions. The comments and narrative style of the author enhance the poignancy of the satire. The hilarious story "Uncle Podger Hangs a Picture" by Jerome K. Jerome is a satire on such presumptuous characters. **Menippean** satire is a kind of indirect satire developed by Greek philosopher Menippus. Also called **Varronian** satire, this form is usually written in prose interspersed with the verse at places. The critic Northrop Frye refers to this type as **anatomy** after the title of Robert Burton's classic

satire *Anatomy of Melancholy* (1621). This type has several characters representing people from different walks of life, varied professions and points of view. They engage in a debate at a get-together and betray their absurd attitudes. Huxley's last novel *Point Counter Point* (1928) is a Menippean satire. The satiric elements are contained in the long discussions and debates among characters meeting at the weekend at a country manor. Lewis Carroll's *Alice in Wonderland* is also classified as a Menippean satire.

Check your progress

Provide one word for the following:

- 1) An ideal state that does not exist
- 2) Name of the author who first used the term utopia
- 3) An imaginary horrible place resulting from human misadventures
- 4) Satire with the first-person speaker
- 5) Formal gentle satire meant to evoke amusement only
- 6) Indirect satire having endless discussions among its diverse characters

- **Atmosphere**

Also called mood or ambience, it is the feeling or the intangible quality that pervades a part or whole of a literary work, whether a poem, play, short story or novel. It appeals to the extra-sensory and even the sensory perception of the reader. In the novel *Jane Eyre* (1847) by Charlotte Bronte, the mysterious aura of Rochester's mansion Thornfield Hall, the muttering, screams, muffled sounds all point towards a hidden secret. The reader's curiosity is heightened by the uncanny and eerie events that keep happening at the mansion. The secret of the mad wife Bertha Rochester is revealed eventually to the heroine Jane Eyre and the reader.

While I paced softly on, the last sound I expected to hear in so still a region, a laugh, struck my ear. It was a curious laugh; distinct, formal, mirthless. I stopped: the sound ceased, only for an instant; it began again, louder: for at first, though distinct, it was very low. It passed off in a clamorous peal that seemed to wake an echo in every lonely chamber; though it originated but in one and I could have pointed out the door whence the accents issued.

- **Euphemism**

The use of a soft and inoffensive expression in place of a harsh and blunt one is called euphemism. Using "to pass away" for death and "comfort station" for the toilet are instances of euphemism in daily life. Euphemistic expressions are common in the official jargon or language of broadcasting and newspapers. For example, the expression "terminal illness" is used for fatal illness and "collateral damage" for war

casualties. In Elizabethan Age, people used the term “zounds” while swearing-in by “God’s Wounds.”

Check your progress

- 1) You must have watched a horror movie in which the atmosphere is built with the audio-visual support. This is done with the help of words in literature. Give one example of a horror story where the author has successfully created an atmosphere of tension and fear.
- 2) Use polite/ euphemistic expressions in place of the underlined words:
 - His grandmother died yesterday.....
 - He has gone to the toilet.
 - They are heading for a divorce.
 - These seats are reserved for the old people.
 - Most government buildings have got ramps for the handicapped.

2.3 SUMMING UP

In this unit we discussed and analysed the following genres and concepts:

- Allegory
- Fable
- Parable
- Utopia, Science Fiction, Dystopia
- Satire
- Atmosphere
- Euphemism

2.4 GLOSSARY

Abstract:	existing only as an idea not as a thing
Blueprint:	a complete plan explaining how to do something
Clamorous:	noisy
Commandment:	one of the ten laws that Christians must obey
Disastrous:	failing completely
Disillusionment:	disappointment when something is not up to expectation
Eerie:	strange and scary
Fantasy:	something unreal and imagined
Hilarious:	evoking laughter
Hypocrisy:	having double standards
Indignation:	anger
Inoffensive:	polite
Intangible:	something that cannot be touched

Manipulated:	skilfully controlled
Mirthless:	lacking happiness
Poetaster:	a person writing inferior poetry
Poignancy:	sharpness, effectiveness
Prodigal:	spendthrift
Republic:	state having an elected government
Ridiculous:	absurd
Salvation:	final liberation

2.5 SUGGESTED READING

1. *A Glossary of Literary Terms* by M.H. Abrams
2. *Literary Terms: A Dictionary* by Karl Beckson and Arthur Ganz
3. *Prose Literary Terms and Concepts (The Britannica Guide to Literary Elements)* edited by Kathleen Kuiper
4. *The Penguin Dictionary of Literary Terms and Literary Theory* by J.A. Cuddon

2.6 QUESTION FOR PRACTICE

1. What is an allegory? Discuss the types of allegory in detail with example?
2. Define strive? Justify its significance as an important literary device by citing examples from some literary works?

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

Course: Reading Prose

UNIT 3 – LITERARY TERMS (CONTINUED)

STRUCTURE

3.0 Aims and Objectives

3.1 Introduction

3.2 Literary Terms

- **Autobiography and Biography**
- **Essay**
- **Historical Writing**
- **Irony**
- **Philosophical Writing**
- **Travelogue**

3.3 Summing up

3.4 Suggested Reading

3.5 Glossary

3.6 Question for Practice

3.0 AIMS AND OBJECTIVES

After studying this unit, you will be able to define, explain, analyse and trace the history of

- Terms of non-fiction prose – Autobiography, biography, essay, historical writing, philosophical writing and travelogue.
- Irony as a literary device in fictional or non-fictional prose.

3.1 INTRODUCTION

The last section dealt mainly with the terms of prose fiction. This lesson will give you an insight into the diverse forms of non-fiction which are no less interesting because they refer to

something beyond the text. You must be already familiar with them. We briefly introduced the terms in our first lesson. We are supposed to have essay writing skills since we begin to have a hold over the language. All competition exams must have a question on essay writing. The autobiography or biography of an important and famous person, in part or full, is prescribed in most curricula. Autobiographies of Mahatma Gandhi and A.P.J. Abdul Kalam have been a great favourite among readers. Historical, philosophical and travel writing have yielded very interesting stuff in the past and the process is still going on. You will become aware of the literary output in these genres in the section. Moreover, you will be surprised to know that irony as a literary device is used so often and with such ingenuity in works of literature that it takes a discerning reader to appreciate it.

3.2 LITERARY TERMS

Autobiography

It is the account of a person's life by him or herself. It describes the subject's character and development, experiences, challenges, achievements, anything that is worth mentioning and deserves merit. The first example of autobiography which is remarkable for its self-analysis is *Confessions* written by St Augustine in the 4th century. It can be called a spiritual autobiography as it is about a spiritual crisis in the life of the writer and his subsequent recovery from it. He emerges winner as he finds his Christian identity and true vocation in life. Another example of this kind is John Bunyan's *Grace Abounding to the Chief of Sinners* (1696). Sir Thomas Browne's *Religio Medici* (1642) too is a spiritual testament.

Autobiography has other variants like **memoir** and **diary** or **journal**. In a memoir, the writer focuses on the people he comes across and the transformative events of his/ her life. In a diary or journal, the author keeps a day-to-day record of his personal life for his use and pleasure. It is not originally meant for publication. The diaries of John Evelyn and Samuel Pepys written in the 17th century are very famous. *The Diary of a Young Girl* (1952) by Anne Frank is a moving account of a young girl's daily struggle to come to terms with her life in hiding during the Nazi occupation of the Netherlands in World War II.

Biography, according to Dryden, is "the history of particular men's lives." Like autobiography, it also dwells on the subject's personality, experiences, inspiration and influences with the only difference that it is written by somebody other than the subject. The earliest example is *Parallel Lives* written by the Roman historian Plutarch in the 1st century AD. Shakespeare made use of biographical material from this source for many of his plays. In the Middle Ages, the lives of Christian saints became the centrepiece of biographical writing, which is also called **hagiography**. In the 17th century, English biography grew considerably. Izaak Walton's *Lives* unravels the lives of many writers including that of John Donne. James Boswell's *Life of Johnson* (1791) is considered one of the best examples in this genre. A biographer consults

multiple sources to join the pieces of his subject's life including interviews, memoirs of contemporaries, archives, personal knowledge and accounts of witnesses. Some of the autobiographies and biographies have been best-sellers. Famous Indian examples of the form are Mahatma Gandhi's *My Experiments with Truth* (1927) and APJ Abdul Kalam's *Wings of Fire* (1999). Indian poet Kamala Das wrote *My Story* which was published in English in 1976. It is one of the most candid and controversial women's autobiographies to date. Autobiographical writing has become very popular like TV reality shows these days. There is such great variety in the style and presentation that the term life narratives is being increasingly used in place of autobiography or biography.

Essay

An essay may be defined as any composition in prose ranging from a few hundred words to book-length which discusses a subject or expresses a point of view in a formal expository style or an informal conversational style. It is one of the most flexible forms of literature. It can be as short as Bacon's *Essays* or as extended as a book like Locke's *Essay Concerning Human Understanding*. One thing common among all essays is that they address the general reader and are supposed to be non-technical and comprehensible.

ESSAY	
FORMAL	INFORMAL/ PERSONAL
The author is objective and impersonal.	The author uses casual and conversational tone.

An essay can be **formal** or **informal**. The author of a formal essay writes as an expert on the subject in an arranged manner. He will move step by step. You will find specialised articles written by the economic and political analysts on the editorial page of any newspaper. The informal essay, also called a personal essay, is written in a lighter vein. The author connects with the reader at the outset, talks about everyday affairs in a relaxed tone, revealing his personality and emotions during the process. He/ she makes liberal use of humour, anecdotes and examples to enhance the appeal of his essay. Charles Lamb's "Dream Children" is a personal essay in which he dreams about having a family. The essay is full of pathos as it betrays the wishful thinking of Lamb who did not have a family.

Classical writers like Theophrastus and Seneca were already dealing with some form of essay but the term *Essais* was first used by Montaigne in 1580 as the title of his first publication. The term meant "attempts" referring to his rambling and informal discussions on the subject rather than formal and technical treatises. Francis Bacon wrote *Essays* in 1597. They are short compositions in prose on varied subjects, more in the nature of commentaries. "Of Riches", "Of Envy", "Of Marriage and the Single Life" and "Of Truth" are some of his well-known essays.

Alexander Pope chose to write in verse his “Essay on Man” and “Essay on Criticism” which has not been emulated much. The 18th century witnessed the rise of **periodical essay** which was perfected by Richard Steele and Joseph Addison. They published the periodicals *The Tatler* and *The Spectator* respectively which became the vehicles for their essays. The essays reflect the tendencies of 18th century England very minutely. They capture the humdrum of English life including fashion, urban and rural ways, childhood memories and political ideas. Romantic Age ushered in an era of a personal essay of which Charles Lamb, William Hazlitt and Thomas de Quincey are the major exponents. Victorian essayists Thomas Carlyle, John Ruskin and Matthew Arnold preferred formal and objective essay. In the 20th century, A.G. Gardiner, Aldous Huxley, G.K. Chesterton are notable essayists. Their essays are quite readable and form part of the curricula of many courses.

Check your progress

- 1) Differentiate between biography and autobiography. _____
- 2) Differentiate between formal and informal essay. _____
- 3) Write a personal essay on “How I Spent my Days in Lockdown during Covid-19 Pandemic.” _____

Historical Writing

Writing about events, persons, practices belonging to the past can be put under the broad term historical writing. It can be fictional or non-fictional. Writing of histories can be extended and detailed work done over years after a lot of research.

The first instances of non-fictional historical writing in English are chronicles which are chronological accounts of events, mostly patronised by Kings and Queens. Otherwise of little merit, Raphael Holinshed’s *Chronicle* (1578-1586) is popular as it was used by Shakespeare for his history plays. Raleigh’s *History of the World* represents the first attempt in English at an interpretation of events. In Puritan Age, Lord Clarendon’s *History of the Rebellion* may not be objective as history but is certainly a classic of literature.

Historical literature was given a new impetus around the middle of the 18th century by two Scotsmen, David Hume and William Robertson. It was taken to a great height by Edward Gibbon who wrote *Decline and Fall of the Roman Empire*. Lord Macaulay is credited with writing the masterpiece of historical literature *History of England* (1848-61). He had planned it on a vast scale but ended up covering only the reigns of James II and William III. It is a vivid description of English life and society at the end of the 17th century. His prose style is eloquent, lucid and forceful. The output of historical writing is great in the 20th century. *A Study of History* (completed in 1961) in 12 volumes by A.J. Toynbee and *The Second World War* (completed in

1954) by Winston Churchill deserve special merit. Their prose is marked by accuracy and literary grace.

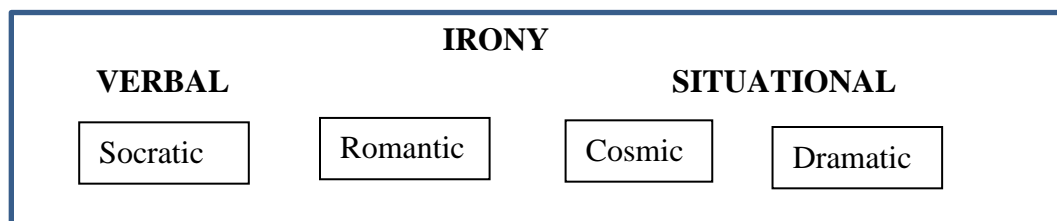
Historical fiction or more commonly historical novel has been a popular form since Sir Walter Scott introduced it in 1814 by writing his first historical novel *Waverley*. The novel dealt with the Jacobite rebellion of 1745. Scott still remains the undisputed master of the form. Historical novel generally studies the impact of historical events on the personal lives of its characters who may be invented by the author. Apart from this, the historical novel captures the customs, society and manners of the period accurately. Other noteworthy historical novels are William Makepeace Thackeray's *Vanity Fair* (1848), Charles Dickens' *A Tale of Two Cities* (1859) and Leo Tolstoy's *War and Peace* (1869).

Another genre based on history is **history play**. Also called chronicle play, it derives its material from the English chronicles by Raphael Holinshed and others in the Elizabethan Age. Shakespeare wrote series of the chronicle plays covering the reigns of English kings from Richard II to Henry VIII. His plays Richard II and Henry IV have been a great success.

Irony

Irony is a device by which a writer says something but means something else that is the intended meaning is different from the stated one. The term is derived from Greek *eirōn* meaning “dissembler”. The latter was a stock character in Greek comedy who spoke in understatement and pretended to be less intelligent than he was. Though he was feeble and small, he prevailed over the *alazon*, the boastful one.

Irony is put into various uses and all of them retain the sense of hiding the real intention, meaning or situation. You will be conscious of a disparity between the word and their meanings, between expectations and actual happenings and between appearance and reality. There will always be an element of contradiction or absurd in an ironic statement or situation.



Two common classifications of irony are verbal and situational. **Verbal irony**, also called rhetorical irony, is a statement that differs markedly from what the speaker feels or thinks. The situation, context and prior information lend a different and sometimes opposite interpretation to the statement. For example, if a person is making a fool of himself by wearing a weird dress and you compliment the person despite thinking otherwise:

“What a lovely dress!”

This would be a case of ironic reversal.

Situational irony occurs when the events take a different turn from what the protagonist expected or anticipated. The protagonist, who is ignorant, acts in a grossly inappropriate way in the given situation though the reader is aware of the pitfalls. The term naïve hero is applied to such a person. Isabel in American author Henry James’ novel *The Portrait of a Lady* (1881) falls for the wrong suitor Osmond as she is oblivious of his schemes.

Irony is subjected to a variety of uses and is named accordingly. **Socratic irony** derives from Plato’s dialogues in which philosopher Socrates follows a clever method to get the better of his opponents in an argument. He pretends to be ignorant, readily agrees with his opponents while continuously probing their points of view ultimately deflating them.

Romantic irony applies to a narrative or dramatic work in which the author begins on a serious note and claims to represent reality. However, the author shatters this illusion later on in the narrative and discloses his role as a master manipulator and arbitrary creator controlling the show. Laurence Sterne used a self-conscious narrator in his novel *Tristram Shandy* (1759).

Cosmic irony or **irony of fate** refers to a structural irony in which the author shows the protagonist at the mercy of a supreme force or God. The work ends tragically for the protagonist who is tossed around by this force. However hard the person tries, he/ she is doomed to an unhappy life. Thomas Hardy employs cosmic irony in his novel *Tess of the D’Urbervilles* (1891).

Dramatic irony is used in a play or narrative in which the outcome is already known to the audience. However, the ignorant hero acts inappropriately, expects the opposite and says things that anticipate the events although they unfold differently. Greek tragedies were based on legends already known to the audience. Sophocles’ *Oedipus* is the best-known example of dramatic irony.

Irony serves many purposes. It unravels the truth, condemns, corrects, deflates and is the most potent weapon of satirists. Its vogue increased by the latter half of the 17th century with the rise of satire. Addison, Pope, Steele, Swift have extensively used irony in their satires.

Check your progress

Fill in the blanks:

- 1) A play based on history is called
- 2) The masterpiece of historical literature *History of England* was written by
- 3) The historical novel was introduced by
- 4) *Eiron* is a Greek word that means
- 5) The narrator in Sterne's novel *Tristram Shandy* is
- 6) A protagonist who acts unwisely due to his ignorance of the future is called a hero.
- 7) Structural irony in which the protagonist is at the mercy of a supreme force is called
.....

Philosophical writing

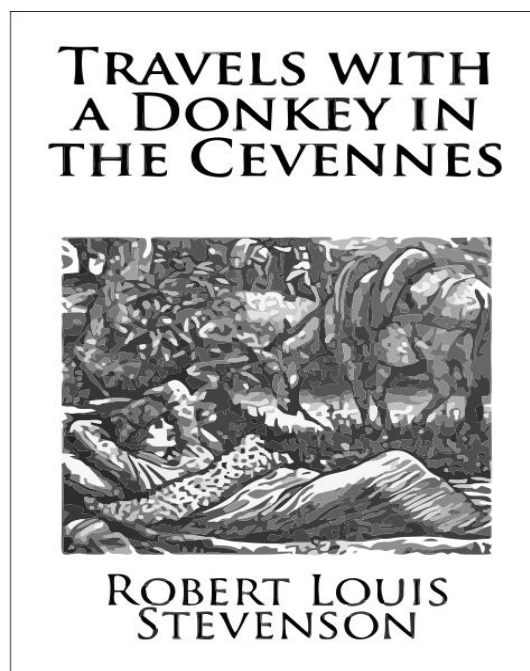
You must have read Shakespeare's famous poem "All the World's a Stage" from his play *As You Like It*. These lines are spoken by a character Jaques who philosophises on everything. He is wise as well as comic. Most of the literature is philosophical, wholly or in parts. In fact, philosophy and literature are like twin brothers. Any piece of writing whether a poem, essay, story or novel, can be philosophical if it propounds a philosophy directly or indirectly. A work of fiction may be the embodiment of a particular philosophy. Or it can be a long treatise where the author directly expresses his philosophical standpoint and slowly works his way into the mind of his readers. Philosophy is said to be the fountainhead of all subjects. It has classical origins. In ancient Greece at the turn of the 4th century BC, Plato created fictionalized characters who exchanged dialogues and discussed a complex philosophical problem. Socrates also appeared as a character in these dialogues. This form was used by many writers of philosophical literature later on. *Meditations* (161-180 AD) by the Roman emperor Marcus Aurelius discusses the philosophical subject of stoicism.

In England, Thomas Hobbes wrote his famous philosophical work *Leviathan* (1651). It is the name of a sea monster that he uses to refer to the state. He believes that man is a selfish being and as good as a savage beast. To satisfy his basic instinct, he has to continuously wage a war with others. And to get rid of his insecurities, he tends to surrender his rights to an absolute dictator. In the Age of Johnson, David Hume, influenced by the philosophy of John Locke's materialism, denied the existence of soul or mind. He gave credence only to things that can be proved by one's own experience. His empirical philosophy is contained in his work *An Enquiry Concerning Human Understanding*. The country continued to be ruled by this utilitarian philosophy for most of the 19th century till Coleridge and later Sir William Hamilton introduced England to the idealism and transcendental philosophy of German philosophers Kant and Hegel.

Other authors have resorted to writing fictional narratives to address philosophical issues. Thomas Hardy's novel *Jude the Obscure* (1896) was influenced by the philosophy of Arthur Schopenhauer. His philosophy also influenced modern novelist Joseph Conrad whose *Heart of Darkness* (1902) is a philosophical novel. In Modern Age, Albert Camus' novel *The Outsider* (published in French in 1942 and translated in English in 1946) is the mouthpiece of Existential philosophy. Existential philosophy based on nihilism holds that the existence of human beings on earth is absurd. There is no absolute truth and no meaning can be attributed to human existence. *The Fountainhead* (1943) by Russian American author Ayn Rand is based on the philosophy that individualism is better than collectivism.

Travelogue

It is a form of non-fictional prose which has a huge variety and which dates back to classical times. Its length can vary from an essay to a book. It is now practised by many famous professional or amateur writers. The most eligible to write a travelogue are the adventurers, sailors, diplomats, missionaries and nature lovers. The genre encompasses works as diverse as guide-books, accounts of stay at distant places (travel memoirs), adventure and exploratory tours. Travelling, no doubt, widens the horizons while satiating the gypsy spirit of man. A person's natural curiosity, the spirit of adventure and urge to re-discover oneself through strange travels has given rise to travel literature. But it is to be remembered that in any kind of travel writing, it is the traveller and not the places he visited which lends charm to a travelogue. One such book is *Travels with a Donkey in Cevennes* by R. L. Stevenson. Its chief interest lies in the traveller and not the travel.



The chief interest of *Travels with a Donkey in Cevennes* lies in the traveller and not the travel.

The oldest examples of travel writing are those of Greek geographers Strabo and Pausanias in the 1st and 2nd centuries AD. They are a great source of information about ancient people, sects and places. The travel writing deserving literary merit can be assigned to Marco Polo in the 13th century. Medieval China is also known to have produced travel literature of great value. The forms used were narrative, prose, essay and diary.

In England, the 18th century witnessed the rise of the diary form for recording travels. James Cook's diaries (1784) were a hit among readers. Robert Louis Stevenson, mentioned above, can be called a pioneer of tourism literature. Apart from his *Travels with a Donkey*, he also wrote *An Inland Voyage* in 1878. He popularised hiking and camping through his writings. Sometimes travel and nature writing converge resulting in interesting works. Charles Darwin's account of his journey of *HMS Beagle* combines science, natural history and travel. In the 20th century Hilaire Belloc's *The Path to Rome* (1902) and W. Somerset Maugham's *Gentleman in the Parlour* (1930) are important contributions to travel literature. Rebecca West's work on Yugoslavia, *Black Lamb and Grey Falcon* (1941) is an essay, the form commonly used for travel writing.

Check your progress

Answer the following questions:

- 1) Name of a sea monster and the title of Hobbes' philosophical work _____
- 2) *The Outsider* by Albert Camus is based on the philosophy of _____
- 3) Coleridge was influenced by the transcendental philosophy of German philosophers _____ and _____.
- 4) Nineteenth-century England was dominated by this philosophy _____.
- 5) *Travels with a Donkey* is written by _____.
- 6) A naturalist who wrote *HMS Beagle* _____.

3.3 SUMMING UP

In this section we discussed and explained with examples the following terms:

- Autobiography and biography
- Essay
- Historical writing
- Irony
- Philosophical writing

- Travelogue

3.4GLOSSARY

Absurd:	illogical
Amateur:	a person who takes up work only as a hobby
Anecdotes:	a short amusing story about a real person or happening
Arbitrary:	without following any rule or plan
Archives:	collection of historical documents
Boastful:	one who brags
Candid:	frank
Collectivism:	principle of keeping group above individual
Contradiction:	combination of opposing ideas
Controversial:	causing public uproar
Conversational:	casual
Diplomats:	officials who represent their country in a foreign country
Discerning:	showing good judgement
Dissembler:	one who hides
Empirical:	based on experience and proof
Fountainhead:	original source
Humdrum:	monotonous
Individualism:	putting individual above society
Ingenuity:	skill or craft
Legends:	old stories, part of folklore
Materialism:	belief that money and possessions are the most important in life
Nihilism:	nothingness
Objective:	not influenced by personal feelings
Pathos:	something that moves one to pity
Pioneer:	the leader or initiator
Pitfalls:	hidden dangers
Potent:	powerful
Rambling:	long and confused
Rhetorical:	concerned with the art of speaking or writing formally
Stoicism:	philosophy of bearing pain without showing emotions
Testament:	a covenant between humans and God
Transcendental:	to go beyond or rise above the ordinary
Treatise:	formal book or piece of writing
Utilitarian:	intended to be practical and useful
Vocation:	work that you believe to be suitable for you

3.5 SUGGESTED READING

5. *A Glossary of Literary Terms* by M.H. Abrams
6. *Literary Terms: A Dictionary* by Karl Beckson and Arthur Ganz
7. *Prose Literary Terms and Concepts (The Britannica Guide to Literary Elements)*
edited by Kathleen Kuiper
8. *The Penguin Dictionary of Literary Terms and Literary Theory* by J.A. Cuddon

3.6 QUESTION FOR PRACTICE

1. **How is a biography different from autobiography?**
2. **What is the difference between a formal and an informal essay?**
3. **Discuss different types of irony.**

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

COURSE: READING PROSE

UNIT-4: THE OLD MAN AND THE SEA-I

STRUCTURE

4.0 Objectives

4.1 Introduction

4.2 What is a novella?

4.2.1 Function of novella

4.2.2 Check Your Progress-I

4.3 Ernest Hemingway: A Biographical Note

4.3.1 Glossary

4.3.2 Check your Progress-II

4.4 Introduction to *The Old Man and the Sea*

4.4.1 Character List (*The Old Man and The Sea*)

4.4.2 Glossary from the text

4.4.3 Check Your Progress-III

4.5 Important Quotes with Explanation

4.6 Let Us Sum Up

4.7 Suggested Reading

4.8 Question for Practise

4.0 OBJECTIVES

After a careful reading of this unit, you will be able to:

- ✓ Define novella as a literary term
- ✓ Trace its origin and growth
- ✓ Understand the life of Hemingway
- ✓ Analyse the novella and its various characteristics
- ✓ Solve the short revision exercises

- ✓ Learn new glossary words
- ✓ Understand important textual quotations

4.1 INTRODUCTION

In this unit, we shall first discuss novella as a literary term and learn its origin, structure and characteristics. We shall also learn how it is different from novel.

Our focus will then shift to Hemingway's *The Old Man and the Sea*. You will be introduced to the author through a short biographical note pertaining to his life and works followed by the glossary and some short exercises. Thereafter, you will be introduced to the novella *The Old Man and the Sea* and its various characters. Moreover, you will be studying the important textual quotes and will also be solving short revision exercises.

4.2 WHAT IS A NOVELLA?

A novella is a type of prose fiction, which is shorter than full length novels and longer than short stories. It originates from an Italian word “novella”, which means “new.” It is a well-structured yet short narrative; often satiric or realistic in tone. It usually focuses on one incident, or issue with one or two main characters and takes place at a single location.

Novellas have less pages and words than that of novels. The more obvious difference is that novellas have fewer subplots and conflicts than full length novels. The main narrative of a novella resembles with a straight line and does not use complicated and indirect plot lines, back stories, and multiple points of views. Unlike novels, novellas usually do not have chapters. It is mostly concerned with emotional and personal development of the character rather than dealing with a larger social sphere and events that usually takes place in one place or location. For Example: *Heart of Darkness* by Joseph Conrad, *The Turn of the Screw* by Henry James, *Billy Budd* by Herman Melville, etc.

4.2.1 FUNCTION OF NOVELLA

Novellas are the richest and most rewarding forms of literary genres, because this genre allows an extended development of characters and themes than a short story does, without making detailed structural demands of a complete book. Thus, a novella provides a detailed and intense exploration of the topic, providing both the complete focus of a short story and a broad scope of a novel. Since novellas have ideal short length, they are considered a perfect source for silver screen and film adaptations.

4.2.2 CHECK YOUR PROGRESS-I

1. A type of prose fiction, which is shorter than full length novels and longer than short stories is called

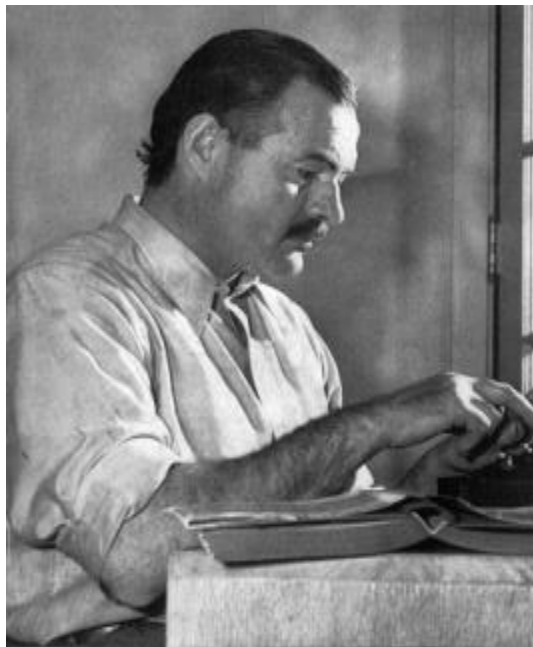
2. The word “novella” originates from an Italian word which means

Answer key:

1. Novella 2. New

4.3 ERNEST HEMINGWAY: A BIOGRAPHICAL NOTE

Ernest Miller Hemingway was born on July 21, 1899 in Cicero (now in Oak Park, Illinois,US). He was a prominent American novelist and short story writer amongst the galaxy of American writers. Most of his work was published between the mid1920's and the mid 1950's. He was awarded the Pulitzer Prize in 1953 and Nobel Prize in literature in the year 1954.



His father Clarence Edmonds Hemingway was a physician and his mother Grace Hall Hemingway was a musician. His mother, a devout and religious lady, taught her son to play the cello despite Hemingway's disinterestedness to learn, but he admitted later in his life that music contributed to his writing style. When Hemingway was in his youth age, he learnt to hunt, fish and camp in the woods from his father as the family used to go for summer **excursions** (check glossary on page 9-10) to Windemere on Walloon Lake, Michigan. These outdoor activities and his deep love of hunting and fishing infused a lot of passion, enthusiasm and love for adventurous life in him. It also formed lasting impressions that became ingredients for his short stories and other writings.

In high school, Hemingway was a football and a boxing player. Years later, he disclosed to people that it was a boxing accident that was responsible for his defective eyesight. Hemingway was always self-conscious of his shortcomings and the **stigma** of having a slight speech defect continuously hampered Hemingway's confidence.

Hemingway began his writing career quite early. He became a reporter for The Trapeze, his high-school newspaper, and he published a couple of stories in the Tabula, the school's literary magazine. After completing high school, he worked as a reporter for a few months for The Kansas City, earning fifteen dollars a week where he learnt the art of writing short sentences and construct good stories. He soon realized that a major part of Kansas City life was filled with unrest due to crime and impulsive violence. It was an exciting time for the **naïve**, eager young man from the north woods who was determined to learn how to write well.

A few months passed, and despite the satisfying pace of his life and the thrill of seeing his work in print, Hemingway realized that most of the young men he knew were leaving to take part in the war in Europe. Hemingway's father opposed the decision of his son's joining the army, and Hemingway himself was unsure whether he would be accepted in the army with a defective eyesight. Hemingway came across Theodore Brumback, a fellow reporter with vision in only one eye at the Star, who suggested that Hemingway can volunteer for the American Field Service as an ambulance driver. Hemingway's yearning to join the war effort was rekindled, and six months after he began his career as a newspaper reporter, he and Brumback resigned from the Star, bid farewell to their families, and headed to New York for the physicals.



In December 1917, he was rejected by US Army for poor eyesight, so he signed up a Red Cross Recruitment to be an Ambulance driver in Italy. At Bordeaux, France, Hemingway and Brumback boarded a train and went to Milan, Italy. A **munitions** factory exploded shortly after

they had settled and Hemingway worked a few weeks making routine ambulance runs and transporting dying and wounded men to hospitals. Thereafter, he grew impatient and left for The Italian Front which involved a series of battles at the border between Austria and Hungary in World War I.

In 1918, he returned home as he was seriously wounded. The experience that he underwent during wartime formed the foundation for his novel *A Farewell to Arms* (1929). An Austrian projectile exploded in the trenches and sent **shrapnel** ripping into his legs. A few days later, he boarded a train and returned to Milan. Later, he recalled that he had felt life slipping from him. It is believed by some critics that this experience haunted Hemingway with a continual fear of death and a need to test his courage that lasted for the rest of his life.

A few months later, as the war ended, Hemingway returned to the States with a limp and a fleeting moment of celebrity. At home in Oak Park, Illinois, Hemingway immediately felt homesick for Italy. Sometime later, he received a letter from a nurse with whom he had fallen in love when he was hospitalized. She wrote that she had fallen in love with an Italian lieutenant. Ten years later, this nurse became the model for the **valiant** Catherine Barkeley in *A Farewell to Arms*.

Returning to the north woods to find his emotional moorings, Hemingway fished, wrote some short-story sketches, and enjoyed a brief romance. He also spoke to women's clubs about his wartime adventures, and one of the women in the audience, a Toronto matron, was so impressed with Hemingway that she hired him as a companion for her lame son. Tutoring the boy and filling a scrapbook with writings in Canada, Hemingway then headed back to the Midwest, where he met Hadley Richardson, seven years older than he and an heiress to a small trust fund.

Hadley fell in love with Hemingway. Hemingway's mother thought that Hadley was exactly what her rootless son needed; she implored Hemingway to change his gypsy lifestyle, give up travels and part-time jobs and settle down in life. Despite his fears that marriage would destroy his way of living, Hemingway married Hadley, and they set up housekeeping, living on income from her trust fund. Due to the exhaustion of limited resources, Hemingway's good nature was depleted and friends urged him to move to Paris, where living expenses would be cheaper.



In Paris, Hemingway and Hadley lived in the Latin Quarter, a bohemian enclave of artists, poets, and writers. The Toronto Sun bought Hemingway's articles as well as his political sketches and Hemingway was pleased about the short stories he was writing. He was twenty-three years old and felt that he'd finally hit his stride as an author with his own style.

After covering the war between Greece and Turkey for the New York Sun, Hemingway returned to Paris and continued writing Nick Adams tales. He was insisted by the Toronto Star to cover the Lausanne Peace Conference. As a result, he urged Hadley to join him, and she did so. As she was bringing all of his short stories, sketches, and poems in a bag which was stolen in the Lyon train station. Hemingway was so stunned with disbelief at the terrible loss that he immediately returned to Paris to look for the carbon copies of his stories. He was pretty sure that Hadley hadn't packed them along with the originals, but he was quite disappointed because she had. Hemingway had lost everything that he'd written.

After the loss of his **manuscripts**, Hemingway followed American **expatriate** and writer Gertrude Stein's advice to go to Spain; she promised him that he'd find new stories there. After his sojourn in Spain, Hemingway returned to Paris and from there to Canada, where Hadley gave birth to their first child. Afterward, Hemingway returned to Paris, where he began writing "Big Two-Hearted River." From there, he went to Austria, where he wrote more Nick Adams stories, as well as "Hills Like White Elephants."

Hemingway and Hadley were divorced in 1927, and he married Pauline Pfeiffer, an Arkansas heiress. She accompanied him to Africa, travelling 300 miles by train to reach Nairobi, and onward to the Kapti Plains, the foothills of the Ngong Hills. Africa became the setting for two of Hemingway's most famous short stories — “The Short Happy Life of Francis Macomber” and “The Snows of Kilimanjaro.” In April of 1936, Hemingway published an essay in Esquire magazine entitled “On the Blue Water: A Gulf Stream Letter,” which contained a paragraph about an old man who went fishing alone in a skiff far out at sea, landed a huge marlin, and then lost much of it to sharks. As early as 1939, the year he moved to Cuba, Hemingway began planning an expansion of this kernel into a fully developed story that would become part of a larger volume.



In 1940, Hemingway and Pauline were divorced, and he married writer Martha Gellhorn. They toured China, thereafter established a residence in Cuba. When World War II began, Hemingway volunteered his services and his fishing boat, the *Pilar*, and cooperated with the naval intelligence of the United States as a German submarine spotter in the Caribbean.

In 1944, Hemingway married Mary Welsh, a Time magazine correspondent after his divorce with Martha. The couple lived in Venice for some time, and returned to Havana, Cuba. In 1950, *Across the River and into the Trees* appeared, but it was neither a critical nor a popular success. His short novel *The Old Man and the Sea* (1952), however, restored Hemingway's literary stature, and he was awarded the 1953 Pulitzer Prize in literature.

In January 1954, Hemingway was off for another of his many African safaris and was reported dead after two airplane crashes in two days. He survived, though, despite severe internal and spinal injuries and a concussion. When he read newspaper obituary notices about his death, he

noted with great pleasure that they were favourable. That same year, Hemingway received the Swedish Academy's Nobel Prize in literature, "for his powerful style forming mastery of the art of modern narration, as most recently evidenced in *The Old Man and the Sea*."

During the next few years, Hemingway was not happy, and during 1961, he was periodically plagued by high blood pressure and clinical depression. He received shock therapy during two long confinements at the Mayo Clinic in Rochester, Minnesota, but most of the prescribed treatment for his depression was of little value. Hemingway died July 2, 1961, at his home, the result of a self-inflicted gunshot wound.



It seems as if there were always two facets of Hemingway. One was the adventurer and the other was the skilful, sensitive author who patiently wrote, rewrote, and edited his work. Hemingway is considered by literary critics to be one of the world's finest along with short-story writers like William Faulkner, Flannery O'Connor, and John Steinbeck.

4.3.1 GLOSSARY

Excursion:	outing
Stigma:	disgrace
Naive:	Immature

Munitions:	weapons
Shrapnel:	fragment of a bomb, shell or other object thrown out by an explosion.
Valiant:	brave
Manuscripts:	a book, document or a piece of music written by hand rather than typed or printed.
Expatriate:	a person who is living in a country which is not his own.

4.3.2 CHECK YOUR PROGRESS-II

- Ernest Hemingway began his writing career as a reporter for which city's newspaper?
 - Kansas City
 - Louisville
 - St. Louis
 - Atlanta
- Ernest Hemingway served as an ambulance driver during which American military conflict?
 - The 100 Years War
 - The Civil War
 - World War I
 - World War II
- In 1921, Hemingway became part of a group of notable expat writers living in _____.
 - London
 - Paris
 - Venice
 - Lisbon
- In 1936, Hemingway wrote a piece about a Cuban fisherman dragged to sea by a giant marlin for ____ magazine.
 - Life
 - Vogue
 - Esquire
 - National Geographic
- Which literary award did *The Old Man and the Sea* win in 1953?
 - The Pulitzer Prize
 - The Nobel Prize
 - The National Book Award
 - The Booker Prize

6. After his divorce with Pauline, Hemingway married writer
(a) Martha Gellhorn
(b) Hadley Richardson
(c) Gertrude Stein
(d) Mary Welsh

Answer key:

1. (a) 2. (c) 3. (b) 4. (c) 5. (a) 6. (a)

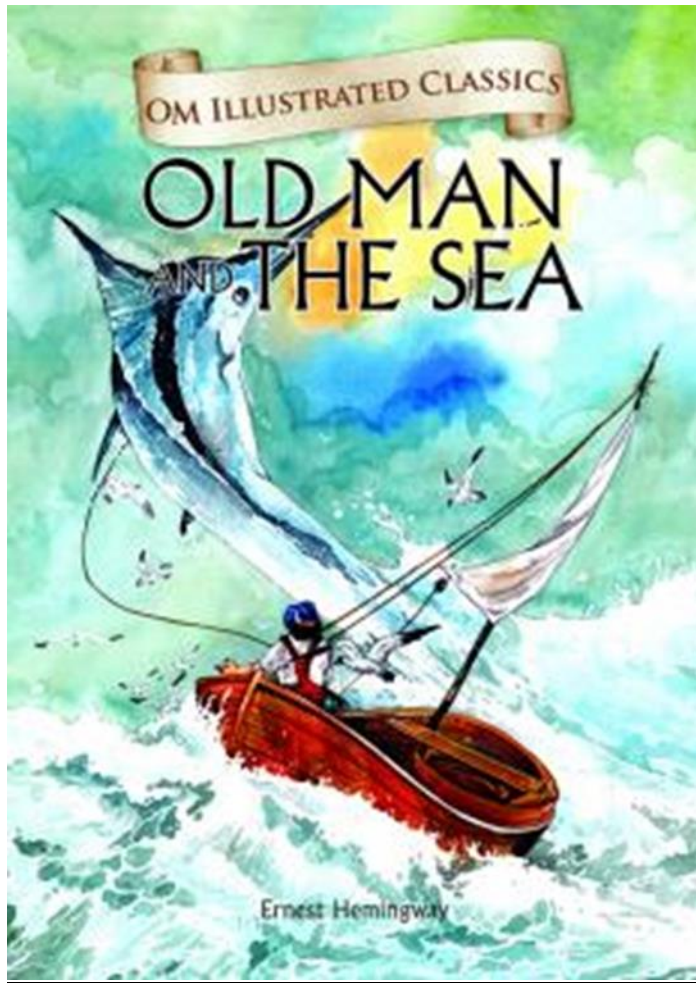
OVERVIEW:

THE OLD MAN AND THE SEA

Author:	Ernest Hemingway
Year Published:	1952
Type:	Novella
Genre:	Allegory

4.4 INTRODUCTION TO *THE OLD MAN AND THE SEA*

Santiago, the protagonist and the old man in the novella, has an obsession to catch the biggest marlin in the deep sea. But even after 84 days at sea, the deprived old man is unable to break the bad luck that seems to be following him around. While the whole village of fishermen has given up on him, it's only his young apprentice, Manolin, who supports his passion, but he too is forbidden by his parents to accompany the old man into the sea. The 85th day changes everything. Alone, for the next three days, Santiago fights with the forces of nature and with the shortcomings brought on by his old age in search of the great catch. One of Ernest Hemingway's best works, *The Old Man and the Sea*, explores the themes of mortality, honour-in-defeat and man's place in nature. The title 'The Old Man and the Sea' refers to the novella's main character, Santiago, an old fisherman, whose struggle with a marlin plays out in the open sea, symbolizing mankind's epic struggle with nature.



4.4.1 CHARACTER LIST

- **Santiago:** The novella's central character. A dedicated fisherman who taught Manolin everything he knows about fishing, Santiago is now old and poor and has gone 84 days without a catch.
- **Manolin:** A young man from the fishing village who has fished with Santiago since the age of five and now cares for the old man. Manolin recently began fishing with another fisherman whom his parents consider luckier than Santiago.
- **Martin:** The owner of the Terrace (his name is Spanish for St. Martin), he sends food and drink to Santiago through Manolin.
- **Rogelio:** A man of the village who on occasion helps Santiago with the fishing net.
- **Marlin:** An eighteen-foot bluish billfish and a catch of legendary proportions.
- **Mako:** A mackerel shark (dentuso in Spanish) that is a voracious and frightening killer known for its rows of large, sharp teeth.
- **Shovel-nosed sharks:** The scavenger sharks (galanos in Spanish) that destroy the marlin.

4.4.2 GLOSSARY FROM THE TEXT

Albacore	A large pelagic tuna with long pectoral fins.
Bodega	A small Hispanic grocery.
Bonito	Any of several marine food and game fishes of the genus <i>Sarda</i> , related to the tuna.
Coagulate	To congeal, as a fluid.
Cumulus	A type of cloud characterized by dense individual elements in the form of puffs, mounds, or towers.
Fathom	A nautical measurement equal to six feet.
Filament	A long, slender series of attached cells, as in some algae and fungi.
Gaff	A large iron hook attached to a pole, used to catch large fish.
Gunwale	The upper edge of the side of a boat.
Iridescent	Having many lustrous colors like the rainbow.
Loggerhead	A rounded post, in the stern of a fishing boat, around which the harpoon line is passed.
Mako	A mackerel shark.
Oakum	Loosely twisted hemp or jute fiber filled with tar, used in caulking seams and packing joints.
Phosphorescence	The persistent emission of light without burning, following exposure to radiations.
Plankton	A mass of floating organisms, primarily microscopic algae and protozoa.
Rapier	A small sword used for thrusting.
sargasso weed	Any seaweed of the genus <i>Sargassum</i> , commonly known as gulfweed.

Scythe	An agricultural tool with a long, curving blade fastened at an angle to a handle.
Skiff	A flatbottomed open boat with a pointed bow and a square stern.
Tern	An aquatic bird related to a gull but usually with a more slender body and bill, and smaller feet.

4.4.3 CHECK YOUR PROGRESS-III

Match the word meanings of Column A with that of Column B:

Column A	Column B
Expatriate:	A large pelagic tuna with long pectoral fins.
Naive:	a book, document or a piece of music written by hand rather than typed or printed.
Munitions:	a person who is living in a country which is not his own.
Shrapnel:	Immature
Manuscripts:	fragment of a bomb, shell or other object thrown out by an explosion.
Albacore	A flatbottomed open boat with a pointed bow and a square
Scythe	A mackerel shark
Bonito	Any of several marine food and game fishes of the genus Sarda, related to the tuna.
Skiff	weapons
Mako	An agricultural tool with a long, curving blade fastened at an angle to a handle.

4.5 IMPORTANT QUOTES WITH EXPLANATIONS

1. “Everything about him was old except his eyes and they were the same color as the sea and were cheerful and undefeated.”

Here, the narrator describes the physical attributes of Santiago. Santiago's wrinkled skin riddled with scars and blotches shows the effects from his many years in the sun, but his eyes reveal he's young at heart. Despite his recent streak of bad luck, Santiago retains confidence and optimism that his skills remain strong.

- 2. But he thought, I keep them with precision. Only I have no luck anymore. But who knows? Maybe today. Every day is a new day. It is better to be lucky. But I would rather be exact. Then when luck comes you are ready.**

When Santiago first goes out to sea, he puts his lines in the water and thinks about how other fishermen fail to be as precise with their lines. He acknowledges the benefit of luck but asserts the superiority of skill and accuracy to being lucky. His pride in his craft and reliance on his own skill and knowledge of fishing keep him hopeful.

- 3. "Imagine if each day a man must try to kill the moon, he thought. The moon runs away. But imagine if a man each day should have to try to kill the sun? We were born lucky, he thought."**

Santiago contemplates the fact that he plans to kill the fish despite his feelings of respect. He looks up at the sky and considers the situation from a heavenly perspective, comparing his quarry to elements beyond his control such as the sun or the moon. He realizes he operates in exactly the sphere in which he belongs and feels gratitude that he only needs to contend with fish and not greater matters. As a skilled fisherman, Santiago knows what he must do to defeat the marlin. He also understands that other forces of nature are beyond him.

- 4. "Anyone can be a fisherman in May."**

Santiago says this to Manolin after the latter reminds him to keep warm, since it is September. It is more difficult to be a fisherman when it is cold outside, but Santiago is up for the challenge. This quotation demonstrates the unique quality that makes a man a fisherman; in the days that follow, Santiago will struggle with his decision to make his living catching and killing fish, but there is nothing else he can do. Even though he is not successful in bringing home the meat of the marlin, he succeeds in his determination.

- 5. "If sharks come, God pity him and me."**

Santiago says this aloud to himself while he trails the marlin. He is determined to be "worthy of the great DiMaggio," who is able to play baseball even with a bone spur. This quotation foreshadows the coming of the sharks who will eat all the meat of the marlin before Santiago is able to return to shore. It implies that the marlin and Santiago are one, united against the

ravaging sharks. This sentiment is contrary to the battle that is staged between man and fish as Santiago tries to outlast the marlin.

6. “Fish... I'll stay with you until I am dead.”

Santiago says this to the marlin after he has hooked it and it tries to make a lurch forward in the middle of the night. He has a lot of line left, so he is at an advantage against the fish. But he knows it will drain him of his strength to trail the fish until it loses energy and eventually dies, so Santiago says this to express his commitment to that task. Either he will die or the fish will die, or both.

7. “Fish... I love you and respect you very much. But I will kill you dead before this day ends.”

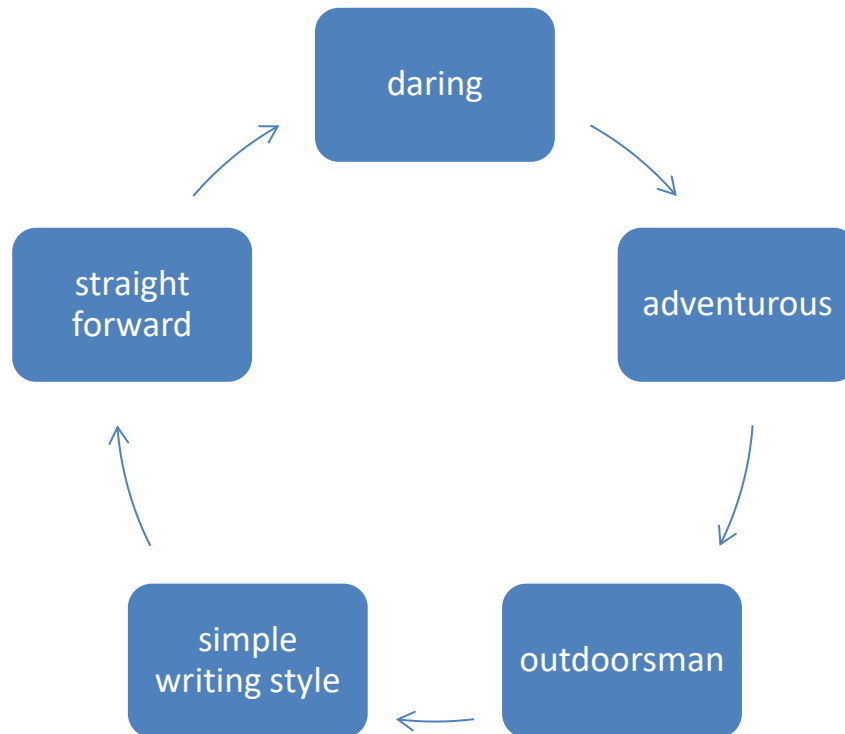
Santiago says this to the fish before the bird approaches his boat for a chat. He talks to the fish as if it is his equal in battle, and he has great respect for it as a noble creature. He speaks of his commitment to fulfilling his job as a fisherman, because it is more than a job - it is his entire life. All that Santiago is as a man is wrapped up in his task of killing the marlin and bringing it home. Loving and respecting it is not mutually exclusive with killing it.

8. He no longer dreamed of storms, nor of women, nor of great occurrences, nor of great fish, nor fights, nor contests of strength, nor of his wife. He only dreamed of places now and of the lions on the beach. They played like young cats in the dusk and he loved them as he loved the boy.”

This passage, which describes Santiago's dreams on the night before he sets out for his fishing expedition, simultaneously confirms and moves beyond Hemingway's immediately recognizable vision of the universe. The lions here are at play and thus suggest a time of youth and ease, a source of comfort and renewal for Santiago. They are also linked explicitly to Manolin, a connection that is made apparent at the end of the novel as the boy watches over his aged friend as Santiago's dream of the lions returns.

4.6 LET US SUM UP

- A novella is a type of prose fiction, which is shorter than full length novels and longer than short stories. It is a well-structured yet short narrative; often satiric or realistic in tone.
- Ernest Miller Hemingway (July 21, 1899- July 2, 1961) was a prominent American novelist and short story writer amongst the galaxy of American writers. He was awarded the **Pulitzer Prize in 1953** and **Nobel Prize in literature in the year 1954**.
- Let's have a quick look at Hemingway's personality traits:



- The Old Man and the Sea refers to the novella's main character, Santiago, an old fisherman, whose struggle with a marlin plays out in the open sea, symbolizing mankind's epic struggle with nature.

4.7 SUGGESTED READING

1. Brenner, Gerry. *The Old Man and the Sea: Story of a Common Man*. Boston: Twayne Publishers, 1991.
2. Hurley, C. Harold, ed. Hemingway's Debt to Baseball in *The Old Man and the Sea: A Collection of Critical Readings*. Lewiston, NY: E. Mellen Press, 1992.

4.8 QUESTION FOR PRACTICE

1. Write a brief note on Ernest Hemingway?
2. Enlist the Characters of the novella 'The Old Man and the Sea'?
3. How is a novella different from a novel?

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

COURSE: READING PROSE

Unit-5 THE OLD MAN AND THE SEA-II

STRUCTURE

- 5.0 Objectives**
- 5.1 Introduction**
- 5.2 Summary and analysis of *The Old Man and The Sea***
 - 5.2.1 Check Your Progress-I**
- 5.3 Themes**
 - 5.3.1 Check Your Progress-II**
- 5.4 Symbols**
- 5.5 Motifs**
 - 5.5.1 Check Your Progress-III**
- 5.6 Let Us Sum Up**
- 5.7 Suggested Reading**

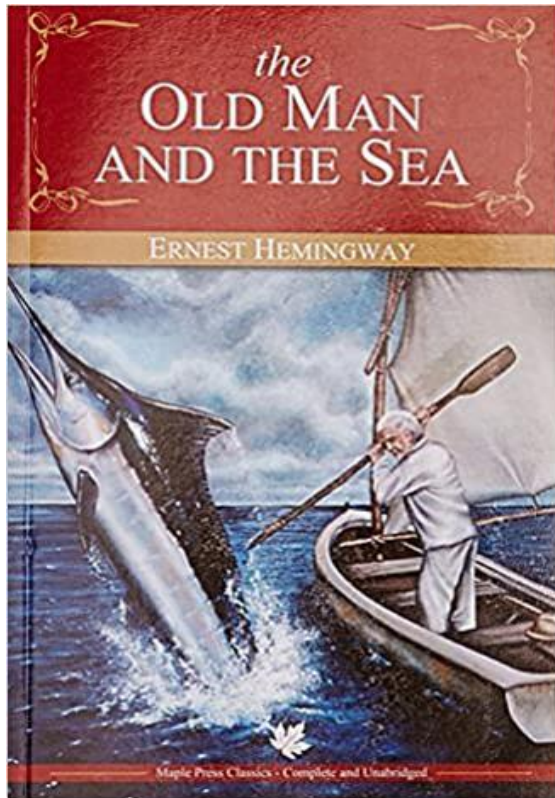
5.0 OBJECTIVES

After a careful reading of this unit, you will be able to:

- ✓ Understand the story of the novella
- ✓ Solve the exercises pertaining to the novella
- ✓ Understand the themes, symbols and motifs
- ✓ Solve the short revision exercises
- ✓ Learn new glossary words

5.1 INTRODUCTION

In this unit, we shall first discuss Hemingway's *The Old Man and the Sea*. Thereafter, you will be studying the novella and we will be discussing its theme and various other aspects. Towards the end, you will check your progress by solving short revision exercises pertaining to your understanding of the text.



5.2 SUMMARY AND ANALYSIS OF *THE OLD MAN AND THE SEA*

Hemingway started writing *The Old Man and the Sea* at his home near Havana in the year 1951. *The Old Man and the Sea* is the story of a consistent struggle between an old, seasoned fisherman and the greatest catch of his life. For eighty-four days, Santiago, the protagonist of the novel who is an aged Cuban fisherman goes out to sea and returns empty-handed. The parents of this young, devoted apprentice and friend, Manolin feel that Santiago is quite unlucky. Thus, they force the boy to leave the old man in order to fish in a more prosperous boat. In spite of all this, the boy continues to care for the old man upon his return each night. He helps carry home the old man's equipment, keeps him company, and brings him food. They discuss the latest developments in American baseball, especially the trials of the old man's hero, Joe DiMaggio.

Santiago is confident that his unproductive streak will soon come to an end, and he resolves to sail out farther than usual the next day.

On the eighty-fifth day of his unlucky attempts, Santiago does as he had promised and sails far beyond the island's shallow coastal waters, venturing into the Gulf Stream. He prepares his lines and drops them. At noon, a big fish, which he knows is a marlin, takes the bait that Santiago has placed one hundred fathoms deep in the waters. The old man expertly hooks the fish, but he cannot pull it in. Instead, the fish pulls the boat all through the day and night for the next two days. The entire time, Santiago endures constant pain from the fishing line as the fish lunges, leaps, or makes a dash for freedom. Although wounded and weary, the old man feels a deep empathy and admiration for the marlin, his brother in suffering, strength, and resolve.

On the third day the fish tires, and Santiago, sleep-deprived, aching, and nearly delirious, manages to pull the marlin in close enough to kill it with a harpoon thrust. Dead beside the skiff, the marlin is the largest Santiago has ever seen. He lashes it to his boat, raises the small mast, and sets sail for home. While Santiago is excited by the price that the marlin will bring at market, he is more concerned that the people who will eat the fish are unworthy of its greatness.

As Santiago sails on with the fish, the marlin's blood leaves a trail in the water and attracts sharks. The first to attack is a great mako shark, which Santiago manages to slay with the harpoon. In the struggle, the old man loses the harpoon and lengths of valuable rope, which leaves him vulnerable to other shark attacks. The old man fights off the successive vicious predators as best he can, stabbing at them with a crude spear he makes by lashing a knife to an oar, and even clubbing them with the boat's tiller. Although he kills several sharks, more and more appear, and by the time night falls, Santiago's continued fight against the **scavengers** (hunters) is useless. They **devour** (gulp) the marlin's precious meat, leaving only skeleton, head, and tail. Santiago **chastises** (rebuke) himself for going "out too far," and for sacrificing his great and worthy opponent. He arrives home before daybreak, stumbles back to his shack, and sleeps very deeply.

The next morning, a crowd of amazed fishermen gather around the skeletal **carcass** (corpse) of the fish, which is still lashed to the boat. Knowing nothing of the old man's struggle, tourists at a nearby café observe the remains of the giant marlin and mistake it for a shark. Manolin, who has been worried sick over the old man's absence, is moved to tears when he finds Santiago safe in his bed. The boy fetches the old man some coffee and the daily papers with the baseball scores, and watches him sleep. When the old man wakes, the two agree to fish as partners once more. The old man returns to sleep and dreams his usual dream of lions at play on the beaches of Africa.

The novella is truly universal in its consideration of the plight of an old man struggling against age, poverty, loneliness, and mortality to maintain his identity and dignity, re-establish his

reputation in the community, and ensure for all time his relationship with those he loves and to whom he hopes to pass on everything he values most. Ultimately, Santiago's heroic struggle not only redeems himself but inspires and spiritually enriches those around him.

5.2.1 CHECK YOUR PROGRESS-I

1. When the novella opens, how long has it been since Santiago last caught a fish?

- (a) 40 days
- (b) 84 days
- (c) 87 days
- (d) 120 days

2. How does Hemingway describe Santiago's eyes?

- (a) They are full of pain.
- (b) They are blank with defeat.
- (c) They betray the weariness of his soul.
- (d) They are the colour of the sea.

3. Who is Santiago's hero?

- (a) Harry Truman
- (b) Joe DiMaggio
- (c) Dick Sisler
- (d) Fidel Castro

4. What hangs on the wall of the old man's shack?

- (a) A photograph of his wife
- (b) The latest baseball scores
- (c) A mounted fish
- (d) Pictures

5. On the night before he promises Manolin to go "far out" to sea, of what does Santiago dream?

- (a) A great storm
- (b) A beautiful woman
- (c) Lions on the beach
- (d) A wrestling match

6. Why does Santiago not let his lines drift like the other fishermen?

- (a) He is a stubborn man who prefers the old-fashioned way of fishing.
 - (b) He believes it is imprecise, and he strives always to be exact.
 - (c) It is dangerous, as he might become tangled with another boat.
 - (d) He is no longer young or strong enough to control a drifting line.
7. What kind of fish does Santiago first catch?
- (a) A tuna
 - (b) A marlin
 - (c) A shrimp
 - (d) A Portuguese man-of-war
8. As his first full day of fighting with the fish wears on, what does Santiago begin to think about his adversary?
- (a) He praises the fish because it promises to bring a wonderful price at market.
 - (b) He considers that he and the marlin are brothers, joined by the fact that they both ventured far out beyond all people and dangers in the water.
 - (c) He detests the fish for its vigour and vitality.
 - (d) He believes that the fish is a test of his worth, sent to him by God.
9. How does Santiago finally kill the marlin?
- (a) He harpoons it through the heart.
 - (b) He stabs it between the eyes.
 - (c) He lashes it to the inside of the boat.
 - (d) He bashes its head with his club.
10. How long does it take for the sharks to arrive and attack the marlin?
- (a) Ten minutes
 - (b) Six hours
 - (c) One hour
 - (d) A full day
11. After the shark attack, Santiago reflects that destruction is inevitable. How does he articulate this philosophy?
- (a) The world is such an inhospitable place that no death should be mourned.
 - (b) Out, out, brief candle!
 - (c) Even the worthiest opponents must fall.
 - (d) Everything in the world kills everything else in some way.
12. What happens upon the old man's return to his fishing village?
- (a) Manolin promises to sail with him.
 - (b) The fishermen mock Santiago for the folly of sailing out so far.
 - (c) Tourists ask the old man to recount his adventures.
 - (d) A statue is erected in his honor.
13. Where does the story take place?
- (a) Canary Islands

- (b) Cuba
- (c) Marshall Island
- (d) Puerto Rico

14. In what month does the story take place?

- (a) May
- (b) October
- (c) September
- (d) July

15. What does Santiago call the sea?

- (a) La Mar
- (b) El Mar
- (c) Dorado
- (d) Salao

Answer Key

1. (b) 2. (d) 3. (b) 4. (d) 5. (c) 6. (b) 7. (a)
8. (b) 9. (a) 10. (c) 11. (d) 12. (a) 13. (b) 14. (c)
15. (a)

5.3 THE OLD MAN AND THE SEA-THEMES

Ernest Hemingway is a famous American writer who describes Santiago as a man who dares to face deformity and pain of life by his own individual life force. In the face of **perseverance** (continued effort), dignity and strong will, he single handedly **confronts** (meets) the fate of failure and death.

The theme of this book is man's capacity to withstand and transcend hardship of time and circumstance. The idea is conveyed through Santiago's adventures with the Marlin and with the sharks. Hemingway depicts the circumstances and the elemental tests of endurance which Santiago undergoes. He is projected as a hero because he fights not only against the marlin, but with all the obstacles that he faces through his life. Man can be destroyed, but cannot be defeated. becomes a philosophical idea which is known as human existence.

PERSEVERANCE

The Old Man and the Sea portrays the theme of perseverance in different ways and on different levels. Although the old man has not caught a fish in 84 days, he does not curse his fate. Instead, he keeps trying even harder by fishing farther out in the open sea than anyone else. Similarly, the marlin does not surrender when it's caught but uses its size and strength to pull the old man's skiff even farther out to sea, thus making it a **formidable adversary** (difficult challenge). Finally, Santiago defeats the mighty fish in spite of its size and strength because he is willing to endure exhaustion, hunger, thirst, and pain. The same willpower that enabled the old man's hero, Joe DiMaggio, to play a flawless game despite painful injuries enables the old man to wait out his opponent's strength. Finally, when the sharks attack and feed on the marlin until nothing is left, the old man kills or fends them off one by one, despite losing a weapon with each confrontation until he has nothing left but his bare fists.

Returning home with nothing except the skeleton to bear witness to the greatest catch of his life and his skiff badly damaged, Santiago is not defeated, nor is his spirit broken. Like Jesus bearing his cross, Santiago will carry his mast to and from his skiff day in and day out, doing what fishermen are meant to do.

PAIN AND SUFFERING

The theme of pain and suffering is closely connected to that of perseverance and appears in several ways. Pain is the price a fisherman must pay for a bountiful (generous) catch. The old man's hands are stained with scars which reveal the history of struggles with opponents out at sea. These scars depict a sign of age, hardship, suffering, strength, willpower, and victory. To be a fisherman means enduring pain and there can be no gain without undergoing any pain-cuts on the hands, arms, face, and back of a fisherman as he tries to hold and reel in the fish.

However, the theme of pain and suffering goes deeper. The capacity to endure pain and suffering distinguishes humans from other creatures. Although a strong opponent, eventually the marlin gives up and allows itself to be reeled in while the old man keeps going despite physical exhaustion, three painful wounds, a cramping hand, and alternating hunger pangs and disgust after eating raw fish. Furthermore, his capacity for pain and suffering distinguishes Santiago from other fishermen. Just as Joe DiMaggio overcame painful injuries to pull off an unparalleled hitting streak, Santiago defies odds that younger, stronger, and perhaps more successful fishermen do not try. None of them has ever fished as far out or encountered a fish as large, strong, and magnificent as Santiago has. The old man's ability to endure pain and suffering establishes him as a hero who rises above others.

Suffering is another major issue explored in the novella as both the hunter and the hunted suffer. Hemingway imparts the message that in the struggle for survival, lives are lost, bodies are broken and much pain is experienced. Even pleasure comes to man in the form of pain and vice versa. The greater the pleasure is, the harder the pain. DiMaggio, the baseball superstar, endures much pain caused by the bone spur in his heel. He does not give up the struggle on account of his

suffering but plays on. Judging by the loss of the fish to the sharks, one could conclude that Santiago's suffering is in vain: a fruitless struggle. But hunting itself is a fascinating sport, full of excitement and wonders. In other words, it is not the end that matters but the entire process of existing. Santiago's physical and psychological suffering quickens the feeling of empathy in the reader. The reader is moved with pity as the fisherman feels faint and dizzy. His suffering arouses natural pity and sensitivity.

One of the great lessons of the novella is courage or endurance in hardship. The old man and the fish have more or less the same degree of endurance. The conquest of the marlin brings the old man much suffering but Santiago respects enormously the fighting spirit of the marlin with whom he is wrestling. The reader pities both man and beast because they both bleed and are tired. The danger of fighting in the dark is highlighted by Santiago. He wishes he could see the strong fish towing him and his skiff so that he could know the enormity of the problem that faces him.

CIRCLE OF LIFE

Life and death are prominent themes in *The Old Man and the Sea*. The old man muses that the sea, a symbol for nature itself, is simultaneously beautiful and cruel because it gives life and takes it away. Sea turtles swallow jellyfish, hawks hunt warblers, sharks devour marlins, and men catch fish. Each creature has its place in the food chain that keeps the circle of life going. The death of one creature provides life for another. The seemingly opposing forces of life and death are in fact in perfect balance.

However, there is another aspect to this theme. Although Santiago appreciates the circle of life and recognizes his own place within it, he fights hard to rise above it and survive. He risks his life sailing out farther and staying longer than anyone to catch a fish large enough to provide meat for him to eat and sell. He defends his catch against sharks and sustains the one life he has. Hemingway shows that what distinguishes humans from other creatures is the desire to persevere as individuals.

PHYSICAL STRENGTH AND SKILL

In his epic struggle with the marlin, Santiago realises that he is not quite as strong as he used to be. The old man makes up for that loss of vitality and strength with superior knowledge and skill. He knows how to read nature, how to handle the line to gauge the movement of the fish, and he knows how to interpret these movements. That's not all—he also knows himself and his own limits. He knows exactly how far to push himself and how to counteract the harrowing effects of the long struggle on his physical strength. He knows exactly when to eat and when to rest, and he uses his skill to overcome his limitations. When he loses one weapon after another as he battles the sharks, the old man uses the resources at his disposal to create the makeshift weapons that keep him alive. However, throughout the story, it becomes clear that despite the old man's

physical prowess, skill, and willingness to take risks, he lacks luck and therefore cannot find material success.

PRIDE, HONOUR AND RESPECT

Although the old man is humble and seems to care little about the other fishermen's opinions, he is proud of his skills and wants recognition for them. After all, he wishes Manolin were there with him, not only to help him fish and dispel loneliness, but also to show the boy what kind of man he is and to witness the greatest catch of his life. The catch is so great because the fish's size, strength, and perseverance—the marlin pulls the skiff for days—make it an opponent worthy of the old man's respect. Defeating it in a struggle that takes everything the old man has in turn demands respect from others. It matters little that he does not meet the original objective in catching the fish, to return with meat to eat and sell. The villagers' admiration for the magnificent skeleton tied to the old man's skiff shows there is honour in honest defeat. It is the struggle itself that counts, the willingness to exert all of one's strength, no matter what the outcome may be.

HUNTING OR SURVIVAL

Hemingway portrays life in *The Old Man and the Sea* as a matter of survival. He seems to view survival instinct as primary. All other considerations are secondary. The struggle for survival as shown in the novel is not just between Man and Nature but between one element and another. Hemingway's sympathies are no doubt for the poor and powerless.

5.3.1 CHECK YOUR PROGRESS-II

Arrange the following events in the correct sequence as they occur in the novella:

1. He feels kinship to the fish, pulling the boat farther out.
2. Santiago kills the marlin and ties it to his skiff.
3. Attending to Santiago, Manolin vows they'll fish together.
4. Santiago has not caught a fish in 84 days.
5. Santiago returns with the skeleton and carries his mast.
6. Santiago hooks an 18-foot marlin.
7. Tired, hungry, and in pain, Santiago thinks of Joe DiMaggio.
8. The fishing line injures Santiago.

9. Santiago's hand cramps.
10. Santiago fends off sharks as they eat the marlin's flesh.
11. Santiago catches a dolphin and kills it for food.
12. Santiago sets out to fish on the 85th day.

Answer Key

1. Santiago has not caught a fish in 84 days.
2. Santiago sets out to fish on the 85th day.
3. Santiago hooks an 18-foot marlin.
4. He feels kinship to the fish, pulling the boat farther out.
5. The fishing line injures Santiago.
6. Santiago catches a dolphin and kills it for food.
7. Santiago's hand cramps.
8. Tired, hungry, and in pain, Santiago thinks of Joe DiMaggio.
9. Santiago kills the marlin and ties it to his skiff.
10. Santiago fends off sharks as they eat the marlin's flesh.
11. Santiago returns with the skeleton and carries his mast.
12. Attending to Santiago, Manolin vows they'll fish together.

5.4 THE OLD MAN AND THE SEA-SYMBOLS

The Old Man and the Sea is rich in meaning. Virtually every element operates on two levels, revealing a deeper symbolic meaning beneath its literal function. Nothing that happens in the novella is only what it seems. Instead the novella is an allegory, elevating the story of Santiago's epic struggle with the marlin to humankind's universal struggle for survival.

The **marlin** symbolizes the majesty of nature. With its sheer size, strength, and tenacity as evidenced in its pulling Santiago's skiff for several days, the marlin is a formidable opponent. Unlike other fish, this marlin does not fight the hook but instead uses it to fight the old man. The marlin seems successful at first, as the old man must hold on to the fishing line so hard he is injured in the process. Watching the marlin put up so strong a fight, the old man feels more and

more akin to this creature and begins to draw parallels. Although they seem to be mortal enemies in the universal battle between predator and prey, Santiago realizes in the end they are brothers because they are in this fight for the same reason: to survive.

Although both the marlin and the old man are part of the natural order of life, locked in the struggle between predator and prey, perseverance distinguishes the two. To triumph in his struggle against the marlin, the old man must dig deep within himself to overcome not only the marlin's strength but his own limitations: age, exhaustion, pain, hunger, and thirst. The battle between the two is not merely the attempt of a fisherman trying to reel in his catch and go home. This particular marlin brings out the best in Santiago by pushing him to his limits. The battle becomes a symbol of the constant struggle of an individual for survival within nature, a struggle won only by one's willingness to go beyond what seems humanly possible. The marlin also can represent Hemingway's writing and career. In this sense, it's the writing Hemingway has worked on for his entire life that he tries to hold onto.

The **mast** of the old man's skiff is an allusion to the Christian cross, which in turn symbolizes pain and suffering for a greater good. The three bleeding wounds Santiago suffers as he sails underneath the mast of his skiff allude to the three wounds of Jesus Christ as he was nailed to the cross, suffering to atone for humankind's sins. At the end of the story, Santiago carries the mast to the shack similar to the way Jesus carried the cross, symbolizing that Santiago has accepted his fate as Jesus accepted his. Santiago will continue to fish no matter what, alone and lonely, neither asking for help or miracles nor to succeed and live better. He will simply do, unquestioningly, what individuals must: struggle to survive.

Joe DiMaggio, the legendary New York Yankees outfielder whose 56-game hitting streak that ended in 1941 still remains the world record, symbolizes perseverance and persistence as well as skill. In Santiago's eyes, the hitting streak alone makes DiMaggio formidable, yet DiMaggio achieved this feat despite painful injuries such as the bone spurs repeatedly mentioned in the novella. Much like DiMaggio, Santiago defies the odds and catches the greatest fish of his career after a long dry spell, survives for days out on the ocean without proper supplies, and emerges the victor against aggressive sharks. His skill and perseverance while facing seemingly insurmountable obstacles make him a hero worthy of respect even though he does not succeed in bringing home his catch.

Symbolizing the brute force of destruction, the **sharks** are mindless creatures following their base instincts: the bloodlust that lures them to their prey. Yet their very bloodlust also lures them to their death. As they take bites out of the marlin in a feeding frenzy, they come close enough to the skiff for Santiago to kill them. What sustains them kills them. Neither their lives nor their deaths serve any purpose. Defeating them with sheer willpower and innovation, Santiago not only survives himself but also defends the magnificent marlin. He brings home the skeleton and thus captures the creature's majesty and glory.

In a different interpretation, the sharks also symbolize all the critics Hemingway faced in real life. Hemingway hadn't produced much writing publicly in many years, and his most recent publication had received a negative reception. This novella seems to liken those critics to sharks who circle and pounce.

Manolin, the young boy who loves, admires, and cares for the old man, symbolizes hope and the future. He is Santiago's only friend and companion; his help, literally, sustains the old man. Manolin is there every night helping pack up Santiago's gear and providing food to make sure the old man won't starve. Furthermore, he is the old man's apprentice. Although at the beginning of the story he fishes on another boat, Manolin has learned everything he knows from Santiago. Promising to fix the battered skiff and to return to fishing with the old man, Manolin offers the help the old man needs to keep going. Manolin believes in the old man and therefore will carry on his legacy and bear witness to his achievement.

5.5 MOTIFS (IDEA USED MANY TIMES IN A PIECE OF WRITING)

The **lions**, a connection to youth and virility, are a recurring motif. The old man repeatedly dreams about lions playing on the beaches of his past. Their playfulness suggests Santiago sees them not as predators but as carefree creatures and part of his youth. Santiago returns to this dream each time he faces a seemingly insurmountable obstacle: on the night of the 84th day without a catch, on the open sea as the elements threaten to defeat him, and on the night he returns home without a catch yet again. Taking him back to his youth, the dream reminds him of his own vitality and strength, reenergizing his determination to keep going against all odds. Additionally, Santiago's dream of the lions at the very end of the story signals hope that Santiago's strength, perseverance, and skill will live on forever as Manolin will carry on his legacy.

Santiago's hands are mentioned several times throughout the story. When the old man first appears, they are full of age spots, hinting at the old man's age, and marked with scars, implying the physical toll a fisherman pays. In his struggle with the marlin, the old man suffers a new cut on one hand and a severe cramp in the other; however, he does not give up, and he fights through his pain. Suggestive of the wounds Christ suffered on the cross, the old man's scarred hands represent his willingness to endure pain and suffering. In the end it is his strong willpower that enables Santiago to survive his ordeal. Although he returns without his catch, the marlin's skeleton is a testament to his feat.

5.5.1 CHECK YOUR PROGRESS-III

Answer the following questions:

1. Comment on the statement "A Man Can Be Destroyed But Not Defeated"

.....
.....

2. How is Santiago a hero in Ernest Hemingway's *The Old Man and the Sea*?
.....
.....
3. What does the marlin symbolize in *The Old Man and the Sea*?
.....
.....
4. What is the significance of the title in Hemingway's *The Old Man and the Sea*?
.....
.....

5.6 LET US SUM UP

- For eighty-four days, Santiago, the protagonist of the novel who is an aged Cuban fisherman goes out to sea and returns empty-handed. The 85th day changes everything as Santiago fights with the forces of nature and with the shortcomings brought on by his old age in search of the great catch.
- The novella is truly universal in its consideration of the plight of an old man struggling against age, poverty, loneliness, and mortality to maintain his identity and dignity, re-establish his reputation in the community
- The novella is an allegory portraying man's capacity to withstand and transcend hardship of time and circumstance for the universal struggle for survival.
- There is symbolic significance in the novel. Marlin symbolizes the majesty of nature, the mast of the old man's skiff is an allusion to the Christian cross, which symbolizes pain and suffering for a greater good. While Joe DiMaggio symbolizes perseverance, persistence and skill, Manolin symbolizes hope and the future.
- The lions are a recurring motif in the novella which are a connection to youth and virility. Santiago's scarred hands also represent his willingness to endure pain and suffering.

5.7 SUGGESTED READING

1. Baker, Carlos. *Hemingway: The Writer as Artist* (4th ed.). Princeton University Press. 1972.
2. Bryfonski, Dedrai. *Death in Ernest Hemingway's The Old Man and the Sea*. Greenhaven, 2014
3. Jobses, Katharine T., ed. *Twentieth Century Interpretations of The Old Man and the Sea*. Englewood Cliffs, New Jersey: Prentice Hall. 1968.
4. Mellow, James R. *Hemingway: A Life Without Consequences*. New York: Houghton Mifflin. 1992.

5.8 QUESTIONS FOR PRACTICE

1. What significance do the lions on the beach or Joe DiMaggio have for the old man?
2. Draw a character sketch of Santiago.
3. “A man can be destroyed but not defeated,” says the old man after the first shark attack. At the end of the story, is the old man defeated? Why or why not?

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

COURSE: READING PROSE

UNIT-6: FRANCIS BACON: OF STUDIES

STRUCTURE

6.0 Objectives

6.1 Introduction

6.2 Biographical Note

6.2.1 Bacon's Works

6.3 What is an Essay?

6.3.1. About the Essay: Of Studies

6.3.2 Text of the Essay: Of Studies

6.3.3 Glossary

6.3.4 Summary: Of Studies

6.4 Division and Subdivision of Ideas

6.5 Bacon as an Essayist

6.6 Exercises for Explanation

6.7 Let us Sum Up

6.8 Unit- End Questions

6.9 Further Readings

6.0 OBJECTIVES

After a study of the lesson, you will be able to do the following:

- Define an essay
- Explain Bacon's essay 'Of Studies'
- Divide and subdivide ideas in an essay or any other piece of writing
- Answer questions on the content and style of Francis Bacon's essay 'Of Studies'
- Analyze an essay

6.1 INTRODUCTION

In this unit, you will study Francis Bacon's essay, 'Of Studies'. The details given in biographical note bring out a close relation between Bacon's life and his works. Before discussing the essay we have described the term 'essay' in simple language. It is followed by an introduction to the essay and the text. The summary of the essay will introduce the main ideas presented in 'Of Studies'. In the tabulated division of ideas, given after the summary, you will notice Bacon's art of organizing his subject in an effective way. We have discussed Bacon as an essayist to help you list some important features of his art of essay writing. These ideas will be useful in the analysis of his essay.

You will find some activities in the form of exercises to mark your progress in the process of learning.

The answers to the 'Check Your Progress' activities are given at the end of the unit.

The exercises on the explanation of the extracts from the essay are intended to add to your skill in analyzing the essay.

6.2 BIOGRAPHICAL NOTE

Francis Bacon's essays are known for their innovative themes and unique style. A study of his essays demands some information about his life and thoughts as his writings are much influenced by his experiences, ideas and beliefs. We see two aspects of Bacon's personality as pointed out in these words, "Laying aside opinions of others, and relying only upon the facts of Bacon's life, we find on the one side the politician, cold calculating, selfish, and on the other the literary and scientific man with an impressive devotion to truth for its own great sake: here is a man using questionable means to advance his own interests, and there a man seeking with zeal and endless labor to penetrate the secret ways of Nature, with no other object than to advance the interests of his fellow men" (Long).

Sir Francis Bacon was born on 22 January 1561 at York House in London. Bacon was closely associated with the royal court from his childhood as his mother's sister was married to William Cecil, 1st Baron Burghley, a statesman of the Queen. He expressed his dislike for the English education system of the times and Aristotle's philosophy for being dry and without any utility. He received early education at Cambridge and went to France to study diplomacy and statistics. Bacon stated that he had three goals: to uncover truth, to serve his country, and to serve his church. He sought to further these ends by seeking a prestigious post. In 1580, he applied for a position in the Queen's court but failed. He became a barrister in 1582. He became an M.P in 1586 when he won a by-election for Bossiney, Ornwold, and then again in 1584, and 1586.

About this time, he again approached his powerful uncle for help; this move was followed by his rapid progress at the bar. In 1588 he became MP for Liverpool and for Middlesex in 1593.

He received the designation of the Queen's Council in 1597. Elizabeth I, the Queen of England made him her legal adviser. The Queen would address him as "The young lord keeper". He was knighted in 1603 when James VI came to power. He became Baron Verulam in 1618 and Viscount St Alban in 1621.

His essays on love and friendship reveal many aspects of his life. We can see that his pragmatic attitude and intellectuality made him cold and cruel. He is considered the follower of Machiavelli who propagated the difference between private and public morality. It was during one of his own thought-out scientific experiments that he died in 1626.

His belief in self advancement and consideration for practical advantages of things show his utilitarian thoughts, His emphasis on learning, scientific knowledge, and always keeping man in the center of things make him a Renaissance man.

6.2.1 Bacon's Works

Francis Bacon is the pioneer of the modern essay in English. He introduced this form of writing in English literature that flourished in later years and became highly popular. Bacon, of course, borrowed the concept of essay from a French writer Montaigne's 'Essais' published in 1580 but his knowledge, scientific temper, and experience added much more to the art of essay writing. He was a versatile thinker and writer who could express his genius in Latin, and English with equal ease and expertise. Before proceeding to analyze the essay let's have a look at some of his most significant works.

Francis Bacon's Latin works were mainly concerned with the exposition of his classical theories. His works in English bring out his contribution to the development and popularity of English Essay.

'Essays' was Bacon's first collection of ten essays which appeared in 1597 and its second and third editions were published in (1612) and (1625). The second edition consisted of thirty eight, and the third edition included fifty eight essays. These essays focus on familiar subjects, and utilitarian wisdom.

'The Advancement of Learning', published in 1625, contains Bacon's philosophy. In fact, this work is based on Bacon's Latin work *De Augmentis Scientiarum* published in 1623. 'The Advancement of Learning' is significant work on the history of science and philosophy. It contributed a great deal to the history of English prose.

Apart from his works in prose, Bacon also tried his hand in writing history from a scientific point of view in his 'History of Henry VII (1622). Bacon died before the completion of his work, 'New Atlantis', which was modeled on Thomas More's 'Utopia'.

CHECK YOUR PROGRESS: 1

Choose the correct answers:

i. Bacon wrote in:

- a) English only b) Latin only c) English and Latin

ii. Bacon's first collection of essays contained:

- a) Fifteen essays b) ten essays c) seventeen essays

iii. Bacon was made a Knight by:

- a) Henry1 b) Richards I c) James 1

iv. Bacon is considered the follower of:

- a) Shakespeare b) Lord Burleigh c) Machiavelli

6.3 WHAT IS AN ESSAY

An essay is a form of composition in prose. It has a moderate length. The word 'essay' is taken from the French word 'Essai' and in English literature it was adopted by Bacon from Montaigne. Essays can be of various types like personal or informal, and formal, persuasive, expository, narrative, descriptive, argumentative. Unlike a thesis or an article, an essay has wide range of readers. An essay is not addressed to special or limited audience. Its main purpose is to provide delight. Essay is written in a simple and conversational style to draw the attention of the reader. A good essay has new and interesting ideas presented in an equally interesting style. An essay can include small incidents and anecdotes to make it interesting. In brief, an essay can be on any subject or topic, having relevance for all. Its language is simple and the writer uses an effective style to make his ideas interesting and delightful.

6.3.1 ABOUT THE ESSAY: OF STUDIES

Francis Bacon's essay 'Of Studies', deals with the advantages, nature, and the influence of studies on human mind. The essay talks about different types of books and the way these books should be studied. Here you will also find Bacon's views on the attitude of different people towards studies. Bacon explains the way books provide us with practical wisdom. The ideas expressed in these essays can be used by all of us. This essay is significant for yet another reason. Nearly all the qualities of Bacon's art of essay writing can be observed in it. You will see that Bacon makes a statement and then explains it. This style of writing proves very helpful in understanding the content of the essay. The ideas expressed and the way Bacon presents them in an ordered way makes the essay interesting and attractive for the readers.

6.3.2 TEXT: 'OF STUDIES'

STUDIES serve for delight, for ornament, and for ability. Their chief use for delight is in privateness and retiring; for ornament, is in discourse; and for ability, is in the judgment, and disposition of business. For expert men can execute, and perhaps judge of particulars, one by one; but the general counsels, and the plots and marshalling of affairs, come best, from those that are learned. To spend too much time in studies is sloth; to use them too much for ornament, is affectation; to make judgment wholly by their rules, is the humor of a scholar. They perfect nature, and are perfected by experience: for natural abilities are like natural plants that need pruning, by study; and studies themselves, do give forth directions too much at large, except they be bounded in by experience. Crafty men contemn studies, simple men admire them, and wise men use them; for they teach not their own use; but that is a wisdom without them, and above them, won by observation. Read not to contradict and confute; nor to believe and take for granted; nor to find talk and discourse; but to weigh and consider. Some books are to be tasted, others to be swallowed, and some few to be chewed and digested; that is, some books are to be read only in parts; others to be read, but not curiously; and some few to be read wholly, and with diligence and attention. Some books also may be read by deputy, and extracts made of them by others; but that would be only in the less important arguments and the meaner sort of books, else distilled books are like common distilled waters, flashy things. Reading maketh a full man; conference a ready man; and writing an exact man. And therefore, if a man write little, he had need have a great memory; if he confer little, he had need have a present wit: and if he read little, he had need have much cunning, to seem to know, that he doth not. Histories make men wise; poets witty; the mathematics subtle; natural philosophy deep; moral grave; logic and rhetoric able to contend. Abeunt studia in mores. Nay, there is no stond or impediment in the wit, but may be wrought out by fit studies; like as diseases of the body, may have appropriate exercises. Bowling is good for the stone and reins; shooting for the lungs and breast; gentle walking for the stomach; riding for the head; and the like. So if a man's wit be wandering, let him study the mathematics; for in demonstrations, if his wit be called away never so little, he must begin again. If his wit be not apt to distinguish or find differences, let him study the Schoolmen; for they are cyminisectores. If he be not apt to beat over matters, and to call up one thing to prove and illustrate another, let him study the lawyers' cases. So every defect of the mind may have a special receipt.

6.3.3 Glossary

For ability	to make one able
Retiring	retirement
Disposition	arrangement
Plots	planning: the modern word, 'plotting' is a metaphor from surveying
Humour	here, eccentricity
Studies ... experience	the sense is that theoretical knowledge acquired by study is too vague for use, unless the application is limited by experience

Admire	wonder at
Without	outside
Curiously	here carefully (derived from Latin ‘curiose’)
Arguments	subjects
Flashy	here tasteless; the most famous instance of its use is in Milton’s Lycidas: ‘their lean and flashy songs’
Conference	conversation
Writing	taking notes
Present	ready, as in the psalms: a ‘present help in trouble’
Witty	imaginative
Abeunt...mores	‘tastes become character’: this is from Ovid’s Epistle of Sappho to Phaon Heroides.
Stand	hindrance
Bowling	the act of bowling in the game of cricket
Schoolmen	the philosophical teaching of the medieval universities was based upon Aristotle’s theories and upon the ethical and metaphysical doctrines of Christianity as laid down by the priests

6.3.4 SUMMARY: OF STUDIES

The essay starts with an explanation of the uses of studies or knowledge. According to Bacon studies can be used for three purposes. We can use studies for entertainment or pleasure that he calls delight. They can be used for making our speech more impressive. In this case study serves a decorative purpose. Studies help in making appropriate judgment. Bacon says, “Studies serve for delight, for ornament, and for utility.” He explains that studies serve the purpose of pleasure when we read in our idle hours for personal happiness. Our speech or discussion on a subject appears attractive to others due to studies. It adds to the ornamental value of the language we use and the arguments we put forward. The use of decorative vocabulary and terms becomes possible with the help of studies. These elements in one’s language make one look an expert in the use of language. Studies serve another purpose of enabling us to make appropriate judgment. It is through studies that one learns new ideas and uses them to make judgments and form opinions in life.

After discussing these three purposes or uses of studies Bacon cautions us to make a judicious use of studies. One should not spend most of one’s time on studies to seek pleasure as it makes one lazy and sluggish. The overuse of studies in one’s speech and language makes it artificial. Our forming opinions and judgments wholly on the basis of our study is not appropriate. Such decisions are often away from reality. It is our experience in life that adds the element of perfection to our studies. On the other hand, studies have the ability to enrich our experience. Bacon compares the development and growth of human mind to that of a plant. We see that the unwanted leaves and branches of a plant have to be trimmed for its proper development. In the same way, experience teaches us to check, in a way prune, unwanted and unhealthy or irrelevant ideas that come from books and their study. Studies perform the same

function in giving direction to our experience and life. In other words, human mind is moulded and shaped by studies and studies add wisdom to our experience.

Bacon tells about the attitude of different types of people towards studies. Crafty or cunning people criticize studies. Simple, ordinary people admire studies whereas wise men use studies for the valuable ideas presented in books. Studies provide wisdom to deal with different situations in life. It does not mean that the ideas given in books are used as such. We make use of the ideas and wisdom gained from books on the basis of our observation of life. In other words, the ideas taken from books are not mechanically applied. One should read books to learn about life in a better way.

All books do not have equal significance and value. We need not study all books with the same devotion and attention. Only parts of some books are important. These books should be read in parts. There are books that do not carry much importance. Such books do not need careful study and one can hurriedly go through them without paying much attention. There are certain books that need to be chewed i.e. studied very carefully and in detail. Reading books is significant as it has a special value for us. It is reading that has the ability to make man complete in his wisdom. A person well-versed in discussing things is always ready to express ideas, and the practice of writing makes a person exact i.e. perfect or disciplined.

Different disciplines of study influence people in different ways. The study of History makes people wise, it makes poets expert in using their wit. In the same way, the study of other subjects sharpens other faculties of human mind. Bacon explains that different types of exercises and sports can cure different diseases of the body in the same way the study of different subjects is recommended for different weaknesses or drawbacks of the mind.

CHECK YOUR PROGRESS: II

i. Choose the correct option:

According to Bacon natural abilities are like :

a) books b) knowledge c) plants

ii. State true or false :

All books have equal importance and should be studied in the same way. (True \False)

iii. Some books are to be chewed means:

a) They should be eaten up b) studied carelessly c) read carefully

iv. Some books should be swallowed indicates that:

a) These books are to be sold b) one should hurriedly go through them c. only selected parts of these books are to be studied.

v. Fill in the blank by selecting the correct option:

Bacon thinks that makes men wise and poets witty.

a) poetry b) science c) history

6.4 DIVISION AND SUBDIVISION OF IDEAS

Now look at the following table to see the way Bacon has organized his arguments in the essay: Pick up the lines from the text of the essay and match them with the different sections or parts of the table given below:

	OF STUDIES	
	Advantages or Uses of Studies	
Delight	Ornament	Ability
Reading for pleasure and enjoyment	Reading to make our discourse impressive and language attractive	Reading to make judgment and understand life better
	Precautions\Advice	
Devoting too much time on studies results in laziness	Over use of studies for to make our speech impressive is likely to make our speech look hollow and artificial.	Over dependence on Studies for making judgments in life is considered a whim of the scholar having no understanding of life.
	Experience and Studies	
	Bacon compares the role of studies in life and experience to the pruning of a plant for its proper growth	
Experience		Studies

Experience teaches us to relate the significant and relevant ideas taken from studies to life .It enables us to keep the unhealthy ideas away.		Studies teach us to mould and change ourselves in a better way. They direct our experience on the right path,
	Attitude Towards Studies	
Cunning\Crafty People	Simple\Ordinary People	Wise People
Condemn or Criticize Studies	Admire Studies	Use Studies
	Types of Books and the Ways they should be Read	
Books to be Tasted	Books to be Swallowed	Books to be Digested
Only the parts of these books are to be read. No need of a complete study of these books.	Only a casual reading of these books is enough. There is no need to carefully study even the parts of such books.	These books are given a careful and attentive reading. Their detailed study is essential.
	Reading as compared to Conferencing or the art of discussion and writing.	
Reading	Conferencing	Writing
Makes a complete man	Prepares one to express	Makes a person disciplined

	ideas according to the occasion.	and well organized in life.
	Subjects of Studies and Human faculties	
Subjects		Human faculties
History ,		Wisdom, wit.
Mathematics		Subtlety of mind \reasoning
Philosophy		Deep thought

6.5 BACON AS AN ESSAYIST

Francis Bacon's essays concentrate on thoughts related to practical wisdom. The views expressed in his essays are based on his observation and experience. It is said that Bacon deduces general maxims from his own observations. It shows his keen interest in men and manners. He treats his subject scientifically and always explores practical value of things. While writing about studies he says, "Studies serve for delight, for ornament, and for ability. Their chief use for delight is in privateness and retiring; for ornament, is in discourse; and for ability, is in the judgment and disposition of business". It reveals that his approach is always practical and pragmatic. It is due to this quality of his writings that he is often considered the follower of utilitarianism in which everything is valued due to its practical utility only.

The thematic range of Bacon's essays is very vast and varied. He writes on a variety of subjects. In a letter to his uncle Burleigh, Bacon wrote that he had taken all knowledge to be his province. His interest in various branches of knowledge can be seen from his essays on moral, ethical and metaphysical issues. In his essays, Bacon discusses friends, parents, children, truth, love marriage, studies, kingdoms, revenge, death, and a host of other issues in detail and with great skill. His subjects range from aesthetics to morality. Despite the vast variety of subjects Bacon treats all the ideas with equal command and depth of knowledge.

The use of wit, humour and proverbial wisdom make his essays popular among the readers. He was aware of his popularity as an essayist as his words reveal, " My essays come home to men's business and bosoms". His essays are a source of guidance in practical life . Every thought in his essays is quite striking and full of commonsense wisdom. His treatment of even commonplace subjects with full sincerity and seriousness draws the reader's attention. The main reason of his

popularity as an essayist is his dealing with the subjects of common interest of the people. Instead of talking about romance and philosophy Bacon talks about human environment. His concern is more with the facts than theory. These elements in his essays attract the readers.

Bacon's distinct prose style makes his writings interesting and attractive. His style is precise and condensed. The beginnings of his essays are sudden, and striking. For example, "Revenge is a kind of wild justice". He chooses short sentences with simple structure. Bacon's belief in scientific learning and knowledge comes out in his essays where we see him providing explanations to the statements he makes. Instead of making vague statements or leaving much to the reader, he explains the ideas in concrete and clear terms. For example in the essay 'Of Studies' Bacon first makes the statement, 'Some books are to be tasted, others to be swallowed, and some to be chewed and digested'. The next part of the sentence analyzes and explains it.

Bacon uses epigrammatic style that presents highly condensed ideas in a few words and in small sentences. For example, the very first sentence of the essay 'Of Studies', "Studies serve for delight, for ornament and ability". His use of apparently contradictory ideas or paradox does not allow the reader to remain passive. It requires complete attention of the reader to understand the full import of his views. For example when he says, 'Some books are to be tasted, others to be swallowed, and some few to be chewed and digested;' it seems a contradictory view on books. But the explanation that follows makes the idea clear.

Bacon uses simple and short sentences instead of complex and complicated long ones. When he writes a long sentence, he prefers a compound one instead of the complex one. He repeats the structure of the first coordinate clause that helps in understanding it. For example, in "Reading maketh a full man; conference a ready man; and writing an exact man", the sentence can be broken into small independent sentences. The repetition of sentence structure, punctuation marks, and certain words for emphasis are some of the regular features of his prose style.

The systematic arrangement of arguments in his essays provides an organic unity to the whole structure. It also reveals his organizational skill in the development of thought. The logical development of ideas and use of reasoning instead of emotional appeal or personal views add to the persuasive quality of his essays.

Check your Progress: III

Answer the following questions by selecting the correct answer:

i. Bacon's essays are full of:

a) practical wisdom b) romantic ideas c) scientific theories

ii. the ideas expressed in Bacon's essays are based on:

a) his study of science only b) his observation and experience c) his bookish knowledge

iii. The long sentences used in Bacon's essays are usually:

a) Simple b) complex c) compound

iv. Bacon uses:

a) Epigrammatic and aphoristic style b) autobiographical style c) conversational style.

PLEASE NOTE: The information provided in the discussion above will help you analyze different features of Francis Bacon’s essay ‘Of Studies’. Now we will analyze some extracts from the essay and identify different features of his art of essay writing.

6.6 EXERCISES FOR EXPLANATION

Exercise I. Explain the following extract with reference to the context:

“Studies serve for delight, for ornament, and for ability. Their chief use for delight is in privateness and retiring; for ornament, is in discourse; and for ability, is in the judgment, and disposition of business.”

Analysis: These are the opening lines of the essay ‘Of Studies’ by Francis Bacon. The essay explains different uses of studies, types of books, the way they should be studied. These lines tell us about three main advantages of studies. Study of books provides delight. It gives us pleasure in our free time. It serves the purpose of an ornament as it makes our speech impressive. Study of books is useful in making judgment. It helps us in taking wise decisions..

The ideas expressed in these lines are full of practical wisdom. Bacon tells us about the uses of reading books. The use of simple sentence structure and the explanation of the main ideas in subsequent sentences makes the understanding of the extract easy and quick.

Please Note: The exercise given above shows how we have proceeded for the explanation of the extract:

- i. Given the name of the author and the essay from which the extract has been taken.
- ii. Explained, in brief, the main thrust of the essay.
- iii. Described the ideas given in the extract.
- iv. Made a comment on the way the ideas have been expressed in the extract.

Now you can take help of this pattern and do the exercises given below:

Exercise 2. Explain the following extract with reference to the context:

“To spend too much time in studies is sloth; to use them too much for ornament, is affectation; to make judgment wholly by their rules, is the humor of a scholar. They perfect nature, and are perfected by experience.....”

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Exercise 3. Explain the following extract with reference to the context:

‘Read not to contradict and confute; nor to believe and take for granted; nor to find talk and discourse; but to weigh and consider.’

.....

6.7 LET US SUM UP

- *An essay is a form of prose which can be on any topic and of a moderate length.
- *Francis Bacon borrowed the idea of essay from a French writer Montaigne. Bacon is considered the father of modern essay in English.
- *His essay 'Of Studies' is about the advantages of reading books and using learning for practical purposes in life.
- *There are different categories of books and the ways to read them are also varied.
- *Bacon's emphasis is on the practical utility of studies.
- *The ideas presented in his essay focus on matters of everyday concerns. .
- *His use of aphoristic, pithy and compact style enables him to express several ideas in single sentence.
- *Bacon's essays have a special appeal for all.
- *His essays have a well-organized, logical and uniform structure

6.8 UNIT-END QUESTIONS

1. What, according to Francis Bacon, are the chief uses of studies?
2. On the basis of your study of the essay 'Of Studies', explain the different types of books and the way these books are to be read.
3. Discuss three main features of Bacon's prose style with examples from his essay 'Of Studies'.
4. Give a brief summary of the essay.
5. Bacon's essays are said to be lacking in emotional warmth and feelings. Do you agree with these views? Why?
6. There are several sentences that strike like proverbs, for example, "To spend too much time in studies is sloth". Write five sentences which are similar to this, and explain their meaning also.

6.9 FURTHER READINGS

- *Long , J. William, *English Literature : Its History and its Significance for the Life of the English Speaking World*
- *Rai Vikramadity *Bacon Essays* ; Doaba House .
- *Apart from this the reading of Francis Bacon's essays like 'Of Love' Of Religion, 'Of Truth' 'Of Friendship' can also be helpful.

Check Your Progress I.

Answers: i. c ii. b iii .c iv c

Check your Progress II.

Answers: i. c ii. False iii. c iv b v c

Check your Progress III

Answers: i. a ii b iii c iv a.

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

COURSE: READING PROSE

Unit-7: RICHARD STEELE: THE TRUMPET CLUB

STRUCTURE:

7.0 Objectives

7.1 Introduction

7.2. Biographical Note

7.3 Periodical Essay

7.3.1 The Tatler

7.4 What is a Satire?

7.5. About the Essay: The Trumpet Club

7.5.1. Text: The Trumpet Club

7.5.2 Glossary

7.5.3 Summary: The Trumpet Club

7.6. Exercises

7.7 Style

7.8.1Exercises

7.9 Let us Sum up

7.10 Unit end questions

7.11 Further Readings

7.0 OBJECTIVES

After reading this lesson, you will be able to do the following:

- i. Define and explain periodical essay.
- ii. Write on Steele's contribution to the periodical essay.
- iii. Define and describe satire.
- iii. Mark and illustrate features of Steele's prose style.
- iv. Analyze the essay.

7.1 INTRODUCTION

In this study of Steele's essay, we have started with details about his life and works. Steele's contribution to periodical essay and the journal 'The Tatler' started by him is given after this. It is followed by some details about periodical essay and the reasons that led to its popularity. Steele's association with another great essayist Addison contributed a lot for the development of this genre. You will learn how the periodical essay flourished due to their cooperation and efforts.

Steele's essay is a satire on the club culture of his times. We have explained the term Satire so that you can identify the elements of satire and explain the satirical nature of Steele's essay.

The summary of the essay will give you a fair idea about the main ideas expressed in it. You can use it to answer questions on the essay. The part of the study related to the style of the essay brings out different artistic features of Steele's art of writing.

You can check your progress in the understating of the essay by solving the exercises and matching your answers with the correct ones given at the end. The exercises related to the explanation of extracts from the essay are aimed to improve your analytical skills.

7.2. BIOGRAPHICAL NOTE

RICHARD STEELE

Richard Steele (1672-1729), a great essayist and dramatist, was born in Dublin Ireland. Little is known about his early childhood except the fact that his parents were poor and he was brought up by his aunt and uncle, Lady Katherine Milday, and Henry Gasioignl. He went to school at the age of fourteen, and later joined Oxford University in 1689. His first poem was on the death of Queen Mary II. He became Captain in the Coldstream Guards. He wrote *The Christian Hero* in 1701. His first play *The Fiscal* was a satire on hypocrisy. Steele left his job in 1705 and tried his hand as a writer. His second play *The Lying Lover* was published in 1702.

At that time, political pamphlets were written against the opponents by the writers supporting Whigs or the Tories. Steele directed his political writings against the Tory group as he was a supporter of the Whigs. After the death of his first wife Margaret Ford Stretch he married Mary Seurlock. At that time he was the editor of 'The London Gazette', the government periodical. After some time he established his own periodical 'The Tatler'. It brought out essays about men and manners, and life at the clubs visited by upper sections of society. He expressed anti-Tory ideas in several of his pamphlets. He was elected an M. P. in 1713. The Tory majority expelled him. George I made him a Secretary of the royal stables and awarded him with Knighthood. His last play *The Conscious Lovers* was published in 1729. His achievements as an essayist began with 'The Tattler' and flourished in association with Addison as he started contributing to 'The Spectator'.

7.3 PERIODICAL ESSAY

One of the most discussed varieties if English prose is periodical essay. The origin of periodical essay is associated with the establishment of the periodical press in the eighteenth century. A

number of periodicals (journals, magazines etc that appear after a fixed interval of time or period) started appearing. The essay published in these magazines acquired recognition as 'periodical essay'. During this time, the reviews meant to express the author's opinion were considered a part of the newspaper. It implies that the reviews in a newspaper were treated similar to information or news. Defoe's 'Review of The Affairs of France and All Europe' (1704-1712), 'The Tatler' (170-1711), 'The Spectator' (1711-12), and 'The Guardian' (1713) established by Steele, and Addison were the most influential periodicals that contributed to the development of English prose and the periodical essay.

The rise of the periodical essay is attributed to the developed of a wealthy and respectable middle class, the neutral and non-political attitude of the periodicals like 'The Tatler' and 'The Spectator'. The third reason of the popularity of the periodicals and the periodical essay was that they addressed the earlier ignored women readers also. Addison expresses this view in these words, "I never expounded any party with violence, and am resolved to observe exact neutrality between the Whigs and Tories". It brings out the non-partisan nature of the essays that found positive response from the two opposite political groups. The variety of subjects of contemporary interest added to the appeal of the essay for the people.

CHECK YOUR PROGRESS I:

Choose the correct answer:

i. Richard Steele was brought up by his:

a) parents b) uncle and aunt c) elder brother

ii. *The Lying Lover* is the name of his:

a) second play b) first play c) his friend

iii. He supported :

a) The Whigs b) The Tories c) Neither Whigs nor Tories

iv. The term periodical is used for:

a) Steele's essays only b) Tatler only c) for magazines and journals that appeared after a fixed interval of time

v. Name two important periodicals of Steele's times.

*Richard Steele is one of the most influential pioneers of periodical essay. His journal 'The Tatler' published essays of this kind and he wrote several periodical essays for other journals also. The contribution of Steele can be assessed from the role of the journal he devoted to the publication of these essays. The following information about 'The Tatler' gives useful hints about its role and the type of essays published in it.

7.3.1: THE TATLER

'The Tatler' founded by Richard Steele appeared three times a week. The purpose of 'The Tatler', according to Steele, "is to expose the false art of life, to puff off the disguises of cunning, vanity and affectation, and to recommend a general simplicity in our discourse and our behavior." (Long) Steele published most of his essays in this journal under the pseudonym Isaac

Bickerstaff. When Addison came to know this, he too started contributing his essays to this journal. Steele accepted Addison's advice and suggestions concerning the journal.

There were essays on a various topics in each issue of 'The Tatler'. The essays from different coffee-houses were included in it. The incidents concerning pleasure, entertainment and gallant actions emanated from White's Chocolate House. Will's Coffee House was associated with essays on poetry, and the essays on learning came from another club. Steele's writings which appeared in 'The Tatler' offer glimpse of life at the coffee-houses of those times. It was under the influence of Addison that 'The Tatler' started publishing more discussions on people and books.

Richard Steele stopped the publication of 'The Tatler' on 2 January 1711. Steele and Addison jointly started 'The Spectator' on 1 March 1711. It was published daily. It stopped publishing on 6 December 1712. It was later revived by Addison alone. 'The Spectator' lasted until December 1714. This journal contained 635 essays which included 274 by Addison, 240 by Steele while 121 essays were contributed by other friends.

Check Your Progress II:

Choose the correct answer::

i. The purpose of 'The Tatler' was to

a) propagate simplicity in life and behaviour b. criticize simplicity in life c. appreciate the rich.

ii. Select the correct answer:

Isaac Bictorstaff was: a) the fictitious name of Richard Steele b) the name of Steele's friend c) the name of a journal

iii. Addison and Steele jointly started the journal :

a) The Tatler b) The Guardian c) The Spectator

iv. Choose the correct answer :

a) Steele contributed more essays to 'The Spectator, than Addison b) Addison contributed more essays to 'The Spectator' than Steele c) Defoe contributed more essays to 'The Spectator' than Steele and Addison.

*Steele's essay 'The Trumpet Club' is a satire on the manners and behaviour of the people of the 18th century England. The satire is particularly directed against those who frequented different clubs.

Before a reading of this essay, it will be useful to understand features of a satire. Read the meaning and explanation of the term given below and note down its characteristic features for a study of Steele's essay.

7.4 WHAT IS A SATIRE?

Satire is a form of writing aimed to expose and criticize follies and drawbacks or abuses in individual, and society to bring improvement in them. The way these vices are mocked at or ridiculed, amuses the reader. When an individual is made the subject of satire, the satire is directed against the individual's follies and whims, not against the individual. Here again, the writer of satire criticizes or makes fun of only those drawbacks or inadequacies which can be corrected, for example greed, dishonesty, the habit of telling lies, and other such traits in an individual. But a satire is not welcomed if it ridicules or makes fun of some natural deformities in a person or handicaps like lameness, deafness, stammering etc,

A satire is amusing and pleasing. It is different from a comedy as its purpose is not pleasure or entertainment only. It is aimed to bring improvement in people and societies.

There are writings not deliberately written as satires. In these writings, description of some character or a situation is amusing and it suggests need for improvement that an individual or a society needs. This kind of a satire is considered indirect.

Direct satire is deliberate and addressed to the audience or some character in the writing itself. It is of two types. The speaker's comments and descriptions are aimed to evoke an amusing attitude towards the subject of satire. The second type of the direct satire is aimed to evoke a response of contempt from the readers.

Check Your Progress III

Choose the correct answer:

i. Satire is a kind of writing that:

- a) appreciates good qualities of people
- b) mocks at the drawbacks and vices in individuals and society
- c) presents tragic incidents

ii. Satire is directed against those follies and drawbacks which :

- a) can be corrected b) are incorrigible c) are seen in men only

iii. Satire is :

- a) different from comedy b) is not different from comedy c) is like a tragedy

iv. The purpose of satire is to :

- a) amuse and entertain only b) to evoke a feeling of contempt c) amuse and improve

7.5 ABOUT THE ESSAY: THE TRUMPET CLUB

The essay 'The Trumpet Club' is a satire on the activities and behaviour of the people who visit clubs. They indulge in meaningless chitchat for hours together. Their conversation often focuses on the same issues and there is nothing new or refreshing in it. These people take pride in the little knowledge they have. In this essay, Steele makes fun of his companions whose

conversation is monotonous and boring. He begins the essay with an amusing account of his attitude towards the conversation of his friends. He seems to appreciate their discourse. The way he praises the conversation for making him feel sleepy reveals his dislike for it. He provides interesting details about the club and the activities of the members of this club. It offers an interesting and amusing reading.

7.5.1 TEXT: THE TRUMPET CLUB

"I am much beholden to old age, which has increased my eagerness for conversation in proportion as it has lessened my appetites of hunger and thirst."

After having applied my mind with more than ordinary attention to my studies, it is my usual custom to relax and unbend it in the conversation of such as are rather easy than shining companions. This I find particularly necessary for me before I retire to rest, in order to draw my slumbers upon me by degrees, and fall asleep insensibly. This is the particular use I make of a set of heavy honest men, with whom I have passed many hours with much indolence, though not with great pleasure. Their conversation is a kind of preparative for sleep: It takes the mind down from its abstractions, leads it into the familiar traces of thought, and lulls it into that state of tranquillity, which is the condition of a thinking man when he is but half awake. After this, my reader will not be surprised to hear the account which I am about to give of a club of my own contemporaries, among whom I pass two or three hours every evening. This I look upon as taking my first nap before I go to bed. The truth of it is, I should think myself unjust to posterity, as well as to the society at the *Trumpet* of which I am a member, did not I in some part of my writings give an account of the persons among whom I have passed almost a sixth part of my Time for these last forty years. our club consisted originally of fifteen; but partly by the severity of the law in arbitrary times, and partly by the natural effects of old age, we are at present reduced to a third part of that number: In which however we have this consolation, That the best company is said to consist of five persons. I must confess, besides the afore-mentioned benefit which I meet with in the conversation of this select society, I am not the less pleased with the company, in that I find myself the greatest wit among them, and am heard as their oracle in all points of learning and difficulty.

Sir *Jeoffrey Notch*, who is the oldest of the club, has been in possession of the right-hand chair time out of mind, and is the only man among us that has the liberty of stirring the fire. This our foreman is a gentleman of an ancient family, that came to a great estate some years before he had discretion, and run it out in hounds, horses, and cock-fighting; for which reason he looks upon himself as an honest worthy gentleman who has had misfortunes in the world, and calls every thriving man a pitiful upstart.

Major *Matchlock* is the next senior, who served in the last Civil Wars, and has all the battles by heart. He does not think any action in Europe worth talking of since the fight of *Marston-Moor* and every night tells us of his having been knocked off his horse at the Rising of the *London* apprentices [in 1647] for which he is in great esteem amongst us.

Honest old *Dick Reptile* is the third of our society: He is a good-natured indolent man, who speaks little himself, but laughs at our jokes, and brings his young nephew along with him, a youth of eighteen years old, to show him good company, and give him a taste of the world. This young fellow sits generally silent; but whenever he opens his mouth, or laughs at anything that passes, he is constantly told by his uncle after a jocular manner, "Ay, ay, *Jack*, you young men think us fools; but we old men know you are."

The greatest wit of our company, next to me, is a bencher of the neighboring inn, who in his youth frequented the ordinaries about *chairing cross*, and pretends to have been intimate with *Jack Ogle*. He has about ten distichs of *Hudibras* without Book, and never leaves the Club till he has applied them all. If any modern wit be mentioned, or any town frolic spoken of, he shakes his head at the dullness of the present age, and tells us a story of *Jack Ogle*.

For my own Part, I am esteemed among them, because they see I am something respected by others, though at the same time I understand by their behaviour, that I am considered by them as a man of a great deal of learning, but no knowledge of the world; insomuch that the Major sometimes, in the height of his military pride, calls me the philosopher: and Sir *Jeoffrey* no longer ago than last night, upon a dispute what day of the month it was then in *Holland*, pulled his pipe out of his mouth, and cried, "What does the scholar say to it?"

Our club meets precisely at six o' clock in the evening; but I did not come last night till half an hour after seven, by which means I escaped the Battle of *Naseby*, which the Major usually begins at about three quarters after six; I found also, that my good friend the bencher had already spent three of his distichs, and only waiting an opportunity to hear a sermon spoken of, that he might introduce the couplet where *a stick* rhymes to *ecclesiastic*. At my entrance into the room, they were naming a red petticoat and a cloak, by which I found that the bencher had been diverting them with a story of *Jack Ogle*.

I had no sooner taken my seat, but Sir *Jeoffrey*, to show his good will towards me, gave me a pipe of his own tobacco, and stirred up the fire. I look upon it as a point of morality, to be obliged by those who endeavor to oblige me; and therefore in requital for his kindness, and to set the conversation a going, I took the best occasion I could to put him upon telling us the story of old *Gantlett*, which he always does with very particular concern. He traced up his descent on both sides for several generations, describing his diet and manner of life, with his several Battles, and particularly that in which he fell. This *Gantlett* was a game-cock, upon whose head the Knight in his youth had won five hundred pounds, and lost two thousand. this naturally set the Major upon the account of *Edge hill* Fight, and ended in a Duel of *Jack Ogle's*.

Old *Reptile* was extremely attentive to all that was said, though it was the same he had heard every night for these twenty years, and upon all occasions winked upon his nephew to mind what passed.

This may suffice to give the world a taste of our innocent conversation, which we spun out till about ten of the clock, when my maid came with a Lanthorn to light me home. I could not but reflect with myself as I was going out upon the talkative humour of old men, and the little figure which that part of life makes in one who cannot employ this natural propensity in discourses

which would make him venerable. I must own, it makes me very melancholy in company, when I hear a young man begin a story; and have often observed, that one of a quarter of an hour long in a man of five and twenty, gathers circumstances every time he tells it, till it grows into a long *Canterbury* Tale of two hours by that time he is three-score.

The only way of avoiding such a trifling and frivolous old age, is, to lay up in our way to it such stores of knowledge and observation as may make us useful and agreeable in our declining years. The mind of man in a long life will become a magazine of wisdom or folly, and will consequently discharge itself in something impertinent or improving. For which reason, as there is nothing more ridiculous than an old trifling story-teller, so there is nothing more venerable than one who has turned his experience to the entertainment and advantage of mankind.

In short, we who are in the last stage of life, and are apt to indulge ourselves in talk, ought to consider, if what we speak be worth being heard, and endeavor to make our discourse like that of *Nestor*, which *Homer* compares to the flowing of honey for its sweetness.

I am afraid I shall be thought guilty of this excess I am speaking of, when I cannot conclude without observing, that Milton certainly thought of this passage in *Homer*, when in his description of an eloquent spirit, he says, *His Tongue dropped Manna*.

7.5.2 Glossary:

Take ... tranquility	to bring one down from abstract thinking to more practical, down-to-earth preoccupations
Severity of the law	a reference to large gatherings being considered against the law during troublesome times
Before... discretion	referring to a phase in one's life wherein one has no wisdom and is full of rashness and unnecessary valour
Bencher	one who frequents the benches anywhere
Distich	a pair of verse lines
Battle of Naseby	the key battle of the first English Civil War. On 14 June 1645, the main army of King Charles I was defeated by the Parliamentarian New Model Army commanded by Sir Thomas Fairfax and Oliver Cromwell.
Story of old Gantlett	refers to a game cock and cock-fighting which was very popular at the time. As much as 500 guineas were staked on an inter-county match.
Magazine	here, treasure
Nestor	one of the kings of ancient Greece, and one who later was fond of giving advice to other warriors. Homer was very partial to him and describes him as a man of 'sweet words' a 'clear-voiced orator', and whose voice 'flows sweeter than honey'.

7.5.3 SUMMARY

‘The Trumpet Club’ is an amusing account of the eccentric habits and activities of the people who indulge in meaningless conversation. These people often show off their skill in discussing certain subjects. These people believe that only they have the competence to talk about the incidents or happenings they consider important and significant. The very title of the essay suggests that the club going to be discussed in this essay has members who like to show off and drum their conversational skill. The word trumpet means talking about something publicly in a proud or enthusiastic way. Thus, the very title of the essay indicates the nature of the members of the club to show off their ability in the art of talking too much and that too on trivial subjects.

Richard Steele opens the essay with an amusing note by expressing a sense of gratitude to old age for increasing his interest in conversation and bringing down his hunger for food. In other words, in old age conversation appears more important than food. He tells us about his habit of talking to his companions before going to sleep. He considers it a kind of soothing exercise as the conversation of these people is not intellectual or serious. It is rather sleep-inducing and simple and does not require much effort for its understanding. The subjects they talk about are familiar and already known to him. In a way, their conversation has nothing new in it.

Steele then moves on to talk about the club and its members. He describes each member’s interest in a particular subject or incident and the way each one of them talks about it daily. Steele gives details about the club and its members. He says that the club originally had fifteen members but now the number has come down to five. It is due to the consequences of old age i.e. some of them are perhaps dead while others are too old to come and join. Steele expresses his delight for being a member of the club. He visits the club for two reasons: i. It provides him an opportunity to sleep. ii. The other members of the club respect his learning.

In the next part of the essay, Steele gives details about each members of the club including himself. At first, he talks about Sir Jeoffrey Notch, the oldest member of the club. He belonged to rich family that owned a huge estate. Before wisdom could dawn on him, he had lost all his wealth in gambling over cock-fights and other such sports. He considers all these things a matter of his honesty. The men flourishing in their career are like pitiful beginners for him. This member of the club always talks about his gambling days and the way he lost his wealth.

The next member Steele describes is Major Matchlock. This man takes pride in talking about the fight of Marston Moor in which he was knocked off his horse. He narrates the incident time and again. He thinks that no other incident is as significant as this battle and the others should talk about, and discuss this fight only. The other members of the club show great respect for the Major Matchlock for his talking about this incident repeatedly.

The third member that the writer introduces to the readers is Dick Reptile. He brings his young nephew with him to introduce to the members of the club. He considers these members a very good company for others. He expects his nephew to learn the tastes of the world from the members of this club. Dick Reptile tells his nephew that the old men consider the young boys foolish as compared to the wise men from the club.

While talking about the bencher, another member of the club, Steele describes him as the only other wise man, except Steele, there in the club.. The irony in Steele's description of this man as a greatest wit comes out when he explains the reason of this man's wisdom. He explains that the bencher is considered witty as he has memorized a few verses from the couplets of Hudibras, and likes telling the story of *Jack Ogle* time and again.

The members of the club respect the narrator i.e. Steele, only because they have seen other people doing so. But they do not know why people have respect for him. They consider him a learned man but they think he has no knowledge of the world. Therefore, taking pride in his military pride the Major once called him philosopher, and Sir Jeoffrey referred to him as a scholar in a derogatory sense. They did this while disputing what day of the month it was in Holland.

Talking about the activities of the club the writer mentions things they discuss everyday. He tells that the club meets at six in the evening. The previous night, he reached the club half-an-hour after seven, the Major had already talked about the Battle of Naseby as he usually begins talking about it at three quarters after six, at the fixed time. At that time the bencher had already recited three of his verses as he did every evening. It shows the mechanical nature of their daily routine. There was the same discussion about rhyming the couplet with words like 'a stick with ecclesiastic'. It indicates that the bencher had been telling the same story of Jack Ogle in the same way, and at the same time.

One day, Sir Jeoffrey offered his seat to the writer. In return to this favour, the author asked this man to tell the story of the old Gantlett that Sir Jeoffrey liked to narrate. He started giving an account of his several gambling games, and particularly of the one in which Gantlett, the game cock caused his fall. Jeoffrey in his youth had played the game by staking money upon the head of this game-cock. As the Major saw this man telling the story of his gambling match, he felt inspired to give an account of the Edge Hill fight. Thus, each one of these members was eager to talk about his favourite subject. It was a daily practice at the club. In fact, the writer talks about these people to show how the people there always discussed trivial matters and took pride in doing so.

In the end, the author offers advice to all of us. We should have a lot of knowledge and information so that our conversation is liked by others. If we want our discourse appreciated it has to be full of wisdom like that of Nestor, the wise man of ancient Greece praised by Homer.

CHECK YOUR PROGRESS IV:

Fill in the blanks choosing the correct answer:

i. Steele likes the conversation of the members of the club because :

a) it makes him feel sleepy b) entertains him c) he learns many new things from their conversation.

ii. The number of the members of the club has :

a) Increased b) come down c) remained the same

- iii. The members of the club meet:
 - a) every week b) every month c) every evening.
- iv. Old *Reptile* had heard the same conversation for:
 - a) five years b) ten years c) twenty years

7.6 EXERCISES

*Dear students, we have talked about features of satire. From a reading of the essay , you must have noticed that this essay has a number elements of satire. You will be able to analyze the essay as a satire by doing the following exercises.

.1 Exercise I Solved: Read the extract given below and trace the elements of satire in it:

“Their conversation is a kind of preparative for sleep: It takes the mind down from its abstractions, leads it into the familiar traces of thought, and lulls it into that state of tranquility, which is the condition of a thinking man when he is but half awake.”

Explanation: In this extract, Richard Steele talks about the importance he gives to the conversation of the members of the club. He exposes the futility and insignificance of their conversation in a humorous way. He values the conversation not for adding to his knowledge, pleasure or wisdom. It rather makes him feel sleepy. It shows that the conversation has no utility. The writer has described the weaknesses of the members of the club in an amusing way. The deliberate attempt to make fun of their behaviour makes the satire direct. However, the satire here is acceptable and welcome as it is directed against the drawbacks which can be corrected. It is aimed to suggest an improvement in the conversation of the members of the club.

Exercises for Practice:

Exercise 2: “He does not think any action in Europe worth talking of since the fight of *Marston-Moor* and every night tells us of his having been knocked off his horse at the rising of the *London Apprentices* [in 1647] for which he is in great Esteem amongst us.”

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Exercise 3: Our club meets precisely at six o’ clock in the evening; but I did not come last night till half an hour after seven, by which means I escaped the Battle of *Naseby*, which the Major usually begins at about three quarters after six;.....”

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7.7 STYLE

Some of the significant aspects of Richard Steele's style are given below:

Use of imagination and creativity: Steele's depiction of characters that come alive before the reader's eyes is his special feat. He selects, imagines and portrays to make these imaginary characters come alive before us. With few strokes of the pen he has successfully presented a variety of men with all their eccentricities and preferences.

Originality: Steele's ideas and thoughts expressed in the essay are new and fresh. It makes his essay interesting. He talks about the boredom caused by repetition of the same subject in conversation. His treatment of the issue is original. This element of originality of ideas and the way he presents them is a unique feature of Steele's essays.

Tone: He uses a friendly and natural tone. It develops an association between the reader and the author.

Simple Language: Steele does not use bombastic or affected language. His expressions are simple. He uses ordinary language that makes his writing highly communicative.

Indirect way of Expression: Instead of saying disagreeable things about the members of the club and their conversation in a straight forward way, he uses indirect expressions bordering on irony. For example, he calls his companions, 'easy than shining', instead of saying that they lacked wit and were very ordinary people.

Use of Contrast: It is another device used by the writer to have an amusing effect. For example, he refers to the bencher as the greatest wit, but the explanation of his greatness exposes his weakness that highlights the contrast between what Steel says and what he means. It makes the description ironical.

Note: Students please refer to Unit 6 to see how the extracts can be explained and do the following exercises:

7.8 EXERCISES

Exercise: Explain the following extract with reference to context:

"Their conversation is a kind of preparative for sleep: It takes the mind down from its abstractions, leads it into the familiar traces of thought, and lulls it into that state of tranquility, which is the condition of a thinking man when he is but half awake."

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Exercise: Explain the following extract with reference to context:

....."I am something respected by others, though at the same time I understand by their behaviour, that I am considered by them as a man of a great deal of learning, but no knowledge

of the world; in so much that the Major sometimes, in the height of his military pride, calls me the philosopher.....”

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Exercise: Explain the following extract with reference to context:

‘This our foreman is a gentleman of an ancient family, that came to a great estate some years before he had discretion, and run it out in hounds, horses, and cock-fighting; for which reason he looks upon himself as an honest worthy gentleman who has had misfortunes in the world,.....’

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7.9 LET US SUM UP

- * Richard Steele is a famous essayist of the eighteenth century.
- * He established a journal titled ‘The Tatler’ and worked in association with Addison.
- * The essay ‘The Trumpet Club’ is a satire on the behaviour and manners of the people who take pride in showing off their art of conversation and keep on talking on the same issues repeatedly.
- * Steele describes members of the club one by one and gives amusing details about them to explain his point.
- * He uses irony, amusing details and develops the essay like a story.
- * The essay conveys a useful message in a very interesting way.

7.10 UNIT END QUESTIONS

- i. What are the reasons of Steele’s interest in the conversation of the members of the club?
- ii. What does the writer say about Major Matchlock?
- iii. Give a brief description of the club.
- iv. What kind of a person is the narrator or the writer?
- v. Describe any two members of the club.
- vi. Write a note on humour in the essay.

7.11 FURTHER READINGS

*. George Philip Krapp, *The Rise English Literary Prose*, Oxford University Press.

*Long , J. William, *English Literature : Its History and its Significance for the Life of the English Speaking World*

*Meyers, Carol, "Advisors of the age of reason: The periodical essays of Steele, Addison, Johnson, and Goldsmith" (1962). *Honors Projects*. 24.

ANSWERS TO CHECK YOUR PROGRESS EXERCISES:

Check your progress I. Answers : i. b ii. a. iii. a iv. c. v. The Tatler , The Spectator

Check Your Progress II. Answers: i. a) ii. a iii. c iv. b

Check Your Progress III. Answers: i. b. ii. a. iii. a. iv. c.

Check Your Progress IV. Answers: i. a. ii. b. iii. c. iv. c.

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

COURSE: READING PROSE

Unit-8: OLIVER GOLDSMITH: THE MAN IN BLACK

STRUCTURE

8.0 Objectives

8.1 Introduction

8.2 Biographical Note

8.2.1 Literary Background

8.2.2 Goldsmith and the Character Essay

8.3 About the Essay: The Man in Black

8.3.1 Text: The Man in Black

8.3.2 Glossary

8.3.3 Summary: The Man in Black

8.4 Satire

8.5 Structure and Style

8.5.1 Exercises on Structure and Style

8.6 Use of Prose

8.6.1. Exercise on Identifying variety of prose

8.7. Explanation with reference to context

8.8 Let us sum up

8.9 Unit End Questions

8.10 Further Readings

8.0 OBJECTIVES

The lesson is aimed to enable you to:

- Explain significant features of Goldsmith's essay 'The Man in Black'
- Describe Character essay
- Examine the essay 'The Man in Black' as a satire
- Answer analytical questions on the essay.

8.1 INTRODUCTION

The unit starts with details about Goldsmith's life and his career as a writer. In his struggling days he used to write ballads for beggars, and other insignificant writings like pamphlets and illustrations for slogans and cartoons. He got recognition as a writer only after he was praised by Dr. Johnson. In the next part, you will be introduced to the character-essay, followed by the text of the essay along with the vocabulary for a better understanding of the essay. We have also explained the main ideas in the 'summary' for your convenience. After this, you will find a brief discussion on the essay as a satire. You can use the points about the style while analyzing the essay.

The explanation about the varieties of prose given in this part will help you in identifying the kind or kinds of prose used in the essay. The exercises for explanation of some extracts follow the description of different aspects of the essays mentioned above.

The answers to the 'Check Your Progress' activities have been given at the end. You are advised to do the exercises on your own and check the correct answers later.

8.2 BIOGRAPHICAL NOTE

Goldsmith is famous for his contribution to periodical essay. He wrote essays for 'The Monthly Review' and the 'Bee'. His noteworthy work 'The Citizen of the World' started appearing in 'The Public Ledger' after the close of the journal the 'Bee'. Goldsmith's 'The Citizen of the World' is considered one of the finest collections of essays. It brought him close to the literary position held by Addison, the most popular essayist of the times. His essays are original in thought. One finds minute observation of human nature in Goldsmith's essays. His 'The Citizen of the World' is alleged to be written from the point of view of a Chinese traveler Altangi. Goldsmith's literary achievement is usually related to 'The Traveler' 1764, 'The Deserted Village' (1770 'The Good Natured Man', 'She Stoops to Conquer' and 'The Vicar of Wakefield'. 'The Traveler' is a long poem that offers reflections on the social life of a number of countries, and the destruction of nature. The observations presented here are based on Goldsmith's own views and experiences. His 'The Deserted Village' was appreciated more by audiences than literary critics. 'The Good Natured Man', and 'She Stoops to Conquer', are the two comedies. 'The Vicar of Wakefield' is Goldsmith's only novel. It focuses on the homely life with romantic interest.

Goldsmith was born in Ireland, and belonged to a poor family. Glimpses of father's character are seen in Goldsmith's creation Dr. Primrose in 'The Vicar of Wakefield'. He went to Trinity College Dublin and earned for his upkeep by writing ballads for street singers. He left college for some time and came back to complete his degree in 1749. He was a failure as a teacher. He tried his hand at learning law, and studied medicine but earned some success as singer of songs only. Unfortunately, he fell ill when he was in his forty seventh year and died of fever in 1774. Goldsmith found acceptance and respect in the world of letters when Dr. Johnson praised him in

his Latin epitaph on Goldsmith's death, "Let not his frailties, be remembered; he was a very great man!" "Quoted by J. Long"

Check Your Progress: I

i. Name two literary journals in which Goldsmith's essays were published:

ii. Choose the correct answer:

Oliver Goldsmith was considered an important writer like: a) Smith b) Addison c) Steele

iii. Fill in the blank with the correct answer:

'The Good Natured Man' is a (comedy, tragedy, long essay)

iv. Select the correct answer:

Goldsmith was a successful teacher (True \ False)

v. Choose the correct answer:

Goldsmith died in the year:

a) 1774 b) 1749 c) 1770

vi. Which of the following is the name of his novel:

a) 'The Vicar of the Wakefield' b) The Dawn c) The Citizen of the World

8.2.1 LITERARY BACKGROUND

The eighteenth century was the age of periodical essay, a genre which began, grew to maturity, and then declined within this era. Daniel Defoe's Review was among the first to appear on the London scene (1704-1713); it was followed by perhaps the best-known and most successful periodicals in English literature, Richard Steele's 'The Tatler' (1709-1711) and Joseph Addison and Richard Steele's 'The Spectator' (1711-1712). There were many other less successful essay series which followed, but it was not until the latter half of the century that the essay became a prominent genre which was widely read by the general public.

In the early eighteenth century periodical essay dominated the literary prose. The chief writers and propagators of essay were Defoe, Richard Steele and Addison. In the eighteenth century, the essay was gradually absorbed into the newspapers of the day as a "feature". The only periodical that appeared regularly was Dr. Samuel Johnson's 'The Rambler' which ran into 208 numbers from 1750 to 1752. The essay mostly existed in newspapers of the day. The struggling writers found it easy to write for newspapers as the writers did not have to take the risk of borrowing money to publish their collections or wait for the periodicals to appear. Moreover, they did not have to worry about meeting the deadlines as they wrote independently. There were numerous newspapers in which the essays irregularly appeared as 'features'.

After 1750 regular essay series of a literary nature was published by different newspapers. For example, 'Daily Advertiser' printed Sir John Hill's 'Inspector' (1751- 1753); the 'Universal

Chronicle' of John Payne for two years published the 104 numbers of Johnson's 'Idler'. Newspapers generally employed an essayist like other contributors. The contributors to the eighteenth-century newspapers were hack writers associated with the metaphorical Grub Street to indicate the low standard of their writings. This street actually existed in the seventeenth century near Moorfields. The term "Grub Street" thus came to be associated with the insignificant or hack writers. Most of them used to write for pamphlets consisting of a single page with a doggerel verse or illustrated by a cartoon.

Against this background, Goldsmith came to London in 1756 and began writing. The circumstances at that time provided an opportunity to struggling writers to survive by hack writing. Oliver Goldsmith used this kind of writing to earn money from 1757-1762. Another trend that prevailed in those times was of mania for "Chinoiserie". The reports from China by Christian missionaries depicted a glorious picture of artistic culture of the Chinese. Goldsmith's use of the imaginary character of Altangi in his essays is related to this trend.

8.2.2 GOLDSMITH AND THE CHARACTER ESSAY

Character essay captures the essentials of a character in words. Addison and Steele used this form of writing by successfully creating Sir Roger de Coverley and Will Wimble in their writings. Samuel Johnson's name is associated with Dick Minim and Mr. Sober. In his 'The Citizen of the World' Goldsmith also develops his essays around some character.

A character essay is used to delineate several of the weaknesses in a single person to satirize a wide range of human frailties. In this device the writer exaggerates or caricatures a character's faults while not directly mentioning any specific person or class of people. In the essays of Addison and Steele, we see that instead of directly attacking the Tory party, they created deformed or caricatured character of Sir Roger de Coverley to criticize Tory traits. While making fun of this character, they were actually mocking at the Tory party. The depiction of this character was so effective and artistic that it fascinated their readers. Goldsmith too realized these advantages of character essay when he created his cast of characters in 'The Citizen Papers'. His creation of the character of the man in black is an example of this type of essay.

Check Your Progress II:

Select the correct answer to fill in the blanks:

- i. Roger de Coverley was a) an imaginary character created by Addison and Steele b) was a king c) an imaginary character created by Goldsmith.
- ii. The writers associated with were considered insignificant. a) periodicals b) the Grub Street c) Daily advertiser
- iii. Before Goldsmith, the essayists like wrote character essay. a) James and Steele b) Addison and Steele c) Mr. Sober

iv. Essays appeared in newspapers as in the late eighteenth century. a) reports, b) 'feature' c) news

8.3 ABOUT THE ESSAY: THE MAN IN BLACK

The narrator in this essay is assumed to be a Chinese traveler who explains his experience of meeting the man in black. This man was an eccentric like other people of his country. He expresses his dislike for begging and showing kindness to others. He wants the government to put all the beggars into prison. He criticizes the beggars as impostors and criminals. But he helps all the beggars he meets on his way. The narrator describes three incidents to show how the man in black behaved in an eccentric way. He talks ill of beggars but actually he is very kind and sympathetic towards them. He shouts at the sailor and calls him an impostor. But the very next moment he gets ready to help this beggar. In the last incident, he is left with no money to help the poor woman. He hands over the matches bought from the sailor to help the woman. Earlier he tried to hide his benevolent nature from the narrator, but he fails to do so in the last incident.

8.3.1 Text: THE MAN IN BLACK

Though fond of many acquaintances, I desire an intimacy only with a few. The Man in Black, whom I have often mentioned, is one whose friendship I could wish to acquire, because he possesses my esteem. His manners, it is true, are tinged with some strange inconsistencies; and he may be justly termed a humorist in a nation of humorists. Though he is generous even to profusion, he affects to be thought a prodigy of parsimony and prudence; though his conversation be replete with the most sordid and selfish maxims, his heart is dilated with the most unbounded love. I have known him profess himself a man-hater, while his cheek was glowing with compassion; and, while his looks were softened into pity, I have heard him use the language of the most unbounded ill-nature. Some affect humanity and tenderness, others boast of having such dispositions from nature; but he is the only man I ever knew who seemed ashamed of his natural benevolence. He takes as much pains to hide his feelings, as any hypocrite would to conceal his indifference; but on every unguarded moment the mask drops off, and reveals him to the most superficial observer.

In one of our late excursions into the country, happening to discourse upon the provision that was made for the poor in England, he seemed amazed how any of his countrymen could be so foolishly weak as to relieve occasional objects of charity, when the laws had made such ample provision for their support. "In every parish-house," says he, "the poor are supplied with food, clothes, fire, and a bed to lie on; they want no more, I desire no more myself; yet still they seem discontented. I am surprised at the inactivity of our magistrates in not taking up such vagrants, who are only a weight upon the industrious; I am surprised that the people are found to relieve them, when they must be at the same time sensible that it in some measure encourages idleness, extravagance, and imposture. Were I to advise any man for whom I had the least regard, I would caution him by all means not to be imposed upon by their false pretences; let me assure you, sir, they are imposters, every one of them; and rather merit a prison than relief."

He was proceeding in this strain earnestly, to dissuade me from an imprudence of which I am seldom guilty, when an old man, who still had about him the remnants of tattered finery, implored our compassion. He assured us that he was no common beggar, but forced into the shameful profession to support a dying wife and five hungry children. Being prepossessed against such falsehoods, his story had not the least influence upon me; but it was quite otherwise with the Man in Black: I could see it visibly operate upon his countenance, and effectually interrupt his harangue. I could easily perceive, that his heart burned to relieve the five starving children, but he seemed ashamed to discover his weakness to me. While he thus hesitated between compassion and pride, I pretended to look another way, and he seized this opportunity of giving the poor petitioner a piece of silver, bidding him at the same time, in order that I should hear, go work for his bread, and not tease passengers with such impertinent falsehoods for the future.

As he had fancied himself quite unperceived, he continued, as we proceeded, to rail against beggars with as much animosity as before: he threw in some episodes on his own amazing prudence and economy, with his profound skill in discovering impostors; he explained the manner in which he would deal with beggars, were he a magistrate; hinted at enlarging some of the prisons for their reception, and told two stories of ladies that were robbed by beggar men. He was beginning a third to the same purpose, when a sailor with a wooden leg once more crossed our walks, desiring our pity, and blessing our limbs. I was for going on without taking any notice, but my friend looking wistfully upon the poor petitioner, bid me stop, and he would show me with how much ease he could at any time detect an impostor.

He now, therefore, assumed a look of importance, and in an angry tone began to examine the sailor, demanding in what engagement he was thus disabled and rendered unfit for service. The sailor replied in a tone as angrily as he, that he had been an officer on board a private ship of war, and that he had lost his leg abroad, in defense of those who did nothing at home. At this reply, all my friend's importance vanished in a moment; he had not a single question more to ask: he now only studied what method he should take to relieve him unobserved. He had, however, no easy part to act, as he was obliged to preserve the appearance of ill-nature before me, and yet relieve himself by relieving the sailor. Casting, therefore, a furious look upon some bundles of chips which the fellow carried in a string at his back, my friend demanded how he sold his matches; but, not waiting for a reply, desired in a surly tone to have a shilling's worth. The sailor seemed at first surprised at his demand, but soon recollected himself, and presenting his whole bundle, "Here master," says he, "take all my cargo, and a blessing into the bargain."

It is impossible to describe with what an air of triumph my friend marched off with his new purchase: he assured me that he was firmly of opinion that those fellows must have stolen their goods who could thus afford to sell them for half value. He informed me of several different uses to which those chips might be applied; he expatiated largely upon the savings that would result from lighting candles with a match, instead of thrusting them into the fire. He averred, that he would as soon have parted with a tooth as his money to those vagabonds, unless for some valuable consideration. I cannot tell how long this panegyric upon frugality and matches might

have continued, had not his attention been called off by another object more distressful than either of the former. A woman in rags, with one child in her arms, and another on her back, was attempting to sing ballads, but with such a mournful voice that it was difficult to determine whether she was singing or crying. A wretch, who in the deepest distress still aimed at good-humour, was an object my friend was by no means capable of withstanding: his vivacity and his discourse were instantly interrupted; upon this occasion his very dissimulation had forsaken him.

Even in my presence he immediately applied his hands to his pockets, in order to relieve her; but guess his confusion, when he found he had already given away all the money he carried about him to former objects. The misery painted in the woman's visage was not half so strongly expressed as the agony in his. He continued to search for some time, but to no purpose, till, at length recollecting himself, with a face of ineffable good-nature, as he had no money, he put into her hands his shilling's worth of matches.

8.3.2 GLOSSARY:

Tinctured ... inconsistencies	coloured with some variations in belief or thought that do not make sense
Humourist... humourits	a person typical of his nation where people are used to cracking jokes, especially in writing
generous... profusion	showing the quality of excessive benevolence
prodigy... prudence	a perfect example of miserliness, thrift and wisdom
replete... maxims	full of very unappealing and self-centered sayings and theories
seemed... benevolence	appeared to be averse to showing off his naturally charitable nature
vagrant	homeless wanderer
prepossessed	influenced in favour of
harangue	a long speech blaming someone for something
expatiate	to speak or write a lot in detail about
aver	to state forcefully
panegyric	a speech or piece of writing praising someone highly
ineffable	too wonderful to be described
actuate	to cause to act
scrivener	one whose work is to write out contracts or official documents
sponge	to eat out of like a parasite, especially with regard to using someone else's money

CHECK YOUR PROGRESS III:

Answer the following questions by selecting the correct option:

i. The assumed narrator in the essay is :

a) Goldsmith b) Altangi c) the man in black

ii. The man in black is

a) really kind and generous to the poor b) appears kind and generous c) kind to Altangi only

iii. The man in black says that the poor :

a) should be helped b) should be put into prison c) should be killed

iv. The man in black bought the matches from the sailor because :

a) the matches were cheap b) they looked beautiful c) he wanted to help the sailor

8.3.3 SUMMARY

‘The Man in Black’ is an extract from ‘The Citizen of the World’. It is believed that Goldsmith describes and comments on the English people, and the English culture through an imagined Chinese traveller named Altangi visiting England. Through this character, the writer satirizes the whims and eccentricities of the English society. ‘The Man in Black’ develops like a story. The narrator tells what happens when the man in black meets poor beggars.

In the beginning, the narrator Altangi admits that he has great respect for the man in black. Of course this man looks eccentric like other people of his country. There are inconsistencies in this man. He pretends to be miserly and prudent, but he is generous and kind at heart. He speaks like a selfish person despite his sympathy and compassion for others. Altangi says that he has seen people boasting of their kind heartedness. There are people who pretend generosity. Only this man in black is the one who always tries to hide his feelings of tenderness for others. This man fails to maintain his false show of harshness. His attempts to hide his natural goodness fail when his false show of harshness is revealed the moment he is a bit careless in hiding his real feelings.

The traveler explains the disparity in the behaviour of the man in black. He tells us about one of his leisurely walks in the countryside in the company of the man. During one of these wanderings they started discussing poverty in England, and the arrangements made by the government of England for the poor people’s help. The man in black calls the poor people lazy hypocrites. He explained to the narrator that the poor already got help in terms of food and clothes and did not need anything more. He was surprised that the law enforcing authorities were not checking those parasites living on other people’s help. These beggars were a burden on the hard working people. The money given to the idlers encourages them to shirk work. It makes them spendthrifts. The Man in Black would advise others not to be influenced by the false show of poverty of the idle people who received help from others and the government. He was so annoyed that he expressed his desire to send all the poor beggars to prison.

When the man in black was expressing his views against charity and trying to tell his companion that helping the poor was something unwise, a poor old man came there. The old man requested the narrator and his companion for help. This old man explained that he was not a professional

beggar. He had to beg to support his dying wife and five starving children. The story of the old man had no effect on the narrator. Altangi noticed that the man who was expressing his dislike for beggars and talking against helping them had a keen desire to help this old beggar: "I could easily perceive, that his heart burned to relieve the five starving children". But he did not want that his companion Altangi should know this. He was heisting in giving money to the beggar. The narrator noticed this and pretended to look aside. It provided a chance to the man to give money to the old man. With a false show of anger, he tells the beggar to go and work for his livelihood instead of troubling passengers.

He thought that the disparity in his behaviour was not noticed by the narrator. He continues to berate beggars and claim that he was an expert in exposing impostors. He even told two stories of women who were robbed by beggars. The man in black was going to narrate another story when a sailor with wooden leg approaches them for help. The narrator was ready to ignore this beggar but the man in black asked the narrator to stop. He wanted to show his expertise in exposing impostors. He questions the sailor about the reason of his disability and being unfit for service. At this, the sailor angrily replies that he worked as an officer at a private ship and had lost his leg in a war defending those who did nothing at home. On hearing this, the man in black had no more questions for the sailor. He now wanted to find the way to help him without being noticed by the narrator. It was not something easy for him as he had to appear harsh while he helped the sailor unobserved. He asked the sailor about the chips that he carried and before he could tell the price, the man in black bought a shilling's worth of chips to help the sailor. The sailor was surprised at his behaviour. He blessed this man and told him that he could have the whole bundle. The man in black pretends that he had bought the chips very cheap.

He expressed dislike for helping such people. He said that the sailor must have stolen the chips that he sold them very cheap. This man in black was talking about the uses of chips when another beggar appeared. This beggar looked more miserable than the earlier ones. It was a woman in her worn out rags. She tried to sing a ballad for begging. Her voice was sad. She seemed to be crying rather than singing. The man in black could not bear the miserable plight of the woman. He started searching his pockets for money without bothering about the presence of Altangi. When he found no money, he looked unhappy than the beggar woman for not being able to help her. Suddenly, he is reminded of the bundle of chips he had bought from the sailor. He thrusts this bundle into the hands of the woman to help her and moves on.

8.4 SATIRE

A satire, we know (as discussed in unit 7) is an amusing writing directed against some follies or drawbacks in individuals or a society. The purpose of a satire is to amuse the reader and suggest improvement in the person or the society that forms the subject of the satire. We also discussed how a direct and an indirect satire functions. While discussing the essay, 'The Man in Black' as a satire we can use all the points discussed about a satire there.

In this essay, Goldsmith's satire is directed against the people who make attempts to appear what they are not. Man in Black is a character essay, as we have already discussed. Goldsmith

uses the character created in this essay for the purpose of the satire. . But Goldsmith draws two extremely opposite characters; the man in black , and Altangi. The man in black is guided by his emotions whereas Altangi acts according to his intellect and reason. The presentation of these two characters simultaneously, broadens the range of the satire.

On the one hand, it satirizes the man in black for being what he is not. He tries to hide his feelings of benevolence and tries helps the beggars even beyond his means. He says one thing but does something else. He goes to the extreme in showing kindness and generosity. Altangi condemns and satirizes this behaviour throughout the essay. He is mocked at for trying to become what he is not.

Seen from a different point of view, the essay can be considered a satire on the attitude and behaviour that Altangi represents. The man in black is not accepted in the world which lacks compassion, sympathy, and kindness for others. These habits in the man in black are criticized by Altangi. It suggests that the world is such that the man in black must shun his compassionate nature to find acceptance. Apart from this, the man in black is mocked at for not making a show of his generosity.

As a character-essay, ‘The Man in Black’, describes two characters to satirize two extreme positions in life. It implies that the essay asks us to follow the golden path. It suggests that one should neither be too emotional like the man in black, nor should one make fun of those who do not want to make a show of their benevolence and want to help others.

8.5 STRUCTURE and STYLE

Goldsmith develops this essay like a story. The narrator assumed to be Altangi tells us a story about the man in black. He narrates different incidents. Each story involves a twist. It begins with the man in black lashing out at the beggars and begging but ends in his helping the beggar.

The speaker in this essay narrates different incidents in a sequence. It gives this essay the structure of a story in which incidents and happenings are carefully arranged to organize the narrative.

The treatment of the details in the essay is amusing and humorous. The element of contrast in the situation and disparity in the behaviour of the man in black are the main source of amusement in the essay.

Irony in the behaviour of the man in black is observed in the whole essay. The man speaks against the beggars. He criticizes these people as impostors and a burden on the hard working people. On the other hand he is always in search of an opportunity to help them.

8.5.1. EXERCISES ON STRUCTURE AND STYLE

Exercise 1: In the essay, the incident related to the sailor is given before the incident of the beggar woman. Do you think this arrangement of the incidents can be disturbed? Why?

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EXERCISE 2: How does the situation in case of the incident related to the sailor end in a sudden twist?

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8.6. USE OF PROSE

To identify the kind of prose used in this essay, you can use the information about the varieties of prose given below:

i. NARRATIVE PROSE:

This variety of prose is used to describe incidents and actions in words. These actions and happenings can be actual or imagined. Narratives have the ability to recreate the happenings in the mind of the reader. The description in narrative form carries a sense of the time in its sequence. In other words, it indicates what happens when i.e. it helps in arranging the happenings in a time sequence.

ii. DESCRIPTIVE PROSE: It is a variety of prose that provides word pictures of objects and people. This type of writing presents things as they appear to be. The reader can imagine the way different things as they appeared to the writer. Descriptive prose is used in fictional, and non-fictional writings. In fictional writings these descriptions are often used to develop a setting or circumstances for the incidents and happenings. Non-fictional descriptions help the readers create an image of the things, objects and people using the details given by the writer.

EXPOSITORY PROSE:

This kind of writing is aimed to examine an idea or a subject and explain it in a clear manner to the reader. It requires evidence, arguments, facts and explanations etc. to make the idea understandable and logically acceptable to the reader. It is often informative and full of new ideas. The writer of an expository work is to provide the smallest details that help understand the theme or the idea taken up for discussion. An expository work is more effective if the writer presents the ideas with the assumption that the reader does not know much about the subject. It will urge the writer to make things simple and lucid for the reader. Expository writing explains and describes a particular subject in detail. Expository writings seem similar to descriptive ones but the expository works of prose require greater skill in logically arranging the arguments. You can have a look at the following passage to identify different features of expository writing. It will help you learn how to write and organize arguments in an exposition.

8.6.1. EXERCISE ON IDENTIFYING VARIETY OF PROSE

EXERCISE: Two extracts from the essay are given below. Identify and explain the predominant variety of prose used in the following:

I. The Man in Black, whom I have often mentioned, is one whose friendship I could wish to acquire, because he possesses my esteem. His manners, it is true, are tinged with some strange inconsistencies; and he may be justly termed a humorist in a nation of humorists. Though he is generous even to profusion, he affects to be thought a prodigy of parsimony and prudence;

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2. He now, therefore, assumed a look of importance, and in an angry tone began to examine the sailor, demanding in what engagement he was thus disabled and rendered unfit for service. The sailor replied in a tone as angrily as he, that he had been an officer on board a private ship of war, and that he had lost his leg abroad, in defense of those who did nothing at home

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8.7. EXERCISES ON EXPLANATION WITH REFERENCE TO CONTEXT

Exercise 1. Explain the following extract with reference to context :

He takes as much pains to hide his feelings, as any hypocrite would to conceal his indifference; but on every unguarded moment the mask drops off, and reveals him to the most superficial observer.

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EXERCISE 2: Explain the following extract with reference to context :

He was beginning a third to the same purpose, when a sailor with a wooden leg once more crossed our walks, desiring our pity, and blessing our limbs. I was for going on without taking any notice, but my friend looking wistfully upon the poor petitioner, bid me stop, and he would show me with how much ease he could at any time detect an impostor.

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8.8 LET'S SUM UP

- i. Goldsmith came to London when the struggling writers earned their bread by writing pamphlets and other insignificant works.
- ii. Newspapers published essays as 'features' and these features did not appear regularly or at fixed intervals.
- iii. Numerous newspapers employed essay writers.
- iv. Goldsmith wrote character-essays in his collection of essays 'The Citizen of the World'.
- vi. An assumed Chinese traveller named Altangi is created in his character essays.
- v. The man in black describes the disparity in the behaviour of this character.
- vi. The essay narrates the incidents in which the man in black helps beggars despite showing his dislike for them.
- vii. He tries to hide his kind nature but it gets revealed in the end.
- viii. The essay develops like a story with well defined arrangement of incidents.
- ix. The predominant varieties of prose used in this essay are descriptive, and narrative.

8.9 UNIT END QUESTIONS:

- i. Summarize the view of the man in black about beggars.
- ii. How did the man in black help the handicapped sailor?
- iii. Describe the man in black on the basis of the information given by the narrator.
- iv. Narrate in your own words the incidents described in this essay.
- v. Bring out the humorous situations given in the essay.

8.10 FURTHER READINGS:

Meyers, Carol, "Advisors of the age of reason: The periodical essays of Steele, Addison, Johnson, and Goldsmith" (1962). *Honors Projects*. 24.

George Philip Krapp, *The Rise English Literary Prose*, Oxford University Press.

ANSWERS TO CHECK YOUR PROGRESS ACTIVITY:

Check Your Progress I:

- i. Monthly Review, Bee ii. b iii. comely iv. false v. a vi. A

Check Your Progress II:

- i. a ii. b iii. b iv. b

Check Your Progress III:

- i. b ii. a iii. b iv. c

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

COURSE: READING PROSE

UNIT-9: CHARLES LAMB: DREAM CHILDREN

STRUCTURE

9.0 Objectives

9.1 Introduction

9.2 Biographical Note

9.3. About the Essay; Dream Children

9.4 Text of the Essay: Dream Children

9.5 Glossary

9.6 Summary: Dream Children

9.7 Elements of a Story /fiction

9.8 Style

9.9 Analyzing extracts from the essay

9.10. Let us sum up

9.11 Unit end questions

9.12. Further Readings

9.0 OBJECTIVES:

After reading this lesson, students will be able to :

- i. Explain the essay ‘ Dream Children’
- ii. Trace fictional elements in the essay.
- iii. Describe the style used in the essay
- iv. Analyze the essay and answer questions related to the essay.

9.1 INTRODUCTION

The unit on Charles Lamb’s ‘Dream Children’ begins with details about his life and works. He had a miserable childhood, poverty stricken young age, and a long unsuccessful career as a writer. We have given details about the hardships he faced in life and the way he gives

expression to his experiences in his essays. After these details, the sections about the essay, the text of the essay and its summary give you a fair view of the ideas presented in ‘Dream Children’. We have also listed the aspects of the essay that tend to make it fictional in nature. The discussion on Lamb’s style will help you in explaining some salient features of Lamb’s art of essay-writing.

The exercises for the explanation of extracts from the essay will give you an opportunity to put the ideas you have learnt about the essay into practice. You will find the unit end questions useful in marking the outcome of your learning.

9.2 BIOGRAPHICAL NOTE

Charles Lamb , born on 10th February 1775 was the youngest son of John Lamb. He attended Christ’s Hospital, a free boarding school meant for the education of poor children. Samuel Taylor was his schoolmate. In 1789, he left school and started working as a clerk in the East India Company. He continued working there for more than three decades.

Charles had to look after his insane sister Mary Lamb who stabbed their mother to death in 1796. In 1799, their father died, and Mary Lamb started living with Charles Lamb for the rest of her life. He also spent a few weeks in mental asylum in 1795. His life was full of miseries. In 1796, Lamb started his literary career with *Poems on Various Subjects*. Lamb published *A Tale of Rosamund Gray*, in 1798. He started contributing short articles to newspapers in London by 1901. He published a blank verse play *John Woodville* in 1802. In December 1806, Lamb’s two-act circus play, *Mr. H.*, met great admiration at the theatre.

Charles and Mary together published a collection *Tales from Shakespeare* in 1807. It was a prose adaptation of Shakespeare’s plays. Encouraged by its success, he published a children’s version of Homer’s *Odyssey* and *The Adventures of Ulysses* in 1808. Another collection in collaboration with Mary was published in 1809 titled *Mrs. Leicester’s School*, and *Poetry for Children*. In 1881, he published “The Tragedies of Shakespeare,” and “On the Genius and Character of Hogarth” in the journal of Leigh Hunt. Some his friends included the literary writers like William Wordsworth, Coleridge, William Hazlitt, Robert Southey, and Hunt.

He earned fame as an essayist under the pseudonym Elia from 1820 to 1825. These essays were published in London Magazine. These essays, like his letters, reveal his humorist personality. Mary and Lamb adopted an orphan girl Emma Isola in 1823, and in 1824 his ill health forced him to retire from his job as a clerk. After five weeks of Coleridge’s death, Lamb also died on 27th December 1834.

A special feature of Lamb’s essays is that his biography can be reconstructed by patching different essays together and eliminating the fiction mixed with true incidents. The details about his life make these essays personal and informal. Despite being informal and autobiographical, his essays earned great popularity among the readers. One important reason of their popularity is their universal appeal. They have many things common with the experiences of others.

Check Your Progress I:

i. Choose the correct statements about Charles Lamb:

a) Lamb suffered mental illness b) Lamb married twice c) Lamb wanted to marry an actress.

ii. Fill in the blank with the correct option:

He used the name instead of his real name for the essays he contributed to a journal.

a) Lamb b) Elia c) Gray

iii. Choose the correct answer:

Lamb's autobiographical essays:

a) have nothing common with people's experiences in general b) are about other people's experiences only c. have many experiences common with others.

iv. Choose the correct answer :

'Tales from Shakespeare', was published in the year: a) 1807 b) 1732) c) 1823

9.3 ABOUT THE ESSAY

"Dream Children", is one of Lamb's Elia essays published in the London Magazine. It focuses on the author's telling a story about his grandmother to his imaginary children. This essay has several interesting and amusing details and descriptions that make it interesting. His description of the grandmother, the large house in which she lived, and the details about the garden are wonderful. The account of his experiences with his brother John L adds to the amusement of the reader. The reactions of the children, the mention of the incidents narrated in the ballad, and his thoughts about the ghosts of two infants add the element of fantasy and surprise. The disappearance of the children at the end of the essay brings a sudden twist. The conversational style and vivid descriptions of different scenes add to the charm of this essay.

9.4 TEXT OF THE ESSAY: DREAM CHILDREN

Children love to listen to stories about their elders, when they were children; to stretch their imagination to the conception of a traditionary great uncle, or agrandanie, whom they never saw. It was in this spirit that my little ones crept about me the other evening to hear about their great- grandmother Field, who lived in a great house in Norfolk (a hundred times bigger than that in which they and papa lived), which had been the scene — so at least it was generally believed in that part of the country — of the tragic incidents which they had lately become familiar with from the ballad of the Children in the Wood. Certain it is that the whole story of the children and their cruel uncle was to be seen fairly carved out in wood upon the chimney-piece of the great hall, the whole story down to the Robin Redbreast; till a foolish rich person pulled it down to set up a marble one of modern invention in its stead, with no story upon it. Here Alice put on one of her dear mother's looks, too tender to be called upbraiding. Then I went on to say how religious and how good

their great-grandmother Field was, how beloved and respected by everybody, though she was not indeed the mistress of this great house, but had only the charge of it (and yet in some respects she might be said to be the mistress of it, too) committed to her by the owner, who preferred living in a newer and more fashionable mansion which he had purchased somewhere in the adjoining county; but still she lived in it in a manner as if it had been her own, and kept up the dignity of the great house in a sort while she lived, which afterwards came to decay, and was nearly pulled down, and all its old ornaments stripped and carried away to the owner's other house, where they were set up and looked as awkward as if someone were to carry away the old tombs they had seen lately at the Abbey, and stick them up in Lady C's tawdry gilt drawing room. Here John smiled, as much as to say, "That would be foolish indeed." And then I told how when she came to die, her funeral was attended by a concourse of all the poor and some of the gentry, too, of the neighborhood for many miles round, to show their respect for her memory, because she had been such a good and religious woman; so good, indeed, that she knew all the Psalter by heart; aye, and a great part of the Testament besides. Here little Alice spread her hands. Then I told her what a tall, upright, graceful person their great-grandmother Field once was: and how in her youth she was esteemed the best dancer, — here Alice's little right foot played an involuntary movement, till upon my looking grave, it desisted, — the best dancer, I was saying, in the country, till a cruel disease, called a cancer, came and bowed her down with pain: but it could never bend her good spirits, or make them stoop, but they were still upright, because she was so good and religious. Then I told how she used to sleep by herself in alone chamber of the great lone house; and how she believed that an apparition of two infants was to be seen at midnight gliding up and down the great staircase near where she slept, but she said, "Those innocents would do her no harm;" and how frightened I used to be, though in those days I had my maid to sleep with me, because I was never half so good or religious as she, — and yet I never saw the infants. Here John expanded all his eyebrows and tried to look courageous. Then I told how good she was to all her grandchildren, having us to the great house in the holidays, where I in particular used to spend many hours by myself gazing upon the old busts of the twelve Caesars, that had been Emperors of Rome, till the old marble heads would seem to live again or I to be turned into marble with them; how I never could be tired with roaming about that huge mansion, with its vast empty rooms, with their worn-out hangings, fluttering tapestry, and carved oaken panels, with the gilding almost rubbed out, — sometimes in the spacious old-fashioned gardens, which I had almost to myself, unless when now and then a solitary gardening man would cross me — and how the nectarines and peaches hung upon the walls, without my ever offering to pluck them, because they were forbidden fruit, unless now and then — and because I had more pleasure in strolling about among the old melancholy-looking yew trees, or the firs, and picking up the red berries, and the fir-apples, which were good for nothing but to look at, — or in lying upon the fresh grass with all the fine garden smells around me, — or basking in the orangery, till I could almost fancy myself ripening too long with oranges and the limes

in that grateful warmth, or in watching the dace that darted to and fro in the fish-pond, at the bottom of the garden, with here and there a great sulky pike hanging midway down the water in silent state, as if it mocked at their impertinent frisking: I had more pleasure in these busy-idle diversions than in all the sweet flowers of peaches, nectarines, oranges, and such-like common baits of children. Here John slyly deposited back upon the plate a bunch of grapes which, not unobserved by Alice, he had meditated dividing with her, and both seemed willing to relinquish them for the present as irrelevant. Then, in somewhat a more heightened tone, I told how, though their great-grandmother Field loved all her grandchildren, yet in an especial manner she might be "Then I told how good she was to all her grandchildren " said to love their uncle John L , because he was so handsome and spirited a youth, and a king to the rest of us; and, instead of moping about in solitary corners, like some of us, he would mount the most mettlesome horse he could get, when but an imp no bigger than themselves, and make it carry him half over the country in a morning, and join the hunters when there were any out, — and yet he loved the old great house and gardens, too, but had too much spirit to be always pent up within their boundaries, — and how their uncle grew up to a man's estate as brave as he was handsome, to the admiration of everybody, but of their great- grandmother Field most especially; and how he used to carry me upon his back when I was a lame- footed boy — for he was a good bit older than me — many a mile when I could not walk for pain; — and how in after-life he became lame-footed, too, and I did not always (I fear) make allowances enough for him when he was impatient and in pain, nor remember sufficiently how considerate he had been to me when I was lame-footed; and how when he died, though he had not yet been dead an hour, it seemed as if he had died a great while ago, such a distance there is between life and death, as I thought pretty well at first, but afterwards it haunted and haunted me; and though I did not cry or take it to heart as some do, and as I think he would have done if I had died, yet I missed him all day long, and knew not till then how much I had loved him. I missed his kindness, and missed his crossness, and wished him to be alive again, to be quarreling with him (for we quarreled some- times), rather than not have him again, and was as uneasy without him, as he their poor uncle must have been when they took off his limb. Here the children fell a-crying, and asked if their little mourning they had on was not for Uncle John, and they looked up, and prayed me not to go on about their uncle, but to tell them some stories about their pretty dead mother. Then I told how, for seven long years, in hope sometimes, sometimes in despair, yet persisting ever, I courted the fair Alice W---n; and, as much as children could understand, I explained to them what coyness, and difficulty, and denial meant to maidens, — when suddenly, turning to Alice, the soul of the first Alice looked out at her eyes with such a reality of re-presentment, that I became in doubt which of them stood there before me, or whose that bright hair was; and while I stood gazing, both the children gradually grew fainter to my view, receding, and still receding, till nothing at last but two mournful features were seen in the uttermost distance, which, without speech, strangely impressed upon me the effects of speech: "We are not of Alice, nor of thee, nor are

we children at all. The children of Alice call Bartrum father. We are nothing; less than nothing, and dreams. We are only what might have been, and must wait upon the tedious shores of Lethe millions of ages before we have existence, and a name" — and immediately awakening, I found myself quietly seated in my bachelor armchair, where I had fallen asleep, with the faithful Bridget unchanged by my side, — but John L, {or James Eli) was gone forever.

9.5 GLOSSARY

Granddame	archaic term for grandmother
Norfolk	a county on the eastern coast of England
Children of the Wood	an ancient ballad which tells the story of two children who suffer various misfortunes before getting lost in the woods .
Robin Redbreasts	in the same ballad, the bird Robin Redbreasts finds the children and covers them with leaves providing them with a pious and decent burial .
Upbraid	scold; to find fault with someone or something
Abbey	buildings occupied by a religious community
Tawdry	gaudy ; that which is bright and flashy yet of poor quality
Gilt	covered in a fine layer of gold
Concourse	a large number of people
Gentry	the upper class; people of high social standing
Psalttery	here, referring to Psalms, sacred songs according to Christian or Jewish worship
Esteemed	here , considered
Apparition	ghost ; vision
Tapestry	a wall hanging made of woven fabric
Nectarine	a type of peach
Dace	a small freshwater fish
Pike	a large fresh water fish which is a predator
Friskings	here , implying the playful movement of the dace that which attracts or tempts someone
Bait	that which attracts or tempts someone into doing something
Lame –footed	unable to walk due to injury or illness
Make allowances	to take something into consideration or to treat someone with care due to their circumstances
Betwixt	archaic term for between
Quarrel	argument; disagreement
“We are not ... name”	the children reveal that they are not his children, nor do they exist, but that they are simply the stuff of dreams . This

is hinted at earlier when the narrator mentions how his grandmother 'believed that an apparition of two infants was to be seen at midnight gliding up and down the great staircase near where she slept'.

Lethe

according to Greek mythology , Lethe was a river in the underworld and its waters , when drunk , allowed the souls of the dead to forget their lives on earth.

CHECK YOUR PROGRESS II

i. Choose the correct option:

John and Alice are :

- a) The children of the narrator's brother b) imaginary children of the speaker in the essay c) The children of Aunt Field .

ii. Choose the correct answer :

Lady Field is:

- a) the author's grandmother b) author's mother c) author's sister

iii. Select the correct answer :

The old lady Field lived in a big house in Norfolk:

- a).as a tenant b). as a care taker c.) as she owned the house

iv. Choose the correct answer:

The incident mentioned in the ballad was:

- a. surprising b. tragic c. comic

v. Select the correct option :

The writer told the children:

- a) about his grandmother b) about his brother John L. c) about the grandmother's house and the garden in it. d) all of them

vi. Choose the correct answer:

i. The narrator in the essay:

- a). explains how he told a story to the children John and Alice
b) is telling the story to the children at present
c) is telling the story to Lady Field

9.6 SUMMARY OF THE ESSAY: DREAM CHILDREN

The writer talks about children's interest in the stories about their grandfathers, great-grandfathers and other such relatives. It was in this spirit that the narrator's own children asked him to tell them about their great-grandmother i.e. his grandmother Lady Field. They knew about the house where she used to live. The house of the great-grandmother Lady Field was about a hundred times bigger than that of the narrator's father. The house in which she lived actually belonged to a rich nobleman. The author's grandmother, the great-grandmother of the children, Lady Field lived in that house only as a care-taker. The children who want to listen about their

great-grandmother are aware of the tragic incident that had taken place in that house. They had heard the ballad “The Children in the Wood” that narrated this story. The story narrated in this ballad was about a tragic incident and this story could be seen carved on the wooden chimney. Later, a rich person replaced this wooden chimney with the chimney made of marble. Alice, the little girl child listening to the story was happy that there was no story on the new chimney. Alice put on a pleasant and tender expression on her face like that of her mother.

At this stage, the narrator started telling the children about their great-grandmother Field. He tells them that the old woman was a religious-minded lady respected by all. She did not own the house in which she lived but she was just like an owner as the man who owned that house had left it to her and started living somewhere else. As long as she lived in the house, she maintained its dignity. When the house was pulled down, all its possessions were taken to the other house where the owner lived. The ornaments of the old house looked awkward in the new house. The writer says that they looked like the tombs from Abbey put into a drawing room. . One of the two children listening to the story was John, Alice’s brother. At this stage he smiled as if to say that it was foolish to keep the ornaments of the old house in the new one.

The writer tells the children that the great-grandmother Field’s funeral was attended by the poor and the other gentle folk. She was such a religious woman that she had learnt the Testament by heart. When she heard this, Alice spread her hands. The writer then describes the grandmother as a tall and graceful woman. She was respected as the best dancer. Alice’s foot moved involuntarily when she heard this. She stopped moving her foot when the narrator looked at her in a grave manner. The writer continues telling that unfortunately a cruel disease cancer struck his grandmother and caused much pain to her, and her body bent down. But it could not destroy or weaken her spirits. The old lady used to sleep alone in a lonely room. She often imagined that there were ghosts of children near the staircase close to her. But she was not afraid of the ghosts as she believed that they would not harm her. The narrator tells that he was afraid of ghosts that the grandmother talked about and he would ask the maid to sleep nearby though he had never seen those infants i.e. ghosts.

The writer then tells the children about his visits to his grandmother’s house during his childhood. There he would gaze at the old marble busts of twelve Caesars that had been the Emperors of Rome. He would imagine that those marble busts had come alive or he himself had turned into a marble bust. He used to wander in the big house with its empty rooms, spacious old-fashioned gardens. He noticed a variety of fruits there. He amusingly tells that he would enjoy these things and imagine, “myself ripening too along with oranges and the limes in that grateful warmth”. He enjoyed watching fresh water fish more than sweet flowers or peaches, and oranges that he considered ‘common bait of children’.

The child John placed a bunch of grapes on the plate before the narrator but it was noticed by his sister as he had thought of sharing the grapes with her. But now both the children considered the grapes irrelevant. He continues telling the children that his grandmother had a special affection for John L, the writer's brother and the children's uncle.

It shifts the narration to the details about Uncle John L. He was a brave and handsome man. He liked to ride a horse. Uncle John carried the writer on his back whenever he was injured and in pain, but the narrator never helped his brother John L. whenever he was unable to walk. The death of his brother John L had a great impact on the narrator. It was only after the death of his brother John L that the narrator realized his love for him. The narrator says that he did not weep over the death of his brother but his brother must have wept if the narrator had died. He wished John L alive again to have an opportunity to quarrel with him.

The children, as the narrator tells, wanted him to stop talking about their uncle and were eager to know about their dead mother. He tells the children about his courting their mother named Alice Wn for seven long years. The narrator felt that the girl Alice resembled her mother so much that he could not say 'whose that bright hair was' and this resemblance of their hair made him doubt that it was the daughter or her mother listening to the story. At this stage, John and his sister Alice, the children listening to the story grew fainter to the narrator's view. He realized that the children were not there in reality. He felt the impact of their unspoken words as if telling him, "We are not of Alice, nor of thee, nor are we children at all". The narrator suddenly realized that it was just a dream about his children; in fact he was a bachelor. He was just daydreaming about telling a story to his children.

CHECK YOUR PROGRESS III

Read the extract given below and answer the questions that follow by choosing the correct option:

".....Certain it is that the whole story of the children and their cruel uncle was to be seen fairly carved out in wood upon the chimney-piece of the great hall"

i. The word 'children' in these lines refers to :

- a) John and Alice b) the children mentioned in the ballad c) the author and his brother

John

ii. Read the extract given below and fill in the blank with the correct option :

"I was saying, in the country, till a cruel disease, called a cancer, came and bowed her down with pain: but it could never bend her good spirits...."

While saying these things the narrator appears:

- a pleased b serious c non-serious

iii. Choose the correct option:

When the narrator's brother John L died:

a) he cried loudly b) he did not cry at all c) got frightened

iv. Choose the correct answer :

The children insisted that the narrator should tell them the story about :

a) their uncle b) the ghosts of the infants c) their dead mother

9.7 ELEMENTS OF A STORY \FICTION IN THE ESSAY

The essay 'Dream Children' is the narration of a dream. The very title suggests that the children mentioned in the essay are not real and the details given in the essay are imaginary. The essay develops like a story. It consists of a number of small incidents like the tragic episode mentioned in the ballad, the large house of Lady Field, the death of the narrator's brother, and the ghosts of the infants near the staircase. The creation of the atmosphere with exaggerated details like the description of the grandmother's house makes it a piece of fiction.

The ending of the essay reveals that the whole narration is not based on facts. The writer admits that he was just daydreaming about telling a story to his children. Charles is known for mixing facts with fiction. The facts in the essay are only suggested through references to his real life experiences. The reader has to locate the elements of reality by referring to the details about Lamb's life.

The essay, like a story, has a beginning, middle and an ending. It starts with the children's request to the narrator to tell them a story. It results in his giving details descriptions that form the middle, and the sudden twist that in the situation marks the ending. The atmosphere of suspense about the great-grandmother's house, the story about the miserable children and their cruel uncle, the details about the garden add a fictional touch to the essay.

9.8 STYLE

Charles Lamb is known for writing personal and autobiographical essays. His style matches the subject matter that he presents in his essays. As his essays are informal, the style used is conversational and relaxed. The presentation in his essays is generally intended to amuse the reader. His use of tone and the absence of satirical elements make his essays amusing and pleasing. Some of the important features of his style can be observed from his 'Dream Children' also.

The sentence structure in the essay specially draws the attention of the readers. Lamb uses long sentences with conjunctions and linkers. It makes the narration conversational and informal. The minute gestures and small details are given without showing any hurry. It tends to extend the sentences into lengthy structures. There are sentences having more than twenty to fifty words each. Here is an example of such a sentence, "It was in this spirit that my little ones crept about me, the other evening to hear about their great-grandmother Field, who lived in a great house in Norfolk (a hundred times bigger than that in which they and papa lived) which had been the scene – so at least it was generally believed in that part of the country – of the tragic incidents of which they had become lately familiar with from the ballad of the Children in the Wood."

However, the use of simple vocabulary, and the use of conjunctions help the reader in understanding these lengthy sentences.

Another prominent feature of sentence structure in Charles Lamb's 'Dream Children' is the repeated use of certain words. For example, in this essay he has used the words 'and' 'how', and 'then' several times. His use of the personal pronoun 'I' mark the personal and autobiographical nature of the essay. The word 'how' is often used for emphasis 'and' to link words, phrases, and sentences. The word 'then' has been used to make the shift from one idea to the other, and specify the time. Look at the example given below for the repeated use of the words 'then' 'and' 'how', "then I went on to say, how religious and 'how good their great grandmother field was, how beloved and respected by everybody, though she was not indeed the mistress of this great house... ." The repetition of words makes the style conversational and tends to develop a link between the author and the reader as the speaker and the listener.

A sudden change in situation is an effective device in several stories. It adds an element of surprise to the writing. The same thing happens in this essay. The narrator startles the reader in the end. The narrator is telling a story to the children all of a sudden they turn out to be a figment of his imagination only. They were not there at all. It surprises the readers.

The evocative style used by Charles Lamb makes the essay fascinating and interesting. It has the ability to draw word-pictures that the readers can imagine and visualize. Even the imaginary details given by him look real. For example, the description of the garden evokes the whole scene before the readers' eyes as in case of these words about the large house of Lady Field, "that huge mansion, with its vast empty rooms, with their worn-out hangings, fluttering tapestry, and carved oaken panels, with the gilding almost rubbed out," In the same way, his description of the reactions of the children listening to his story add to such details in the essay.

A clever mixing of humour and pathos makes the essay quite charming and interesting. The humour in the essay is innocent instead of being satirical. He gives details about children's thoughts and reactions, his own attitude towards different incidents as a child adds humour to the story. On the other hand, the reality that the readers face at the end of the essay makes the situation pathetic. Lamb's amusing reaction as a child to the death of his brother, innocent thoughts about the fruits and flowers , and the ghosts of the infants amuse the readers. But this comic and pleasing situation does not remain so for long. At the end of the essay, it is really pathetic that a man who does not have children imagines telling a story to them. On the other hand, it is quite amusing to find a bachelor daydreaming about his telling a story to his children.

CHECK YOUR PROGRESS: IV

i. Find the word which has been repeatedly used in this extract:

"Then I went on to say how religious and how good their great-grandmother Field was, how beloved and respected by everybody, though she was not indeed the mistress of this great house,..."

ii. Read the lines given below and answer the question that follows by selecting the correct option:

.” that had been Emperors of Rome, till the old marble heads would seem to live again or to be turned into marble with them.....”

These lines bring out:

a) innocent thoughts of the narrator as a child b) the feelings of John c) the beauty of the garden

III. CHOOSE THE CORRECT OPTION:

The essay ‘Dream Children’ has :

a) autobiographical elements in it b) amusing details c) an element of pathos d) all these things in it

9.9 ANALYZING THE EXTRACTS

*Look at the following exercise for the analysis of extracts from the essay.

EXERCISE: Explain the extract with reference to context:

“Then I told how she used to sleep by herself in a lone chamber of the great lone house; and how she believed that an apparition of two infants was to be seen at midnight gliding up and down the great staircase near where she slept, but she said, 'Those innocents would do her no harm.....’”

EXPLANATION:

The extract has been taken from Charles Lamb’s essay, “Dream Children”. In this essay the speaker tells about his narrating a story about his grandmother and his imagined children’s great-grandmother to them. While telling the story he describes her as a religious and kind-hearted lady. The old lady used to sleep alone in a lonely chamber. She believed that she could realize the presence of the ghosts of two children moving up and down the staircase. But she was not afraid of the ghosts as she thought they would not harm her.

The narrator talks about the incident which happened in his childhood. It shows the children’s fears and the way their imagination works. It also provides a hint about the imaginary children the writer talks about. We see in the end that they are as unreal as the ghosts of the infants.

YOU CAN SEE HOW THE EXTRACT HAS BEEN EXPLAINED:

1. The reference to the author and the essay is given.
2. A very brief comment about the subject of the essay and the situation in which the extract occurs is given..
3. It follows the explanation of the ideas expressed in the extract.
4. There is a brief description of the implications of the details given in the extract.

EXERCISE 1. Explain the following extract with reference to context:

“ And then I told how when she came to die, her funeral was attended by a concourse of all the poor and some of the gentry, too, of the neighborhood for many miles round, to show their

respect for her memory, because she had been such a good and religious woman; so good, indeed, that she knew all the Psalter by heart; aye, and a great part of the Testament besides”.

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Exercise 2. Explain the following extract with reference to context:

“..... till a cruel disease , called a cancer , came , and bowed her down with pain; but it could never bend her good spirits”

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Exercise 3: Explain the following extract with reference to context:

“Then I told how good she was to all her grandchildren, having us to the great house in the holidays, where I in particular used to spend many hours by myself gazing upon the old busts of the twelve Caesars, that had been Emperors of Rome,.....”

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EXERCISE 4. Explain the following with reference to context:

‘.....I found myself quietly seated in my bachelor armchair, where I had fallen asleep, with the faithful Bridget unchanged by my side, — but John L, {or James Eli) was gone forever.’

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9.10 LET US SUM UP:

- i. Charles Lamb is known for introducing informal essay .
- ii. He contributed essays to the periodical ‘The London Magazine’.
- iii. His essays are informal and autobiographical.
- iv. In the essay ‘Dream Children: A Reverie’, the author tells about his narrating a story to the imagined children.
- v. The essay has references to his brother and the actress he loved.
- vi. The elements of a short-story can be observed in this essay.
- vii The essay is an example of the mixture of fact and fiction.
- viii. The essay has the element of amusement and pathos.
- ix.. Use of long sentences, repetition of certain words, and amusing tone are some of the prominent features of his prose style.

9.11 UNIT END QUESTIONS:

- i. Give a character-sketch of Lady Field.
- ii. How the situation changes in the end and what impact does it have on the narrator?
- iii. Discuss the way Lamb mixes amusement and pathos in ‘Dream Children’.
- iv. What does Charles Lamb say about John Lamb?
- v. Justify the title of the essay ‘Dream Children: A Reverie’.
- vi. Give a brief summary of the essay in your own words.

9.12 FURTHER READINGS:

- * Life of Charles Lamb, E.V. Lucas, G.P. Putman and Sons, London, 1905
- *.Young Charles Lamb, by Winifred Courtney, New York University Press, 1982

ANSWERS TO CHECK YOUR PROGRESS ACTIVITIES:

Check Your Progress I;

Answers : i. a and c ii. b iii c iv c

Check Your Progress II:

Answers : i. b ii. a iii .b iv b v. d.

Check Your Progress III:

i. b ii. b iii. b iv. c

Check Your Progress IV:

i. how ii. a iii. d

BACHELOR OF ARTS (LIBERAL ARTS)
Semester-II

Course: Reading Prose

Unit-10: Ruskin Bond : The Thief

STRUCTURE:

10.0 Objectives

10.1 Introduction

10.2. A Biographical Note

10.3. Elements of a Short Story

10.4. About the Story

10.4.1 Text

10.4.2 Glossary

10.4.3 Summary

10.5 Characterization

10.6 Analyzing the Theme

10.7 Plot

10.8 Title

10.9 Explanation of extracts from the story

10.10 Let us Sum Up

10.11 Unit-End Questions

10.12 Further Readings

10.0 OBJECTIVES

A study of this lesson is aimed to enable you to :

- i. Define and explain a short-story and its constituent parts.
- ii. Describe different features of a short -story
- iii. Explain Ruskin Bond's story 'The Thief'
- iv. Analyze the story

10.1 INTRODUCTION

In this unit, you will study Ruskin Bond's short-story 'The Thief'. Before discussing the story, a brief note about Ruskin Bond and his writings is given. After this, we have explained the term short-story and its characteristic features like setting, characters, plot, theme, narrator etc. It will give you information about this form of literature and the things you should keep in mind while describing, and analyzing a short-story. It is followed by views about the story and the text of the story. We have given a summary of the story to facilitate you in explaining and analyzing the story.

The activity based analysis of the story will add to your skill in describing significant features of the story.

You can see the correct answers to the Check Your Progress exercises at the end of the unit.

10.2 BIOGRAPHICAL NOTE

Ruskin Bond, the son of Edith Clarke and Aubrey Bond was born on May 19, 1934 in Kasauli, Himachal Pradesh, India. His father served in Royal Air Force of the British Government. His parents got divorced when Bond was eight years old, and his mother got married to an Indian. After the death of his father, Bond moved to Dehradun and lived with his grandfather. Thus, he had a disturbed and miserable childhood. He received his early education from Bishop Cotton School in Shimla. During his school years he won Hailey Literature Prize and the Irwin Divinity Prize. In 1952, he completed his graduation and moved to England and stayed at his aunt's house for four years.

His favourite writers were T.E. Hume, Charles Dickens, Charlotte Bronte, and Rudyard Kipling. He wrote a novel 'The Room on the Roof', when he was seventeen. It brought him success, and he got John Llewellyn Rhys memorial prize for this novel when it was first published four years later. It inspired him to write its sequel, 'Vagrants in the Valley'.

He returned to India and worked as a journalist in Delhi and Dehradun. He shifted to Mussourie and started freelance writing in 1963. His essays and articles have appeared in several magazines and newspapers. He has written over three hundred short-stories, essays, and novels, and over thirty children books. His autobiographical writings include, 'Scenes From a Writer's Life', and 'The Lamp is Lit: Leaves From a Journal'.

'Some of his more significant works are: 'Blue Umbrella', 'A Flight of Pigeons', and 'Funny Side Up'. A BBC TV series is based on his first novel, and his short story Susanna's Seven Husbands' was adapted into a film 'Saat Khoon Moaf. The film Junoon is inspired by his 'Flight of Pigeons'.

Bond is known for his autobiographical and semi-autobiographical stories about children. He is considered a pioneer of child literature in India. The influence of his childhood days on his writings can be understood from Bond's own words, "'I don't suppose I would have written so much about childhood or even about other children if my own childhood had been all happiness and light". Ruskin Bond's characters are from the middle class. He chose his characters from his surroundings. Some of them resemble the real characters in his life.

He lives with his adopted family.

CHECK YOUR PROGRESS I:

Choose the correct option to answer the following questions:

- i. Ruskin Bond was born in : a) Shimla b) Dehradun c) Kasauli.
- ii. Ruskin Bond lived with his in Dehradun.
a) Father b) mother c) grandfather
- iii. The title of one of his novels is a) The Room on the Roof b) Susanna's Seven Husbands c) 'The Roof on the Room'.
- iv. Bond's writings are mainly about a) the old people b) about women only c) children

NOTE: Dear students the following discussion about short-story will help you in marking characteristic features of a short- story. It will help you in the analysis of the story.

10.3 WHAT IS A STORY?

A short story is a form of fictional prose. It is a short narrative with focus on a single event. Its development indicates a pattern of beginning, middle, and a definite conclusion. The arrangement of incidents, thought, action, and characters develops a structure or pattern that forms its plot. It focuses on the outcome of an action or the situation involved.

There are several types of short story depending on its subject matter, the narrative structure, and purpose. A story can be based on fantasy, science , reality or state of mind .

10.3.1 ELEMENTS OF A SHORT-STORY:

Setting: it refers to the historical time, social circumstances, and location of the narrative i.e. the incidents. The setting of an incident in a story at a particular place is its physical location. Setting in a story can be traced from the description of geographical location, references to time, and description of surroundings etc.

Characters: The imaginary or real people who are assigned specific roles in a narrative are the characters. The actions, thoughts, and the situations related to these people are the focus of a story. A story has a limited number of characters.

Plot: The arrangement or the sequence of incidents narrated in the story is called plot. Plot is different from story. The story of a narrative is about what it tells The plot relates to how the story has been told. Plot of a story can be chronological. The incidents in it follow a linear order in which one incident leads to the other. But the order of incidents in a plot may not always

develop like this. Writers can disturb the order of the incidents according to their convenience and the purpose of the story.

Narrator: The person who tells the story is called the narrator. The narrator and the author are not necessarily the same. When the narrator uses the pronoun 'I', we should not confuse him/her with the writer.

Theme: It is the central idea or message that the story conveys. The writer can express the theme directly by using his or her own words. The writer can choose some character to convey the message. The theme can be conveyed through the arrangement and outcome of incidents and their result. The experiences of characters are also used to express theme of a story.

Point of view: It indicates the perspective or view of the story-teller and reveals his/her attitude to the experiences depicted in the story. It can be biased or objective. It depends on the author that from whose point of view or understanding he or she wants to tell the story. The change in point of view causes a shift in the focus of the story.

Conflict: It is a kind of struggle that the story presents. The outcome of this struggle is the main attraction for the reader of a story. This conflict can be between people, or ideas. Sometimes it happens in the mind of the characters involving some moral dilemma. All these forms of conflict have an attraction for the readers. . The story may or may not resolve the conflict.

Climax: The point or the situation at which the events in a story take a major turn is called the climax. It brings a change in the atmosphere of the story. Climax should not be confused with the ending of the story. It sometimes happens much before the ending.

CHECK YOUR PROGRESS II:

Choose the correct option to answer the following questions:

- i. A short-story focuses on: a) many incidents b) mainly on one incident c) two incidents
- ii. The plot of a story means a) the summary of the incidents b) the ideas expressed in a story c) the arrangement of the incidents in a story.
- iii. The narrator of a short-story is a) the writer of the story b) the one who tells the story c) the main character of the story.
- iv. The theme of the story is :
 - a) the idea or message expressed in it b) the title of the story c) the main incident of the story.

10.4. ABOUT THE STORY: 'THE THIEF'

This story is about a young thief. He narrates the incident which brought a transformation in him. He goes to a young man with the intention of robbing him. This fifteen year old thief wins the confidence of the young man named Arun and starts working for him. The thief lives with Arun and comes to know about his trusting nature. He learns that Arun was not particular about money. The thief keeps on changing his names to dodge the police. He starts living with Arun as Deepak and commits a theft in his house. But he fails to run away with the stolen money and

comes back to return it to Arun. The story brings out the way a transformation takes place in Deepak, a thief. You will find the details in the story interesting and amusing.

10.4.1. TEXT: THE THIEF

I was still a thief when I met Arun and though I was only fifteen I was an experienced and fairly successful hand.

Arun was watching the wrestlers when I approached him. He was about twenty, a tall, lean fellow, and he looked kind and simple enough for my purpose. I hadn't had much luck of late and thought I might be able to get into this young person's confidence. He seemed quite fascinated by the wrestling. Two well-oiled men slid about in the soft mud, grunting and slapping their thighs. When I drew Arun into conversation, he didn't seem to realize I was a stranger.

'You look like a wrestler yourself,' I said

'So do you,' he replied, which put me out of my stride for a moment because at the time I was rather thin and bony and not very impressive physically.

'Yes,' I said. 'I wrestle sometimes.'

'What's your name?'

'Deepak,' I lied.

Deepak was about my fifth name I had earlier called myself Ranbir, Sudhir, Trilok and Surinder. After this preliminary exchange Arun confined himself to comments on the match, and I didn't have much to say. After a while he walked away from the crowd of spectators. I followed him.

'Hello,' he said. 'Enjoying yourself?'

I gave him my most appealing smile. 'I want to work for you,' I said.

He didn't stop walking. 'And what makes you think I want someone to work for me?'

'Well,' I said, 'I've been wandering about all day looking for the best person to work for. When I saw you I knew that no one else had a chance.'

'You flatter me,' he said.

'That's all right.'

'But you can't work for me.'

'Why not?'

'Because I can't pay you.'

I thought that over for a minute. Perhaps I had misjudged my man.

'Can you feed me?' I asked.

'Can you cook?' he countered.

'I can cook'; I lied.

'If you can cook,' he said, 'I'll feed you.'

He took me to his room and told me I could sleep in the veranda. But I was nearly back on the street that night. The meal I cooked must have been pretty awful because Arun gave it to the neighbor's cat and told me to be off. But I just hung around smiling in my most appealing way

and then he couldn't help laughing. He sat down on the bed and laughed for a full five minutes and later patted me on the head and said, 'never mind', he'd teach me to cook in the morning. Not only did he teach me to cook but he taught me to write my name and his and said he would soon teach me to write whole sentences and add money on paper when you didn't have any in your pocket!

It was quite pleasant working for Arun. I made the tea in the morning and later went out shopping. I would take my time buying the day's supplies and make a profit of about twenty-five paisa a day. I would tell Arun that rice was fifty-six paisa a pond (it generally was), but I would get it at fifty paisa a pound. I think he knew I made a little this way but he didn't mind. He wasn't giving me a regular wage.

I was really grateful to Arun for teaching me to write. I knew that once I could write like an educated man there would be no limit to what I could achieve. It might even be an incentive to be honest.

Arun made money by fits and starts. He would be borrowing one week, lending the next. He would keep worrying about his next cheque but as soon as it arrived he would go out and celebrate lavishly.

One evening he came home with a wad of notes and at night I saw him tuck the bundles under his mattress at the head of the bed. I had been working for Arun for nearly a fortnight and, apart from the shopping, hadn't done much to exploit him. I had every opportunity for doing so. I had a key to the front door which meant I had access to the room whenever Arun was out. He was the most trusting person I had ever met. And that was why I couldn't make up my mind to rob him.

It's easy to rob a greedy man because he deserves to be robbed. It's easy to rob a rich man because he can afford to be robbed. But it's difficult to rob a poor man, even one who really doesn't care if he's robbed. A rich man or a greedy man or a careful man wouldn't keep his money under a pillow or mattress. He'd lock it up in a safe place. Arun had put his money where it would be child's play for me to remove it without his knowledge.

It's time I did some real work, I told myself. I'm getting out of practice... If I don't take the money, he'll only waste it on his friends... He doesn't even pay me...

Arun was asleep. Moonlight came in from the veranda and fell across the bed. I sat up on the floor, my blanket wrapped round me, considering the situation. There was quite a lot of money in that wad and if I took it I would have to leave town – I might make the 10.30 express to Amritsar...

Slipping out of the blanket, I crept on all fours through the door and up to the bed and peeped at Arun. He was sleeping peacefully with a soft and easy breathing. His face was clear and unlined. Even I had more markings on my face, though mine were mostly scars.

My hand took on an identity of its own as it slid around under the mattress, the fingers searching for the notes. They found them and I drew them out without a crackle.

Arun sighed in his sleep and turned on his side, towards me. My free hand was resting on the bed and his hair touched my fingers.

I was frightened when his hair touched my finger, and crawled quickly and quietly out of the room. When I was in the street I began to run. I ran down the bazaar road to the station. The shops were all closed but a few lights were on in the upper windows. I had the notes at my waist, held there by the string of my pyjamas. I felt I had to stop and count the notes though I knew it might make me late for the train. It was already 10.20 by the clock tower. I slowed down to a walk and my fingers flicked through the notes. There were about a hundred rupees in fives. A good haul. I could live like a prince for a month or two.

When I reached the station I did not stop at the ticket office (I had never bought a ticket in my life) but dashed straight onto the platform. The Amritsar Express was just moving out. It was moving slowly enough for me to be able to jump on the footboard of one of the carriages but I hesitated for some urgent, unexplainable reason.

I hesitated long enough for the train to leave without me.

When it had gone and the noise and busy confusion of the platform had subsided. I found myself standing alone on the deserted platform. The knowledge that I had a hundred stolen rupees in my pyjamas only increased my feeling of isolation and loneliness. I had no idea where to spend the night.

I had never kept any friends because sometimes friends can be one's undoing. I didn't want to make myself conspicuous by staying at a hotel. And the only person I knew really well in town was the person I had robbed!

Leaving the station, I walked slowly through the bazaar keeping to dark, deserted alley. I kept thinking of Arun. He would still be asleep, blissfully unaware of his loss.

I have made a study of men's faces when they have lost something of material value. The greedy man shows panic, the rich man shows anger, the poor man shows fear. But I knew that neither panic nor anger nor fear would show on Arun's face when he discovered the theft; only a terrible sadness not for the loss of the money but for my having betrayed his trust.

I found myself on the maidaan and sat down on a bench with my feet tucked up under my haunches. The night was a little cold and I regretted not having brought Arun's blanket along. A light drizzle added to my discomfort. Soon it was raining heavily. My shirt and *pyjamas* stuck to my skin and a cold wind brought the rain whipping across my face. I told myself that sleeping on a bench was something I should have been used to by now but the veranda had softened me.

I walked back to the bazaar and sat down on the steps of a closed shop. A few vagrants lay beside me, rolled up tight in thin blankets. The clock showed midnight. I felt for the notes. They were still with me but had lost their crispness and were damp with rainwater.

Arun's money, in the morning he would probably have given me a rupee to go to the pictures but now I had it all. No more cooking his meals, running to the bazaar, or learning to write whole sentences. Whole sentences...

They were something I had forgotten in the excitement of a hundred rupees. Whole sentences, I knew, could one day bring me more than a hundred rupees. It was a simple matter to steal (and sometimes just as simple to be caught) but to be a really big man, a wise and successful man, that was something. I should go back to Arun, I told myself, if only to learn how to write.

Perhaps it was also concern for Arun that drew me back. A sense of sympathy is one of my weaknesses, and through hesitation over a theft I had often been caught. A successful thief must be pitiless. I was fond of Arun. My affection for him, my sense of sympathy, but most of all my desire to write whole sentences, drew me back to the room.

I hurried back to the room extremely nervous, for it is easier to steal something than to return it undetected. If I was caught beside the bed now, with money in my hand, or with my hand under the mattress, there could be only one explanation; that I was actually stealing. If Arun woke up I would be lost.

I opened the door clumsily and stood in the doorway in clouded moonlight. Gradually my eyes became accustomed to the darkness of the room. Arun was still asleep. I went on all fours again and crept noiselessly to the head of the bed. My hand came up with the notes. I felt his breath on my fingers. I was fascinated by his tranquil features and easy breathing and remained motionless for a minute. Then my hand explored the mattress found the edge, slipped under it with the notes. I awoke late next morning to find that Arun had already made the tea. I found it difficult to face him in the harsh light of day. His hand was stretched out towards me. There was a five-rupee note between his fingers. My heart sank.

‘I made some money yesterday,’ he said. ‘Now you’ll get paid regularly.’ My spirit rose as rapidly as it had fallen. I congratulated myself on having returned the money.

But when I took the note, I realized that he knew everything. The note was still wet from last night’s rain.

‘Today I’ll teach you to write a little more than your name,’ he said. He knew but neither his lips nor his eyes said anything about their knowing.

I smiled at Arun in my most appealing way. And the smile came by itself, without my knowing it.

10.4.2. Glossary:

hand	here, a person with a lot of experience in something
lean	thin
put... stride	here, confuse
preliminary	something that happens or is done before something more important
spectators	people watching a show, game or other event
appealing	here, showing that one wants help
flatter	to say nice things that may not be true about someone to try and get something from them
misjudge	to incorrectly think something of someone
counter	to speak or act against someone
veranda	a roofed platform along the outside of a house
pleasant	likeable
regular wage	a fixed amount of money paid in exchange for work
incentive	something that helps or encourages one to do something

in fits and starts	when something does not happen smoothly, but keeps starting and stopping; here, not regularly
lavishly	richly, luxuriously; spending money without control
wad	a bundle of something
fortnight	a period of two weeks
exploit	to take advantage of someone; to gain something unfairly or illegally
peep	to look quickly and secretively at someone or something
bazaar	marketplace
haul	a large quantity of something got at one time
isolation	the state of being alone
undoing	a person's ruin
conspicuous	standing out and clearly noticeable
deserted	abandoned; here, empty
blissfully	happily
material value	here, money
betray	to be disloyal
<i>mairdalan</i>	an open space in a town, used as a parade ground
haunches	referring to the hips and thighs of a human
regret	to feel sad or disappointed
vagrants	people without a home; beggars
sympathy	feelings of pity and sadness for someone else's situation
undetected	not discovered or noticed
accustomed	here, become used to something
tranquil	calm
features	here, parts of the face
motionless	still, not moving
heart sank	here, to experience a combination of fear and sadness

Check Your Progress III:

Answer the following questions :

- i. How many characters are there in this story?
- ii. How old is Arun?
- iii. The narrator of the story is a) Arun b) Ruskin Bond c) Deepak
- iv. The young thief in the story smiled:
 - a) once only b) twice c) thrice
- v. When the narrator smiled for the last time in the story , his smile was:
 - a) genuine b) false c) full of hatred

10.4.3. SUMMARY

The narrator of the story is a fifteen-year-old boy named Deepak. He is a thief and he uses different names on different occasions and in different situations to dodge the police. One day, he meets a man of about twenty years, named Arun. The young boy Deepak considers Arun a suitable target. Arun was watching a wrestling match and Deepak tries to make friends by telling him that he (Arun) looked like a wrestler. The young boy tells that his name was Deepak. (We know Deepak is not his real name).

After a brief conversation Deepak put on the most appealing look and expressed his desire to work for this young man Arun. When Arun shows his inability to pay him, the boy gets ready to work for him just for food. He tells a lie to Arun that he could cook. He does this to win Arun's trust to cheat him later.

Deepak's claim that he could cook turned out false when he failed to cook good food and Arun had to throw it to a cat. Arun did not get angry. Gradually, Arun taught the boy to write his name and assured that he would teach Deepak to write complete sentences and to add numbers. Deepak thought that he would be able to achieve much in life if he learnt writing like an educated man.

While working for Arun, the boy starts pocketing money. He manages to take away a rupee or so every day as he is sent to get essentials for Arun from the market. Arun ignores this cheating. Showing his trust, Arun gives Deepak the key to his room. It makes easy for the thief Deepak to enter Arun's room. After a few days Deepak comes to know that Arun was a freelance writer. Having no regular income, sometimes Arun has to borrow from his friends. On certain occasions, Arun gets a lot of money from his writings but he spends the money recklessly.

One day Arun comes home with a bundle of currency notes as a publisher has bought his book. Arun puts the money under a mattress. Deepak notices him hiding the money there. He has been living with Arun for about a month. He thinks that he has not been able to steal anything substantial due to Arun's trusting nature. He thinks that it is difficult to rob a carefree man like Arun as robbing a person like him does not give any pleasure.

Finally, Deepak decides to steal the money that Arun has put under the mattress. He is prompted to take this decision as he thinks that Arun would waste the money by spending it recklessly, and he was not paying any wages to Deepak. He decides to take away the bundle of notes and leave the town by the 10:30 Amritsar Express. Deepak goes out of the room with the stolen money and tucks the notes in his pyjama string. He counts and finds that he had stolen a hundred rupees. Deepak goes to the railway station, and reaches the platform without getting a ticket as he does not believe in buying a ticket. He finds the Amritsar Express moving but for some unexplainable reason does not board the train. The train has left and Deepak wanders on the deserted platform.

He does not know where to go. He thinks that staying on the platform for long would raise suspicion. His staying in some hotel would be risky. Deepak has no friends because in his profession friends could be a greater trouble.

In the whole town, he knew only Arun, the man he had just robbed. He starts walking through the bazaar and looks at the faces of the people. He thinks that he can have a look at the face and tell about the reactions of people on being robbed. In such a situation a greedy man is full of fear, and a rich man gets angry. But a poor man adopts a sense of resignation or indifference. Deepak feels that Arun would feel sad, not because of the loss of money, but because of the breach of trust.

Deepak goes and sits on a bench in the maidaan. It starts raining. His clothes get wet. He goes and takes shelter at the Clock Tower. At midnight, he feels the damp notes in his *pyjama* – string. A feeling of remorse takes over him. He thinks that had he not committed the theft perhaps Arun would have given him two or three rupees to go to the cinema. Another thought torments him. If he had not robbed Arun, he would have educated him. Education would have made him a great and respected person. This profession of stealing would not take him anywhere. These thoughts force him to go back to Arun and learn reading and writing.

He returns to Arun's room and finds him still asleep. He gently places the bundle of notes under the mattress and goes to sleep. The next morning he finds that Arun has got up earlier and already prepared the tea. Arun gives a five rupee note to Deepak telling that he had earned some money the previous day. He also assures Deepak that he would pay his wages regularly. Deepak feels happy and takes the note. He notices that it was still wet because of the night rain.

Deepak realizes that his master knows about the theft but does not say anything about it. Arun had knowingly ignored the theft. The incident of the theft brings a change in Deepak. He smiles at Arun. Now his smile is not deceitful as it used to be.

10.5 CHARACTERIZATION

You can use the following points while analyzing characters in a story:

- i. Does the character play a central role?
- ii. Physical appearance, family and social background of the character.
- iii. His/her beliefs, ideas thoughts , and the way he\she acts upon them.
- iv. The changes , if any, noticed in the character .
- v. The special traits of the characters that the story reveals
- vi. The incidents, dialogues and descriptions that indicate the qualities of a character.

Exercise: Explain the qualities of Arun's character that the following sentences and phrases reveal :

1. “He was about twenty, a tall, lean fellow, and he looked kind and simple enough for my purpose.”

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2. “Arun made money by fits and starts. He would be borrowing one week, lending the next. He would keep worrying about his next cheque but as soon as it arrived he would go out and celebrate lavishly.”

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3. I had every opportunity for doing so. I had a key to the front door which meant I had access to the room whenever Arun was out. He was the most trusting person I had ever met. And that was why I couldn’t make up my mind to rob him.

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You must have noticed that certain descriptions and dialogues in a story reveal specific traits of characters. Find examples of descriptions, incidents and dialogues that reveal the following traits of Deepak’s character:

- i. Age, looks
- ii. Habit of telling lies and stealing
- iii. His interest in education.
- iv. His expertise in stealing
- v. His inherent goodness.

10.6. ANALYZING THE THEME

Deepak is a thief. He starts working with Arun with the intention to rob him. He wins Arun’s trust and commits a theft in his house. But he does not like betraying the trust and comes back to return the stolen money. This kind of behaviour of a thief tells us that a bad person like Deepak can also have something good in him.

Please Note: The idea that even a thief or a bad person has something good in him forms one of the themes of the story.

*There are some other ideas that come out of this story.

You can trace those ideas from different incidents, situations, characters and their behaviour.

10.6.1 EXERCISE:

Analyze some incidents in the story that convey the idea:

- *Trust and generosity have a positive Influence on others.
- * Never betray trust
- *Education can bring great achievements in life.
- * Do not trust strangers

10.7. ANALYZING THE PLOT STRUCTURE:

The plot of this story moves in a sequential order. The incidents are arranged in the pattern in which they occur:

You see that the first important incident or happening is Deepak's meeting with Arun. The second main incident takes place when Deepak goes to live with Arun.

EXERCISE:

Mention some important incidents in the plot of the story 'The Thief' and arrange them in the way they occur.

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10.8 THE TITLE

The title of a story is always significant. It is supposed to indicate the thrust of the story or its theme. Sometimes it is linked to the traits of the main character. The name of the main character can also be used as a title if the story is about the personality of the central figure. These elements determine the relevance of the title.

Now you can use these ideas and examine the suitability of the title of the story. 'The Thief'

You can suggest some other title to this story that you believe to be more suitable. It should be based on logical arguments.

10.9. EXPLANATION OF EXTRACTS FROM THE STORY

Extracts from a story are examined and analyzed to find their relevance for the explanation of the plot, theme, character or any other aspect of the story. These exercises will enable you to explain the extracts and show their relevance in the story. You should have a look at the solved exercise given below to attempt the analysis of other extracts.

Explain the Following extracts with reference to context:

“I said, ‘I’ve been wandering about all day looking for the best person to work for. When I saw you I knew that no one else had a chance.”

Explanation: Deepak, the narrator talks about his first meeting with Arun, in Ruskin Bond’s story ‘The Thief’. Deepak wants to win over Arun’s trust as he has a plan to rob him. He calls Arun the best person to flatter him. Deepak tells Arun that he was ready to work for him as he considers him the best person.

This extract tells about the first meeting between Deepak and Arun. This first meeting results in Deepak’s stay with Arun and the other happenings that take place later. It also shows that Deepak is very clever and uses the art of flattery to impress strangers.

Exercise : Explain the extract given below with reference to context:

“ I hesitated long enough for the train to leave without me”.

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Exercise : Explain the extract given below with reference to context:

“.....He was the most trusting person I had ever met. And that was why I couldn’t make up my mind to rob him..... “

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Exercise : Explain the extract given below with reference to context:

“I smiled at Arun in my most appealing way. And the smile came by itself, without my knowing it. ‘

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10.10 LET US SUM UP:

*Ruskin Bond is a popular short-story writer. He has written numerous stories about children.

*Short-story has some special features like focus on single incident, limited number of characters. The other elements of a story are, setting, plot, theme, characters, conflict, climax.

- * The Thief is a story in which a fifteen year old boy narrates the incident that resulted in his transformation.
- * The generosity and compassion of the man robbed by the thief are the main reasons of the change that comes in this young thief.
- * Arun and Deepak, are the two main characters in the story.
- * The title of the story is appropriate
- * The descriptions, incidents, dialogues and situations bring out different traits of characters in the story.

10.11 NIT END QUESTIONS:

- i. Describe the first meeting between the narrator and Arun.
- ii. Deepak hesitates in robbing Arun. What makes Deepak take the decision to rob Arun?
- iii. Why does he come back to return the stolen money?
- iv Why does the narrator say that it was pleasant working for Arun?
- v. Why does Deepak not want to rob Arun earlier?
- vi. Explain Deepak's views on the reactions of different types of people on being robbed.
- vii. Describe the narrator's behaviour after his robbing Arun up to his putting the money back under the mattress.

10.12 Further Readings:

Abrams, M.H., A Glossary of Literary Terms. Bangalore: Prison Books Pvt.Ltd., 1993
 Bond Ruskin,. "Scenes From a Writer's Life", New Delhi: Penguin Books India Pvt. Ltd., 1997.
 Iyenger, K.R.S., *Indian Writing in English*. 5th Edition, New Delhi : Sterling Publishers, 1999
 Reid, Ian .The Critical Idioms : The short story. London: Methuen & Co. Ltd. 1977

ANSWERS TO THE CHECK YOUR PROGRESS EXERCISES:

Check Your Progress I.

Answers: i. c) ii.c) iii a) iv. c)

Check Your Progress II.

Answers: i. b) ii. c)iii. b)iv a)

Check Your Progress III.

Answers: i. Two ii. He is around twenty years old. iii.C iv. c) v. a)

BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER-II
COURSE: READING PROSE

UNIT-11: MUNSHI PREM CHAND: THAKUR'S WELL

(Please Note: Unit no 11 has Two Parts: A and B)

PART A

STRUCTURE:

11.A .0 Objectives

11. A.1. Introduction

11.A.2. Biographical Note

11. A.3. About the Story

11. A.3.1 Text: Thakur's Well

11. A.3.2 Glossary About the essay

11. A.3.3 Summary: Thakur's Well

11. A.4 Theme of the Story

11. A.5 Characterization

11. A.6 Plot Structure of the Story

11. A 7 Setting: Thakur's Well

11. A 8 Title of the Story

11. A.9 Let us Sum Up

11. A 10 Questions on Comprehension

11. A. 11 Further Readings

11.A.0 Objectives:

The reading of this unit (Part A and B) is aimed to enable you to :

- Explain the stories in your own words
- Write the themes of the stories
- List the important features of these stories
- Answer comprehension questions on these stories
- Describe and analyze different features of the stories discussed in this unit.

11A.1 INTRODUCTION

In this unit we have discussed two stories. You are advised to consult the previous unit (Unit 10 on Ruskin Bond) to revise your understanding of the details about a short-story, and its constituents like setting, character, plot etc. The focus in the first part of this unit is Munshi Prem Chand's story 'The Thakur's Well', and the second part takes up the story 'The Home Coming' by Rabindranath Tagore. In this unit, you will find different activities to understand, describe and then analyze the stories.

Part-A of this unit concentrates on Munshi Prem Chand's story 'Thakur's Well'.

There are exercises to mark outcome of your learning. The answers to the 'Check Your Progress' A-I and A II exercises are given at the end of Part A – of this unit. You can see the correct answers there.

11. A. 2. BIOGRAPHICAL NOTE

Munshi Prem Chand is a well known Hindi short story writer. He was born on 31 July 1880 in Lamhi village near Varanasi in Uttar Pradesh. His birth name was Dhanpat Rai, Srivastav. Before adopting the name Munshi Prem Chand, he wrote under the pen name Nawab Rai. He is known as 'Upanyas Samrat' for his contribution to Hindi fiction that includes around a dozen novels and more than two hundred short-stories.

He was the fourth child of Ajaib Lal, and Anandi Devi. His father was a clerk in a post-office. He got his early education in a *madrassa* at Lalpur village and learned Urdu and Persian languages. His mother died and his father remarried. He studied at Queen's College, and got married at the age of 15. He stopped his studies after the death of his father in 1897. Later he became a school teacher, his stories and articles in Urdu appeared in a magazine 'Zamana'.

His wife left him due to her constant quarrels with his stepmother. He married a child widow Shivarani Devi in 1906. He was much criticized for this.

Munshi Prem Chand started writing in Hindi in 1914. His earlier writings were in Urdu. The title of his first Hindi writing was 'Saut'

He tried his hand in Hindi films and got the job of a script writer at Bombay. He was the script writer of the film 'Mazdoor'. His most popular novel is *Godaan*. He died on 8 October 1936. Many of his works have been translated into different languages of the world. The story 'Thakur's Well', is English translation of his story 'Thakur Ka Kuan'. It has been translated by T.C. Ghai.

CHECK YOUR PROGRESS-AI:

Choose the correct option :

i. Nawab Rai was

a) the name of Prem Chand's pen-friend b) the pen name of Munshi Prem Chand c) the name of his friend.

ii. Munshi Prem Chand got married for the first time at the age of

a) five b) fifteen c) twenty five

iii. He was criticized for

a) writing stories b) marrying a child widow c) for changing his name

iv. He got early education at a :

a) government school b) public school c) madrasa

v. Fill in the blank with the correct option :

He worked as a at Bombay.

a. actor b) villain c) script-writer

vi. Fill in the blank with the correct option :

Munshi Prem Chand started writing in in 1914.

a) Urdu b) Hindi c) English

11.A. 3. ABOUT THE STORY: THAKUR'S WELL

Thakur's well is a story about the caste based differences that make the lives of the untouchables miserable. This story is about Jokhu and Gangi who are unable to get clean water from the well of the village landlord because of the feudal system and the caste discriminations. The fear of the upper castes and the village landlords does not allow these people to raise their voice against their oppression. In the story, Gangi goes to get water from the Thakur's well during the night. But her courage fails when she finds the Thakur coming towards the well. She runs away without taking water.

11.A. 3. 1.TEXT: THAKUR'S WELL

As Jokhu brought the *lota* to his lips to drink, he found that the water smelled foul. He said to Gangi, 'What kind of water is this? It stinks. My throat's dry, and you're making me drink this unclean water.'

Gangi used to store up all the water in the evening. The well was far away, and it was difficult to walk the distance again and again. The water she had brought yesterday was good. What could have gone wrong today, she wondered. She brought the *lota* to her nose. Yes, it was stinking. An animal must have fallen into the well and drowned. But where would she get the water from now?

No one would let her draw water from the Thakur's well. They would drive her away from a distance. Sahuji's well was at the other end of the village. But who would let her draw water from there? And there was no fourth well in the village.

Jokhu had been ill for many days. He was thirsty and kept quiet for some time. Then he said, 'I can't hold my thirst any more. Come, I'll squeeze my nose and drink a little bit.'

Gangi didn't let him. She knew that drinking this unclean water would aggravate his illness, but she didn't know that boiling would make it safe for drinking. She said, 'You can't drink this water. God knows what animal it was. I'll bring water from somewhere.'

Jokhu looked at her with surprise. 'Where will you bring it from?'

There are two wells: the Thakur's and the Sahu's. Won't they let me have even one potful?'

'You'll get only broken arms and legs, nothing else. Sit quietly. The Brahmin will curse, the Thakur wield his *lathi*, and Sahuji charge five for one. No one feels our pain. Even when we die,

no one comes to condole, least of all to lend his shoulder to the bier. How do you expect such people to let you draw water?’

This was the bitter truth. Gangi kept quiet, she did not let him drink the stinking water.

It was nine o’clock in the night. The exhausted labourers had gone to sleep. A few idlers were gathered outside the Thakur’s door. The times for showing valour in the battlefield were gone; they were talking of battles won in the law courts. How the Thakur had bribed the *thanedar* and saved his skin. How cleverly he had obtained the copy of a landmark court judgment. The court officials had said that the copy couldn’t be given. Some demanded fifty, others a hundred. He was able to obtain the copy without paying a single penny! One should know the tricks of the trade.

It was then that Gangi arrived to draw water from the well.

A faint light from the street oil-lamp was falling on the well. Gangi came and sat close to the platform around the well, sheltering herself, and waited for an opportunity. Everyone drank from this well. They alone were forbidden. Gangi’s rebellious heart began to hit out at traditional society’s restrictions and compulsions. What makes us low, and them high? Just because they are wearing a string round their necks! All these people are so crooked, each one more than the other. They file false cases against others. Only the other day the Thakur poached the shepherd’s sheep, then slaughtered and ate it up. And this *panditji*’s house is a round-the-year den of gamblers. And this very Sahuji adulterates ghee with oil. They make us labour for them, but are reluctant to pay for it. In what way are they higher than us? We don’t go shouting in the streets, like them, that we are superior. Whenever I walk through the village, they look at me with lusting eyes, and their hearts fill with envy. Yet they pride themselves on their superiority!

She heard the sound of footsteps at the well. Her heart began to beat furiously. Hell would break loose if she was caught. She picked up the pitcher and the rope and, bending herself low, walked away towards a tree and hid herself in its dark shadow. They would show her no mercy. They had beaten up poor Mahgu so badly that he had kept spitting blood for month— just he had refused to work without being paid! And they are higher!

Two women had come to the well to draw water. They were talking.

‘They’ve come in to eat, and have ordered us to bring fresh water.’

‘These men become agitated if they find us resting for a while.’

‘They didn’t have the decency to come here and draw water for themselves. They only know to give orders, as if we were their bondswomen.’

‘What else are you, if not a bondswoman? They give you food and clothing. And you snatch a few rupees from them, off and on. How are bondswomen different?’

‘Don’t insult me, sister. I’m not able to relax ever for a short while. Had I labored like this at another’s household, life would have been a lot easier. And he would have been grateful too. Kill yourself with work, yet no one’s pleased.’

Both the women walked away after drawing water. Gangi came out of the tree’s shadow and walked towards the well. The idlers had gone away. The Thakur too had shut the door from the inside and was readying himself to sleep in the courtyard. Gangi heaved a sigh of relief. All

seemed clear now. Even the prince, who had gone to steal *amrita*, would not have taken such care. Gangi came to the edge of the well. Seldom had she experienced such a sense of triumph!. She tied one end of the rope round the pitcher's neck. She peered to her right and left, like a soldier readying himself to pierce the enemy's defenses. If she were caught now, there would be no forgiveness at all. At last, invoking the gods, she lowered the pitcher into the well.

The pitcher sank into the water gently, making no sound at all. Gangi pulled the rope up quickly, and the pitcher came up to the top. Even a powerful wrestler couldn't have drawn up the pitcher so swiftly.

Before Gangi could catch the pitcher and rest it on the edge of the well, the Thakur's door opened suddenly. A lion's look could not have been more frightening than this sound. The rope slipped through her hands and the pitcher went hurtling down the well and hit the water with a loud thud. One could hear the water rippling for a few moments.

The Thakur advanced towards the well, shouting, 'Who's there? Who's there?' Gangi jumped from the well's platform and ran furiously away.

When she reached home, she found Jokhu drinking the dirty water.

11.A. 3. 2. Glossary :

stinking	having a foul smell
aggravate	to worsen/increase the effect of; to heighten
condole	to offer sympathy on the loss of a loved one
bier	a frame in which the coffin or a corpse is placed before burial
polluted	contaminated with some harmful or poisonous substance
landmark court judgement	a reputed judgment or verdict delivered by a court of law, having an influence on other such judgments
compulsion	pressure exerted to make someone succumb
petty	small-minded
poach	to trespass on another's territory and hunt animal
slaughter	to kill mercilessly
adulterate	to mix something in a manner to deceive and reduce the quality of something
lust	to desire someone
agitated	here, angry and annoyed
idler	one who merely wastes time and does not do anything constructive
amrita	Hindi for the nectar of immortality
heave a sigh of relief	to feel relieved and at ease
pitcher	a large jug, usually earthen
ripple s	light waves on the surface of water

CHECK YOUR PROGRESS A- II:

Choose the correct answer:

i. Jokhu does not drink water brought by Gangi because:

a) it is not sweet and tasty b) it is not fresh c) it stinks

ii. Jokhu thinks that :

a) Only Sahuji could give them water b) the landlord will get money for water c) nobody would give them water.

iii. Gangi goes to get water from the Thakur's well and finds :

a) some people discussing the Thakur's activities b) the Thakur standing there c) that an animal has fallen in the well.

iv. Gangi comes back :

a) with a bucket full of water b) without taking water c) and complains against the Thakur

11. A. 3. 3. SUMMARY : THAKUR'S WELL

It is a story about the untouchables who have to suffer discriminations in the traditional caste based society. Munishi Prem Chand's story translated from Hindi into English by T. C. Ghai portrays a realistic picture of the pain and sorrows of the so called low caste people at the hands of the upper castes in a village.

Gangi and Jokhu belonged to an untouchable family. Jokhu is sick and thirsty. He tries to drink water out of a *lota*, tumbler, but it stinks. Gangi had brought that water a day before as the well is at the far end of the village. She puts the water close to her nose and finds it smelling foul. She asks Jokhu not to drink that water as some dead animal must have spoiled the water of the well. But she cannot go and bring water from any other well in the village. The landlord of the village called Thakur owns a well and won't allow the low caste people like Jokhu and Gangi to take water from his well. The other well belongs to Sahuji who charges money for water. Jokhu and Gangi do not have money to buy water. The third well belongs to the Brahmans who dislike untouchables. Due to their low caste, Jokhu and Gangi are helpless. Jokhu knows that no one would help them. The upper castes do not even touch the bier of an untouchable.

Gangi plans to get water from the Thakur's well during the night. It is nine o'clock when she goes there. She finds some idlers in front of the Thakur's door. They were talking about the way Thakur had bribed the *thanedar* and saved his skin. He could get the copy of court judgment using his power. Gangi finds the light of the oil lamp falling on the well and takes shelter of the platform around the well. While waiting for an opportunity to get water stealthily, she has some rebellious thoughts about the caste system and discrimination against the untouchables.

She thinks there was nothing that made people like the Thakur superior to others. All these upper castes indulged in immoral and criminal acts. She thinks, "they stole, they cheated, they bribed in court then how were they so high and mighty?" As she thought this hiding near the Thakur's

well to steal water, she hears someone approaching the well. She felt afraid that she'll be beaten if caught hiding there. She hides herself in the shadow of a tree.

Gangi finds two women who had come to take water from the well. She hears these women expressing their anguish against the men folk. They said that men prefer to sit idle and make the women work. They treat women like their slaves. These women went away after filling their buckets with water. Gangi moved towards the well to get water. She knew that the upper caste people would punish her if she was caught taking water from the landlord's well. She throws the bucket tied to the rope into the well. There is no sound of the bucket going deep into the well. The moment she is about to get hold of the bucket that she had pulled out of the well, the landlord's door opens. She gets frightened and the bucket fell into the water with a splash. The landlord ran towards the well shouting. Gangi ran away and reached home. She found Jokhu drinking that stinking contaminated water.

She could not get even a lota a (small trembler) of clean water for sick Jhokhu just for being a low caste.

11.A. 4. THEME OF THE STORY

The story is about caste based differences. It shows the plight of the untouchables. Jokhu has to drink stinking water because of the caste based discriminations. Gangi goes to take water from the Thakur's well during the night . She knew that nobody would allow her to take water as she was an untouchable. If the Thakur comes to know that Gangi was taking water from his well, he will beat her. This fear does not allow her to take water and she has to come back without taking water.

All these details in the story express the theme of untouchability the story.

You can notice other details in the story related to the same idea. For example:

“They would drive her away from a distance”.

“No one feels our pain. Even when we die, no one comes to condole, least of all to lend his shoulder to the bier.”

Now explain the way these details bring out the theme of caste based differences and the negative attitude of the upper castes towards the untouchables.

The rejection and criticism of this social system based on discrimination against untouchables is the other related theme of the story. The writer conveys the message that these caste based differences are false and hollow. In the story, Gangi speaks about it.

Explain the following lines to show that Gangi rejects the idea of superiority of the upper castes:

*What makes us low, and them high? Just because they are wearing a string round their necks!

.....
.....
.....
.....

*"Only the other day the Thakur poached the shepherd's sheep, then slaughtered and ate it up. And this *panditji*'s house is a round-the-year den of gamblers. And this very Sahuji adulterates ghee with oil"

.....

.....

.....

.....

11.A. 5. CHARACTERIZATION : THAKUR'S WELL

There are two main characters in the story. We know little about Jokhu except that he belongs to the untouchable family and he is sick and thirsty. At the end of the story we find him drinking stale, stinking water. It shows that he has accepted his fate. He does not even wait for Gangi to tell him that she could not bring the water for him.

Now how did we learn even these details about Jokhu:

i. The description that the author gives , for example, . 'Gangi and Jokhu belonged to an untouchable family 'My throat's dry' 'Jokhu had been ill for many days'.

There are details in the story which reveal that Jokhu is a person who has accepted his fate and does not believe in making any attempt to change his position. For example, when Gangi wants to go and bring water for him he says: "'You'll get only broken arms and legs, nothing else. Sit quietly".

Please Note: Sometimes you get information about a character from what the other people say about him or her. For example, Gangi says a number of things about people of the village that tell us about their character.

Now describe some traits of the Thakur's character and personality from the details given below:

i. 'The Brahmin will curse, the Thakur wield his *lathi*, and Sahuji charge five for one.'

ii. 'He was able to obtain the copy without paying a single penny! One should know the tricks of the trade.'

iii. 'How the Thakur had bribed the *thanedar* and saved his skin.'

iv. Only the other day the Thakur poached the shepherd's sheep, then slaughtered and ate it up.

v. 'The Thakur advanced towards the well, shouting, 'Who's there? Who's there?' Gangi jumped from the well's platform and ran furiously away.'

11.A. 6. PLOT STRUCTURE : THAKUR'S WELL

For an understanding of the term plot , you can refer to the lesson on Ruskin Bond .

Answers to the following questions will help you identify and describe the plot of this story:

i. The plot of the story focuses on :

a) Gangi's struggle for water b) Jokhu's ailment c) Thakur bribing the thanedar.

.....

ii. Arrange the incidents as they occur in the plot structure of the story

a. . The idlers and the women are seen near the well. b. Gangi hides herself near the well c) Jokhu drinks stinking water d Jokhu falls ill e Gangi fails to bring water.

.....

.....

iii. All the incidents in the story:

a) look realistic b imaginary, and false.

iv. The incidents presented in the story :

a happen in a sequence b) happen in a disorderly way

v. The ending of the story is :

a happy b sad

11.A. 7. SETTING AND LOCATION : THAKUR'S WELL

The answers to the following questions will help you write about the setting of the story:

i. Where do the happenings in the story take place?

.....

ii. Is it a modern society or a traditional society to which the characters in the story belong?

.....

iii. Is the social system feudal or democratic and treating all as equals?

.....

iv. How are women treated by their men in this society?

.....

11.A. 8. TITLE OF THE STORY: THAKUR'S WELL

You will be able to describe the suitability of the title after going through the following points:

* The Thakur's well directly refers to the well owned by the Thakur and it also suggests the power of the upper castes in society.

* Gangi's struggle to get water from the Thakur's well is the focus of the story.

* The Thakur's well signifies the power of the upper castes that the story criticizes.

* No other title is as suitable as this . For example, if the story is given the title after the main character Gangi, it will not be appropriate. The story is about the power of the upper castes that

the Thakur's well signifies. Gangi is a character which shows the way the power of the upper castes is represented through this well.

* 'Untouchably' as the title of the story will destroy interest in the story as it will reveal that the story is about this theme

11. A. 9.LET US SUM UP

*Munshi Prem Chand is a well known Hindi short-story writer. His stories have been translated in many languages of the world. His stories depict a realistic picture of society of his times

*The story 'Thakur's Well' brings out the sufferings of a poor family in an Indian village because of the evil of untouchability and the power of the feudal lords.

* Gangi and Jokhu are the two main characters.

*The story moves around Gangi's failed attempts to get clean water for Jokhu.

*The story is set in a village and its plot follows a linear pattern.

*It has a suitable title.

11.A. 10. QUESTIONS ON COMPREHENSION:

- i. Why is Gangi unable to get water in the beginning of the story?
- ii. Give a brief description of the character of the Thakur.
- iii. What were Gangi's thoughts while she waited near the well to get water?
- iv. What were the women talking when they came to get water from the Thakur's well?
- v. What happens at the end of the story?
- vi. Do you think Jokhu and Gangi are the victims of the social system? How?
- vii. Comment on the ending of the story.

11.A. 11. FURTHER READINGS:

Abrams, M.H., A Glossary of Literary Terms. Bangalore: Prison Books Pvt.Ltd., 1993.

Note: You can read a few more stories by Munshi Prem Chand.

CHECK YOUR PROGRESS

ANSWERS AI: i. b ii. b iii. b iv c v. c.

CHECK YOUR PROGRESS:

ANSWERS AII:

i. c ii c iii a iv b

BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

Course: Reading Prose

UNIT-11: Rabindranath Tagore: The Homecoming

(Please Note: Unit no 11 has Two Parts: A and B)

PART: B

STRUCTURE

11B .0 Objectives

11. B.1. Introduction

11B.2. Biographical Note

11. B.3. About the Story : The Homecoming

11. B.3.1. Text: The Homecoming

11B.3.2. Glossary :The Homecoming

11. B.3.3. Summary: The Homecoming

11. B.4. Theme of the Story

11. B.5. Characterization

11. B.6. Plot Structure of the Story

11. B 7.Setting: The Homecoming

11. B 8. Title of the Story

11. B.9. Let us Sum Up

11. B 10.Questions on Comprehension

11. B. 11. Further Readings

11. B. 0. OBJECTIVES:

The study of this part of the unit is aimed to enable you to :

- Re-write the story 'The Homecoming' in your own words
- Locate the theme of the story

- List important features of the story
- Answer comprehension questions on the story
- Describe and analyze different features of the story

11.B. 1. INTRODUCTION

In this part of the unit we have explained different features of the story ‘The Homecoming’ by Rabindranath Tagore. After the note on the author’s life and works, you will find details about the story and its summary in simple language. We have given different activities to guide you in answering the questions on various issues of the story. You will find the exercise useful in exploring different aspects of the story.

The questions on comprehension are intended to mark the outcome of your learning. The ‘Check Your Progress Exercises’, help you revisit and see the things you have understood. You can check the correct answers to these exercises from their solutions given at the end of the unit.

11. B.2. BIOGRAPHICAL NOTE

Rabindranath Tagore, the son of Debendranath Tagore and Sarada Devi, was born on 7 May 1861 in Calcutta. His father was a religious reformer. He sent Rabindranath Tagore to England for his education but he came back after two years leaving his studies incomplete. After coming back, he started reading books and wrote poems in Bengali. His first collection of poems which got recognition as a work of art was ‘Manasi’.

He went to Bangladesh in 1891 and stayed there looking after his family’s estates. There he lived among the villagers for ten years and developed a sympathy for them. His stories written during this time depicted the life of the rural folk. Satyajit Ray, a famous film director adapted Tagore’s stories in films.

In the year 1901, he founded a school in rural West Bengal at Shantiniketan. This school later became Visva-Bharati University in 1921. He got the Nobel Prize for Literature in 1913. His most celebrated work is ‘Gitanjali’. He received Knighthood from the British Government in 1915 but he repudiated it as a mark of his protest against the Jallianwalla Bagh Massacre in 1919.

Tagore is mostly known for his poetry. He wrote several other works of literature including novels, short-stories, drama, songs, and travelogues. He is the author of our National Anthem.

Tagore died on 7 August 1941

CHECK YOUR PROGRESS B-I:

Choose the correct option:

i. Rabindranath Tagore came back from England

a. leaving his studies incomplete b) after completing his studies c) to meet his mother

ii. Fill in the blank choosing the correct option :

..... adapted Tagore’s stories to films.

a) Debendernath Tagore b) Manasi c) Sayajit Ray

iii. Choose the correct answer:

The school founded by Tagore developed and became

a) a university b) a hospital c) a park

iv. Tagore got Nobel Prize in the year

a) 1919 b) 1929 c) 1913

11.B.3.ABOUT THE STORY: THE HOME-COMING

Rabindranath Tagore's story, 'The Home Coming', is about Phatik Chakravorti's sufferings, struggle and the mental pain he experiences as a child. The fourteen year old boy suffers because of his mother's failure to understand his tender mind and giving preference to his younger brother Makhan. His mother considers him a nuisance and sends him away to live with his uncle in Calcutta. The boy suffers loneliness and isolation there away from his home. The story brings out the way the failure to understand the problems of young children results in their physical and mental sufferings.

11.B.3.1. TEXT: THE HOME-COMING

Phatik Chakravorty was ringleader among the boys of the village. A new mischief got into his head. There was a heavy log lying on the mud-flat of the river waiting to be shaped into a mast for a boat. He decided that they should all work together to shift the log from its place and roll it away. The owner of the log would be angry and surprised, and they would all enjoy the fun. Every one seconded the proposal, and it was carried unanimously.

But just as the fun was about to begin, Makhan, Phatik's younger brother, sauntered up, and sat down on the log in front of them all without a word. The boys were puzzled for a moment. He was pushed, rather timidly, by one of the boys and told to get up but he remained quite unconcerned. He appeared like a young philosopher meditating on the futility of games. Phatik was furious. "Makhan," he cried, "if you don't get down this minute I'll thrash you!"

Makhan only moved to a more comfortable position.

Now, if Phatik was to keep his regal dignity before the public, it was clear he ought to carry out his threat. But his courage failed him in such a crisis. His fertile brain, however, rapidly seized upon a new maneuver which would discomfit his brother and afford his followers an added amusement. He gave the word of command to roll the log and Makhan over together. Makhan heard the order, and made it a point of honour to stick on. But he overlooked the fact, like those who attempt earthly fame in other matters, that there was peril in it.

The boys began to heave at the log with all their might, calling out, "One, two, three ,go," At the word "go" the log went; and with it went Makhan's philosophy, glory and all.

All the other boys shouted themselves hoarse with delight. But Phatik was a little frightened. He knew what was coming. And, sure enough, Makhan rose from Mother Earth blind as Fate and screaming like the Furies. He rushed at Phatik and scratched his face and beat him and kicked him, and then went crying home. The first act of the drama was over .

Phatik wiped his face, and sat down on the edge of a sunken barge on the river bank, and began to chew a piece of grass. A boat came up to the landing, and a middle-aged man, with grey hair and dark moustache, stepped ashore. He saw the boy sitting there doing nothing, and asked him where the Chakravortis lived. Phatik went on chewing the grass, and said: "Over there," but it was quite impossible to tell where he pointed. The stranger asked him again. He swung his legs to and fro on the side of the barge, and said; "Go and find out," and continued to chew the grass as before.

But now a servant came down from the house, and told Phatik his mother wanted him. Phatik refused to move. But the servant was the master on this occasion. He took Phatik roughly, and carried him, kicking and struggling in impotent rage.

When Phatik came into the house, his mother saw him. She called out angrily: "So you have been hitting Makhan again?"

Phatik answered indignantly: "No, I haven't; who told you that?"

"His mother shouted: "Don't tell lies! You have."

Phatik said, "I tell you, I haven't. You ask Makhan!" But Makhan thought it best to stick to his previous statement. He said: "Yes, mother. Phatik did hit me."

"Phatik's patience was already exhausted. He could not hear this injustice. He rushed at Makhan, and hammered him with blows: "Take that" he cried, "and that, and that, for telling lies."

His mother took Makhan's side in a moment, and pulled Phatik away, beating him with her hands. When Phatik pushed her aside, she shouted out: "What! you little villain! Would you hit your own mother?"

It was just at this critical juncture that the grey-haired stranger arrived. He asked what the matter was. Phatik looked sheepish and ashamed.

But when his mother stepped back and looked at the stranger, her anger was changed to surprise. For she recognized her brother, and cried: "Why, Dada! Where have you come from?" As she said these words, she bowed to the ground and touched his feet. Her brother had gone away soon after she had married, and he had started business in Bombay. His sister had lost her husband while he was in Bombay. Bishamber had now come back to Calcutta, and had at once made enquiries about his sister. He had then hastened to see her as soon as he found out where she was.

The next few days were full of rejoicing. The brother asked after the education of the two boys. He was told by his sister that Phatik was a perpetual nuisance. He was lazy, disobedient, and wild. But Makhan was as good as gold, as quiet as a lamb, and very fond of reading. Bishamber kindly offered to take Phatik off his sister's hands, and educate him with his own children in Calcutta. The widowed mother readily agreed. When his uncle asked Phatik if he would like to go to Calcutta with him his joy knew no bounds and he said, "Oh, yes, uncle!" In a way that made it quite clear that he meant it.

It was an immense relief to the mother to get rid of Phatik. She was prejudiced against the boy, and no love was lost between the two brothers. She daily feared that he would either drown Makhan in the river, or break his head in a fight, or run him into some danger or other. At the same time she was somewhat distressed to see Phatik's extreme eagerness to get away.

Phatik, as soon as all was settled, kept asking his uncle every minute when they were to start. He was on pins and needles all day long with excitement, and lay awake most of the night. He bequeathed to Makhan, in perpetuity, his fishing-rod, his big kite and his marbles. Indeed, at this time of departure his generosity towards Makhan was unbounded.

When they reached Calcutta, Phatik made the acquaintance of his aunt for the first time. She was by no means pleased with this unnecessary addition to her family. She found her own three boys quite enough to manage without taking any one else.

And to bring a village lad of fourteen into their midst was terribly upsetting. Bishamber should really have thought twice before committing such an indiscretion.

In this world of human affairs there is no worse nuisance than a boy at the age of fourteen. He is neither ornamental, nor useful. It is impossible to shower affection on him as on a little boy; and he is always getting in the way. If he talks with a childish lisp he is called a baby, and if he answers in a grown-up way he is called impertinent. In fact any talk at all from him is resented. Then he is at the unattractive, growing age. He grows out of his clothes with indecent haste; his voice grows hoarse and breaks and quavers; his face grows suddenly angular and unsightly. It is easy to excuse the shortcomings of early childhood, but it is hard to tolerate even unavoidable lapses in a boy of fourteen. The lad himself becomes painfully self-conscious. When he talks with elderly people he is either unduly forward, or else so unduly shy that he appears ashamed of his very existence.

Yet it is at this very age when in his heart of hearts a young lad most craves for recognition and love; and he becomes the devoted slave of anyone who shows him consideration. But none dare openly love him, for that would be regarded as undue indulgence and therefore bad for the boy. So, what with scolding and chiding, he becomes very much like a stray dog that has lost his master.

For a boy of fourteen his own home is the only Paradise. To live in a strange house with strange people is little short of torture, while the height of bliss is to receive the kind looks of women, and never to be slighted by them.

It was anguish to Phatik to be the unwelcome guest in his aunt's house, despised by this elderly woman, and slighted, on every occasion. If she ever asked him to do anything for her, he would be so overjoyed that he would overdo it; and then she would tell him not to be so stupid, but to get on with his lessons.

The cramped atmosphere of neglect in his aunt's house oppressed Phatik so much that he felt that he could hardly breathe. He wanted to go out into the open country and fill his lungs and breathe freely. But there was no open country to go to. Surrounded on all sides by Calcutta houses and walls, he would dream night after night of his village home, and longed to be back there. He remembered the glorious meadow where he used to fly his kite all day long; the broad

river-banks where he would wander about the day singing and shouting for joy; the narrow brook where he could go and dive and swim at any time he liked. He thought of his band of boy companions over whom he was despot; and, above all, the memory of that tyrant mother of his, who had such a prejudice against him, occupied him day and night. A kind of physical love like that of animals; a longing to be in the presence of the one who is loved; an inexpressible wistfulness during absence; a silent cry of the inmost heart for the mother, like the lowing of a calf in the twilight;-this love, which was almost an animal instinct, agitated the shy, nervous, lean, uncouth and ugly boy. No one could understand it, but it preyed upon his mind continually.

There was no more backward boy in the whole school than Phatik. He gaped and remained silent when the teacher asked him a question, and like an over laden ass patiently suffered all the blows that came down on his back. When other boys were out at play, he stood wistfully by the window and gazed at the roofs of the distant houses .And if by chance he saw children playing on the open terrace of any roof, his heart would ache with longing. One day he summoned up all his courage, and asked his uncle: "Uncle, when can I go home?"

His uncle answered; "Wait till the holidays come." But the holidays would not come till November, and there was a long time still to wait .

One day Phatik lost his lesson-book. Even with the help of books he had found it very difficult indeed to prepare his lesson. Now it was impossible. Day after day the teacher would cane him unmercifully. His condition became so abjectly miserable that even his cousins were ashamed to know him. They began to jeer and insult him more than the other boys. He went to his aunt at last, and told her that he had lost his book.

His aunt pursed her lips in contempt, and said: "You great clumsy, country lout. How can I afford, with all my family, to buy you new books five times a month?"

That night, on his way back from school, Phatik had a bad headache with a fit of shivering. He felt he was going to have an attack of malarial fever. His one great fear was that he would be a nuisance to his aunt.

The next morning Phatik was nowhere to be seen. All searches in the neighborhood proved futile. The rain had been pouring in torrents all night, and those who went out in search of the boy got drenched through to the skin. At last Bishamber asked help from the police.

At the end of the day a police van stopped at the door before the house. It was still raining and the streets were all flooded. Two constables brought out Phatik in their arms and placed him before Bishamber. He was wet through from head to foot, muddy all over, his face and eyes flushed red with fever, and his limbs all trembling. Bishamber carried him in his arms, and took him into the inner apartments. When his wife saw him, she exclaimed; "What a heap of trouble this boy has given us. Hadn't you better send him home?"

Phatik heard her words, and sobbed out loud: "Uncle, I was just going home; but they dragged me back again".

The fever rose very high, and all that night the boy was delirious. Bishamber brought in a doctor. Phatik opened his eyes which were flushed with fever, and looked up to the ceiling, and said vacantly: "Uncle, have the holidays come yet? May I go home?"

Bishamber wiped the tears from his own eyes, and took Phatik's lean and burning hands in his own, and sat by him through the night. The boy began again to mutter. At last his voice became excited: "Mother," he cried, "Don't beat me like that! Mother! I am telling the truth!"

The next day Phatik became conscious for a short time. He turned his eyes about the room, as if expecting someone to come. At last, with an air of disappointment, his head sank back on the pillow. He turned his face to the wall with a deep sigh.

Bishamber knew his thoughts, and, bending down his head, whispered: "Phatik, I have sent for your mother." The day went by. The doctor said in a troubled voice that the boy's condition was critical.

Phatik began to cry out; "By the mark! --three fathoms. By the mark-- four fathoms. By the mark-." He had heard the sailor on the river- steamer calling out the mark on the plumb-line. Now he was himself plumbing an unfathomable sea.

Later in the day Phatik's mother burst into the room like a whirlwind, and began to toss from side to side and moan and cry in a loud voice.

Bishamber tried to calm her agitation, but she flung herself on the bed, and cried: "Phatik, my darling, my darling."

Phatik stopped his restless movements for a moment. His hands ceased beating up and down. He said: "Eh?" His mother cried again: "Phatik, my darling, my darling."

Phatik very slowly turned his head and, without seeing anybody, said: "Mother, the holidays have come."

11. B.3.2. Glossary

ringleader	the leader of a small group
mast	a vertical pole on a ship or boat, used to support sails
mudflat	a stretch of flat, muddy land by the side of a river
second	to agree to something or support a proposal
unanimously	without disagreement
saunter	to walk in a leisurely manner
timidly	in a shy or unsure manner
meditate	to carefully think about something
futility	uselessness
thrash	to beat up
crisis	here, a moment of importance
peril	danger
hoarse	(of a voice) deep and harsh sounding, as if from shouting, illness or emotion
furies	(from greek mythology) spirits of punishments
indignantly	to behave in an angry or annoyed way as a result of something perceived to be unjust
sullenly	in a bad mood

prejudice	unreasonably finding fault with or disliking someone or something
unbounded	appearing to have no limits
indiscretion	behavior that is unwise or displays a lack of good judgment
ornamental	here, good-looking
impertinent	rude or disrespectfully
resent	to feel bitter towards someone or about something

CHECK YOUR PROGRESS B-II:

i. The name of Phatik's younger brother is :

a) Makhan b) Bishamber c) Mohan

ii. Choose the correct option:

a) Phatik's mother loves him more than his younger brother b) Phatik has great affection for his younger brother. c) Phatik's mother takes sides with his younger brother .

iii. Choose the correct answer:

a) Phatik welcomes his Uncle Bishembar near the bank of the river b) On their first meeting Bishamber offers sweets to Phatik. C) Bishembar asks him where the Chakravortis lived.

iv. Phatik promptly agrees to go to Calcutta because:

a) he loved his uncle b) liked his aunt's children c) wanted to go away from his home and mother.

v. When Phatik goes missing:

a) his uncle brings him back home b) his mother takes him back to his uncle's home c) police men bring him back.

vi. Phatik's aunt:

a) wants him to go back to his village b) wants him to work hard in his studies c) beats him everyday

11. B. 3.3.SUMMARY

Phatik Chakravorty is a mischievous boy. He is the ringleader among the village boys. He plans a mischief for fun. There is a heavy log meant for making a mast for a boat. The boys want to roll it away. They think that the owner of the log would be angry and they will have a hearty laugh at it. Before they could do this, Phatik's younger brother Makhan goes and sits over the log as if challenging Phatik's authority. Phatik asks him to get up but he does not agree. Phatik asks the boys to roll the log away and they follow his command. They roll the log and Makhan gets hurt.

He gets up and attacks Phatik by scratching his face and kicking him. He goes home crying. Phatik is irritated but he keeps sitting on the banks of the river.

At this time, a middle aged man comes there in a boat and asks Phatik about the Chakravorty house. As Phatik is upset due to his quarrel with his brother he does not bother to pay attention to the stranger and asks him to go and find the house himself. He does not realize that the stranger wanted to know the way to Phatik's house only, and this stranger was actually his uncle.

As the stranger leaves, a servant from Phatik's house comes and forcibly takes him home. His mother accuses him of having beaten his younger brother Makhan. Phatik tries to prove his innocence but his mother does not believe him. When Makhan persists telling lies, and complaining that Phatik had hit him, Phatik loses his patience as it was something unjust that he could not tolerate. He starts beating Makhan. The mother sides with his younger brother and showers blows on him calling him a villain.

The man, who had asked Phatik the way to the Chakravorty house, comes there. He turns out to be Phatik's maternal uncle, his mother's brother. He had gone and started living in Bombay immediately after the marriage of his sister, Phatik's mother. His name is Bishamber and he has come back to Calcutta. Phatik's father had died when Bishamber was in Bombay. He was visiting his sister after a long time.

Phatik's mother tells her brother Bishamber that the boy Phatik was disobedient and unruly. He offers to take Phatik to Calcutta and educate him with his own children. Phatik is happy to go with his uncle. His mother feels relieved as she wants to get rid of the boy. She feared that Phatik could cause harm to his younger brother. But she was also pained to see Phatik's eagerness to leave. Phatik leaves his playthings for Makhan. He looks very generous and kind to Makhan at the time of his departure.

On reaching Calcutta, Phatik meets his aunt, Bishamber's wife, for the first time. She is not happy to receive Phatik in her home. She considers him a burden on the family. She already finds it difficult to manage her own three sons.

The writer then explains the problems of the boys at the age of fourteen. A boy in this age is always a nuisance because of certain traits of his age. His voice is hoarse, and he looks shabby. He can neither be treated as a child nor an adult. But an affectionate and sympathetic attitude can make a young boy obedient and respectful.

Phatik is pained to see that his aunt dislikes him. All his attempts to please the Aunt turn futile. The atmosphere of the house is suffocating. He wants to go out in the open and have some freedom. He remembers his house and wants to go back. He has no interest in studies. He rather longs to enjoy as he used to in his village. He asks his uncle about going back home in the village. The uncle tells him that he could go during the holidays in November only. It was a long time for him to wait for the holidays.

One day Phatik loses his book and fails to prepare his lessons. He is caned at school for not preparing his lessons. His condition in the school becomes so miserable that his cousins start insulting him more than the other boys. His aunt scolds him for losing the book. Phatik feels sick. He does not want to tell this to his aunt as he fears that it would trouble her more.

The next day, the boy Phatik is not seen anywhere there. His uncle and other people of the neighborhood go in search of him. They get drenched in the rain. seeks help of the police. The policemen find out the boy at the end of the day.

The boy had fever and he was drenched in rain. Bishamber brings him home. His wife asks him to take the boy back to his home in Calcutta. On hearing the aunt's words, Phatik tells his uncle that he was on his way to his home when the police caught and brought him back. Due to high fever, he is semi-conscious.

His uncle calls in a doctor. In his delirium Phatik repeatedly said, "Uncle, have the holidays come yet? May I go home?" Sometimes he would speak aloud that he was speaking the truth.

The next morning, Phatik looked at the door as if expecting someone to come and take him home. His uncle tells him that he had already sent for his mother. Phatik keeps dreaming about his life in the village. His mother arrives. When she calls him showing her affection, he utters these words only, "Mother, the holidays have come". The story comes to an end leaving us thoughtful and sympathetic for this young boy.

11.B.4. CHARACTERIZATION: THE HOMECOMING

A. Pick up the traits that you find in the Character of Phatik and draw his character-sketch:

- i. Obedient and Disciplined. ii. Innocent
- iii. Mischievous iv. Disobedient v. Takes interest in Studies
- vi. Has no interest in studies. vii. Feels homesick
- viii . Can live away from home ix. Popular among his friends x. Self-respecting

B. Select the relevant sentences for the character-sketch of Phatik's mother:

- i. Easily misguided.
- ii. Understands the problems of her children
- iii. Fails to understand the problems of her children
- iv. Has deep understanding of child psychology.
- v. Biased
- vi. Careless
- vii. Prefers to depend upon others
- viii. Tries to face the situation.
- ix. Takes impulsive decisions
- x. Thinks much before taking a decision

11. B.5. THEME: THE HOMECOMING

Choose the ideas out of the ones given below which relate to the theme of the story:

- i. The parents' failure to understand the problems of their children can harm them.
- ii. It is difficult for a child to stay away from home.

- iii. Children should not visit their aunts and uncles.
- iv. There is no place like home.
- v. Mischievous children should be beaten and sent away from home.

11. B.6. PLOT STRUCTURE OF THE STORY

Answering the following questions will help you develop the plot structure of this story:

What is the first important incident in the story?

- i. The quarrel between Phatik and Makhan
- ii. The arrival of uncle Bishamber
- iii. The servant coming to take Phatik home.

SELECT THE CORRECT OPTION:

The Second significant happening is :

- i. Bishamber's meeting his sister
- ii. Phatik meeting his uncle for the first time
- iii. Phatik's going away to Calcutta with his uncle
- iv. His aunt meeting him in Calcutta

Pick up the correct option:

The third important happening in the story is :

- i. Phatik's losing the book
- ii. His going to school
- iii. His not taking interest in studies

The fourth significant happening in the story is? :

- i. Phatik's running away from home and falling ill
- ii. His uncle seeking the help of the police
- iii. Phatik's getting drenched in the rain.

The story ends with.....:

- i. Phatik asking his uncle to take him back home
- ii. The arrival of Phatik's mother and his uttering the last sentence
- iii. Bishambertelling Phatik that he would take the boy to his home.

The ending of the story is:

Tragic,

Comic

Neither tragic nor comic

11.B.7. TITLE OF THE STORY

We have explained here what makes the title of this story relevant and significant:

One meaning of the title is related to Phatik's longing to return home. Therefore, it is home coming for him.

The deeper meaning of the title implies that man's ultimate home is the abode of God. Man finds peace only at his real home.

Note: A story does not have only one relevant title. We can explore other titles also. You can take hints from the above explanation about the title and do the following exercise.

Exercise: Pick up the other statements which can be used as the title of this story and explain why?

- i. Go east go west home is the best
- ii. Phatik and Shankar
- iii. Bishamber the Uncle
- iv. A Cruel Aunt
- v. Children need Understanding and Care

11.B.8. SETTING AND LOCATION: THE HOMECOMING

Pick up the correct options to describe the setting and location of the story ‘The Home Coming’.

- i. Do the names and other details indicate anything about the place where the story is set?
.....
- ii. What information do we get about the setting of the story from the details where the children are playing in the beginning?
.....
- iii. Name the places i.e. villages and cities , if any ,where the story is set.
.....
- iv. Do the happenings presented in the story occur at the same place?
.....

11.B.9. LET US SUM UP

- Rabindranath is a world famous Nobel laureate .
- His story ‘The Homecoming’ is about the problems that careless handling of children causes.
- It is a touching story of Phatik’s miseries resulting from his mother’s biased attitude against him.
- The importance of home in one’s life is a major theme of the story.
- The story brings out the way a child feels isolated and lonely when displaced from his surroundings,
- The story has a well developed plot, a suitable title and interesting characters.

11.B.10. COMPREHENSION QUESTIONS

- i. How does the conflict between Phatik and his younger brother bring?
- ii. Describe Phatik’ first meeting with his uncle Bishamber.
- iii. Why is Phatik happy to go to his uncle’s house at Calcutta?
- iv. How is Phatik treated by his Aunt? Illustrate your answer with examples from the story.
- v. What does the writer say about a fourteen year old boy?

- vi. What happens after Phatik learns that he will have to wait for a long time before going back to his village?
- vii. Give a brief character –sketch of Phatik.

11. B.11.FURTHER READINGS

Abrams, M.H., A Glossary of Literary Terms. Bangalore: Prison Books Pvt.Ltd., 1993

Iyenger, K.R.S., *Indian Writing in English*. 5th Edition, New Delhi : Sterling Publishers, 1999

Reid, Ian .The Critical Idioms : The short story. London: Methuen & Co. Ltd. 1977

Kaur , Mohinder Critical Study of Tagore's Short Stories. S. Chand and Company. Delhi: 1989

CHECK YOUR PROGRESS:

ANSWERS B-I : i. a ii. c iii. a iv c

ANSWERS B-II: i. a ii. c iii. c iv c v. c vi.a



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**JAGAT GURU NANAK DEV
PUNJAB STATE OPEN UNIVERSITY, PATIALA**

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE (CC): HISTORY

SEMESTER II

BLAB31203T

HISTORY OF INDIA: c.1200-c.1750

Head Quarter: C/28, The Lower Mall, Patiala-147001
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JAGAT GURU NANAK DEV PUNJAB STATE OPEN UNIVERSITY, PATIALA
(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

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Prof. Anita Gill
Dean Academic Affairs



BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE(CC): HISTORY

SEMESTER-II

(BLAB31203T) HISTORY OF INDIA: c.1200-c.1750

MAX. MARKS: 100

EXTERNAL MARKS: 70

INTERNAL MARKS : 30

PASS PERCENTAGE :35%

Total Credits:6

Course Objective:

This course provides a basic understanding of the political, economic and socio-cultural processes from c. 1200 to c.1750. This rounded overview bridges the ancient with the modern periods of Indian history.

INSTRUCTIONS FOR THE PAPER SETTER/EXAMINER:

1. The syllabus prescribed should be strictly adhered to.
2. The question paper will consist of three sections: A, B, and C. Sections A and B will have four questions each from the respective sections of the syllabus and will carry 10 marks each. The candidates will attempt two questions from each section.
3. Section C will have fifteen short answer questions covering the entire syllabus. Each question will carry 3 marks. Candidates will attempt any 10 questions from this section.
4. The examiner shall give a clear instruction to the candidates to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.
5. The duration of each paper will be three hours.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

SECTION -A

Unit 1: Establishment and Consolidation of the Delhi Sultanate (1206-1236); Towards a Centralized Monarchy (1236-1290); Territorial Expansion (1290-1320)

Unit 2: Expansion and Disintegration (1320- 1388); Rise of New States: Vijayanagar, Bahmani and the Lodhi Sultanates

Unit 3: Government and Administration; Nature of the State

Unit 4: Establishment of Mughal rule (1526-1556); Expansion under Akbar (1556-1605); A New Conception of the State

Unit 5: Administrative framework: Central and Provincial Administration; Land revenue; Jagirdari; Mansabdari

SECTION -B

Unit 6: Political Developments after Akbar (1605-1707); Decline of the Mughal empire; Rise of the Maratha power

Unit 7: Economy: Agricultural Production; Manufactures; Trade

Unit 8: Society: Social Classes; Slavery; Women

Unit 9: Religious Developments: Sufi Orders; Vaishnava Bhakti; Kabir and Ravi Das; The Sikh Movement

Unit 10: Literature; Architecture; Painting

Suggested Readings

- Irfan Habib, *Medieval India: The Study of Civilization*, National Book Trust of India, New Delhi, 2007.
- Satish Chandra, *Medieval India: From Sultanate to the Mughals*, 2 Vols, Har-Anand Publications, New Delhi, 2014 (reprint).
- J.S. Grewal, ed. *The State and Society in Medieval India*, PHISPC, Oxford University Press, New Delhi, 2005.
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COURSE (BLAB31203T): HISTORY OF INDIA: c. 1200 – c.1750

SEMESTER - II

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: HISTORY OF INDIA: c.1200-c.1750

UNIT 1: ESTABLISHMENT AND CONSOLIDATION OF THE DELHI SULTANATE (1206-1236); TOWARDS A CENTRALIZED MONARCHY (1236-1290); TERRITORIAL EXPANSION (1290-1320)

STRUCTURE

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1.2 Establishment and Consolidation of the Delhi Sultanate (1206-1236A.D.)

1.2.1 Qutbuddin Aibak

1.2.2 Iltutmish

1.2.3 Check Your Progress I

1.3 Towards a Centralized Monarchy (1236-1290A.D.)

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1.7 Questions for Practice

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1.7.2 Short Answer Questions

1.0 LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Gain information about the establishment and consolidation of the Delhi Sultanate under the slave dynasty.
- Analyze the struggle towards the centralized monarchy under the successors of Iltutmish.
- Evaluate the factors which led to the internal restructuring of the Delhi Sultanate and its territorial expansion under the Khalji's.

1.1 INTRODUCTION

Students, this unit will examine the foundation of the Delhi Sultanate under Qutbuddin Aibak in 1206 A.D. His successor, Iltutmish was considered as the real consolidator of the Delhi Sultanate. This unit will be looking at the struggle for power between the successors of Iltutmish and the establishment of centralized monarchy under Balban. The last section will examine the rise of the Khalji's and the territorial expansion under Alauddin Khalji. The Delhi Sultanate expanded and covered almost the entire country.

1.2 ESTABLISHMENT AND CONSOLIDATION OF THE DELHI SULTANATE (1206-1236 A.D.)

The initial entry of the Muslims in the country began with the invasion of Muhammad bin Qasim in 711 A. D. He invaded Sindh and Multan. After three years, Sultan Mahmud of Ghazni led a series of expeditions to the country from 1000 to 1027 A.D. These expeditions aimed for the territorial expansion and collection of fabulous wealth from the country. He attacked different Rajput kingdoms and returned every time with the vast booty. By doing this, he established his superiority among the other Muslim rulers. In the 12th century, Muhammad Ghori invaded the country in 1175 A.D. He began with the conquest of Multan, Uch, and Sindh; and proceeded towards Delhi. He defeated the Rajput ruler Prithvi Raj Chauhan in the second battle of Tarain in 1192 A.D. It proved to be a decisive battle and laid the foundation of the Muslim rule in the country. He died in 1206 A.D. From 1206 to 1526 A.D., the Delhi Sultanate ruled the entire country. In the period of over three hundred years, five dynasties ruled Delhi. These were: the Slave dynasty (1206-90 A.D.), the Khalji's (1290-1320 A. D.), the Tughlaq dynasty (1320-1413 A. D.), the Sayyid dynasty (1414-51 A. D.) and the Lodhi dynasty (1451-1526 A. D.).

1.2.1 QUTBUDDIN AIBAK

Qutbuddin Aibak was a Turkish slave of Muhammad Ghori, who played an active role in the battle of Tarain as well as in Turkish conquests of North India. After Muhammad Ghori's death, the control of Indian possessions was passed to him. He became the Sultan of Lahore in 1206 A.D. with the support of local nobles. He faced many revolts from the Rajput rulers and other Indian chiefs. Tajuddin Yalduz, the ruler of Ghazni claimed his rule over Delhi. Nasiruddin

Qabacha, the governor of Multan and Uch aspired for independence. Qutbuddin Aibak was able to win over his enemies by the conciliatory measures as well as display of the power. His contemporaries praised him because of his liberality, beneficence and gallantry. Due to his generosity, he was known as Lakh Baksh. He was a liberal ruler and put an emphasis on justice. He started the construction of Qutub Minar in the memory of a Sufi saint, Qutbuddin Bakhtiyar Kaki, but completed by his son-in-law Iltutmish. He died in 1210 A.D., by falling from the horse while playing Chaugan. He was the first independent Turkish ruler in India. He was succeeded by his son Aram Shah who ruled Lahore for about eight months. He was an incapable ruler and Turkish Amirs opposed him. He was defeated and deposed by Iltutmish.

1.2.2 ILTUTMISH

Iltutmish was considered as the real consolidator of the Delhi Sultanate. He became the Sultan in 1210 A.D. and ruled up till 1236 A.D. Earlier, he was a slave of Qutbuddin Aibak and commenced his career as a Sar-i-Jandar (head of the royal body guards). Qutbuddin Aibak married his daughter to Iltutmish and appointed him the governor of Badaun. He fully displayed his administrative acumen and proved that he was equipped to wield the statecraft. When he ascended the throne, he found himself surrounded with many problems. In the first place, Aram Shah marched to take up the throne of Delhi, he was defeated in the battle of Tarain. In addition to this, the Turkish nobles were not prepared to accept Iltutmish as their Sultan and prepared to revolt against him. Iltutmish marched and defeated the rebels and executed them. There were several revolts against him in different parts of the country. He crushed them all. He controlled Delhi, Banaras, Awadh, Badaun and area up till Siwaliks. But, Multan and Uch, Siwistan up to the sea in Sindh was under the control of Qabacha and Lakhnauti under the Khalji Maliks. Iltutmish acted with considerable caution and patience to secure his throne from his rivals.

Iltutmish displayed great tact and diplomatic skills to control Punjab and Sindh. He established friendly relations with Yalduz at Ghazni. He accepted the letter of manumission and Durbash (two-headed baton) which was a symbol of royalty. In 1215 A.D., Yalduz was driven out of Ghazni by Khwarazm Shah, so he came to Lahore and occupied it. He expelled Qabacha and claimed his over lordship over Punjab. Iltutmish then marched against him, and he was badly defeated in the battlefield of Tarain. He was sent to Badaun as captive, where he was beheaded. Iltutmish restored Lahore to Qabacha, but disputes arose between them upon the boundaries of Lahore. Qabacha wanted to extend his control up to Tabarhinda and Kuhram. Qabacha marched against him. Iltutmish followed him to Mansura, where he was badly defeated.

Chingez Khan, the Mongol leader, became extremely powerful. He captured Peking and controlled the entire Transoxiana region. In 1221 A. D., Jalaluddin Mangabarani, the last Khwarazm ruler, defeated the Mongol forces. He crossed Indus and with the support of Khokhars, he conquered Punjab up to Thanesar. He sent a message to Iltutmish to make an alliance against the Mongols. Iltutmish diplomatically refused his call. Jalaluddin quit Lahore and moved towards Qabacha in Sindh. He defeated Qabacha and occupied Uch. Chingez Khan turned back at the Indus and resumed the route Jalaluddin had been following. Chingez Khan

died in 1227 A. D., till then Iltutmish did not interfere with Qabacha, who remained a buffer between the Mongols and his own kingdom. In 1228 A.D., Iltutmish decided to conquer Sindh from Qabacha and invested Uch. After the siege of three months, Qabacha fled to Bakkhar. When Iltutmish marched towards him, he committed suicide by drowning himself in the river Indus. Thus, by 1228 A. D. whole Multan and Sindh up to the sea came under the control of Iltutmish. This was marked as the first phase of consolidation of the Delhi Sultanate.

Iltutmish reasserted his control over the districts of Bihar, south of the Ganges. In 1225 A.D., Iwaz Khalji established an independent kingdom in Bengal, submitted to him with heavy war indemnity. Iltutmish awarded Bihar to his own officers. As soon as Iltutmish turned his back, Iwaz again rose in rebellion and ousted his officials from Bihar. Then Iltutmish asked his son, Nasiruddin Mahmud, the governor of Awadh to tackle the situation. Two years later, when Iwaz was camping in Kamrup (Assam) and Bang (East Bihar) Nasiruddin Mahmud occupied Lakhnauti and defeated Iwaz in the battle. He was imprisoned and executed. Nasiruddin was appointed in-charge of Lakhnauti, but he died shortly afterwards. After 1230 A.D. Iltutmish led a second campaign towards Lakhnauti and brought it under his control.

Iltutmish faced numerous internal rebellions, but he effectively dealt with it. Firstly, he quashed the rebellion of the local rajas at Badaun, Kannauj and Banaras. Secondly, the Rajputs of Katehar (modern Rohelkhand) continued to create problems in the region. He attacked Katehar and cleared the region up to the Siwaliks. In addition to this, he captured Ranthambhor in 1226 A.D. It was a great success because Ranthambhor was considered an impregnable fortress. As it was far away from Delhi, it was difficult for the Sultan to keep effective control over the fort. So, he returned it to the Chauhans as feudatories. After that he controlled Ajmer and Bayana. He invested Gwalior around 1231 A. D. The Paramar ruler of Gwalior resisted for years and then forced to evacuate the fort. He used the Gwalior fort as a base for plundering raids into Bundelkhand and Malwa. He also raided Bhilsa and Ujjain in Malwa. He also destroyed the famous temple of Mahakali at Ujjain.

Iltutmish died in 1236 A.D. He was the greatest ruler of the thirteenth century. He re-established the territorial integrity of the Delhi Sultanate. His decisive powers were seen when he dealt with Yalduz, Qabacha and Jalaluddin Mangabarani. He was very patient and far-sighted. He believed in the steady consolidation rather than rapid expansion. He also obtained the letter of Investiture from the Caliph of Baghdad in 1229 A. D. to gain legitimacy. His legal status as an independent sovereign was reaffirmed in the eyes of Muslims. He appointed talented people on high posts, Turks as well as non-Turks. They became the pillars of administration and supported the Delhi Sultanate. He assigned villages to the troopers of his own central army. These were known as Iqtas. He appointed his own officials to collect land revenue from Iqtas (land assignments) as well as from Khalisa land (crown land). He also made Delhi the political, administrative and cultural centre of the Turkish rule in India. Delhi also became the refuge for the nobles, bureaucrats, scholars, poets and religious divines from the Central Asia to protect them from the Mongol attacks. He set up new buildings in Delhi. The most prominent among them was Qutab Minar, commenced by Qutbuddin Aibak which Iltutmish completed; The Hauz

Shamsi, the south of Qutab Minar; and Madrasah around it was built by him. He was also fond of Islamic learning and poets, so he honored the Sufi saint of his time such as Qutbuddin Bakhtiyar Kaki. He earned the deep respect and attachment of the people of Delhi because of his military prowess, pleasing manners and liberality.



India in 1236¹

¹ S.A.A.Rizvi, *The Wonder That Was India*, Vol. II, London: Sidgwick and Jackson, 1987, p.26.

1.2.3 CHECK YOUR PROGRESS I

1. When and how did Qutbuddin Aibak die?

2. Who started the construction of Qutub Minar?

3. Who was Chingez Khan?

4. Mention the difficulties faced by Iltutmish at the time of his accession to the throne?

5. Define the term Iqta?

6. Who was Jalaluddin Mangabarani?

1.3 TOWARDS A CENTRALIZED MONARCHY (1236-1290 A.D.)

There was a decade of political instability at Delhi after the death of Iltutmish. There was an acute struggle between the Turkish nobles and the Tajiks (another ethnic group). Tajiks were Iranians from Transoxiana and Khurasan region. The tussle for power was going on between them until Balban came to the throne and established a centralized monarchy in the Delhi Sultanate.

1.3.1 RAZIA AND HER SUCCESSORS

Ruknuddin Firuz, son of Iltutmish was crowned as the Sultan of Delhi with the support of the Ulemas and the Turkish nobility. He was an incompetent ruler and left the affairs of the state to his mother, Shah Turkan. Another son of Iltutmish rebelled in Avadh, Ruknuddin Firuz marched out of capital to suppress the rebellion. This gave Razia, the opportunity to seize the throne. Firuz was imprisoned and put to death in 1236 A. D. Razia was supported by a strong body of Turkish slave officers, who were the Iqtadars (governors) of Badaun, Multan, Hansi and Lahore. Razia strengthened her claim by recalling that in his lifetime, Iltutmish had nominated her as his successor in preference to his sons. This was not accepted to many, including the Iltutmish's Wazir, Nizamul-Mulk Junaidi. Even then, Razia succeeded to the throne and managed to win over leaders to her side. Nizamul-Mulk Junaidi was isolated, flee from the kingdom and died.

Razia took the charge of the Delhi Sultanate and started taking steps to reorganize the administration. She pacified the kingdom and extended the power of the state. The nobles submitted to her from Lakhnauti to Debal and obeying her orders. She laid aside the female dress and wore a short tunic and a conical hat. She began to appear unveiled in the Darbar and rode out on an elephant with her face uncovered. She established direct contact with the administration. The people see her openly and supported her. But the orthodox and conservative nobles opposed her. This opposition aggravated further when she appointed Muhazzab ud din, a Tajik, as a

deputy Wazir and gave high positions to the other Tajiks as well. She also appointed Malik Jamaluddin Yakut, (Abyssinian), as Amir-Akhur or the superintendent of the royal horses. This was a strategic position and the holder of this position was close to the ruler. This also created resentment among the nobility. In a real sense, the resentment was because she was a woman directly exercising her power and firmly taking her decisions.

By 1239-40 A. D., the rebellions broke out in the empire. Razia marched to Lahore to suppress the rebellion of Kabir Khan, the governor of Lahore. She forced Kabir Khan to submit and appointed him as Iqtadar of Multan in place of Lahore. Another rebellion came her way, Altunia, the governor of Bathinda rebelled, killed Yaqut and took Razia as prisoner. The ruling party in Delhi ignored Altunia and placed Iltutmish's third son, Bahram, on the throne. Razia, exploiting the situation to her advantage, married Altunia. They marched against Delhi together, but their supporters deserted them. Both were killed in 1240 A. D. by the dacoits. She ruled successfully for three and a half years. She had all the qualities of a sovereign. She was prudent, benevolent, benefactor to her kingdom, a dispenser of justice, the cherisher of her subjects and a great warrior.

The period of continued struggle between the nobles and the monarchy began with the death of Razia. The Turks struggled to dominate the government, specially the Iltutmish's leading Maliks. They controlled various strategic forts and their personal jealousies and rivalries destroyed them. They were neither raised their member to throne nor strengthen the royal power. The leading nobles who had placed Iltutmish's third son Bahram Shah on the throne made him create the position of regent (Malik Naib). The regent was intended to be the de facto ruler, the Sultan merely a head. There was total chaos during the reign of Bahram Shah and his successors. In 1241 A. D., the Mongols crossed the Indus and reached at the gates of Lahore. They smashed the fort and the governor fled. There was no help from Delhi, only the locals fought bravely with the Mongols. They suffered heavy losses, sacked the city and went back. After them, the Khokhars plundered the city. Bahram Shah was busy in securing his position, but failed. He died in 1242 A. D. Balban, a leading Turkish slave commander, tried to make himself the Sultan, but did not receive the support. Balban was forced to accept the governorship of Nagaur. Alauddin Masud, son of Ruknuddin Firuz, was eventually made the Sultan of the Delhi Sultanate. He ruled from 1242 to 1246 A. D. During his reign, Tughan Khan, the governor of Lakhnauti, declared his independence. He controlled Bihar and Awadh including Bengal. The ruler of Jajnagar (Orissa) then invaded Bengal. In addition to this, the Mongols again crossed Indus and besieged Uch. The army under Balban was sent to Lahore to deal with the situation. Later, Balban conspired and Alauddin Masud was replaced with Nasiruddin Mahmud, a grandson of Iltutmish, to the throne in 1246 A. D. Nasiruddin became the puppet in the hands of the nobles. He had little interest in the political and administrative affairs. He devoted all his time to prayers and religious observances. The period after the death of Iltutmish denoted a serious crisis in the relationship between the monarchy and the Turkish nobles.

1.3.2 BALBAN

Balban belonged to a family of Ilbari Turks. He was known as Ulugh Khan (Great Khan). He was the slave of Iltutmish and also member of the Chihalgani Turks. Gradually, he rose to the position of Mir Hajib, or the Lord Chamberlain. He showed his bravery and skill in the fight against the Mongols in 1246 A.D. In the following year, Balban led an expedition against the Khokhars. In 1247-48 A. D., he overran Kalinjar, Ranthambhor and Mewat. Within three years he assumed the position of the Naib-i-Mamlakat (regent of the kingdom) and controlled the army and the administration. He strengthened his position by marrying his daughter to the Delhi Sultan, Nasiruddin Mahmud in 1249 A.D.

As a Naib under the Sultanate, Balban faced a number of difficulties. Firstly, Balban and his relatives held high posts and powerful Iqtas resulted in the strong opposition of the Turkish and Tajik nobles. Qutlugh Khan, governor of Bihar, was his strongest enemy who was the senior most officer of the Chihalgani. Due to the opposition, Balban was asked to quit his post of Naib in 1253 A.D. and his cousin Sher Khan, governor of Sindh was also ousted. Secondly, new appointments were made in which Imaduddin Raihan was appointed as the Wakildar or deputy to the king in judicial matters and the Turkish noble, Nizamul Mulk Junaidi was appointed as a Wazir. They influenced the political affairs, and it became more difficult for Balban to regain his position. Balban made continuous efforts to regain his position and his Iqta in Nagaur. Things turn into his favor when he gathered a large booty from Ranthambhor. The Turkish nobles joined hands with Balban. He also detached many Turkish Amirs from the side of Raihan. In 1255 A.D., an army was sent against Raihan, and he was defeated and killed. Balban soon settled his course with his leading opponents. After that he sent his expedition against Qutlugh Khan who declared himself independent. He took stern action against all his enemies. He compelled the king to hand over the Chatr or royal canopy. He poisoned the king and assumed the throne of the Delhi Sultanate.

In 1266 A.D., Balban ascended the throne of the Delhi Sultanate. It marked the beginning of an era of strong, centralized government to face internal and external dangers. He increased the prestige and power of the monarchy and took the control of the Delhi Sultanate into his own hands. He believed in the Iranian theory of kingship. According to which the king was a divine or semi-divine in character, and answerable only to God. He believed that the Sultan was the shadow of God (Zill Allah). He introduced the practice of Sijda and Paibos, or prostration before the sovereign. He maintained a splendid court in which he ordered his nobles to stand in a serried rank. He neither associated with the low-born nor in the favor of giving them high positions. He claimed that he was the descendant of the Iranian hero, Afrasiyab. He did not like to share his power, so he poisoned his cousin, Sher Khan, for opposing him. He went to any extent to defeat his rivals. He defended the Turkish nobility. He appointed spies (Barids) in all the cities, districts and Iqtas. They informed the Sultan about the actions and activities of the nobles in the empire. In his attitude towards the people, he was the combination of harshness and benevolence. He was concerned about the well-being of the common masses, including his

slaves and domestic servants. He was in favor of levying moderate land tax (Kharaj) on the peasants. He helped the poor and the needy.

Balban was extremely harsh on the rebellions and revolts of the people. The first two years of his reign spent in suppressing the Meos, who attacked the city, looted the innocent people, molested the girls, destructed the trade, and most of all it became difficult for the caravans and the traders to come and depart. He took stern action against them. He built a fort and established Thanas (military outposts) for the security of the people. He also protected the Doab region by punishing the disobedient, clearing the forest area, establishing the strong forts, and maintaining law and order. The roads were also freed for the traders and the banjaras. He also took stern actions against the rebels in Katehar (modern Rohilkhand). The rebels plundered the villages and harass the people of Badaun and Amroha. To deal with such issues, he reorganized an efficient and strong army. The brave and experienced men were appointed in the royal forces. The adequate remuneration was given to them in the form of Iqta. He kept his army active and vigilant.

Balban kept the territorial integrity of the Delhi Sultanate. He increased the power and prestige of the central government by suppressing the ambitious Turkish nobles and chiefs; and Rajput Rajas, Rais and Zamindars. First of all, he focused on strong Rajput states Gwalior and Ranthambhor. He recovered Gwalior but unsuccessful in capturing Ranthambhor. The Ranthambhor was under the control of Chauhans, and they continued to hold it. He controlled the cities of Ajmer and Nagaur. The Turks were not able to carve their influence beyond these cities. He led the second expedition towards the Baghelas of Bundelkhand, south of the Jamuna. Balban launched a successful attack on the Baghela chief of Rewa to clear the plain area south of Kara. After this victory, he turned his attention towards Katehar or modern Rohilkhand. The Katehariya Rajputs with their centre at Ahichchata, continued to harass Badaun and Sambhal. Balban launched an expedition and took harsh measures to remove the threat and extended his territory up till Katehar. Another plundering expedition was led by Balban into the Malwa region. At that time, the Turkish state was not in a position to follow the expansionist policy.

During the reign of Balban, there were a number of ambitious Turkish officers who wanted to carve an independent empire. The local rulers of Ghur and Ghazni, the Kurlugs, crossed the Indus and occupied the Cis-Indus region of Koh-i-Jud or the Salt Ranges because of the Mongols threat. They wanted to expand their control to Multan as well as Sindh. Just because of them, the Delhi Sultanate lost its control in that region. Even, Lahore was under the nominal control of the Delhi Sultanate. After losing grip on Punjab, Sindh was also in the state of rebellion. The number of governors raised the banner of independence but, Balban reasserted the control over Sindh as well as Multan.

In the east, Bengal and Bihar were largely under the control of the governors of Lakhnauti who sometimes tendered formal allegiance to the Sultan at Delhi, and sometimes asserted their independence. As a Naib, Balban appointed Yuzbek, as governor of Lakhnauti. He rose against the Sultan and occupied some of the territorial units. He suffered a disastrous defeat and put to death in 1257 A. D. Then, Balban appointed his trust worthy slave officer, Tughril, as

a governor of Lakhnauti. He also declared himself independent, assumed the title of the Sultan and read Khutbah in his own name. He refused to share the wealth and elephants which he collected from the ruler of Jajhnagar. Balban was very upset when he heard of Tughril's rebellion. In 1276 A.D, he ordered the governor Amin Khan to march against Tughril. Amin Khan failed in his mission. Balban executed him and put his body on public display. He sent another officer Bahadur to punish Tughril, but the result was the same. Therefore, Balban, faced extremely serious situation. He personally campaigned against Tughril. It took two years 1280-82 A. D., and finally he managed to kill Tughril. He appointed his son Bughra Khan as the governor of the east. After the death of Balban, he set up an independent empire and ruled Bengal for almost forty years.

The Mongol threat was a major preoccupation of Balban. He adopted both military and diplomatic measures to deal with the Mongols. He sent an envoy to Halaku, the Mongol leader who dominated Turkistan and Transoxiana. He was one of the successors of Chingez Khan. In 1260 A. D., Halaku sent a peaceful return embassy, which was received by Balban with an open heart. Halaku strictly ordered his officers not to invade India because his concentration was on Iraq, Syria and Egypt. He had suffered a serious setback from the Egyptian army, which forced the Mongols to retreat from Syria. In this situation, Halaku sent his intendants several times to Sindh and the Koh-i-Jud to claim his overlordship over them. With the death of Halaku, the peace agreement and good will between the Mongols and the ruler of Delhi ended. The Mongols started frequent raids towards the Beas. Balban's cousin acted as shield against the Mongols, he held the Iqtas of Lahore, Sunam, Dipalpur. Balban adopted a forward policy to deal with the Mongols. Balban took certain actions like cleared the roads in the Doab, ravaged the mountainous tracts and its neighboring areas and marched his army towards Koh-i-Jud and so on. In 1270 A. D., he rebuilt the fort of Lahore. He gave the responsibilities to secure frontier tracts to his eldest son, Prince Muhammad. He was an able and energetic, who faced the Mongols attack several times. The defensive arrangements at Multan and Lahore were remarkable, and the Mongols dare not to attack across the river Beas. The Mongol forces of 70 to 80,000 sawars could not face the forces of Prince Muhammad from Multan, Bughra Khan from Samana, and Malik Barbak Bakatarse from Delhi. In 1285 A. D., Prince Muhammad was killed in the skirmish with the Mongols. The death of Prince Muhammad gave a setback to Balban. The last Mongol attack under Balban's successors was in 1288 A.D., when Tamar Khan destroyed the territories from Lahore to Multan. Thus, up to 1290 A.D., the Mongols dominated the western Punjab, and threatened Multan and Sindh. But they did not reach till Delhi. The Delhi Sultan survived with vigilance and military preparedness.

After the death of Balban the slave dynasty lasted for three years only. Bughra Khan preferred to rule Lakhnauti leaving his throne of Delhi to his son, Kaiqubad Khan. Kaiqubad was an incompetent ruler who gave the control of the Delhi Sultanate to Nizamuddin. Nizamuddin was also killed and the entire administration collapsed. Then Jalauddin Khalji assumed the power in 1290 A.D.

1.3.3 CHECK YOUR PROGRESS II

1. Who was the immediate successor of Iltutmish?

2. What were the reasons behind the opposition of Razia by the nobility?

3. Name the ruler revolted during the reign of Alauddin Masud?

4. Who was Altunia?

5. Who assumed the throne after the death of Razia?

6. Who was Halaku?

7. Mention the difficulties faced by Balban at the time of accession to the throne of Delhi?

1.4 TERRITORIAL EXPANSION (1290-1320A. D.)

The Khalji dynasty came to power in 1290 A.D. and ruled up till 1320A. D. With the establishment of the Khalji rule, the boundaries of the Delhi Sultanate expanded and covered almost the entire country. The great openness on the part of the Sultanate were seen in recruiting officials, administrators and soldiers; other elements, in addition to Turks, Indian Muslims and Hindus. The internal restructuring of the administration resulted in the territorial expansion of the Delhi Sultanate.

1.4.1 JALALUDDIN KHALJI

The founder of the Khalji dynasty was Jalaluddin Khalji (1290-96) who overthrew the last slave Sultan, Kaiqubad. He did not undertake any large-scale territorial expansion programme. His six years reign was revolved around the internal contradictions. He did not follow a policy of narrow exclusivism. He appointed new people to high positions and gave them Iqtas. He appointed Malik Chhajju, a nephew of Balban, as a governor of Kara. Malik Chhajju rebelled and marched on Delhi with the Hindu chiefs to seize the throne. Jalaluddin Khalji defeated him and he was taken captive. He was simply deprived of his governorship, which the Sultan bestowed upon his nephew and son-in-law Ali Gurshasp later known as Alauddin Khalji. Jalaluddin was merciful, and his leniency was taken for weakness. He established a new state based on the good-will and support of the people of all communities. He believed in religious tolerance. He allowed Hindus to worship their idols, preach their beliefs, and observe their practices.

In 1290-92 A. D., the Mongols attacked Dipalpur and Multan region. Jalaluddin sent his army against the invaders. The Mongols impressed with the liberality of the Sultan and settled in Delhi. In 1292 A. D., an expedition against the Chauhan ruler of Ranthambhor was launched by the Sultan. The fort of Ranthambhor was besieged initially, but later on the Sultan abandoned it. Meanwhile, the Sultan received information about the conspiracies against him, it was revealed that the conspirator was Sidi Maula, a Sufi saint. Sidi Maula had the large following of Turkish and Khalji nobles. The Sultan was instigated, so he planned an attack on Sidi Maula by a group of Haydari Qalandars and killed him.

The most remarkable achievement of Jalaluddin's reign was the invasion of Yadava capital, Deogir. He sent his nephew, Alauddin towards the south on various expeditions. In 1293 A.D., he recruited a large army at Kara and mounted an expedition towards the region around Bhilsa. He collected a large amount of booty and sent to the Sultan to win his favor. After two years, Alauddin planned an expedition against Deogir. He gave the administration of Kara in the hands of Ala-ul-Mulk and proceeded towards the south. At that time, the Yadava army under Singhana was busy dealing with Raja of Warangal. When Alauddin's forces reached near Deogir, a few Yadavas fought bravely but Ramdeva, forced to sign peace in the absence of his army. When Singhana, the Yadava prince, returned with the main army, he attacked Alauddin against his father's wishes. Alauddin confronted Singhana's army from both sides. He panicked and fled. This enormous booty fell into the hands of Khaljis's. The news reached Delhi and the Sultan came from Delhi to meet Alauddin and seized the booty himself. When Jalaluddin reached Kara, Alauddin plotted against the Sultan and killed him in 1296 A.D. and proclaimed himself the Sultan of Delhi. The Sultan's widow, Malika-i-Jahan declared her youngest son Ruknuddin Ibrahim as the Sultan of Delhi, passing over Arkali Khan, the rightful heir to the throne. Alauddin ascended the throne and both the princes were beheaded in Delhi and the mother was imprisoned.

1.4.2 ALAUDDIN KHALJI

Alauddin Khalji ascended the throne in 1296 A. D. He did not accept the liberal, humanitarian and benevolent approach of his predecessor because he considered it unsuitable to the time and signify the weak government. His inclination towards Balban's theory of fear was being the basis of good government. It resulted in the outbreak of couple of rebellions, early in his reign, including his nephew Aqad Khan revolted against him. He took harsh measures against the rebels and strictly controlled the nobles. He forbade the nobles to associate with each other. He confiscated their accumulated wealth. He forbade the drinking of wine in his empire. He also gave harsh punishments to those who violated his orders. In fact, for marriage alliances they have to seek the permission of the Sultan. But he gave equal opportunities to Turks as well as the non-Turks. Many non-Turks who were promoted to the top were Zafar Khan, Nusrat Khan, Malik Kafur and Malik Nayak. He appointed Indian Muslims in the army. He demanded 4/5th of the war spoils from his soldiers; if they rebelled against the state policy, they received harsh punishments. He introduced a system of spies who kept him informed of all the development in

the Delhi Sultanate. He believed that matters concerning the state and administration were independent of the rules and orders of the Shara. The state and the administration were under king's control and the matters in relation to religion were assigned to Qazis and Muftis. He also confiscated the charitable lands given in Inam or Waqf.

Alauddin Khalji brought agrarian reforms to maintain internal restructuring of the Sultanate and to create a large army to fight against the Mongols. His agrarian reforms were to bring the village in closer association with the government in the areas extending from Dipalpur and Lahore to Kara, near modern Allahabad. The villages were brought under Khalisa (crown land) and revenue was fixed at half of the produce. The share of the state was determined on the basis of the area under cultivation and was demanded in cash. Apart from this, other taxes were Charai on cattle and Ghari on houses also taken. In order to collect revenue, there was a hierarchy of intermediaries in the rural areas with Rai, Rana and Rawat; and head of the village Chaudhari or Muqaddam; certain officials like accountants (Mutsarraf), collectors (Amils), and agents (Gumashtas). Alauddin gave them handsome salaries, but also kept a check on their corruption. If even a Jital was found against them, they were severely punished.

Alauddin Khalji's market reforms focused more towards the administrative and military necessities. His motive behind the market reforms was to recruit a large army, but he did not want to exhaust his treasury by paying them normal salaries. So, he set up three markets at Delhi for the food grains, cloth and animals. He framed the strict rules and regulations for the control and administration of these markets. He controlled the supply of food grains from the villages and its transportation to the city. He also gave strict instructions to the grain merchants and checked the stocks of the food grains. An official (Shuhna) was appointed as an in-charge of the market and provided with an adequate force to punish anyone who violated the laws. He also set up the royal stores to maintain sufficient stock of the food-grains. To curb the scarcity of the food grains, he instituted the rationing system. For the cloth merchants, he designed similar instructions to sell the cloth at government rate. If the merchant sold the cloth at high prices then their stores were confiscated, and they were severely punished. There were markets that deal with horses, cattle and slaves. The military department required horses of good quality at fair prices. He fixed the prices and ensured the quality of the horses. The best quality horses were sold between 100 and 120 Tankas, second category 80 to 90 Tankas and the third category costs between 65 and 70 Tankas and the ordinary horses not even used in the army was 10 to 25 Tankas. The soldiers were accustomed to buying slaves for the personal and domestic service, so he fixed the prices for the slave boys and girls. The animals were needed for meat, transport, milk and milk products. So, he fixed the prices for the cattle also. He kept himself well-informed of the prices of the market through the series of spies.

Students, now we are going to discuss the territorial expansion under Alauddin Khalji. It took place in several phases. In the first phase, Gujarat, Rajasthan and Malwa were brought under the control of Delhi. In the second phase, the Deccan saw the extension of the Delhi Sultanate up to the Deccan and Bengal was also brought under its control. Lastly, he faced

a number of Mongol invasions from time to time. In thirty years, the territorial limits of the Delhi Sultanate expanded and covered almost the entire India.

Alauddin Khalji undertook the first expedition of Gujarat in 1299 A.D. The wealth of Gujarat attracted him towards this region. Its fertile land; a centre of handicraft production especially production of textiles; the chief port, Khambayat (Cambay) carried rich trade with the West Asia, South-East Asia and China; all this was enough to lure the invaders. The imperial army was sent to Gujarat across Chittor which was jointly commanded by Ulugh Khan and Nusrat Khan, two of Alauddin's best army generals. His army besieged Anhilwara, the capital of Raja Karan Vaghela of Gujarat. Raja Karan fled with his daughter, Deval Devi, to Deogir. Kamla Devi, the Raja's wife, was taken captive and sent to Delhi, where the Sultan married her. Many of the other leading towns of Gujarat, including Surat, many monasteries and temples including Somnath were plundered. It was from Khambayat, slave Malik Kafur was taken by force from a Muslim merchant. Malik Kafur played prominent part in the Deccan campaign and was called Hazar-Dinari in other words, bought for 1000 gold Dinars. Gujarat came under the Turkish rule and the Sultan appointed his brother-in-law Alp Khan, governor of Gujarat. After the conquest of Chittor, Alauddin focused towards Malwa which was a rich and extensive tract with many populous cities. Although Malwa, was plundered by many Delhi Sultans, but Alauddin brought it under his direct occupation. In 1305 A. D., Alauddin sent Ainul Mulk Multani to conquer Malwa. The Rai Mahlak Deva, ruler of Malwa had a force of 40,000 horse, but it was no match for the Turkish forces. Ain-ul-Mulk defeated and killed the Rai in the battle. Therefore, he brought Ujjain, Mandu and entire Malwa under his control and was appointed as its governor. Thus, entire north India came under the control of the Delhi Sultanate.

In the second phase, Alauddin decided to raid the Deccan states and make them subordinate to the Delhi Sultanate. The Deccan states known to be lands of treasures and gold. In 1296A. D., he started his campaign towards the south. On his way while crossing Bundelkhand he defeated Yadava king Ram Chandra and his son Singhana of Deogir with the force of 8000 horses. He recovered a lot of wealth and a promise from Ram Chandra to pay an annual tribute to the Sultan. But Ram Chandra had stopped paying an annual tribute during the last three years. In 1308 A. D., Alauddin turned his attention towards Deogir once again. He dispatched two armies to Deogir along with Malik Kafur to punish Ram Chandra. Malik Kafur gave a tough fight to him. He was escorted to Delhi. Deogir remained under the charge of his son, Singhana. Ram Chandra was kept at Delhi for six months as a guest. Later he returned to his family with a lot of presents from Alauddin. Ram Chandra was given one lakh of gold Tankas, a golden colored canopy a Chatar which was a sign of royalty. He was also given Nausari a district in Gujarat. In return, Ram Chandra gave his daughter Jhatyapali, in marriage to Alauddin.

The most important states of the south India were the Kakatiyas of Warangal (modern Telangana), Hoysalas with their capital at Dvar Samudra (modern Karnataka), the Pandyas of Mabbar and Madurai (Tamilnadu). They were engaged in constant wars with each other, including Yadavas of Deogir. Between 1309-1311 A. D., Alauddin sent Malik Kafur with two expeditions with the purpose to accumulate wealth, to accept their suzerainty and to pay an

annual tribute. Alauddin Khalji clearly understood that these states were difficult to administer because of its distance and differing conditions. The first expedition began in 1309 A. D. to Warangal, capital of the Kakatiya kingdom of Raja Prataparudra Dev II. Malik Kafur besieged the fort of Warangal, which was impregnable. The army bombarded the outer ramparts with stones and, after several days, seized one of the outer mud wings. Finally, the Raja surrendered. He agreed to pay an annual tribute. An enormous amount of gold, 20,000 horses, one hundred elephants were taken as booty. The army returned to Delhi and received a hero's welcome from the Sultan. After six months, Malik Kafur was sent to invade Dvar Samudra and Mabbar. With the support of the Maratha Sardar Ram Deo, Kafur sieged the fort of Raja Vira Ballal Deva III, ruler of Hoysala at Dvar Samudra. The peace was signed between them and Ballal Deva agreed to the terms of Malik Kafur. Ballal Deva surrendered his treasure and agreed to pay an annual tribute. Without wasting any time, Malik Kafur moved towards Pandya kingdom in the south. Raja Vira Pandya fled and abandon his capital Madurai. The temples were plundered, palaces were sacked and enormous quantities of gold, 512 elephants and 5000 horses were collected as a booty. These southern campaigns brought immense wealth and the prestige to the Khaljis. After all these successes Malik Kafur received the title of Maliknaib (regent or personal representative of the sovereign). These expeditions paved the way for the annexation of the southern states. In 1315A. D., Alauddin sent another expedition towards the southern states. The son of Ram Deo of Deogir, Bhillama refused to accept the allegiance of Alauddin Khalji. Then he sent Malik Kafur to punish Bhillama. Bhillama escaped and Kafur occupied the fort. He governed the kingdom without displacing the old Maratha chiefs.

Alauddin faced repetitive Mongol invasions from time to time. The Mongols dominated the western Punjab and threatened the areas of Multan and Sindh up to 1290 A. D. In 1297-98 A. D., the Mongol chief Dawa Khan sent an army of 100,000 soldiers towards Delhi. To deal with the Mongols, Alauddin sent a large army under his commander Ulugh Khan, who met the Mongols near Jullundhar and defeated the forces. About 20,000 Mongols were killed and some were captured and dead at Delhi. In the following year, Mongols penetrated again and captured Siwistan in the lower Sindh. Zafar Khan, commander of Alauddin, proceeded against the Mongols and defeated the Mongols. He captured the fort and brought Saldi, the Mongol commander, to Delhi. By the end of 1299 A. D, the Mongols invaded again with 200,000 soldiers under Qutlugh Khan, the son of the Mongol leader, Dawa Khan. They came to conquer and rule Delhi. Alauddin quickly gathered his army and sent summons to the nobles of the Doab to come to his side. Two armies faced each other and Zafar Khan initiated the attack with his contingent. Zafar Khan was badly defeated and killed. Rest of the army stationed at one place and did not move out to rescue Zafar Khan. The Mongols won an initial victory, and they went back after some time. Even Alauddin did not try to pursue against the Mongols. But he realized the need to secure the borders. He undertook certain measures to secure the borders. A protective wall around Delhi was built and all the old forts on the route of the Mongols repaired. The strong contingents were placed at Samana and Dipalpur. He recruited a large army.

The Mongols advanced towards the country once again under the leadership of Targhi in 1303 A. D. They marched rapidly towards Delhi to take an advantage of the situation that Alauddin was busy in his campaigns towards Warangal. They seized all the forts across the Jamuna. Despite royal summons, no troops from the Doab could reach Delhi for support. Alauddin came with all his forces and took up a strong defended position in the fort of Siri near Jamuna. He ordered to dig a ditch all around his camp and put wooden planks on its side. The Mongols did not dare to attack the city and went back after two months of exercise. After two years, they made another attempt to conquer the country. They crossed the Indus and reached Punjab with their 40,000 soldiers. They burnt the various towns and reached Delhi. Alauddin sent an army under Malik Nayak, the governor of Samana and Sunam. The forces met at Amroha (north-west part of modern U.P) and inflicting a crushing defeat on them. Ali Beg and Tartaq, the Mongol leaders, surrendered, brought to Delhi and were slaughtered. This victory relieved the country from the fear of the Mongols. Alauddin defended Delhi and the Doab from the threat of the Mongols.

There was intense struggle for power among the nobles with the death of Alauddin in 1316 A. D. Malik Kafur elevated a minor son of Alauddin to the throne and assumed the major control in his own hands. He was overthrown in a month and Mubarak Khalji ascended the throne. As he became the Sultan, he tried to gain popularity among the masses. He abolished all the strict rules and regulations in agrarian and market system. His undue favors to the nobility did not last long, and he gave way to the Tughlaq dynasty to resume power under Ghiyasuddin Tughlaq.

1.4.3 CHECK YOUR PROGRESS III

1. Who was Kaiqubad?

2. Name the ruler who succeeded to the throne of the Delhi Sultanate after Jalaluddin Khalji?

3. Write few sentences on the episode of Sidi Maula?

4. Who was Malik Kafur?

5. Give two motives of Alauddin's conquest of the Deccan?

6. Who was Deval Devi?

1.5 SUMMARY

Students, in this unit we have discussed the foundation of Turkish rule in India with the accession of Qutbuddin Aibak as the Delhi Sultan. After him, Iltutmish not only expanded the empire but also organized and strengthened the administrative machinery. We have highlighted about the struggle for the establishment of centralized monarchy under Balban. He built a polity which was capable not only of sustaining itself, but had the capacity to embark on a policy of expansion. Lastly, we have analyzed the internal restructuring of the Delhi Sultanate and its territorial expansion under Alauddin Khalji. He controlled the entire north India and distant regions like the Deccan were also controlled and made them subordinate to the Delhi Sultanate.

1.6 SUGGESTED READINGS

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W.Haig (ed.), *The Cambridge History of India*, Vol. III, New York : Cambridge University Press, 1928.

1.7 QUESTIONS FOR PRACTICE

1.7.1 LONG ANSWER QUESTIONS

- 1.What measures were taken by Iltutmish for the consolidation of Delhi Sultanate?
2. Write a detailed note on Qutbuddin Aibak?
3. Discuss the measures taken by Balban for the consolidation of Delhi Sultanate.
4. Write a detail note on the agrarian and market reforms of Alauddin Khalji?
5. Discuss the territorial expansion under Alauddin Khalji?

1.7.2 SHORT ANSWER QUESTIONS

1. Write four merits of the economic reforms of Alauddin?
2. Who was Razia Sultana?
3. Name the two rivals of Qutbuddin Aibak?
4. Who received the title of Hazar Dinari?
5. Name the famous generals of Alauddin who fought against the Mongols?
6. What do you understand by the term Sijda and Paibos?
7. What were the steps taken by Balban to reorganize the army?

**BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER -II**

COURSE: HISTORY OF INDIA: c.1200-c.1750

**UNIT 2: EXPANSION AND DISINTEGRATION (1320-1388); RISE OF NEW STATES:
VIJAYANAGAR, BAHMANI AND THE LODHI SULTANATES**

STRUCTURE

2.0 Learning Objectives

2.1 Introduction

2.2 Expansion and Disintegration (1320-1388A. D.)

2.2.1 Ghiyasuddin Tughlaq

2.2.2 Muhammad bin Tughlaq

2.2.3 Check Your Progress I

2.2.4 Firuz Tughlaq

2.2.5 Check Your Progress II

2.3 Rise of New States

2.3.1 Vijayanagar Kingdom

2.3.2 Check Your Progress III

2.3.3 Bahmani Kingdom

2.3.4 Check your Progress IV

2.3.5 Lodhi Sultanate

2.3.6 Check Your Progress V

2.4 Summary

2.5 Suggested Readings

2.6 Questions for Practice

2.6.1 Long Answer Questions

2.6.2 Short Answer Questions

2.0 LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Gain knowledge about the territorial expansion under the Tughlaq dynasty and disintegration of the Delhi Sultanate.
- Know about the emergence, expansion and decline of the Vijayanagar as well as Bahmani Kingdom.
- Analyze the establishment of the first Afghan empire under the Lodhi Sultanate.

2.1 INTRODUCTION

Students, this unit will examine the rise of the Tughlaq dynasty under Ghiyasuddin Tughlaq and his successors. It will highlight the rapid expansion under Mohammad bin Tughlaq and his experiments which resulted in the disintegration of the Delhi Sultanate. In addition to this, it will also analyze the conditions in which the Vijayanagar Kingdom was established and its growth under Krishna Deva Raya. It will also be looking at the growth of a Muslim state under the Bahmani Sultans and its constant struggle with the Vijayanagar Kingdom. It will also highlight the rise and fall of the Lodhi Sultanate in the fifteenth century.

2.2 EXPANSION AND DISINTEGRATION (1320-1388A. D.)

With the fall of the Khalji dynasty, the Tughlaq's came to power and continued the territorial expansion. There was a high degree of centralization under Mohammad Bin Tughlaq and disintegration began with his successors.

2.2.1 GHIYASUDDIN TUGHLAQ

Ghazi Malik ascended the throne of Delhi under the title of Sultan Ghiyasuddin Tughlaq in 1320 A. D. Earlier, he served for many years under Alauddin. He rose to the high position on the basis of his personal merit. He led many expeditions against the Mongols and acted as a warden of the north. As a Sultan, he ruled for a short span of time. He was kind and affectionate towards his subjects. He was concerned for the welfare of his people. He rejected Alauddin's policy of non-annexation of the distant states and of being content with their formal submission and sending tribute regularly. In 1321 A.D., he appointed his son Jauna Khan who was given the title Ulugh Khan to restore the imperial position in Warangal. Prataparudra Deva, the Kakatiya ruler of Warangal, declared himself independent. He marched towards Warangal and sieged the fort. For about five months, Prataparudra Deva managed to control Warangal, and then he surrendered. He was sent to Delhi and imprisoned. Warangal became the part of the Delhi Sultanate. On his way back to Delhi, Jauna Khan invaded Jajnagar in Orissa. Meanwhile, Ghiyasuddin suppressed a Gujarat rebellion, Bengal civil war and the Mongol invasion at Samana. He also defeated the Raja Har Singh Deva of Tirhut and appointed his governor over there. After all these successful

campaigns of his father, Jauna Khan erected a wooden pavilion to welcome him. The wooden pavilion collapsed, and the Sultan was crushed to death in 1325 A. D.

2.2.2 MUHAMMAD BIN TUGHLAQ

Jauna Khan succeeded his father under the title of Muhammad bin Tughlaq. He was the only ruler who received the comprehensive literary, religious and philosophical education as well as the military training. He was interested in the Persian and Hindi poetry. He believed in the policy of annexation and wanted to control the entire country. He extended his direct rule to Warangal (Telangana), Mabbar (Coromandel), Madurai (Tamil Nadu) and Dvar Samudra (Karnataka) up to the southern tip of India. There was a high degree of centralization during his tenure. He was disappointed with the continuous rebellions by the trusted officers such as the Sayyids, Afghans and the Turkish governors. He gave high positions to the talented nobles. The offended old nobles refused to cooperate with him. He also invited the foreigners from all over the world to his court.

In the initial years of his reign, the Mongols invaded once, but they were repulsed. There was no other Mongol invasion during his reign. The Sultan conquered Kalanaur and Peshawar and transformed into the bulwark against the Mongols. In 1326-27 A. D., his cousin Bahauddin Gurshasp, governor of Sagar near Gulbarga, declared himself independent. The Sultan sent an army to Gulbarga, he fled and later captured. This event promoted the Sultan to make a centrally located second capital at Deogir.

a.EXPERIMENTS

In 1327A. D., he shifted his capital to Deogir which was renamed as Daultabad. The main reason behind this was its central location, and it was easy for him to control both north and south regions. He planted shady trees on both sides of the road, set up halting stations at the distance of every two miles, made provisions for water and food for the travelers at the station. At each station, a Khanqah was built for the Sufi's. The people travelling to Daultabad were divided into caravans for their convenience. Full preparations had been made to welcome the people. The city of Daultabad was divided into wards (Mohallas), and separate quarters were made for the troops, the nobles, the civil servants, the judges, learned men, merchants and the artisans. The mosques, markets, public baths were built in each Mohalla for the convenience of the people. The Sultan offered liberal grants to the immigrants at Daultabad, so that the people could board and lodge for free and settle easily in the new town. Even though the people migrated, but they were not happy because they considered Delhi as their home and see Daultabad as a foreign land. Meanwhile, Delhi was not deserted, the two capitals flourished simultaneously. In 1327-28 A. D., the Sultan had started building a new town called Jahan Panah in Delhi but this scheme was too expensive to fully materialize. He also struck coins at Delhi. Since he decided to shift his capital, there were several rebellions in his reign. He tried to crush those rebellions but ultimately, he failed. He found it difficult to manage both the capitals. Between 1335-37A. D.,

the Sultan ordered people to return to Delhi from Daultabad. However, some Sufi saints and the learned men decided to stay back at Daulatbad. It was known as the centre of Islamic learning.

The shifting process of the Delhi population to Daultabad coincided with his plans to extend his boundaries beyond Peshawar in order to prevent further Mongol incursions. Mohammad bin Tughlaq wanted to conquer Khurasan and Iraq. He recruited a large army of 370,000 soldiers. They were paid in the form of Iqtas. He gave one-year advance salary to the soldiers. He spent large amount of money on purchasing war materials. He did not take any step to check the ability of the soldiers, the branding of the horses and their swordsmanship. In 1329-30 A.D., he dispatched an army of 10,000 troops to the Qarachil region in order to annex it to his empire. After some initial victories in the region, the army pressed on to Tibet, where the local hill men annihilated it. This expedition was a total failure. The army advanced too far into the mountains, so that his retreat was cut off by the defending forces and almost the entire army destroyed.

In 1329-30 A.D, Muhammad bin Tughlaq introduced reforms in coinage. He issued token currency of copper and brass which remained in circulation until 1331-32 A.D. He imitated this paper money concept from Qubilay Khan of Mongolia and northern China. This scheme was designed to fill the gap in the gold and silver reserves which had widened because of the fail expeditions and reckless grants of gifts and awards. The goldsmiths began to forge the token coins on a large scale. When the Sultan realized the failure of the experiment, people were asked to return the token coins and in exchange paid back gold and silver coins by royal treasury. Soon, the new copper and brass coins became worthless as stones and potsherds. The token currency had an adverse effect on the trade and commerce. As a result, the Sultan withdrew the new token currency and redeemed it by gold and silver coins.

In order to fill his empty treasury, the Sultan inordinately increased the land tax in the Doab region. Additional cesses were also imposed like the grazing tax (Charai) and house tax (Ghari). The taxes were collected in a rigorous manner, the cattle being branded, and the houses were counted. In addition to this, when assessing the yield of a field, not the actual produce, but the standard yield was taken into account. Further, the official assumed prices were used instead of actual prices. As a result, the condition of the peasants became worse and the agriculture was badly affected near Delhi and the Doab. There was a widespread rebellion of peasants against the Sultan. He sent the Shiqdars and Faujdars (revenue collectors and military officials) to suppress the rebellion. The Khuts and Muqaddams who took shelter in the forests, were killed. The Sultan's soldiers killed everyone whom they found in the forest. Because of the destruction of the peasantry, reduction of grain carriers (Banjaras), and failure of the grains to reach Delhi led to a famine in the Doab. Therefore, the prices of the grain increased. To withstand the problems of famine, the Sultan arranged relief camps at Delhi and the food grains from Awadh for the farmers. Moreover, the Sultan also provided agricultural loans (Sondhar) for digging wells and buying the seeds and the implements. The famine lasted for seven years. At this time, Muhammad bin Tughlaq found that Delhi was in a very bad condition. Therefore, the Sultan moved his imperial camp on the Ganges 80 km away from Delhi. This place was called Swarga-

dwar (Gateway to Heaven). The Sultan lived there for two years. After returning from Swarga-dwar, he established a separate department for agriculture and appointed a Diwan called Diwan-i-Amir-i-Kohi to look after it. The main aim of this department was to increase the land under cultivation.

b. REBELLIONS

From 1334 to 1345 A.D., there were continuous rebellions in his reign. In 1334 A.D, Bahram Kishlu Khan, the governor of Multan, rose against the Delhi Sultanate. The Sultan marched from Daultabad to Delhi to defeat him. He was defeated near Abohar. Another rebellion by the Ghiyasuddin Bura, governor of Bengal was crushed. In 1334-35 A. D., there was a rebellion at Mabar (modern Coromandel). He went to suppress the rebellion and found that there was an outbreak of plague at Bidar. He fell seriously ill and was taken back to Daultabad, but many of his soldiers died. While retreating at Daultabad, the entire south, including Mabar, Dvar Samudra (Karnataka), and Warangal (Telangana) were lost to the Delhi Sultanate. The foundation of the Vijayanagar Kingdom in 1336 A.D., and the independence of Warangal and Kampili were the serious blow to the Sultan's prestige. In 1340 A.D., Ainul Mulk Multani, the governor of Awadh, Zafarabad and Lucknow rose in rebellion against the Sultan and defeated. Between 1338 and 1341 A.D., both the eastern and western Bengal became independent. Not only the governors rose in revolt but, the Amiran-i Sada (controllers of one hundred villages) who performed the civil and military duties were also revolted. The Sultan appointed Aziz Khammar, governor of Malwa to crush the power of the Amiran-i Sada. He had absolute powers, and he started executing Amiran-i Sada. While looking at the atrocities of the Sultan, the Amiran-i Sada joined hands together and rose in rebellion. They plundered the royal treasury and seized all the merchandise in Dabhoi and Baroda. They reached Cambay and set free the officers imprisoned there. Under the leadership of Taghi, they approached Aziz Khammar and killed him. In 1344 A.D, the Sultan personally marched to crush this rebellion. He moved towards Broach and seized several centres of insurrection. The Amiran-i-Sada organized a strong force to deal with the Sultan's huge army. The rebels were defeated at Daultabad, and they fled to Gulbarga and set up new headquarters there. The Sultan reorganized the administration at Daultabad and moved towards Gulbarga. He heard the news that under the leadership of rebel leader Hasan Gangu, the Sultan's army was badly defeated. In 1347 A.D, Hasan Gangu established his own independent kingdom known as Bahmani. For another three years, he continued chasing the rebels, especially Taghi. He took shelter with the Sumras of Thatta and the Sultan followed him. His health deteriorated rapidly, and he died on the way to Thatta in 1351 A.D.

2.2.3 CHECK YOUR PROGRESS I

1. Write few sentences on the campaign of Warangal?

2. How and when did Ghiyasuddin die?

3. Where did Muhammad bin Tughlaq shift his capital from Delhi?

4. Why did Muhammad bin Tughlaq established the department of Agriculture?

5. Write a few sentences on the token currency of Muhammad bin Tughlaq?

6. Who was Hasan Gangu?

7. Mention two major rebellions during the reign of Muhammad bin Tughlaq?

2.2.4 FIRUZ TUGHLAQ

Firuz Tughlaq, a cousin of Muhammad bin Tughlaq, succeeded him after he left the army in a state of disarray at Thatta in 1351 A.D. He revived the tradition of benevolence and the welfare of the people established by Jalauddin Khalji. With the policy of conciliation, he tried to win over the nobles, administrators, soldiers, clergymen and peasants. The loans advanced by the previous administration for agricultural purposes were written off. The compensation was given to all the heirs whom the Sultan Muhammad bin Tughlaq had executed. He restored the rent-free lands (Inam or Idrar) that were granted to the theologians, the learned and the weaker sections of the society. His emphasis on the principle of benevolence helped him to manage the crumbling Sultanate.

a. MILITARY EXPEDITIONS

Firuz Tughlaq assumed the throne in a major crisis. He did little effort to regain his lost territory. Initially, he led several military expeditions to Bengal, Kangra and Sindh to assert central authority. In 1353 A.D., he launched his first campaign towards Bengal. He sent a large army including powerful Rais of Gorakhpur and Champaran. The rebel Haji Ilyas fled to the Ikdala fort near Pandua in the Malda district. Firuz Tughlaq was unable to storm the fort because he considered it impregnable and unwilling to wait because of the harsh weather conditions. He returned to Delhi in 1354 A.D. Three years later, Zafar Khan of Sonargaon seeks the help of Sultan against Hajji Ilyas. In 1358 A.D., the Sultan invaded Bengal a second time and faced Ilyas's son Sikandar. He also took refuge in the Ikdala fort. This time the Sultan succeeded to negotiate for peace and persuaded Sikandar to accept his suzerainty. On his return to Delhi, he stayed at Jaunpur for some time and from there he started marching towards Orissa. He decided to attack Raja Gajpati of Jajnapur in Orissa, who had allied himself with the rebellious Bengal

Sultans. He captured Cuttack and plundered the Jagannath temple at Puri. The Sultan returned to Delhi with huge booty.

After four years, Firuz Tughlaq decided to undertake campaign against Nagarkot in Kangra. It was reputed to be the strongest forts in the country. The Rai of Nagarkot shut himself in the fort, which was besieged by the invading force. After six months, both parties decided to negotiate. The Rai decided to accept the Sultan's over lordship and sent many offerings and horses. In return Firuz Shah Tughlaq also bestowed him robes of honor and a Chatr and some valuable presents. He collected 1300 Sanskrit manuscripts from the Jawalamukhi temple. There is no reference to the destruction of any temples during this expedition.

Firuz Tughlaq next marched towards Thatta in the lower Sindh to punish its local rulers, Jam and Bahbina. The governor of Multan had many complaints against them, and they were suspected to be involved with the Mongols. So, Firuz Tughlaq marched with an army, arrived at Thatta. He encountered with stiff resistance which he had not expected. In the skirmish, three-fourth of the horses died because of the epidemic, there was acute shortage of food in his camp. Because of this, his vast army had to retreat towards Gujarat, but due to treachery of his guides they lost their way in the Rann of Kutch. However, after the great sufferings they reached Ahmedabad. Firuz Shah Tughlaq spent a lot of money to re-equip the army, but many soldiers took advantage and returned to Delhi. He was left with reduced soldiers, and he was unable to capture the city. Hence, with the efforts of Wazir Khan-i-Jahan, Jam and Bahbina entered into negotiation and submitted. They were treated with honor, and taken with Firuz to Delhi. The lower Sindh was assigned to the son of the Jam and to Tamachi, the brother of Bahbina. After his return from Thatta, Firuz decided not to lead any further campaigns and devote himself to peace. Lastly, Firuz Tughlaq announced to invade Daultabad, but he allowed Khan-i-Jahan to dissuade him from the Muslim bloodshed.

b. REORGANIZATION OF THE NOBILITY AND THE ADMINISTRATION

Instead of undertaking any military campaigns, Firuz presided over the state which was territorially more cohesive and manageable. He concentrated on the tasks of consolidation and development brought an unprecedented level of prosperity, at least to the central areas of his empire. He wanted his nobility to be stable and cohesive. He appointed Khan-i-Jahan Maqbul as his wazir who was trained by Muhammad bin Tughlaq. He gave maximum responsibilities of the administration to him. Many other senior nobles were also honored by Firuz Tughlaq. He did not include the nobles from the lower classes. The nobles were awarded with extremely high salaries. For instance, his wazir Khan-i-Jahan was given the salary of 13,00,000 Tankas. These salaries were given in the form of grants of Iqtas. The positions of the nobility declared hereditary. If a person holding an office died, his position was transferred to the son as it was.

The army was another important element in the administration. He ordered the soldiers of the central army to be paid in the form of grants of the villages (Wajh) in the neighborhood of Delhi and the Doab. Only eighty percent of the central army was paid by the

means of the grant of villages and the irregular soldiers were paid in cash from the treasury. The hereditary character was also applied to the army. He gave relaxation to the system of Dagh or branding of horses. He was very fond of the slaves. He ordered the Iqtadars, officers and chiefs to capture the slaves whenever they were at war and pick the best of them for the service of the court. In this way he collected 180,000 slaves. He also established a separate department for the slaves. He set up an unemployed bureau for the welfare of the people. He also set up a hospital known as Dar-ul-Shafa at Delhi for the free treatment for all. He also gave state patronage to the hospitals.

Firuz Tughlaq dug two canals in Hissar city to bring water from the Satluj and Jamuna. These canals were 100 miles long, joined near Karnal and provided water to the whole city. With his efforts, the peasants were able to cultivate both Rabi and Kharif crops. The canals irrigated vast lands and also helped in the expansion of the cultivation in old and new villages. He also made an effort to improve the cropping pattern, resulted in the cultivation of the wheat and sugarcane in place of the inferior crops. The peasants, artisans and traders were highly benefited and the prosperity of the area increased. Firuz Shah Tughlaq was also benefited from the agrarian prosperity of this region. He levied an extra charge of ten percent known as Haqq-i-Sharb. He was also benefited from the land revenue of the new villages which was amounted about two lakh Tankas. The Sultan distributed his income in the charity to the religious divines and learned people. He abolished the taxes that were not sanctioned by the Shara. About twenty-one such taxes were abolished, including the Ghari (house tax). The only tax sanctioned by the Shara which he imposed was Jizyah on the non-Muslims. It was levied by earlier Sultans also. It was treated as land tax (Kharaj), but Firuz was the first ruler who collected Jizyah as a separate tax apart from land revenue.

Many new towns were founded by Firuz Tughlaq around Delhi, like Hissar-Firoza, Ferozepur, Jaunpur and Ferozabad. The new towns reflected the agricultural development of the area, which needs new towns (Qasbas) as their grain markets. These new towns also became the centres of trade and handicrafts and 12,000 slaves were trained as artisans and being posted in these towns. He was also a great builder and set up a public work department which repaired many old buildings and mausoleums. He also repaired Qutab Minar, Shamsi Tank and Hauz-i-Alai. He also transported two Ashoka pillars from Meerut and its neighborhood, installing one of them at the Kotla at Ferozabad.

With the passage of time the change was seen in his religious approach. He decided to forbade all the practices against the Shara. He also ordered all the paintings with human figures erased from his palace, and also forbade the use of gold and silver vessels for dinner. He also banned clothes of pure silk and brocade, or where human figures had been painted. There were instances of his religious bigotry. He publicly burnt a Brahman, who openly conducted the idol-worship and converted Muslims to Hindus. He also insisted on collecting Jizyah. Only those Hindus who paid Jizyah were allowed to worship and build the new temples. He also inflicted death penalty on the leaders of the Islami group of Shias. He also inflicted a severe punishment to the Muslims who had gone against the orthodox beliefs. He also banned the Muslim women to

go to the Muslim tombs. Despite the occasional intolerance of Firuz Shah Tughlaq, he granted religious freedom to the Dhimmis or Hindu subjects. Many Sanskrit works on music, medicine were translated into Persian. Firuz Tughlaq also honored the Hindu chiefs and made them sit on the floor of his court, which was a rare honor. He gave importance to the theologians, religious men to strengthen the position of the orthodox Ulemas and weaken the concept of a benevolent policy based on people's welfare and broad religious freedom.

c. DISINTEGRATION OF DELHI SULTANATE

During the time of Firuz Shah Tughlaq, the Delhi Sultanate started to disintegrate. Firstly, there was struggle for the power between Prince Muhammad, son of Firuz Tughlaq and Wazir Khan-i-Jahan II. Prince Muhammad was given royalty by Firuz Shah Tughlaq and made him the joint-sovereign. But later on, Firuz Shah Tughlaq turned against his son Prince Muhammad. After the death of Firuz Tughlaq in 1388 A.D, the struggle for the crown began between his sons and grandsons. A number of princes sat on the throne for a brief time till Nasiruddin Mahmud succeeded in 1394 A. D., and remained on throne till the Tughlaq dynasty was displaced in 1412 A.D. During this phase the principle governors declared themselves independent like the governors of Gujarat, Malwa and Khandesh. Secondly, Timur attacked Delhi and the neighboring areas in 1398-99 A.D, which was also a reason of disintegration of the Delhi Sultanate. Although in 1396-97A.D., Timur's son had conquered Uch and Dipalpur and besieged Multan, none of the ruler made any effort to meet or resist the invasion of Timur. Timur carried away a large number of slaves including stone-cutters and masons to beautify the buildings at Samarqand. He also included districts of Lahore, Dipalpur and Multan into his kingdom. Thirdly, the regional factors were also responsible for the disintegration of the Delhi Sultanate. It was difficult for the Delhi rulers to control the powerful governors of Bengal, Sindh, Gujarat and Daultabad. Hence, the principle of heredity for the nobles started by Firuz Tughlaq also failed. The religion also became one of the causes of the disintegration of the Delhi Sultanate. The main conflict of the Sultanate was not between Hindus and Muslims, but between the Muslims and Muslims. The succession was the other problem that led to disintegration of the Delhi Sultanate. The nobles were willing to accept that the successor of the ruler would be his son, as there was no rule that the eldest son of the ruler could succeed. This led to the struggles for the succession in which ambitious nobles found an opportunity to further their own interests.

2.2.5CHECK YOUR PROGRESS II

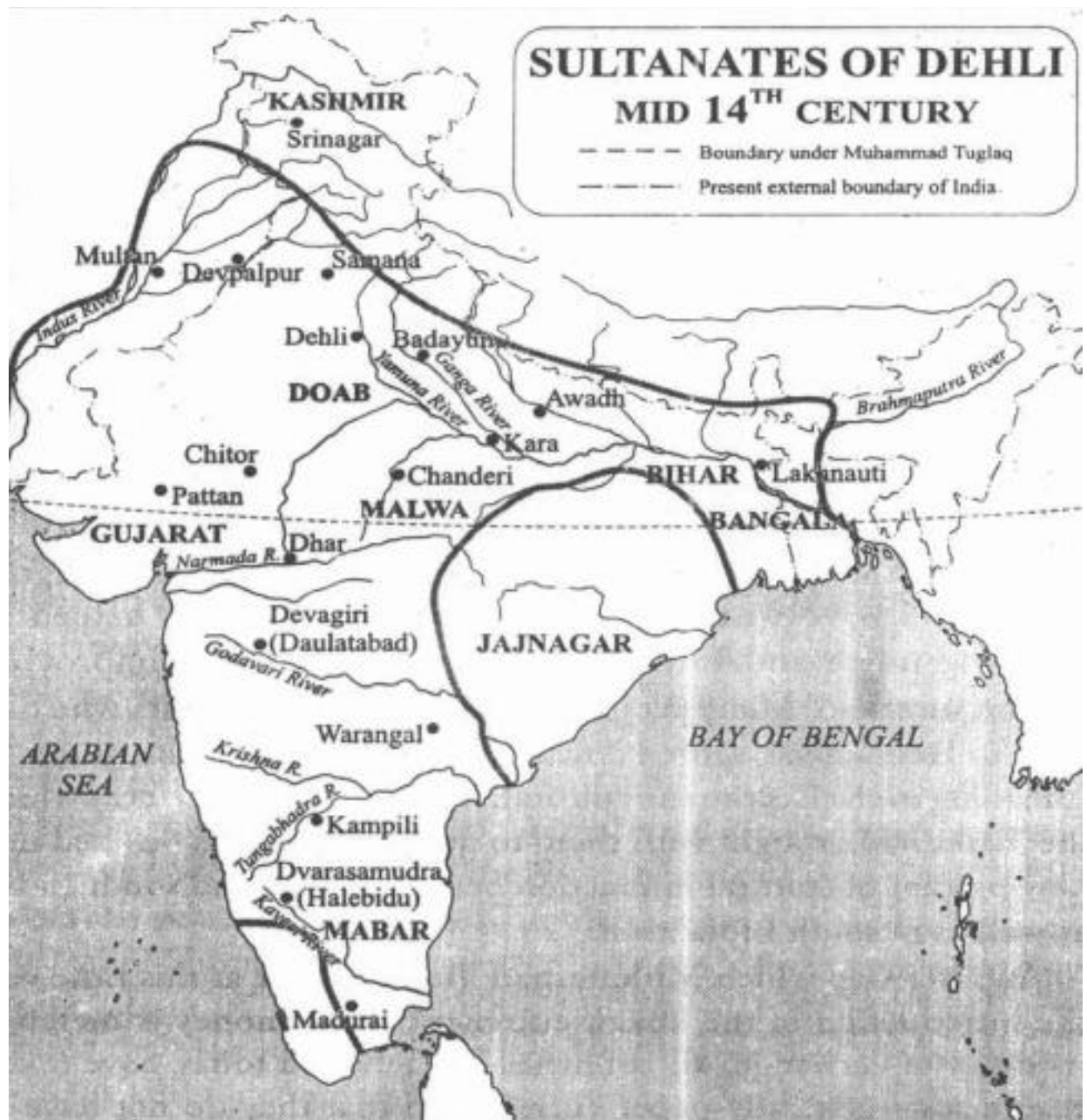
1. Name the four towns built during the reign of Firuz Shah Tughlaq?

2. What do you know about Dar-ul Shafa?

3. Who was Timur?

4. Describe the Thatta campaign of Firuz Shah Tughlaq?

5. Mention two causes which led to the downfall of the Delhi Sultanate?



Sultanates of Delhi Mid 14th Century²

² Satish Chandra, *History of Medieval India (800-1700)*, Hyderabad: Orient BlackSwan, 2018, p.124.

2.3 RISE OF NEW STATES

The decline of the Delhi Sultanate was accompanied by the rise of many new states like the Vijayanagar and Bahmani Kingdom, which dominated the country for more than 200 years. These kingdoms were in constant war with each other. In the north, there was the Lodhi Sultanate under the Afghans. Students, we are going to discuss the rise of new states one by one.

2.3.1 VIJAYANAGAR EMPIRE

Vijayanagar Empire was founded by Harihara and his brother Bukka of the Sangama dynasty. Earlier, they were feudatories of Kakatiyas of Warangal, and later joined the service of the ruler of Kampili in modern Karnataka. Gradually, they rose to the position of the ministers. When Muhammad bin Tughlaq conquered Kampili for giving a refuge to a Muslim rebel in 1327 A.D., Harihara and his brother Bukka were captured and were imprisoned in Delhi. The movement to overthrow Tughlaq rule spread to the entire Krishna-Tungabhadra Doab. In Kampili, the people rose against the Tughlaq governor, Malik Maqbul, who fled instead of suppressing the revolt. The Sultan released Harihara and Bukka to suppress the rebellion and hoping that they would restore the province to the Sultan. But this was not the scene; they joined the rebellion against the Sultan.

After the collapse of the Tughlaq rule, a number of new principalities arose in the south. These were: the Sultans of Madurai, the Valema rulers of Warangal, and the Reddis of Telingana and later the Bahmani Kingdom rose to the north of Vijayanagar Kingdom. In addition to this, the old surviving kingdom among them was the Hoysalas of Mysore. These principalities constantly fought against each other and made alliances according to their needs. In the struggle against the Sultan of Madurai, the Hoysala ruler, Ballal III, was defeated and executed in 1342 A.D. Harihara and his brother Bukka took advantage of the situation and launched a campaign against the Hoysala Kingdom. After controlling Hoysala, they struggled against the Madurai Sultanate. By 1377 A.D, the entire region came under their control. Now, the Vijayanagar Empire extended in the south up to Rameshwaram, and included the Madurai Sultanate as well. On the advice of their guru, Vidyaranya, they set up their capital at Vijayanagar on the river Tungbhadra. A city was also built by Bukka who succeeded his brother in 1356 A.D and ruled till 1377 A.D.

The Bahmani Kingdom rose in the north of the Vijayanagar Empire. Vijayanagar had to meet the rising power of the Bahmani Sultans. Bahmani Kingdom received timely support from the Valema rulers of Warangal and the Raya of Telingana who were afraid of the rising power of Vijayanagar. The Vijayanagar rulers and the Bahmani Sultans had a clash in three separate and distinct areas; in the Tungbhadra Doab, in the Krishna-Godavari delta, and in the Marathwada country. The reason behind this clash was the wealth and economic resources. Thus, the rulers of the area allied themselves sometimes to the Bahmani Kingdom, or sometimes sided with Vijayanagar to save them. There was a constant military conflict between the

Vijayanagar and the Bahmani Kingdoms. These conflicts emphasized the military aspect of both the kingdoms and often portrayed in religious terms. So other kingdoms allied with Bahmani and Vijayanagar kingdoms on the secular basis. Being a defender of Hindus, Vijayanagar rulers employed a contingent of Muslims horsemen, armed with bows. Later, the Gajapati rulers of Orissa occupied parts of the Vijayanagar Kingdom, which led to a Vijayanagar-Bahmani alliance against them. The rulers of Warangal made alliance with Bahmani Kingdom against Vijayanagar.

There was a religious rivalry between the Vijayanagar and the Bahmani Sultans. It led to widespread devastation in the neighboring territories, with loss of life and property. They burnt towns and villages, imprisoned and sold slave men, women and children, and committed other barbarities, in the name of religion. In 1356 A.D., in the battle for the Tungbhadra Doab the Bahmani forces attacked and captured Raichur. But it was recovered by Harihara the following year. Thus, in 1367 A.D., Bukka attacked Bahmani Kingdom with the support of ruler of Warangal to recover the lost territory. Bukka I assaulted the fortress of Mudkal and slaughtered the entire garrison. When the Bahmani Sultan heard about this incident he was enraged and marched towards the Vijayanagar Empire. Then he crossed the Tungabhadra and entered the Vijayanagar territorial unit. A set of scholars believed that the Vijayanagar ruler was badly defeated. Another viewpoint says that the Bahmani Sultan did not gain a decisive victory. The third version says that a peace treaty was signed between them on the grounds of Doab was shared between the two.

Harihara II assumed the throne in 1377 A.D., after defeating the Sultan of Madurai. He followed the expansion policy, resulted in the Vijayanagar's control over Goa, Chaul and Dhobal on the northern Konkan. Kenara, Karnataka, Trithinopoly and Kanchi regions were also captured. The rulers of Orissa and the Bahmani Sultans were also interested in this area. The successor of Hasan Gangu, invaded Warangal and seized Kaulas and the hill fort of Golconda. The Bahmani Sultan made Golconda the boundary of his kingdom and promised that he or his successor would never campaign against Warangal. So, the ruler of Warangal presented a valuable jewel throne set to the Bahmani Sultan. The alliance between the Bahmani and Warangal rulers lasted for over 50 years. Although Bahmani and Warangal were in peace with each other, Harihara II was able to maintain his position. He succeeded in annexing Belgaum, and he sent an expedition to the north of Sri Lanka. He was succeeded by his son Deva Raya I in 1404 A.D. In the beginning of his reign there was again a fight for the Tungbhadra Doab in which he was badly defeated by the Bahmini ruler Firuz Shah. He paid large amount of money, pearls and elephants as an indemnity. He also married his daughter with Firuz Shah. He constructed two dams, one over Tungabhadra and other on the river Haridra to relieve the shortage of water.

Another great ruler of the Vijayanagar Kingdom was Deva Raya II ascended the throne in 1425 A.D. To strengthen his army, he inducted more Muslims into it, gave them Jagirs. He had 80,000 cavalry, and 2,00,000 infantries. With this new army, he crossed Tungbhadra in 1443 A.D. and controlled Mudkal, Bankapur in the south of the Krishna River which had been

lost to the Bahmani Sultans earlier. Three battles were fought but lasted in truce. During the first half of the 15th century, under the series of the capable rulers, the Vijayanagar emerged as the most powerful and wealthy state in the south. The Vijayanagar Empire moved towards decline after the death of Deva Raya II. There were civil wars among the various contenders and many feudatories declared themselves independent. With Saluva ascending the throne after Raya, the earlier dynasty, came to an end. Saluva restored internal law and order, but his dynasty also did not last for long.

A new dynasty came into power known as Taluva dynasty founded by Krishna Deva Raya. He ruled from 1509 to 1530 A.D. Krishna Deva dealt with the Bahmani Kingdom and the state of Orissa. He also wanted to contend the Portuguese because they were trying to control vassal coastal states of Vijayanagar. They wanted to gain economic and political concessions. In the series of battles, Krishna Deva first compelled the ruler of Orissa to restore the territories of Vijayanagar till river Krishna. He also renewed the old struggle to control Tungabhadra Doab. As a result, there was a hostile alliance between his two main opponents, Bijapur and Orissa. In the battle between Vijayanagar Empire and Bijapur in the town of Raichur, the ruler of Bijapur was badly defeated in 1520 A.D. He was pushed across the river Krishna and died. Then the Vijayanagar armies reached Belgaum in the west, occupied and sacked Bijapur and destroyed Gulbarga. Vijayanagar emerged as the strongest military power in the south under Krishna Deva Raya. He also paid attention to the development of a navy. He built a new town near Vijayanagar. He dug an enormous tank which was used for irrigation purposes. He was an able scholar and promoted Telugu, Sanskrit, Kannada and Tamil literature during his rule. He was religiously tolerant. Furthermore, he had written a drama in Sanskrit and a polity in Telugu. His era was called a Golden Period of Telugu literature. Many foreign travelers like Barbosa, Paes and Nuniz had visited his court and praised Krishna Deva Raya for the social, economic and political conditions of the Vijayanagar Empire. They also praised his personality and justice that prevailed in his empire.

After the death of Krishna Deva, there were disputes between his sons for the throne. Finally, in 1543 A.D., Sadashiva Raya ascended the throne and ruled till 1567 A.D, but the actual power was in the hands of Rama Raya. Rama Raya took advantage of the conflicts between the Muslim powers. He also signed a commercial treaty with the Portuguese and as a result the supply of horses to the Bijapur ruler was stopped. He fought a number of battles in which he defeated the Bijapur Golconda and Ahmadnagar. These powers joined hands against Vijayanagar and gave a crushing defeat at Bannihatti near Talikota in 1565 A.D. This battle was called the battle of Talikota or the battle of Rakshasa-Tangadi. Rama Raya was imprisoned and executed. Around 1,00,000 Hindus were killed in the battle and Vijayanagar was plundered. This battle was considered as an end of the Vijayanagar Empire.

The Vijayanagar Empire established an efficient administration. The king was the head of the state. He should protect the good and punish the wicked. He also levied moderate taxes on people. He was advised by the council of ministers, which consisted of the great nobles of the kingdom. The empire was divided into Rajyas or Mundalam (provinces). Below the

provinces were Nadu (district), Sthala (sub-district) and Grama (village). But the hereditary growth of Nayaks tried to restrain their freedom and initiative. The peasants were required to pay taxes and the rate varied according to the type of crops, soil and method of irrigation. There were various other taxes, such as property tax, tax on sale of produce, profession taxes, military contribution and tax on marriage. The trade, agriculture and urban life flourished under the Vijayanagar rule. Many towns were built around the temples. The temples were very large, rich and took active part in internal and overseas trade.



The Sultanates of the Deccan and the Hindu kingdom of Vijayanagar in the 16th century.³

³ S.A.A.Rizvi, *The Wonder That Was India*, Vol. II, London: Sidgwick and Jackson, 1987,p.85.

2.3.2 CHECK YOUR PROGRESS III

1. Who was the founder of the Tuluva dynasty?

2. Name the travelers who visited the Vijayanagar Kingdom?

3. Define the term Nadu?

4. What was the reason of clash between the Vijayanagar and Bahmini Kingdom?

2.3.3 BAHMANI KINGDOM

The first independent Bahmani kingdom was founded by Hasan Gangu in 1347 A.D. He received the title of Alauddin Hasan Bahman Shah. He was the nephew of Alauddin Khalji's famous general, Zafar Khan. He made Gulbarga as his capital in North Karnataka. He captured Goa and occupied Dabol, which was the famous port. He extended his empire up to Bhongir in the northern Telingana. He divided his empire into four provinces: 1. Gulbarga with Raichur and Mudgal, 2. Daultabad with Bir, Junnar, and Chaul, 3. Berar with Mahur and 4. Bahmani Telingana with Indur and Kaulas. He was succeeded by Muhammad Shah I in 1358 A.D. who consolidated the kingdom. In 1363 A. D., he annexed the kingdom of Golconda and its dependencies from the Raja of Warangal. The territory of the north of the river Tungabhadra had been a bone of contention between the rulers of these regions. The Muslim Bahmani kingdom and the Hindu Vijayanagar Kingdom fought several wars with each other. Muhammad Shah captured Mudgal but could not hold it. He penetrated into the Vijayanagar Kingdom several times but was not able to gain anything. After the war for several months, both bear the terrible human loses and swore for peace. Muhammad Shah died in 1375 A.D. Up to 1397 A.D, the five weak Sultans ruled the kingdom and tensions continued in the kingdom because of the rising Hindu influence.

Firuz Shah Bahmani ascended the throne of the Bahmani kingdom in 1397 A.D. He expanded his kingdom by defeating the Gond Raja Narsingh Rai of Kherla in Berar. The Rai gave him elephants, gold and silver. He married his daughter with the Sultan. In return, Kherla was restored to Narsingh and was made an Amir of the kingdom. He was also given the robes of the state, including an embroidered cap. He continued the struggle with the Vijayanagar state but was unable to capture it. He forced Deva Raya I to marry his daughter with him and to cede Bankapur for as dowry. The struggle for domination of the Krishna-Godavari basin continued. In 1417 A.D., he again invaded Vijayanagar kingdom and was defeated at Panagal (Nalagonda). Firuz Shah Bahmani was very fond of learning. He extensively read religious science and natural

sciences. He was a calligraphist and a poet. He was well versed not only in Persian, Arabic and Turkish, but also in Telugu, Kannada and Marathi. He generally spent his time in the company of divines, poets and the most learned. He also built an observatory near Daultabad. He paid much attention to the chief ports of Chaul and Dabol, which attracted the trading ships from the Persian Gulf and the Red Sea. The ships poured luxury goods from the world. He appointed numerous Hindus in his administration. His kingdom was religiously tolerant. He did not levy the Jiziyah on the Hindus. He treated the Shias and the Sunnis equally. He abdicated his throne in the favor of his brother Ahmad Shah I, but he died in the couple of years in 1422 A.D.

Ahmad Shah I began his rule with the victory over the Raja of Warangal in 1424 A.D. He shifted his capital from Gulbarga to Bidar. He turned his attention towards Malwa, Gondwana and Konkan. He defeated the chief of Mahur and making it the northern outpost of his kingdom. In 1428 A. D., he forced the ruler of Khandesh to marry his daughter to his son Alauddin. He was considered as the saint by the Hindus, so his Urs (death anniversary) were celebrated. He was succeeded by his son Alauddin in 1436 A.D. He was also involved in the wars against Vijayanagar, Khandesh and Malwa. Towards the end of his life, he was involved in drinking and dissipation. He was succeeded by his son Humayun Shah in 1458 A. D. He appointed Khwaja Mahmud Gawan as his prime minister. Humayun Shah died in 1461 A. D. and gave the throne to his eight-year-old son Nizamuddin II. It was difficult for the young Nizam to handle the Bahmani Kingdom. Nizamuddin died in 1463 A.D. The new ruler Shamsudin Muhammad resumed the power at the age of nine. This gave way to Mahmud Gawan to take the control of the Bahmani Kingdom in his own hands as a Wakil-i-Sultanate (Prime Minister).

Shamsudin Muhammad gave Mahmud Gawan a title of Khwaja-i-Jahan and Malik-ut-Tajjar. Mahmud Gawan handled the affairs of the Bahmani Kingdom for twenty years. He also tried to expand his kingdom. Gawan joined hands with the Vijayanagar Empire to oust the Gajapati ruler of Orissa, from the Coromandel Coast. He also established Bahmani control over the western coast up to Goa and Dabol. It led to increase the sea trade of the kingdom with Iran and Iraq. Internal trade also increased. This weakened the power of the Vijayanagar Kingdom. Mahmud Gawan also tried to settle the northern frontiers of the kingdom. He sought the help of the ruler of Gujarat to subdue the powerful ruler of Malwa. After the conflict the negotiation was made that Kherla in Gondwana would go to Malwa, and Berar to the Bahmani Sultan. He annexed Tungabhadra Doab and also raided territories of Vijaynagar, to reach south like Kanchi. He did numerous internal reforms in the Bahmani Kingdom. The existing provinces (Tarafs) were sub-divided from four to eight. The Sultan appointed the governor for each fort. He also fixed the salaries and obligations of the nobles. He paid salaries in cash or by assigning Jagirs. Those who were granted Jagirs, they were allowed to collect the land revenue. An area of land (Khalisa) was set in every province. Efforts were made to measure the land and to fix the amount to be paid by each cultivator to the state. Mahmud Gawan was a great patron of art. He also took several measures to spread education. So, he built a magnificent Madrasa or college in Bidar. It had accommodation for one thousand teachers and students who were given free clothes and food. He faced a number of problems. There was a feud between the Deccanis and the foreigners

(Afaqis and Gharibs). So, Mahmud Gawan adopted the policy of conciliation, but failed. His opponents planned a conspiracy against him, resulted in his execution in 1482A.D. The conflicts between the Deccanis and the foreigners led to the break-up of the Bahmani Kingdom. The Bahmani kingdom was divided into five principalities; Golconda, Bijapur, Ahmadnagar, Berar and Bidar.

2.3.4 CHECK YOUR PROGRESS IV

1. Who was the founder of the Bahmani Kingdom?

2. Define the term Urs?

3. Mention the four provinces of Bahmani Kingdom?

4. Who shifted the capital from Gulbarga to Bidar?

5. Define the term Tarafs?

2.3.5 LODHI SULTANATE

The Afghans were the inhabitants of the Sulaiman Mountains to the west of the Indus. They were served under the Turkish rulers and sometimes rose to the position of the commander and even governor too. During the reign of Muhammad bin Tughlaq, many Afghan rulers came to Delhi. They rebelled against the Sultan under the leadership of Malik Shahu Lodhi, the governor of Multan. But failed. As a result, they subsequently returned to Afghanistan. They again rose to prominence under the Sayyids. Khizr Khan, first Sayyid Sultan appointed another Afghan, Malik Sultan Shah Lodhi, governor of Sirhind and given him the title of Islam Khan. He also appointed his relatives and the other Afghans to high positions. The strongest among them was Bahlul, son of Malik Kala who came into limelight. He was married to the daughter of Islam Khan. Islam Khan, passing over his own sons, chose Bahlul his successor, but this was not acceptable to them. They raised arms against Bahlul but defeated badly. Bahlul Lodhi established his rule in the Punjab. He checked the growing power of the Khokhars, a warlike tribe. Soon, he dominated the entire Punjab and moved towards Delhi.

a. Bahlul Lodhi

Bahlul Lodhi ascended the throne of Delhi in 1451 A. D. As a Delhi Sultan, Bahlul Lodhi successfully defeated the powerful Sharqi rulers. He subdued the Muslim Langah, ruler of Multan, but he failed to conquer Malwa. Bahlul Lodhi encouraged the Afghans to migrate to the country and awarded them high positions. The loyal Afghan supporters were given the senior offices and the important governorships were given to the royal princes. Bahlul's monarchy resembled a tribal confederation. He died at the age of eighty. He firmly established the Lodhi Sultanate from the Punjab to the borders of Bihar.

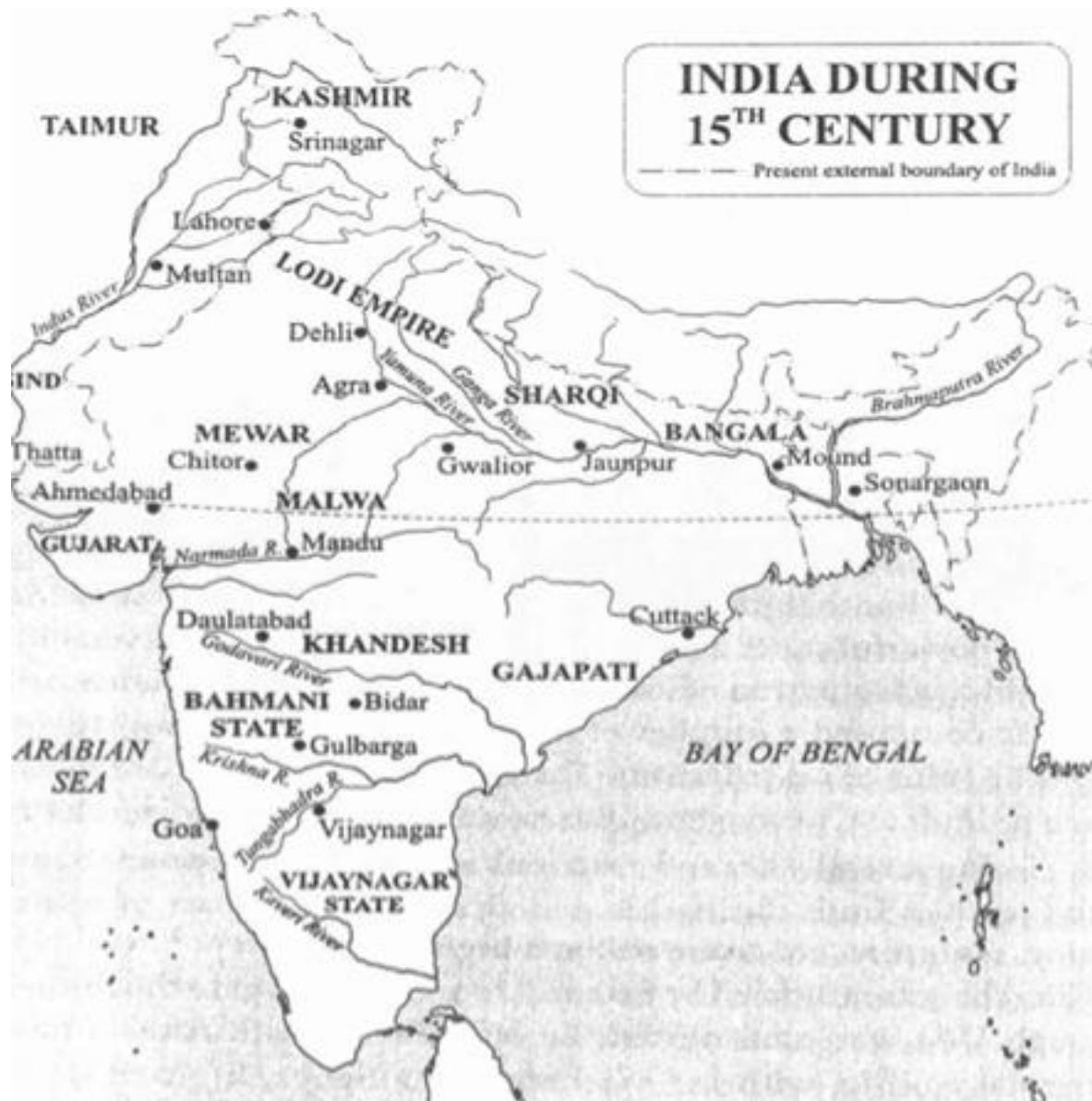
b. Sikandar Lodhi

After the death of Bahlul Lodhi, his Hindu wife supported her son Nizam Khan to the throne. Nizam Khan assumed the title of Sultan Sikandar when he ascended the throne in 1489 A. D. He was a contemporary of Mahmud Begarha of Gujarat and Rana Sanga of Mewar. He geared the kingdom of Delhi for the coming struggle for power with these states. He defeated Husayn Shah Sharqi of Jaunpur, and forced the Raja of Tirhut to pay an annual tribute to the Sultan. He also conquered the states of Bihar, Dholpur, Chanderi and Gwalior. He also seized the small forts surrounding Gwalior under Raja Man Singh. He spent much of his energy to capture Gwalior, but Malwa remained unconquered. Sikandar Lodhi re-affirmed the supremacy of the Sultan over his nobles. He granted Iqtas to the Afghans as well as to the Hindu chiefs. The Jagirdars had to submit accounts regularly. The drastic punishments were given to those who were corrupt. He had a strong spy system and all the events in the empire were reported to the Sultan. He also took deep interest in the development of agriculture. He abolished octroi duty on grains, and established a new measurement of a yard, called the Gazz-i-Sikandari. He also established an efficient administration. He laid great emphasis on justice, and made his empire safe from the robbers and bandits. He was an orthodox king. He forbade the practices against the Shara (Islamic law). He re-imposed the Jiziyah on the Hindus. Furthermore, he executed Brahmans who considered Hindu and Muslim scriptures equally sacred. Moreover, he also demolished a few Hindu temples during his campaigns, such as the temples at Nagarkot. He also gave grants to the scholars, philosophers and men of letters in his court. He also translated many Sanskrit works into Persian. He was also interested in music. Many Hindus learnt Persian and were recruited to the various administrative posts under his rule. He died in 1517 A. D.

c. Ibrahim Lodhi

Ibrahim Lodhi ascended the throne of Delhi after the death of his father Sikandar Lodhi in 1517 A.D. The Afghan nobles tried to undermine the Sultan's autocracy. So, they forced Ibrahim Lodhi to make his younger brother, Jalal an independent ruler of Jaunpur region, which was under the control of Sharqis. However, Khan-i-Jahan Lodhi, Ibrahim's favorite noble, opposed this scheme of dual monarchy and persuaded the Sultan to change his mind. As a result, there was a civil war between Ibrahim and Jalal, in which Jalal was badly defeated. He was imprisoned

in Hansi fort and later executed. This gave an opportunity to Rana Sanga of Mewar, who started marching towards the Lodhi territories up to Bayana near Agra and captured Chanderi. There was also rebellion in Bihar. He summoned Dawlat Khan Lodhi, governor of the Punjab for twenty years to deal with the odds but instead, he sent his son Dilawar Khan. Both Dilawar Khan and Dawlat Khan conspired against Ibrahim Lodhi and invited Babur, who was a ruler of Kabul, to the country. A first battle was fought at Panipat in 1526 A. D. between Babur and Ibrahim Lodhi. In the battle, Ibrahim Lodhi was badly defeated and killed. Thus, the Delhi Sultanate came to an end and gave rise to the Mughals.



India During 15th Century⁴

⁴ Satish Chandra, *History of Medieval India (800-1700)*, Hyderabad: Orient BlackSwan, 2018, p.190.

2.3.6 CHECK YOUR PROGRESS V

1. Who were the Afghans?

.....

2. Who was the founder of the Lodhi dynasty?

.....

3. Which title was assumed by Nizam Khan?

.....

4. What was Gaz-i-Sikandari?

.....

2.4 SUMMARY

Students, in this unit we have highlighted the initiatives taken by Muhammad bin Tughlaq for the effective administration control, but they were short-lived and failed. His successor Firuz Tughluq gave up warfare and made the state more an instrument of development and welfare. But the Delhi Sultanate began to disintegrate. We have also looked at the rise of Vijayanagar Kingdom which dominated the country for more than 200 years. The defeat in the battle of Talikota in 1565 A.D gave way to the disintegration of this kingdom. In addition to this, we have also analyzed the rise of the Bahmani kingdom and their constant struggle with the Vijayanagar Kingdom. Despite continuous wars, there was a growth of trade and commerce, growth of agriculture and development in art and culture continued up till sixteenth century. Lastly, we have given the account of the establishment of first Afghan empire under the Lodhi Sultanate. With the defeat of Ibrahim Lodhi in the first battle of Panipat in 1526 A.D, the Delhi Sultanate collapsed and this gave way to Babur to laid the foundation of Mughal rule in India.

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2.6 QUESTIONS FOR PRACTICE

2.6.1 LONG ANSWER QUESTIONS

1. Discuss main features of administration of Vijaynagar Kingdom.
2. Discuss the administrative experiments of Muhammad bin Tughlaq and their impact.
3. Write a note on the rise of the Bahmani kingdom?
4. Discuss the achievements of the Lodhi Sultans?
5. Give an account of Firuz Tughluq's administrative and economic reforms.

2.6.2 SHORT ANSWER QUESTIONS

1. Who was Jauna Khan?
2. When and between whom the first battle of Panipat fought?
3. Mention two internal reforms of Mahmud Gawan.
4. When and between whom the battle of Talikota was fought?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: HISTORY OF INDIA: c.1200-c.1750

UNIT 3: GOVERNMENT AND ADMINISTRATION; NATURE OF THE STATE

STRUCTURE

3.0 Learning Objectives

3.1 Introduction

3.2 Central Administration

3.2.1 The Sultan

3.2.2 Diwan-i-Wizarat

3.2.3 Diwan -i-Arz

3.2.4 Diwan -i-Insha

3.2.5 Diwan -i-Risalat

3.2.6 Check Your Progress I

3.3 Provincial and Local Administration

3.4 Revenue Administration

3.5 Military Administration

3.5.1 Check Your Progress II

3.6 Nature of the State

3.6.1 Check Your Progress III

3.7 Summary

3.8 Suggested Readings

3.9 Questions for Practice

3.9.1 Long Answer Questions

3.9.2 Short Answer Questions

3.0 LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Evaluate the working of the major administrative departments at the central, provincial and the local level.
- Gain information about the military and the revenue administration under the Delhi Sultans.
- Analyse the nature and the composition of the Delhi Sultanate.

3.1 INTRODUCTION

Students, this unit will examine the administrative system under the Delhi Sultanate. In the beginning, it will discuss about the administrative structure introduced and maintained at the central as well as the provincial level. This unit will also be looking at the other departments like the revenue and the military under the Delhi Sultans. Apart from the administration, the nature of the state will be analyzed in which the nature of monarchy, outlook towards the people, relationship with the religion highlighted in such a way to understand the continuity and the change under the Delhi Sultanate.

3.2 CENTRAL ADMINISTRATION

The central administration of the Delhi Sultanate consisted of the Sultan and the other nobles controlling various offices for the smooth functioning of the state. Students, we will be looking at the power and the position of the Sultan and working of the various departments separately under this section.

3.2.1 THE SULTAN

The head of the administration was the Sultan. He was the ruler of the entire realm and had absolute powers in his hands. He was the pivot of administration, the commander-in-chief of the armed forces and the ultimate court of appeal in all the judicial cases. He was the centre of the society and politics. He had the growing influence over his people. Moreover, he was the source of honor and patronage for the scholars, musicians, poets and religious divines who gathered in his court. The Sultan was regarded as the representative of God on this earth because of the power and prestige he was carrying. Balban assumed the title of Zill-Allah (shadow of God), and introduced the ceremonies of Sijda and Paibos (bending down to touch one's feet).

Though the Sultan enjoyed extensive powers, but there were serious limitations on his authority. The religion was the major institutional check on the misuse of power by a monarch. The ruler was required to follow the code of conduct prescribed by the religion. He was bound to function in accordance with the ethical and moral norms. He could not go against the Shariat. Apart from religion, the struggle for power exercised some check on the absolute powers of the Sultan from time to time. Thus, despite some limitations, the Sultan remained the pivot of power and governance during the Sultanate period.

In his task of governance, the Sultan was assisted by a regular hierarchy of officer's in-charge of various departments. The number of such ministries or the departments was not fixed. They carried out the administration in accordance with the orders of the Sultan. These ministers were the most trusted officials of the Sultan. Loyalty was therefore a prerequisite for holding the high office and was given the highest rewards. In fact, the Sultan was the pivot around which the whole administrative machinery revolved. A number of separate departments were created to look after different aspects of administration.

3.2.2 DIWAN-I-WIZARAT

The most important office in the Sultanate was Diwan-i-Wizarat headed by the Wazir. The Wazir had to be a man of wide experience, wisdom and sagacity. He assisted the Sultan in the general administration of the country. He had to be a man of tact to control the nobility. There were two types of Wazirs, Wazir-i-Tafwiz who had unlimited powers except to appoint his successor and the Wazir-i-Tanfiz who merely carried out the wishes of the ruler. But, the Delhi Sultan wanted his Wazir to be influential enough to relieve him from the day-to-day burdens of the government. For example, Iltutmish's Wazir was Fakhruddin Isami, an old man who had served in high office at Baghdad for thirty years. He was succeeded by Muhammad Junaidi, who had the title of Nizamul Mulk. He was a powerful person. However, his opposition to Razia cost him his office and his life.

The main function of the Wazir was to look after the entire administration. The Wazir advised the Sultan, led military expeditions occasionally, looked after the finances of the state, supervised the payments to the army, kept a check on land revenue collections and maintained records. His duties also included to look into the mints, royal buildings and other belongings of the royal court. For example, the Karkhanas were supervised by the Wazir. The Wazir also supervised the number of other departments like the Mustaufi-i-Mumalik (Auditor General in-charge of expenditure), Mushrif-i-Mumalik (Accountant General, in-charge of income). The Wazir was the most trusted officer of the Delhi Sultanate.

3.2.3 DIWAN-I-ARZ

Diwan-i-Arz was instituted specially to look after the military organization of the empire. It was headed by the Ariz-i-Mamalik. The special responsibility of Ariz-i-Mamalik was to recruit, equip and pay the army. He was not the commander-in-chief of the army, but a leading noble and a warrior. He was responsible for making all preparation at the time of the campaign, looked after the supply and transport during the war. Balban gave more importance to Ariz-i-Mamalik than the Wazir. The importance of this post increased during Alauddin Khalji with the introduction of the branding system (Dagh) for horses and descriptive roll (Chehra) of the soldiers. This was meant to strengthen his control over the army. The Ariz was thus a very important officer who put limits on the powers of the Wazir.

3.2.4 DIWAN-I-INSHA

Diwan-i-Insha looked after the department of royal correspondence headed by the Dabir-i-Khas. He was one of the confident of the Sultan. He was responsible for drafting royal orders and communications to the important Iqtadars and the neighboring rajas. The post was an important and responsible one, ensuring close proximity to the ruler. The Dabir also acted as a check to the Wazir.

3.2.5 DIWAN-I-RISALAT

Diwan-i-Risalat was a prominent office during the Sultanate period, but there has been a sharp difference of opinion among the modern historians about its duties. Some call it a ministry of foreign affairs, others as a department for control of prices and public morals and as a department of hearing public grievances. The word Risalat derived from the word Rasul meaning prophet or one had a holy character. The Rasul-i-Dar or the Sadr-i-Jahan or the Wakil-i-Dar was the chief person in-charge of ecclesiastical department who was responsible for granting stipends of rent-free lands to the Muslim scholars and divines, the learned and the recluse. Apart from this, he was responsible for the appointment of the Muhtasibs or censor of public morals. He also check gambling and prostitution. He also ensured that Muslims followed their obligatory duties such as Namaz (public prayers) and Roza (fasting). Another important officer was the Qazi-ul-Qazzat or the chief Qazi, responsible for the administration of justice and also looked after the religious matters. Sometimes the posts of the Sadr-i-Jahan and the chief Qazi were combined. The duties of Diwan-i-Risalat became very important during the reign of Alauddin Khalji. His market reforms needed constant surveillance, so the charge to supervise given to Diwan-i-Risalat. After the death of Alauddin, this department lost its prominence. Thus, Diwan-i-Risalat had different forms under different rulers but its basic function of giving stipends and revenue free lands to the deserving and the needy seem to have continued all the time.

Apart from the main departments, there were a number of other officers and departments at the centre which helped in the smooth functioning of the administration. Important amongst them were a Mir-i-Hajib, connected with court and the royal household. He was also called the Barbek. He was master of ceremonies at the court. Furthermore, he marshaled the nobles in accordance with their ranks. Another important officer concerned with the royal household was the Wakil-i-Dar who controlled the royal household and supervised the payment of allowances and salaries to the sovereign's personal staff which included the royal kitchen, the wine department and the royal stables. He was also responsible for the education of the princes. The Barid-i-Khas next in prominence was the head of the intelligence department. The spies or Barids were appointed to different parts of the empire to keep the Sultan informed of all the developments in the empire. During the time of Alauddin, great importance was given to the department of public works or Diwan-i-Amirat. It was Firuz Tughlaq who not only repaired

many old buildings like Sarais, mausoleums and dug canals, built many towns. A separate department was set up called Mir-i-Imarat.

3.2.6 CHECK YOUR PROGRESS I

1. What do you understand by the term Zill-Allah?

2. Write four major administrative departments under the Delhi Sultanate?

3. Mention the functions of a Mir-Hajib?

4. Who created the department of Diwan-i-Mustakharaj?

5. What were Barids?

6. Define the term Sarai?

3.3 PROVINCIAL AND LOCAL ADMINISTRATION

There was no uniform administrative system under the Delhi Sultans at the provincial as well as the local level. The Delhi Sultanate comprised of provinces placed under the charge of governors called Walis or Muqtis. They were commanders of the military and administrative tracts called Iqtas or Wilayat. The Muqti had complete charge of the administration of the Iqta including the task of maintaining an army to join the Sultan in case of need. He was expected to defray the cost of the army, meet his own expenses and to make financial contributions to the Sultan. He also sends the balance (Fawazil) of the income after meeting his own and army expenses. Additional duties were also added from the time of Alauddin, that they were expected to follow the system of revenue assessment of the Khalisa land. With the passage of time, control of the Muqti's on administration also increased. The Naib Diwan, in-charge of the revenue administration, began to be appointed from the centre. A Barid or intelligence officer was also posted to keep the Sultan informed about the actions of the Muqti.

With the consolidation of Delhi Sultanate, the provinces were further portioned into Shiqs for the administrative convenience of the state. They were administered by the Shiqdars. The Shiqdar assisted the governor in the maintenance of law and order and provided military assistance. His salary derived from the revenue collections of the area. His duties also included to supervise the functioning of the smaller administrative units.

The Shiqs were further subdivided into Parganas which consisted of a number of villages. A Chaudhari who was a hereditary land-holder and an Amil or revenue collector were posted there. There were also the references of Khuts and Muqqaddams (village headman). They

worked with the governor in the collection of revenue and maintaining law and order. A Patwari was also a village official to maintain account books.

3.4 REVENUE ADMINISTRATION

The economy of the Delhi Sultanate was predominantly agrarian and the primary source of the income was land revenue. The cultivators were required to pay a large number of taxes which were subsumed under the broad categories of Bhaga (land revenue), Bhog, and Kar. However, there were a number of difficulties in calculating the share of the produce, collect individually or collectively, how much of it went to the ruler and how much to his subordinates or to the local landed elites. In the 13th century, the land revenue demand was depended upon on the paying capacity of the peasant. For instance, Balban advised his son, Bughra Khan, not to charge so much land revenue, which reduced the peasant to a state of poverty, nor so little that they become rebellious on account of excess of wealth.

In the 14th century, Alauddin Khalji raised the land revenue demand to half of the produce from Khalisa land from upper Doab region up to Aligarh and in some areas of Rajasthan and Malwa. The Khalisa land revenue demand was based on the measurement of the area cultivated by each cultivator. The cultivators were encouraged to pay revenue in cash. Alauddin Khalji was also involved in the sale of grains to the Banjaras or in local Mandi. He was very much concerned with the peasants that they got favorable prices of their crops. He was also intervened in the affairs of the villages. He tried to operate against the privileged sections in the villages—the Khuts, Muqaddam and the Chauduries. He ensured that the Khuts and Muqaddams did not pass their burden on weaker section and pay their taxes—the Ghari and Charai taxes. The Khuts and Muqaddams became poor that they could not wear costly clothes and ride on horses and their women were obliged to work in the houses of Muslim. Alauddin attempted to take away all the privileges from the upper section of the landed nobility. His strict measures were collapsed with his death.

The successors of Alauddin restored the privileges of the Khuts and Muqaddams. The state no longer assesses the land revenue on the basis of cultivated area by each individual, but assesses it as a lump sum, leaving the assessment to the Khuts and Muqaddams. Ghiyasuddin Tughlaq took the definite step of replacing the system of measurement by sharing in the Khalisa area. This provided relief to the cultivators because under the measurement the risk of cultivation of crops had to be borne by the cultivator. But under sharing both profit and loss were shared by the cultivator and the state. Ghiyasuddin provided another relief to the peasants that revenue demand should not be raised by guess or computation. The revenue enhancement put extra burden on the peasantry, so he relieved the peasants in this way. His son, Muhammad Tughlaq tried to revive the old system of Alauddin and extend it all over the empire. His excessive revenue demand led to serious peasant uprising in the Doab. He also levied tax on cattle and houses. The land revenue demand raised almost half. He curtailed the privileges of the Khuts and Muqaddams. Thus, it would appear that the land revenue under the Delhi Sultans during the 14th

century, remained heavy almost half of the produce, it was assessed and collected by the intermediaries for several decades.

Apart from land revenue, Delhi Sultans collected other taxes also to incur heavy expenditure on the maintenance of large army, royal court and royal household. They imposed two types of taxes: religious tax and secular tax. Zakat referred to all the taxes which were collected from the Muslims as a religious duty. It comprised of tax on flocks, herds, gold, silver, commercial capital, agricultural produce. Jizyah was imposed on non-Muslims for the production offered by the Muslim government to their life, property and places of worship. Kharaj was the tax on land taken from the non-Muslims only. But, later this tax was taken from the Muslims who cultivated land. This tax ranged between 1/3rd and 1/2 of the produce. Khams represented 1/5th of the booty acquired in war or mine or treasure trove. In addition to these taxes, certain other taxes were imposed by the Delhi Sultans from time to time. For instance, Firuz Shah imposed an irrigation tax at the rate of 10 percent.

3.5 MILITARY ADMINISTRATION

The Delhi Sultans maintained a strong and efficient army. A strong army was needed to deal with the local people who were not willing to accept the authority of the Sultan, to suppress the revolts and to deal with the foreign invasions. The early Delhi Sultans did not maintain a well-organized army and chiefly depended on their nobles for the supply of soldiers. It was Alauddin Khalji who started the practice of maintaining a standing army. This practice was, however, abandoned by Firuz Tughlaq. He once again reverted to the feudal military organization.

The army of Delhi Sultanate consisted of four types of soldiers. Firstly, there were regular soldiers permanently employed by the Sultan. They included royal slaves, guards and troops. Alauddin Khalji kept a large number of such soldiers. Even Ghiyasuddin and Muhammad Tughlaq also maintained large central army. The responsibility of organization and maintenance of the army rested with Diwan-i-Ariz. Secondly, there were soldiers employed on a regular basis by the provincial governors. The responsibility for the recruitment and training of these soldiers rested with the governors. The soldiers were placed at the disposal of the Sultan at the time of need. Thirdly, there were soldiers which were recruited on temporary basis during the period of war. The contingents stationed at Delhi were called Hasham-i-Qalb and provincial contingents were called Hasham-i-Atsaf.

The army of Delhi Sultans consisted of cavalry, infantry and elephants. Cavalry was composed of a Sawar (men with single horse), Do aspeh (men with two horses). The cavalry was the strongest of all and formed the backbone of the army. With the help of their cavalry, the Delhi Sultans acquired superiority over the Indian troops. The horses were imported from distant foreign lands. Efforts were made to breed good horses in the country. Alauddin Khalji started the practice of branding horses. The elephants formed another essential part of the army. There was a separate department to look after the training and maintenance of the elephants. It was supervised by Shahna-i-Fil. The infantry or foot soldiers were referred to as Paiks. Most of the

members of infantry consisted of Hindu slaves and persons of low origin. They were armed with swords, spears, bow and arrow. With regard to the organization of the army administration, it was headed by Ariz-i-Mumalik, who was responsible for the maintenance and efficiency of the forces. The descriptive rolls of all soldiers were maintained in his office. Another notable official of the army was Amir-i-Akhur who was in-charge of the royal guards. The army of Delhi Sultans had diverse character, but it lacked proper training and discipline.

3.5.1 CHECK YOUR PROGRESS II

1. Write about the duties of a Muqti under the Delhi Sultanate?

2. Write about the role of a Barid in the provincial administration?

3. Who was Bughra Khan?

4. What do you know about the term Khalisa?

5. Discuss the position of the Khuts and Muqaddams under Alauddin Khalji?

6. Write a few sentences on the functions of the Diwan-i-Ariz department?

7. Who was appointed as the in-charge of the royal guards?

8. Write different types of soldiers in the army of the Delhi Sultanate?

3.6 NATURE OF THE STATE

There has been a debate among the scholars about the nature of the state, its origin, the nature of monarchy, outlook towards the people, relationship with the religion and religious orders. In the Delhi Sultanate, the Sultan accorded an independent position as long as they accepted the theoretical superiority of the Caliph or Khalifa. In actual sense, the Sultans were left free in their political conduct as long as they did not openly violate the Shara. The Turks who came to India were deeply influenced by the Islamic thinking or practices regarding the state. They followed their traditions and at the same time they were intensely practical in their political dealings and remain within the framework of Islamic law (Shara).

The Delhi Sultanate began as an independent entity when Qutubuddin Aibak, a slave rose to power in 1206 A.D. After Aibak, Iltutmish consolidated his power and the rulers of Ghazni ceased to claim suzerainty over the territories comprising the Sultanate of Delhi.

Although asserting their independence, the rulers at Delhi maintained their links with the rest of the Islamic world by getting a formal letter of investiture (Manshur) from the Abbasid Caliph at Baghdad. In 1229 A.D, Iltutmish received such a letter of investiture, along with splendid robes from the Caliph of Baghdad. The Sultans of Delhi inscribed the name of the Caliph in their coinage and his name was included in the Khutbah at the time of the Friday prayers. The Sultans assumed the title of Nasir-amirul-mominin (the lieutenant of the leader of the faithful, the Caliph). The independence and status of the Sultans of Delhi had not been questioned by anyone before the receipt of the letter of investiture. Even it was not questioned when, Mubarak Shah, the successor of Alauddin Khalji, repudiated allegiance to the Caliph, and declared himself Imam. With the passage of time, this unity of the Islamic world broken down because of various reasons like rise of various religious sects, independent kingdoms under Turkish rulers and rise of Mongols. The prestige of the Abbasid Caliph had gradually declined. Muhammad bin Tughlaq obtained an investiture from a descendent of the Abbasid Caliph who was living at Cairo. He also issued coins in the name of Caliph and removed his own name from the coins. But, this hardly affected the rebels or internal revolts during Muhammad bin Tughlaq reign. Firuz Tughlaq twice obtained an investiture and robes of honor from the Caliph, even before he stood forth as a champion of orthodoxy. This did not make any difference. Following the example of Timur, the Mughal rulers themselves assumed the title of Imam. Thus, the institution of Caliphate had little relevance during the Sultanate and the Mughal period.

With the advent of Turks, a new type of state introduced in north India in which the question of centralization or decentralization arose from time to time. In the beginning, military leaders enjoyed maximum freedom to carry out conquests in different parts of the country. A strong corp of troops operated under the direct control of the Sultan. This decentralized despotism was replaced by centralized state by Balban. This centralized character continued during the Khalji's up to the end of 14th century. Following the downfall of the Tughlaqs and the rise of Lodhi's to power, again decentralized despotism seen among the Afghan tribal leaders which led to clashes between the nobles and the Sultan. The tussle for power between the Sultan and the nobles was a constant feature of the Sultanate, the precise extent and the degree of centralization varied from ruler to ruler. For instance, the struggle for power between the nobles and the Sultan was settled in favor of the Sultan with the accession of Balban to the throne.

During the 13th and 14th centuries, the character of the state varied considerably. The 13th century was practically a period of the Turkish domination over the state. Most of the nobles, both free and slaves, were Turks who accompanied Mahmud Ghazni a well known invader to India. Another important group was of the Khaljis who were not considered as the Turks. This group did not find favor with the successors of Qutubuddin Aibak at Delhi. Apart from this, another group which received support from the Sultan was the Tajiks. The Tajiks were more cultured and refined. They were generally preferred for administrative posts in the central government. For instance, Iltutmish's Wazir, Nizamul Mulk Junaidi was a Tajik. The Turks resented the Tajiks and their attempt to grab the higher administrative posts. After the death of Iltutmish, many Tajiks were killed by the Turks. Apart from the Turks and the Tajiks, there were

references of few Arabs, Yamanis were appointed under the Delhi Sultanate. They worked under the department of the Sadr. It seems that only the Turks were strong and tried to dominate the Sultan. This continued during the reign of Balban too. He was the champion of Turkish domination of the state. He was against the low-born, especially Indian Muslims. Moreover, he did not give administrative posts to them. Simultaneously, he declared himself as the descendant of the Iranian hero, Afrasiyab and adhered to pre-Islamic Iranian forms and symbols of suzerainty. He tried to fuse together Iranian forms and Turkish domination. In the last years of his reign, he was compelled to admit a section of the Mongols to the nobility. His son, Prince Muhammad, recruited Khalji's under Jalaluddin Khalji to fight with the Mongols. Towards the end of his reign, he lost faith in the Turkish nobles.

When Khalji's came in power, they ended the Turkish domination. Along with the Turks in the nobility, they opened the doors to the other talented Muslims. For instance, Alauddin's Wazir was Nusrat Khan Jalesar and Zafar Khan, his Mir Arz. Both were famous warriors but were non-Turks. Malik Kafur was also non-Turk and rose to power under Alauddin. There was an influx of a large number of non-Turks into the nobility during the latter years of his reign. The rise of the Khalji's led to the end of Turkish monopoly of high offices and an integrated Indo-Muslim state emerged in India. High offices were filled on the basis of efficiency rather than on the basis of their ethnic origin.

During the Tughlaq's reign, there was a drastic change seen in the nobility. Muhammad bin Tughlaq appointed Hindus as well as Muslims from the low classes on the basis of their efficiency in the nobility. Tailang Brahman, Khan-i-Jahan Maqbul rose to the position of Wazir under Firuz Tughlaq. Ain-ul-Mulk was appointed governor of Awadh under Muhammad Tughlaq and also worked under Firuz Tughlaq as Mushrif-i-Mamluk. They gained some important positions in the nobility, but this did not mean that they became a dominant element in the nobility. Muhammad Tughlaq appointed large number of foreigners in the nobility. They later established their own kingdom; one such was Bahmani kingdom in the Deccan.

The power and position of the Ulema was quite debatable under the Delhi Sultanate. A set of scholars declared that the state set up by the Turks was a theocratic state. It was based on the Muslim holy law, the Shara which could be interpreted only by the Ulema. The Delhi Sultans paid great deference to the Ulema for interpretation of Islam. But they kept effective political control in their hands. They did not feel bound to consult them or accede to their views where matters of the state were concerned. So, a purely theoretic state never existed in India. For instance, Iltutmish did not consult the theologians before he declared Razia as his successor. Balban introduced pre-Islamic ceremonials in his court, including Sijda and Paibos which were considered un-Islamic by the Ulema. Alauddin was quite convinced that government and administration were quite independent of the rules and orders of the Shariat. Muhammad bin Tughlaq issued many secular decrees (Zawabits) to supplement the Shariat. Even an orthodox ruler, Firuz, forbade cutting of hands, feet, noses of the criminals even though it had been sanctioned by the Shariat. Taking all this into account, the Delhi Sultanate was not entirely theoretic state. Nor it can be an ethnocentric state because Shara as defined by the Ulema was not

the core concern of the Sultans. The Ulemas were honored in the state, but the state was not run on their advice. It was entirely dependent on political considerations and interests of the ruler. There was sharp difference of opinion between the orthodox clergy and the Delhi Sultans regarding the extent of religious freedom to be accorded to the Hindus and their role in the working of the state.

The state postulated considerable but defined religious freedom to Hindus who accepted the overlordship of the Muslim rulers. They also agreed to abide by the rules and regulations enforced by him. They were known as the *Zimmis*. The *Zimmis* had the right to worship according to their rites and to maintain and repair temples. Even they were allowed to build new temples in villages where there were no Muslims. There were also the references of destruction of temples in case of opposition by the Hindus. In times of war, temples were sacked and destroyed. In addition to the loyalty and service to the Delhi Sultans, the Hindus were also required to pay *Jizyah*. How precisely *Jizyah* was assessed or collected during the Sultanate period is not clear. During the early Sultanate period up till the Khalji's, no concrete reference of *Jizyah* was found. During the time of Tughlaq, *Jizyah* as a separate tax was imposed on the non-Muslims. The Brahmins were exempted from it. For the section of the orthodox the Ulema, *Jizyah* was a means of harassing and humiliating and insulting the Hindus. Others believed that Hindus were ineligible for *Jizyah*. It also keeps in mind that the Hindus formed a predominant section of the population including Delhi. They worked as *Khuts*, *Muqaddams*, *Chaudhari*, *Rana* and *Thakur*. They worked as traders and financiers in the towns. Alauddin Khalji curtailed their powers. It can be stated that Hindus were not appointed to high offices except during the reign of Muhammad bin Tughlaq. The small section of Hindus enjoyed high positions under Delhi Sultans and the majority of Hindu and Muslim population continued to be poor. The state did not interfere in the life of the people as long as they were paying taxes. Considerable religious freedom was given to the people. The traditions of broad religious toleration had become well established in the Delhi Sultanate.

3.6.1 CHECK YOUR PROGRESS III

1. Write a few sentences on the position of a Caliph.

2. What do you know about the Tajiks?

3. Discuss the power and position of the Ulemas under the Delhi Sultanate?

4. Define the term *Zimmis*?

5. What do you understand by the term *Shariat*?

3.7 SUMMARY

Students in this unit, we have discussed about the evolution and growth of administrative structure under the Delhi Sultanate. The administrative system contributed towards the consolidation of the Sultanate at three levels; central, provincial and local. There were also various other departments for the smooth functioning of the government. The military department required to maintain peace and stability in the empire. The revenue department regulated the income generated from various sources, especially land revenue. The last section explained about the nature of state under the Delhi Sultanate. The institution of Caliphate gradually declined and lost its importance. As far as nobility was concerned, drastic changes were seen from time to time. The Ulemas were honored in the state, but the state was not run on their advice. The state gave considerable freedom to people of the country.

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R.P. Tripathi, *Some Aspects of Muslim Administration*, Allahabad: Indian Press, 1936.

3.9 QUESTIONS FOR PRACTICE

3.9.1 LONG ANSWER QUESTIONS

1. Discuss the central and provincial administration under the Delhi Sultanate?
2. Write about the revenue administration under the Delhi Sultanate.
3. Discuss the nature of the state under the Delhi Sultans?
4. What do you know about the institution of Caliphate?

3.9.2 SHORT ANSWER QUESTIONS

1. Define the term Fawazil?
2. What do you know about the term Hasham-i-Qalb?
3. Discuss the position of a Shiqdar at provincial level?
4. Write few sentences on the duties of a Patwari?
5. Define the term Jizyah?
6. Who introduced the Ghari and Charai taxes?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: HISTORY OF INDIA: c.1200-c.1750

UNIT- 4: ESTABLISHMENT OF MUGHAL RULE (1526-1556); EXPANSION UNDER AKBAR (1556-1605); A NEW CONCEPTION OF THE STATE

STRUCTURE

4.0 Learning Objectives

4.1 Introduction

4.2 Establishment of Mughal Rule (1526-1556 A.D.)

4.2.1 Babur

4.2.2 Humayun

4.2.3 Check Your Progress I

4.3 Expansion under Akbar (1556-1605 A.D.)

4.3.1 Territorial Expansion

4.3.2 Further Expansion of the Empire

4.3.3 Check Your Progress II

4.4 A New Conception of the State

4.4.1 Check Your Progress III

4.5 Summary

4.6 Suggested Readings

4.7 Questions for Practice

4.7.1 Long Answer Questions

4.7.2 Short Answer Questions

4.0 LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Analyze the conquests and conflicts of the Babur with the Afghans and the Rajputs which laid to the foundation of the Mughal Empire in India.

- Tracing the territorial expansion of the Mughal Empire under Akbar.
- Examine the changes in the nature of the state under the Mughals.

4.1 INTRODUCTION

Students, this unit will examine the establishment of the Mughal rule in the country. It will focus on the process of the establishment of the Mughal rule under Babur and Humayun. The challenges posed by the Afghans to overthrow the Mughal authority will also be taken into account. It will also explain the territorial expansion under Akbar and the problems related to it. In the course of developing a large empire, the Mughal rulers had to deal with the Rajputs and the rulers south of the Vindhya like Ahmadnagar. The last section will explain the new conception of the state under the Mughals.

4.2 ESTABLISHMENT OF MUGHAL RULE (1526-1556 A.D.)

Babur laid the foundation of the Mughal rule in the country with the successful campaign against the Lodhi's. After him, his son Humayun continued to face the challenges of the Afghans and the Rajputs.

4.2.1 BABUR

Zahir-ud-din Muhammad Babur, the founder of the Mughal rule in India, was a descendent of Timur from his father's side and to Chingez Khan from his mother's side. The Mughal descendants of the Mongols, preferred to call themselves the Chaghatayids, after Chingez's second son, Chaghatay. Babur was born on 14 February 1484. In 1494 A.D., he was succeeded to his father Umar Shaikh Mirza who was the ruler of Farghana. In 1500 A.D., he invaded Samarkand and was successful. But he was soon defeated and deprived of his kingdom by his distant relative, Shaibani Khan Uzbek. Babur was reduced to a mere fugitive. In 1504 A.D., he conquered Kabul and started collecting tributes from the Afghan tribes there. He was married to the daughter of the Afghan leader Yusuf in order to strengthen his position. In 1510 A.D., Shah Ismail of Iran defeated Shaibani, Babur took advantage of this situation and seized Samarkand. Shaibani's nephew Ubaydullah Khan subsequently rallied their forces and forced Babur to return to Kabul. After this defeat, he acquired firearms with the help of Turkish gunners and strengthened his army.

By 1504 A.D., Babur developed his interest in the conquest of India. In the following year, he surveyed the regions to the west of the Indus River as far as Jamrud, Kohat and Tarbila. He launched four expeditions between 1519 A.D and 1523 A.D. In 1519 A.D., Babur invaded the country for the first time and captured Bajaur and demanded an annual tribute from the people. He sent his messenger to Ibrahim Lodhi, asking him to surrender the west Panjab region earlier conquered by Timur. But Daulat Khan, the governor of Lahore, stopped him in Lahore itself. Babur returned to Kabul. During his third expedition, Babur captured Sialkot in 1520 A.D. Then he remained busy in the occupation of Qandhar. In 1523 A.D., Dilawar Khan, son of

Daulat Khan and Alam Khan, met Babur and invited him to overthrow Ibrahim Lodhi. When the Sultan knew about this conspiracy, he sent an army to Lahore against Daulat Khan Lodhi. His forces seized Lahore and Daulat Khan took refuge in Multan. On the other hand, Babur with his army reached Lahore and defeated the army of Ibrahim Lodhi. As a result, Lahore was sacked and burnt. Then Babur moved towards Dipalpur and met Daulat Khan, for further gains. Babur understood the intentions of Daulat Khan Lodhi, he went back to Kabul to organize reinforcements.

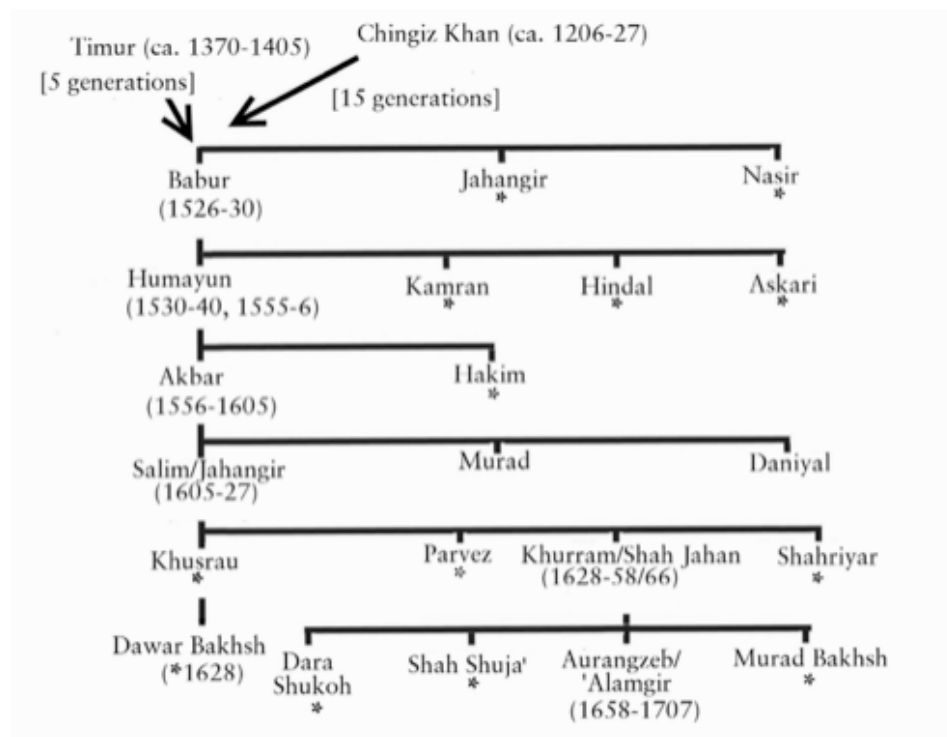
In 1525 A.D., he left Kabul to conquer India. Daulat Khan Lodhi surrendered to Babur after some initial resistance. Ibrahim Lodhi left Delhi with the army of 100,000 cavalry and 1,000 elephants to attack Babur. There were 10,000 soldiers in Babur's army. The two armies faced each other near Panipat. The army of Babur was strong enough to deal with the Lodhi's because of the use of artillery and cannons. The ditches were dug in the strategic areas. Babur's cavalry was expert in making lightning attacks on the enemy. On the other hand, Ibrahim Lodhi was dependent on his elephants and mercenaries. The first battle of Panipat took place on 21st April 1526 A.D. Babur's flying flanks and showering of arrows killed his numerous soldiers. The army of Ibrahim Lodhi could not understand the tactics of Babur's army and were defeated badly. Ibrahim Lodhi died on the battlefield. About 40,000 Indians were also killed. Many elephants were captured. As a result, Delhi and Agra came under the control of Babur. He generously shared his loot with his nobles and his soldiers. He also sent money to the residents of Kabul, to the Muslims in Central Asia and to Mecca and Medina. Babur took the charge of the region and gained the confidence of the people. The Afghan leaders submitted to him. Babur assigned the revenue of the area between Delhi and Kannauj to his Muslim Begg. Those areas which had not yet surrendered were also assigned to the Begg to be brought under control. Babur settled in Agra and start focusing on the further conquests. He also focused on organizing the gardens, digging wells and planting of the fruit trees.

Rana Sanga was the most formidable threat to the Mughals. He wanted to restore the great empire of Prithvi Raj Chauhan. Many Rajput chiefs had joined Rana Sanga to fight against the Mughals. Hasan Khan Mewati made an alliance with Rana Sanga to oust Babur. Rana was unable to capture Chanderi. Soon, Rana prepared his army to fight against Babur. The forces encountered the Begg, not Babur because he moved towards Fatehpur Sikri. Babur gave confidence to his army, distributed gold and silver among them, and provided them weapons to deal with the Rajputs. On 17th March 1527 A.D., a battle was fought between the Mughals and the Rajputs at Kanwah near Fatehpur Sikri. The Mughal cavalry surrounded the Rajputs army from all sides and did counter attacks. As a result, Babur received a decisive victory. He declared a Jihad (holy war) against the Rajputs and assumed the title of Ghazi (Islamic Hero). The defeated Rana Sanga died of poison at Kalpi towards the end of 1528 A.D. This secured Babur's position in the country. He ordered his son, Humayun, to control Kabul and Badakhshan with those Begg who were reluctant to return to Kabul.

In 1528 A.D., Babur reached Chanderi and interested in invading Raisen, Bhilsa and Sarangpur. But he could not because he heard about the loss of Awadh. He returned to

Kannauj and marched towards Baksar on the Ganges, and drove his Afghan enemies from Bihar and Bengal. Nusrat Shah joined hands with the defeated Afghans in Bengal. In 1529 A.D., Babur personally marched towards Bihar, but went back to Agra without fighting because of the harsh weather conditions. On the other hand, Humayun also failed to regain Samarqand from the Uzbeks. He was called back from Badakhshan and instead, his brother, Hindal was posted there. By the time, Humayun returned to Agra, Babur was already in a bad health. Babur died in 1530 A.D. His body was taken to Kabul and was buried in a garden.

Babur was daring and courageous, and his confidence made his soldiers loyal to him. He always believed in his ultimate success with the divine help. He called himself Qalandar (carefree dervish). Babur gave lavish rewards to the Beggars and the soldiers. Moreover, he was creative and innovative. He built many monuments, gardens and orchards. Babur faced many difficulties in administering the multi religious and multicultural society of India. He also wrote many poems and prose in Chagatay-Turki, his mother tongue. In his autobiography, *Tuzuk-i-Baburi*, he confessed his own failures and are free from inhibitions. He also enjoyed the company of the scholars and poets. Babur was a follower of Naqshbandiyya Sufi Khwaja Ubaydullah Ahrar. He loved his writings to comfort his body and spirit. He was very fond of Indian acrobats, wrestling and swimming. The foundation of the Mughal Empire was laid with his courage and all-rounded genius.



Mughal Emperors (with reign) and Imperial princes (to 1707)⁵

⁵ Michael H. Fisher, *A Short History of The Mughal Empire*, London: I.B.Tauris & Co.Ltd, 2016,p.30

4.2.2 HUMAYUN

Humayun was born on 6 March 1508 A.D. He was the eldest son of Babur. He had three brothers: Kamran, Askari, and Hindal. As he assumed the throne, he had to deal with a number of opponents; one among them was Muhammad Zaman Mirza. He divided his empire among his brothers, with Kamran receiving Kabul and Badakhshan. Kamran also seized Lahore and the rest of the Panjab. Humayun left these regions under the control of Kamran to avoid civil war. He gave Kamran extensive territories and also the control of the military roads from Kabul to Delhi.

Sher Shah Suri, the Afghan leader, was growing swiftly in the east of Lucknow and becoming a major problem for the Mughals. Humayun wanted to suppress the rebellion of the Afghans. But before he could move towards them, he received the news that Bahadur Shah, the ruler of Gujarat, consolidated his position in Malwa. He was marching against the Mughals. Humayun signed a peace treaty with the Afghan leader Sher Shah Suri, and he left the full control of the east Banaras to Sher Shah. The Afghans gained a strong base to mount further operations against the Mughals.

In 1534 A.D., Bahadur Shah laid siege to the fort of Chittor. Humayun launched a campaign towards Malwa to suppress Bahadur Shah. Humayun moved tactfully. He seized Mandu and stormed Champanir after four months blockade. Then, he occupied Ahmedabad. In this way, the entire Malwa and Gujarat came under the control of Humayun. He appointed Askari, the governor of Gujarat. Askari was an incompetent ruler and the nobles were also against him. It resulted in the rebellion in the region and Humayun was left only with Ahmedabad. He went to suppress the rebellion. Instead of punishing the rebels, he gave them time to surrender and himself rest in Mandu for five months. As a result, Bahadur Shah recaptured Gujarat. But, Humayun did not bother to take it back. In 1537 A.D., Humayun returned to Agra. Now the Mughals had lost their control on Gujarat and Malwa.

Humayun's absence gave an opportunity to Sher Shah Suri, to consolidate his position in Bihar. In 1537 A.D., Humayun left Agra and launched a campaign towards the east and besieged Chunar fort. It was difficult for the army of Humayun to annex the fort till five months. But, then Rumi Khan, the Turkish artillery commander, constructed a mobile battery of boats which damaged the walls of the fort and the Afghans surrendered. After wasting much of his time in conquering the fort of Chunar, Humayun marched towards Banaras. There he came to know about the Sher Khan's conquest of Bengal. Then Humayun marched towards Patna and offered Sher Shah Suri to surrender Rohtas and Bengal and in return he can get the possession of the Chunar and Jaunpur. But Sher Shah demanded Bengal too and asked Humayun to confine his control up to Jaunpur only. But before they could reach at any consensus, the Sultan of Bengal came to Humayun for his help. Humayun proceeded towards Bengal, but Jalal Khan, son of Sher Shah, stopped him at Ghari pass. Finally, in 1538 A.D., Humayun reached Gaur and, therefore, captured it without any difficulty. Humayun again wasted four months there, and it again gave an opportunity to Sher Shah to capture Banaras. Humayun assembled his army and marched towards Chausa, which divided Bihar from Banaras. Sher Shah also reached there. Many negotiations of peace were made but nothing came out. In 1539 A.D., the Afghan army attacked

the Mughals and almost the whole of the Humayun's army was destroyed. Humayun fled from there and saved by a poor water-carrier. Sher Shah Suri declared himself as an independent king of Bengal.

In 1540 A.D., Sher Shah Suri was well-prepared for another attack on the Mughal throne. Humayun crossed Ganges with his army of 40,000 well-armed soldiers. The battle was fought near Kannauj. The Afghan's army consisted of only 10,000 horsemen but caused a severe panic for the Mughal forces. Humayun was badly defeated. He escaped and returned to Agra with great difficulty. After the victory of Kannauj, Sher Shah Suri marched towards the Panjab. Humayun fled to Sindh and his brothers Kamran and Askari went to Kabul. His brothers refused to support him. Sher Shah was quick to annex the Panjab. Humayun met Hamida Banu, daughter of his brother Hindal's teacher at Patar, twenty miles west of the Indus and fell in love with her. In spite of all the oppositions, he married Hamida Banu and proceeded towards Jodhpur to seek the help of Maldeva, Rana of Amarkot. Rana received them with open heart and Hamida Banu gave birth to Akbar at Amarkot in 1542 A.D. In 1543 A.D., Humayun proceeded towards Qandhar to his brother Askari. But, he sought to imprison Humayun. So, Humayun left little Akbar in the care of his loyal officers, and he sought the help from Shah Tahmasp in Iran.

In 1544 A.D, Humayun reached Iran and joined the court of Shah Tahmasp at Qazvin. In this tough time, he received the support of his wife, Hamida Banu and Bairam Khan, his loyal supporter. Shah Tahmasp gave 12,000 soldiers with the condition that if he would be able to capture Qandhar, Ghazni and Kabul, then he would give the control of Qandhar to him. In 1545 A.D., Humayun proceeded towards Qandhar with the help of the Persian army and captured Qandhar and Kabul. His brothers tried a lot to take Qandhar and Kabul from Humayun, but failed. They gave up the struggle and retired to Mecca, except Hindal. His brother, Hindal was killed in a battle against Kamran in 1551 A.D. Askari died in Mecca and Kamran was killed by Humayun. Now no family opponent was left and even Sher Shah Suri was no more, he died by accident. Humayun had an opportunity to come back to India and recover his lost empire. In 1554 A.D., Humayun left Kabul and reached Lahore. He captured Lahore in 1555 A.D. Humayun's forces defeated the Afghans in Sirhind. Finally, Humayun again ascended the throne of Delhi. Six months later, when he was descending from the roof of his library, he slipped and fell and died in 1556 A.D.

4.2.3 CHECK YOUR PROGRESS I

1. When and between whom the first battle of Panipat was fought?

2. Write few sentences on the battle of Kanwah?

3. In which language the autobiography of Babur was written?

4. Mention the names of the four sons of Babur?

5. Who was Sher Shah Suri?

6. Mention the parties between whom the battle of Kannauj was fought?

7. Who was Shah Tahmasp?

4.3 EXPANSION UNDER AKBAR (1556-1605 A.D.)

During the reign of Humayun, Akbar was appointed as the governor of the Panjab as Bairam Khan his guardian. Akbar received the news of his father's death while fighting the Afghans at Kalanaur, modern Gurdaspur. Immediately after, he was crowned as the Emperor on the Mughal throne. There were a number of challenges came in his way as he assumed the throne of Delhi. The Panjab was not fully under his control and he had a small army to deal with it. The governors of Agra to Bayana region were driven out by the Afghans. In addition to this, there was a terrible famine in Delhi and Hemu established his control on Delhi. The Mughal generals advised Akbar to go back to Kabul, but he denied their advice. In 1556 A.D., Hemu and Akbar met at the battlefield of Panipat with their armies. Hemu was about to win when an arrow pierced his eye. Consternation spread instantly among Hemu's army, which broke and fled. Hemu was captured and imprisoned and brought before Akbar, where Bairam Khan finished him off. After his death, victorious Mughal Emperor Akbar entered Delhi.

Akbar had already established his rule from Kabul to Jaunpur and from the Panjab hills to Ajmer. Bairam Khan appointed an Iranian literary scholar Abdul Latif as his tutor, but he also failed to arouse his interest in reading and writing. But Akbar was interested in the Persian Sufi poetry and the liberal mystic thoughts. He was interested in sports too. Bairam Khan as a regent and Prime Minister handled the administration of the Mughal Empire. Akbar and his mother felt the increasing power of the Bairam Khan and undue restrictions on Akbar. At the age of eighteen, Akbar decided to rule independently. Akbar's nurse Maham Anaga transferred him from Agra to Delhi. From there, Akbar sent a message to Bairam Khan to come to Gwalior and then to go on a Hajj to Mecca. Bairam Khan followed the Emperor's orders and surrendered the insignia of royalty. The army of Atkah Khail followed him. Bairam Khan fought bravely and turned towards the Panjab. He defeated the army near Jalandhar. After that, he again took the

way towards his pilgrimage. In 1561 A.D., he was assassinated by an Afghan at Patan in Gujarat on his way to Mecca. His camp was plundered and his son Abdur Rahim was sent to the court. After Bairam Khan, Akbar ruled independently and focused on the territorial expansion.

4.3.1 TERRITORIAL EXPANSION

From 1560 to 1576 A.D., the Mughal Empire expanded from the upper Ganga valley and covered Malwa, Gondwana, Rajasthan, Gujarat, Bihar and Bengal. Akbar's unbounded energy, initiative, perseverance, personal presence at critical junctures and his long marches led to the territorial expansion. In 1561 A.D., the process of expansion began with his first conquest of Malwa. He wanted to annex Malwa because it was the part of the Mughal Empire under Humayun. Malwa was ruled by Baz Bahadur, a son of Shujaat Khan, who was a governor of Malwa under Sher Shah. Baz Bahadur was a prominent warrior, and established himself by defeating and killing all his brothers. He was very fond of music and poetry. He was also engrossed in the relationship with beautiful Rupmati. Akbar's Bakshi, Nizamuddin Ahmad, justified the attack of the Mughals on Baz Bahadur by saying that he was engaged in unlawful and vicious practices. Later in 1561 A.D., Akbar sent Adham Khan and Pir Muhammad Khan to invade Malwa. In the battle, Baz Bahadur was badly defeated, and he fled leaving his women and dependents behind including Rupmati. Adham Khan captured all the treasure and women of his harem, but Rupmati committed suicide rather to get dishonored by the Mughals. Akbar intervened and himself marched to Malwa to get his share of the war booty. He ruthlessly killed all the prisoners, including Saiyyids and Shaikhs. After some time, when Akbar recalled Adham Khan to the court, he sent Pir Muhammad to invade Burhanpur in Khandesh where Baz Bahadur had taken shelter. But Pir Muhammad was defeated in the battle and Baz Bahadur recovered Malwa again. But his success remained for a short time. When the Mughals again attacked Malwa, Baz Bahadur escaped, and he took shelter with Rana Udai Singh for some time. But Baz Bahadur finally surrendered to the Mughals and appointed Mansabdar of 2000 by Akbar.

After Malwa, Akbar launched a campaign against Garh Katanga (modern Gondwana) under the supervision of the general Asaf Khan, who was a governor of Kara (Allahabad). Akbar wanted to gain both treasure and territory of the state. At that time, Garh Katanga was ruled by Rani Durgavati, daughter of Raja Shalivahan of Mahoba. After the death of her husband, she handled the affairs of the kingdom with the support of competent advisors. The Ghara kingdom faced a series of wars in Bhata (old state of Rewa in Bundelkhand), and with the rulers of Malwa. After the conquest of Malwa, the Mughals forced Bhata to accept the Mughal suzerainty. This brought the Garh kingdom at risk because of the pressure of the Mughals from both the sides. Rani Durgavati sent her minister, Adhar Kayastha to Akbar for peace, but the negotiations failed because of Akbar's demand of her submission, and control some territories. Asaf Khan already knew about the wealth and the state affairs of Rani through his spies. He was excited to attack the Garh kingdom. Therefore, in 1564 A.D., Asaf Khan attacked the kingdom with 10,000 troops. But, Rani who was supposed to have a large and efficient army was able to raise only 2000 soldiers to fight against Asaf Khan. Even Adhar

Kayastha, her minister, asked her not to fight against Asaf Khan with the limited resources. Rani did not want to step back from the battle because she considered it as dishonorable. She marched forward with her army. Asaf Khan easily defeated the army of Rani Durgavati in the battle of Danmoh. Rani was badly wounded in the battle and stabbed herself to death instead of being captured by the enemy. After defeating Rani Durgavati, Asaf Khan marched towards the capital Chauragarh. Rani's son Bir Narayan fought bravely but died in the siege of Chauragarh. Thus, women trapped in the siege performed Jauhar. Afterwards, Asaf Khan retained immense wealth, a good amount of gold, silver and jewels including 1000 elephants. Rani Durgavati's sister, Kamla Devi, was sent to the imperial harem. The conquest of Garh Katanga added many royal territories to the Mughal Empire. Asaf Khan like Adham Khan in Malwa kept the treasures won from Garh kingdom. He sent only 200 elephants to Akbar. When Akbar asked Asaf Khan to show accounts, he escaped. First Asaf Khan went to the Uzbeks, and then returned to Gondwana. At the end, he finally submitted himself to Akbar, and he restored his position. Akbar also promoted the men of all the classes on the basis of their merit. In 1567 A.D., Akbar recalled Asaf Khan and Garh-Katanga restored to Chandra Shah, brother-in-law of Rani Durgavati.

After suppressing the revolt of Uzbek, Akbar moved towards Rajasthan. Mewar was the most prestigious and powerful kingdom of Rajasthan. Although Ajmer and Nagor had already submitted themselves to Akbar, but Mewar did not do so. The ruler of Mewar, Rana Udai Singh, was proud of his abundant wealth, strong castles and his devoted Rajputs. During the siege of Chittor, Rana Udai Singh, offered to accept the Mughal suzerainty and to pay Peshkash, but he was not prepared to lower his head in the obedience to Akbar because "none of his ancestors had bowed down and kissed the ground." Furthermore, Rana had also offended Akbar by giving shelter to Baz Bahadur of Malwa and later to the Mirzas of Sambhal. The Mughals tried to attack the fortress of Chittor. But the fort was sturdy, and it was difficult to sap the walls of the fort. Because of the continuous firing by the Mughals, one or two hundred carpenters, expert builders and the stone masons died every day. Finally, after four months, the Mughals were able to conquer the fort of Chittor. In the battle, Akbar was able to kill Jaimal, a Rajput warrior. His defenders performed the Jauhar in rage and died fighting. When Akbar entered the fort, he ordered a general massacre, so nearly 8000 Rajputs, 40,000 peasants and 30,000 people were slaughtered. In 1568 A.D., the fort of Chittor came under the control of the Mughals. After occupying the fort of Chittor, Akbar also conquered the forts of Ranthambhor and Kalinjar in Bundelkhand. But, the rulers of Marwar, Bikaner and Jaisalmer accepted the Mughal suzerainty and in return they were allowed to rule over their states. Akbar granted them the Mansabs and Jagirs. Thus, Mewar remained an independent region.

In 1572 A.D., Akbar launched a campaign towards Gujarat by the way of Ajmer, Merta and Sirohi with his large army. With the support of the Habshi and Gujarati nobles, Akbar successfully occupied Ahmedabad without facing any serious challenges. But, he wanted to expel the Mirzas from the south of Gujarat. In this campaign, he fought bravely. When he came to know that Ibrahim Hussain Mirza was trying to escape, he pursued him and defeated Ibrahim Mirza at Sarnal. Further, he occupied the fort of Surat in 1573 A.D. After that many local rajas

also surrendered to Akbar. The Portuguese also came to Surat during the siege and made presents to the Emperor. Akbar first time saw the sea and sailed on the Sea of Oman at Khambayat. After successfully conquering Surat, Akbar appointed Khan-i-Azam Aziz Koka as the governor of Gujarat and placed the nobles in charge of the Sarkars of Patan, Dholka, Broach and Baroda, and he returned to Agra. In 1573 A.D., the Gujarati nobles, the Mirzas and the Hindu rajas together rebelled against the Mughals and besieged Aziz Koka at Ahmedabad. When Akbar got the news, he went back to Ahmedabad with 3000 soldiers. The emperor's sudden arrival demoralized the rebels. Akbar suppressed the rebellions and ensured a great victory.

After conquering Gujarat, Akbar focused on the affairs of the east. Akbar immediately sent his army to the east because Daud Khan declared himself independent and issued the Khutbah and Sikka on his own name. The Afghans of Bengal and Bihar were not able to face Akbar without a proper leadership. Then, Akbar sent Munim Khan, the governor of Jaunpur, to deal with the situation. Munim Khan besieged Patna. Akbar reached Patna with a large army and boats. Akbar occupied Hajipur and Patna and pursued Daud Khan into Bengal. He left Munim Khan to complete the conquest of Bengal and Orissa. Akbar himself went back to Agra. Daud Khan was defeated in the battle of Tukaroi (district Balasore). After the battle of Tukaroi, Munim Khan died and Daud Khan recaptured his old capital Tanda. Therefore, Akbar sent Hussain Quli-i-Jahan as the new governor of Bengal who decisively fought and killed Daud Khan in 1576 A.D. Thus, Bengal came under the control of the Mughal Empire.

In 1576 A.D., Akbar planned to lay another expedition against Maharana Pratap, the son and heir of Rana Uday Singh of Mewar. He posed no threat to the empire, but his continuous assertions of independence were a challenge to Akbar's policy of bringing the Rajputs under their control. Akbar sent three missions to Pratap to accept the suzerainty of the Mughals, but all the three failed. Even, Raja Todar Mal persuaded Maharana Pratap for establishing friendly relations with the Mughals. Akbar sent Man Singh to crush Maharana Pratap. A fierce battle was fought at Haldighati near Kumbalgarh in 1576 A.D. The Afghan Hakim Sur fought bravely in the Maharana's army. The Maharana was wounded badly, but his attendants saved his life. Both the sides suffered heavy losses. The Mughal forces failed to capture Maharana Pratap and the Mughals were also fed up to deal with their guerrilla warfare. By the end of the year, Akbar left Ajmer but captured Sirohi, Bundi and Kumbalgarh by 1578 A.D. Akbar tried chasing Maharana Pratap but failed every time. Maharana Pratap continued waging guerrilla warfare until his death in 1597 A.D.

4.3.2 FURTHER EXPANSION OF THE EMPIRE

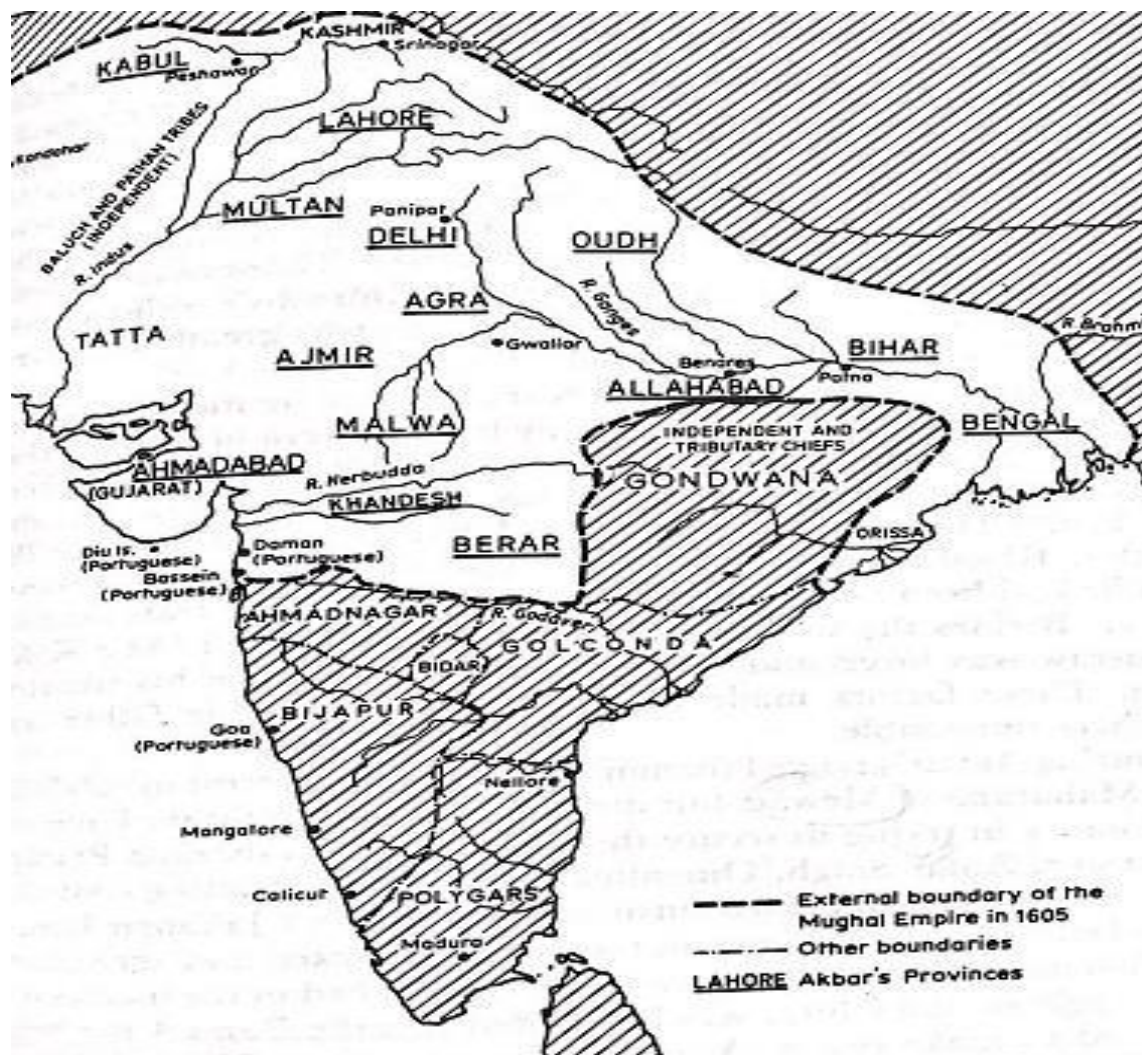
From 1580 onwards, there were serious conflicts in Bengal, Bihar and Rajasthan. There was also expansion of empire in the east, west and the Deccan. In 1580 A.D., there was a rebellion by the nobles in Bengal. This rebellion was an attempt to reverse the power of the centralized government of the monarchy and to reduce the power of the officials working under the Mughals. There was resentment among the nobles because of the strict enforcement of branding of the horses and reviewing the quality of the horses. The rebellion was suppressed and Akbar

sent Rai Purushottam and Mulla Muhammad Yazdi to tackle the situation in Bengal. They behaved in a harsh and untactful manner and demanded to see the old accounts. This created further resentment among the nobles, Mullahs, Qazi's against the Emperor. When the allowance (Bhatta) given for service in Bengal and Bihar was reduced to half, this added fuel to the fire. The rebels went so far that they read Khutbha in the name of their leader, Mirza Muhammad Hakim. To control the rebellions of Bengal and Bihar, Akbar sent a force led by Todar Mal and Mirza Aziz Koka. They were successful in suppressing the rebellion. But, Mirza Muhammad Hakim fled from there and invaded Panjab. Akbar had remained in command at Agra with a large army, and Mirza Hakim was not able to stand before the Mughal forces. Later, Akbar restored the region to Mirza Hakim. There was an invasion of Abdullah Uzbek who captured Badakhshan in 1584 A.D. Afraid of an Uzbek attack on Kabul, Mirza Muhammad Hakim and Mirza Sulaiman appealed for Akbar to help. Before Akbar could provide any help, Mirza Muhammad Hakim died from excessive drinking. Akbar sent Man Singh who was in charge of the frontier regions to occupy Kabul. Man Singh was successful in his ambition. Akbar himself advanced towards Attock and appointed Man Singh as the governor of Kabul. He kept regular check on the rebellions.

Yaqub Khan, the local ruler of Kashmir, refused to pay a tribute to Akbar. So, in 1586 A.D., Akbar decided to annex Kashmir. He sent Raja Bhagwant Das and Qasim Khan with a large army to Kashmir in 1587 A.D. Soon, many hill rajas of Jammu, Ladakh and Baltistan (Tibet) surrendered to Akbar. He visited Kashmir for the first time in 1586 A.D. In 1590 A.D., Akbar sent an army to occupy Sindh with its capital at Bhakkar, which was already under the Mughals. The conquest of the Sindh was crucial for opening a trade route from Qandahar to Multan and down the river Indus to the sea. Some of the areas in North India such as Baluchistan also came under the imperial control. The final act was the capture of Qandahar. With this, the Mughals got a scientific and more defensible frontier. In the west, Akbar annexed Kathiawar. Raja Man Singh was transferred from Kabul to Bihar. He expanded the empire by occupying Orissa and Dacca in the East Bengal. It was under the Afghan control. The Mughal's also forced the Cooch Bihar to accept their suzerainty. Therefore, after expanding his empire in the north India, Akbar moved towards the Deccan.

In 1591 A.D., Akbar appointed his son, Prince Murad, the governor of Malwa in order to control the Deccan. There were conflicts between the Habshi and the Dakhini's which drove the Nizam Shahi state of Ahmadnagar into total confusion. The Mughals attacked Ahmadnagar under the leadership of Prince Murad, but its queen, Chand Bibi, defended it heroically. In 1595 A.D., the Mughals again attacked, but disappointed. Another siege of Ahmadnagar forced Chand Bibi to made peace by ceding Berar. But Berar refused to submit to the Mughals. After looking into the matter and inability of the Murad to handle this situation, Akbar called back Murad and sent Abul Fazl to use his diplomatic skills to deal with the Deccan politics. Bahadur, son of Raja Ali Khan, surrendered to the Mughals. Now, again, he rebelled against the Mughals and ignored Abul Fazl. He exerted pressure on both Bahadur and Chand Bibi to surrender. Akbar personally marched towards the Deccan in 1599 A.D. Bahadur still

refused to surrender and took refuge in Asirgarh fort. The Mughal forces besieged the fort and tried to control the region. Finally, by 1601 A.D., Bahadur surrendered and Asirgarh was captured. Chand Bibi was also killed by her supporters. Akbar assigned Khandesh to his son, Daniyal. Then, Prince Salim rebelled in Allahabad and Akbar led for the north. Daniyal was given the supreme command in the Deccan. Abul Fazl was recalled by Akbar to the north to deal with Prince Salim's rebellion. But on the way, Prince Salim sent Bundela chief, Bir Singh Deva to kill Abul Fazl. Akbar was shocked by this news. Prince Salim received the support from many of the Akbar's favorites. They persuaded the Prince to visit Akbar in Agra fort. Akbar was seriously ill. Prince Salim came to his father's deathbed, the dying Emperor placed his turban on his son's head and died in 1605 A.D. He was the greatest king that India ever produced.



The Mughal Empire at the death of Akbar (1605)⁶

⁶ S.A.A. Rizvi, *The Wonder That Was India*, Vol. II, London: Sidgwick & Jackson, 1987, p.115.

4.3.1 CHECK YOUR PROGRESS II

1. When and between whom the second battle of Panipat was fought?

2. Who was Bairam Khan?

3. What do you understand by the term Fatwa?

4. Write few sentences on battle of Haldighati?

5. Who was Raja Man Singh?

4.4 A NEW CONCEPTION OF THE STATE

With the establishment of a new state under the Mughals, new liberal thinking arose in the country. The Mughal rulers from Babur to Aurangzeb followed the liberal approach in their state policies inspired by the Turko-Mughal traditions and modified it from time to time. Babur, the founder of the Mughal dynasty in India, was related to the Mongol leader Chingez Khan and Timur, the Chaghtai Turk. He brought with him the traditions of the Turks, Persians and the Mongols. According to those traditions, the king held a status which was higher than a chief. The king had the divine right to rule, so none of the Begs aspired to sit on his throne. This provided certain stability once a king had demonstrated his capacity to rule. All the sects were considered equal. These traditions were brought by Babur and his son, Humayun, followed his footsteps. In India, there was a wide diffusion of the liberal Sufi orders in which love of God, and devotion to Him was given importance over formal worship. Kabir, Nanak and many other bhakti saints had laid emphasis on the one true God who could be apprehended within their hearts by constantly dwelling on Him and repeating His name. No distinction was made between devotees of different faiths. An emphasis was laid on unity irrespective of the caste or religion. In many provincial kingdoms, Hindus were admitted into the service of the state at high levels, a policy of religious toleration was followed and patronage given to languages and literatures. It was due to this broad tradition of liberalism that Abdul Latif who was considered a Sunni in Iran and a Shia in India, was chosen by Humayun as one of the tutors of young Akbar.

Akbar followed a rich and liberal tradition when he assumed the throne as a Mughal Emperor. Abul Fazl, biographer of Akbar, had put forward the details of his concept of suzerainty and his religious ideas. Abul Fazl believed that Royalty was a light from the God and a ray from the Sun. It was the divine light known as Farr-i-Izidi, communicated by God to kings

without any intermediate assistance. Royalty was a divine gift and the king was not dependent on the Ulema for it. This was not a new concept, already followed by the Delhi Sultan, Balban. This divine light created in king the paternal love and a big heart with the sense of courage, firmness and fulfilling the demands of his subjects. It increased the trust in God, prayer and devotion to punish the tyrant and behave with reason.

Abul Fazl mentioned the concept of the state and sovereignty in the contexts of his understanding of the society. There were four categories of human beings: the warriors, the artificers and merchants, the learned (Brahmans and Ulemas) and laborers. The learned class was put in the third category, not in the first in accordance with the Dharam Shastras. This classification was based on the qualities: noble, base and intermediate. The noble had pure intellect, sagacious, capable of administration, eloquent, courageous for military duty. The base and intermediate category included various professions. For instance: barber, tanners, rape-dancer, sweeper, butcher men and fishermen. The butchers and the fishermen were relegated to the separate quarters of the city and were forbidden under the threat of fine from associating with others. This section was considered as the evil section of the society. The intermediate consisted of carpentry, agriculture, dying, iron-monger, knives or scales manufacturing. They were considered as a charitable category. The lower classes did not aspire for a share in state power, and the task of administration was given only to the noble families and the upper castes. The king bestowed with the divine light. He had to unite and respect all the classes and put every section of the society in its proper place. Abul Fazl strongly believed in hierarchy, but gave preference to talented people in the service of the Mughal Emperor. Akbar knew the value of talent and honor people of various classes with appointments in the ranks of the army. Akbar also promoted the soldiers to higher ranks.

Abul Fazl explained the liberal absolutism existed under the Mughals in which the Emperor had the highest moral and the spiritual qualities; he was also not dependent on any set of religious leaders for legitimization. He described the Emperor as a superior in the Mughal Empire. He said the Emperor was a light that was sent by God himself. Abul Fazl believed that a ruler should not depend on any religious person. He should have high moral and spiritual qualities. According to Abul Fazl, in a poly-religious state, based on a composite ruling class drawn from the different ethnic and religious groups, hierarchical in nature, justice should be given without any partiality irrespective of birth, religion or status. He nowhere used the words like Dar-ul-Islam and Dar-ul-Harb to describe the politics of his times. Abul Fazl also favored the abolition of Jizyah. Thus, according to Abul Fazl, Akbar's conquests were not based on the spiritual or religious differences, but they were based on the justice and tolerance, and he called it a Dar-ul-Sulh. Akbar pursued a broad and a liberal religious state.

Jahangir followed the liberal character of the state instituted by Akbar during the first half of the 17th century, though with a few lapses. He followed the Akbar's policy of Sulh-i-Kul and religious eclecticism. He continued enrolling Murids (disciples) and giving each of them a token, or Shast, likeness of the Emperor. At the time of initiation, the disciples were advised to avoid the sectarian quarrels and to follow the rule of universal peace. Jahangir continued to

celebrate the various Hindu festivals like Diwali, Holi, Rakhi at his court. Nauroz, an old central Asian festival, was also celebrated. Religious freedom was given to the people. He also banned the cow slaughter in his empire. There was no ban on the Hindus building new temples. The Christians were given land and permission to build churches. Jahangir also continued Akbar's policy of giving gifts and grants to the Brahmins and temples. He continued Akbar's practice of inviting religious divines for personal discussions. His reign was marked by benevolence and justice. Despite his liberalism, there were occasions when he showed a narrow spirit. He declared the war against Mewar and Kangra as Jihad. Many temples and images were destroyed during the campaigns. Jain temples were also closed, and Jain saints were expelled from the empire. The attitude towards Sikhs were also not good. He punished Guru Arjun Dev for token support to Khusrau and a Sufi saint Shaikh Nizam Thanasari too. Thus, he followed the policy of cultural pluralism, in which the people of all the religions and regions contributed.

Shah Jahan also followed the liberal policies of Akbar with some modifications, and orthodox beliefs were back in power. He declared the state to be an Islamic in which respect was given to the Sharia and observe its injunctions in the personal life. He exempted the theologians from Sijda (Prostration before the ruler) and Zaminbos (putting both the hands on the ground and touching them to the forehead). He banned mixed marriages between the Hindus and Muslims. He ordered that all the pending works of the temple construction were to be completed in his reign, but banned the new temple construction. Many magnificent mosques were constructed like Jama Masjid at Delhi which showed his emphasis on the power and majesty of Islam. Along with that the liberal measures of Akbar were also followed like Jharoka Darshan, weighing himself for gifts (Tula Dan). The broad tolerance continued, which was seen in his confirmation of the grants given to the temples.

Aurangzeb reversed Akbar's policy of religious toleration and undermined the loyalty of the Hindus to the empire. This led to the popular uprisings which sapped the vitality of the empire. He insisted on following the injunctions of the Sharia in very strict manner. He was not interested in philosophical debates or in mysticism. He occasionally visited the Sufi saints for their blessings. He banned Sijda before the ruler and forbade Kalma being inscribed on the coins. He discontinued the festival of Nauroz. He forbade singing in the court. He even discontinued the practice of Jharoka Darshan. He even forbade the ceremony of weighing the Emperor against gold and silver and other articles on his birthday. He appointed Muhtasaibs to see that people lived their lives in accordance with the Sharia. They were responsible for ensuring that the things forbidden by the Sharia and the Zawabits (secular decrees). He believed that the state was also responsible for the moral welfare of the citizens. But the officials were instructed not to interfere in the private lives of the people. He followed the restrictive policy towards the Hindus and demolished many temples. It created disaffection and opposition among the large section of the Hindus. He imposed Pilgrimage tax as well as Jizyah on the Hindus on the ground that it was Wajib (compulsory) according to the Sharia. He was the defender of the Sharia and tried to win over the theologians. He renovated mosques and monasteries which had fallen to despair and

appointed the Imams, Muezzins and the attendants with high salaries. Aurangzeb showed a narrow and limited outlook as the Emperor of the country.

4.4.1 CHECK YOUR PROGRESS III

1. Who was Abul Fazl?

2. What do you understand by the term Farr-i-Izidi?

3. Define the term Dar-ul-Sulh?

4. Write a few sentences on the divine right theory of kingship?

4.5 SUMMARY

Students, this unit focused on the establishment and consolidation of the Mughal rule in India. Babur defeated Ibrahim Lodhi in the first battle of Panipat in 1526 A.D. But even, after Panipat, Babur's path was not that smooth. He had to face the Rajput chieftains and the Afghans. But his son, Humayun, could not stand against the Afghan opposition, thus failed to keep his father's legacy intact. It also explained about the territorial expansion under Akbar, who brought almost the whole of north India under his control. Though, the success in the south was confined to the Deccan only. The consolidated empire created by Akbar was maintained by his successors. The last section highlighted about the nature of state under the Mughals. Akbar followed the rich liberal tradition as a Mughal Emperor. This liberal tradition continued by his successors to some extent and orthodox beliefs back in power too.

4.6 SUGGESTED READINGS

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4.7 QUESTIONS FOR PRACTICE

4.7.1 LONG ANSWER QUESTIONS

1. Discuss political conditions of India on the eve of Babur's invasion.
2. Write a detailed note on the New Conception of the State.
3. Discuss the territorial expansion under the Mughal Emperor Akbar?
4. Critically examine the reign of Humayun as a Mughal ruler?

4.7.2 SHORT ANSWER QUESTIONS

1. Mention the reason behind the conflict between Babur and Rana Sanga?
2. How did Humayun die?
3. When and where Akbar's coronation ceremony took place?
4. Mention few kingdoms that ruled North India on eve of Babur's invasion.
5. Name two historians of Akbar's time.
6. Name any two battles fought by Sher Shah Suri against Humayun.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: HISTORY OF INDIA: c.1200-c.1750

UNIT 5: ADM INISTRATIVE FRAME WORK: CENTRAL AND PROVINCIAL ADMINISTRATION; LAND REVENUE; JAGIRDARI; MANSABDARI

STRUCTURE

5.0 Learning Objectives

5.1 Introduction

5.2 Central Administration

5.2.1 The Emperor

5.2.2 Diwan

5.2.3 Mir Bakshi

5.2.4 Mir Saman

5.2.5 Sadr

5.2.6 Check Your Progress I

5.3 Provincial Administration

5.3.1 Check Your Progress II

5.4 Land Revenue System

5.4.1 Check Your Progress III

5.5 Jagirdari System

5.5.1 Check Your Progress IV

5.6 Mansabdari System

5.6.1 Check Your Progress V

5.7 Summary

5.8 Suggested Readings

5.9 Questions for Practice

5.9.1 Long Answer Questions

5.9.2 Short Answer Questions

5.0 LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Identify the major administrative departments in the central as well as provincial level.
- Analyse the steps taken to design the new land revenue system during the reign of Akbar.
- Gain knowledge about the evolution and working of the Mansabdari and Jagirdari system under the Mughals.

5.1 INTRODUCTION

Students, this unit will examine the Mughal administrative structure established to control over the vast empire. It will help you to know about the elaborate offices with their assigned functions at the central as well as provincial level. The land revenue system will be explained in detail which was designed to bring stability in the empire. The next important section will be on an important institution of the Jagirdari system which evolved steadily through the time and underwent many changes under the Mughals. The last section will highlight the evolution of the Mansabdari System under the Mughals in India.

5.2 CENTRAL ADMINISTRATION

The Mughals provided an excellent system of administration to exercise control over the different parts of the empire. Babur and Humayun remained busy in their military affairs, so they could not concentrate on establishing a definite system or pattern in the administration. It was Akbar who established elaborate departments and assigned duties to their heads. He also fixed the rules and regulations guiding both their public and private conducts. He laid the foundation of the Mughal system of administration, which continued under his successors without much modification. Students, we will be looking at the power and position of the Emperor and working of the various departments separately under this section.

5.2.1 THE EMPEROR

The Mughal administration was centralized and all the powers of the state were vested in the Emperor. He enjoyed absolute authority. He was not only the head of the state but also in-charge of the armed forces and chief judicial authority of the realm. He always kept the interests of the people in mind and did not resort to unnecessary repression. Moreover, he set up a standard and norms before his people. Akbar set up a standard of appearing three times a day for state business. The first appearance in the morning called Jharoka Darshan in which a public Darbar was held. It was designed to establish a personal bond between the ruler and his subjects. The people could submit their petitions and present their cases in the Darbar and get their decisions on the spot. The second appearance was in afternoon in which Akbar reviewed the condition of

the horses and the elephants, visit the Karkhanas and the workshops. The third appearance was to meet the nobles and the trustworthy persons. This routine was strictly followed by his successors to bring the monarchy closer and more accessible to the people in various ways.

In view of enormous duties performed by the Emperor, he set up a council of ministers to assist him. These ministers held different offices under various departments. The Mughal state had four main departments and their four main officers. The Diwan or Wazir looked after the revenue department, the Mir Bakshi looked after the military department, the department of imperial household or Karkhanas were headed by the Mir Saman, the Sadr was the head of judicial and revenue-free grant department (Inam). All departments were not of equal in importance. The position of the Diwan became the most powerful and influential under the Mughals.

5.2.2 DIWAN

The Diwan was also known as Wazir, headed the department of income and expenditure. The word Diwan or Diwan-i-Ala was more generally used under Akbar. The Diwan often attracted the Emperor's attention by their knowledge and skill of revenue affairs. Although very influential and close to the Emperor, he was generally not given high Mansab. Sometimes, the Emperor himself appointed two or three persons as the Diwans to discharge various duties. He was the lieutenant of the Emperor in financial matters, superintendent of the imperial treasures and all accounts. The accounts of the army, the royal court, the household, the imperial workshops were under the orders of the Diwan. He was also drawn from the class of writers or Ahl-i-Qalam as distinct from warriors. However, he continued to enjoy the highest place in the Mughal bureaucratic hierarchy despite the reduction in his powers.

5.2.3 MIR BAKSHI

The Mir Bakshi was also known as Diwan-i-Arz. In order to limit the powers of the Diwan, a separate military department was essential for the working of the administration. All orders of appointments of the Mansabdars and their salary papers were endorsed and passed by him. He was responsible for the branding of the horses (Dagh), recruitment of army and checked the muster-roll (Chehra) of the soldiers. He placed all matters pertaining to the military department before the Emperor. He presented the embassies and distinguished visitors to the king. He was also the head of the intelligence department; all the news-reports sent by Waqia Navis from different provinces were put by him before the Emperor. He accompanied the Emperor on tours, pleasure trips, hunting expeditions and battlefields. The two leading officers of the administration were the Diwan and the Mir Bakshi.

5.2.4 MIR SAMAN

The Mir Saman was the officer in-charge of the royal Karkhanas. He was also known as Khan-i-Saman. He was the chief executive officer responsible for the purchase of all kinds of articles and their storage for the royal household. He was also responsible for supervising and manufacturing of the articles, whether they were weapons for war or articles of luxury. Furthermore, he had several officers under him like Diwan-i-Buyutat and Tahvildar (cash keeper). The Diwan-i-Buyutat was in-charge of the Karkhanas which included factories and stores maintained by the central government. The Karkhanas dealt with pearls, precious stones, swords, daggers, guns and artillery. There was one Darogha in each Karkhana who had special knowledge of the article manufactured, and an accountant and a Mushrif to look after the administration. Apart from that, the Mir Saman also maintained horses and elephants for the army; camels, mules for baggage; and elephants for the royal hunt. He was also close to the king and looked after the household, and the army.

5.2.5 SADR

The Sadr or Sadr-us-Sadur also known as Qazi-ul-Quzzat was the head of the Ulema and the chief advisor of the king regarding the enforcement and interpretation of Shariat or the holy law. He was the head of the judiciary, appointed Qazis and Mufti all over the empire. His major responsibility was to award subsistence allowances in the form of both cash (Wazifa) and land grants (Suyurghal, Inam, Madad-i-Maash) to the deserving scholars, divines and weaker sections. He also looked into whether the grants were given to the right persons and utilized properly. He scrutinized applications for all such grants, both fresh and renewals, and presented before the Emperor for sanction. The most powerful Sadr under Akbar was Shaikh Abdun Nabi.

5.2.6 CHECK YOUR PROGRESS I

1. What do you understand by the term Jharokha Darshan?

2. Discuss the role of the Diwan under the Mughals?

3. Who was the in-charge of Karkhanas?

4. Who was Shaikh Abdun Nabi?

5. Write few sentences on the role of the Mir Saman?

6. Who was appointed as the head of the judicial department?

5.3 PROVINCIAL GOVERNMENT

For the sake of convenience and administrative efficiency, the Mughals had divided their empire into a number of provinces. The number of these provinces was different under different Mughal rulers. In 1580, Akbar divided his empire into twelve divisions called Subas. Later three more Subas: Bihar, Bengal and Gujarat were added to the empire. During the reign of Jahangir, their number increased to seventeen and further increased to twenty-one under Aurangzeb. But by and large, the system of administration at the provincial level continued to be the same under various Mughal rulers.

The Mughal Empire was divided into twelve Subas and each Suba was divided into a number of Sarkars and these were further divided into Parganas and Mahals. The head of the administration in Suba was known as Sipahsalar or commander or Subedar. He was directly appointed by the Emperor and answerable to him. The tenure of a Subedar was around three years. He was also responsible for maintaining law and order in the Subas. He also helped the Diwan in collecting land revenue, controlling and punishing the rebellious Zamindars, extending cultivation, construct reservoirs, wells, water-courses, gardens, Sarais and other useful public works. He also took tours of the province and look into the important events through his trusted spies and news writers. He was also responsible for collecting tribute from vassal chiefs in the province.

The provincial Diwan was appointed by the Emperor himself. He was independent and answerable to the centre. He was the head of the revenue department in the Suba. His duty was to send the reports of financial matters and the cash-balances to the central Diwan. He was also responsible for the collection of the land revenue and other taxes, and for their auditing and accounting. His main duty was to extend the area under cultivation. A large number of Amils worked under him. He kept a check on their work and supervised them.

The Bakshi was appointed by the imperial court at the recommendation of the Mir Bakshi. He performed the same military functions as his counterpart performed at the centre. He was responsible to check and inspect the horses and soldiers maintained by the Mansabdars in the Suba. He also issued the pay bills to both Mansabdars and the soldiers. His duty was also to inform the centre from time to time. He posted his agents in the Parganas and in various important offices to ensure its smooth working.

The Sadr was the head of the judiciary department and recommend grants to religious men. The Qazi acted as an assistant of the Sadr. The Kotwal looked after the law and order in the city. He was also responsible for the general amenities in the city, such as weights and measures, and also controlled gambling houses and the houses of prostitution. A provincial system of government acted as a link to the local administrative units and as a transmission belt for the information to the centre.

The provinces were further divided into Sarkars and Parganas. Each Sarkar was headed by a Faujdar. His duty was to maintain law and order and crush rebellions. Another official was the Amalguzar responsible for the assessment and collection of land revenue. The

Parganas were the administrative units below the Sarkar. The Shiqqdar was the executive officer of the Parganas assisted by the Amils in land revenue. The Qanungos determined the Pargana and village boundaries, and he also kept the local revenue records.

5.3.1 CHECK YOUR PROGRESS II

1. What were the duties assigned to a Kotwal?

2. Write a few sentences on the role of a Diwan?

3. Write four important officials at the provincial level of administration?

4. How many Subas were there during the reign of Akbar?

5. Who looked after the religious matters at the provincial level?

5.4 LAND REVENUE SYSTEM

An efficient land revenue system was developed under the Mughal rulers. The land revenue system which was evolved under Akbar was called the Dahsala system or ten-year system. Before him, the Mughal Emperors Babur and Humayun continued to follow the land revenue system of the Delhi Sultans. They were preoccupied with the task of conquest and rehabilitation that they could hardly get any time to devote themselves to the improvement of revenue system. It was an Afghan ruler, Sher Shah Suri who involved himself in reforming the revenue system. His Zabt (the system of measurement) continued to operate in the country from Lahore to Allahabad till the early years of the Akbar's reign. Following those lines, Akbar decided to reform the land revenue system. He appointed Aitmad Khan as the Diwan of the crown-lands (Khalisa) who introduced reforms in the empire which relieved Akbar from his immediate financial worries. He separated the Khalisa land from the Jagirs land and enquired about the income from various kinds of land. Apparently the most productive lands were included in the crown-lands.

By 1566, there was no change in Sher Shah's crop rate. The crop rates were converted into cash rates called Dasturl-Amal or Dastur, by using a single price-list. This created problems like the prices on which the crop-rates were converted into cash-rates were different from place to place. The other problems were: the state still had very little idea of the actual state of cultivation, including productivity and the area sown. No proper assessment of land-revenue could be made in the absence of such information.

In 1567, a major change was brought in the revenue system with the efforts of Muzaffar Khan and Raja Todar Mal. They asked the Qanungos to provide information about the

area of land cultivated and uncultivated, produce of the land, and the land revenue figures or statistics. The Khalisa land statements were checked by the senior Qanungos and a fresh estimate of the revenue for the empire was made. On the basis of the information provided, the crop-rates began to be converted into cash on the basis of the prices prevalent in differing regions. This system was better than the previous one.

In 1574, the official (Amil) also known as Karoris, was placed in charge of lands which could yield a Krori of Tankas. The Karori was assisted by some other officials like a treasurer, a surveyor and other technical staff. They provided support by measuring the land of a village, and to assess the area under cultivation. They also surveyed the Banjar land and encouraged the peasants to bring Banjar land gradually under cultivation. The primary purpose of this Karori experiment was to do the measurement of the cultivated area. This experiment was introduced in the settled provinces from Lahore to Allahabad. In 1579, on the basis of the produce of land, local prices, yield, lands were grouped into assessment circles known as Dasturs. The crops, the area sown, and the price of produce in every Pargana during the last ten years were ascertained. The annual revenue was fixed as $1/10^{\text{th}}$. This system was very beneficial in the sense that as soon as the crops were sown, and the measurement (Zabt) of the sown area carried out, it's easy to know what it's rough income could be. Peasants also benefited from it to some extent but the risk of the cultivation largely dependent on him.

The specific features of the Dahsala system introduced by Akbar were based on average of the produce and prices during the last ten years. On this basis, land was divided into four categories. The first category was of Polaj which were under continuous cultivation. The second category was of Parauti which cultivated with a gap of a year and paid full rates when they were brought under cultivation. The third category was of Chachar which cultivated after a gap of three to four years. It paid a progressive rate, the full-rate being charged in the third year. The last category was of Banjar which was cultivable waste-land and paid full rates only in the fifth year.

There were various methods used for the assessment of land revenue under the Mughals. The first method was Batai (crop sharing). It was also known as Ghalla Bakshi. It was further divided into three categories. First was Bhaoli where the crops were reaped, stacked and divided on the basis of agreement in the presence of the parties. The second type was Khet Batai where the fields were divided when the crops were standing in the fields. The third type was Lang Batai where the crop was cut and stocked in heaps and then divided. This system needed a large number of inspectors to look into the right working and distribution of crop. The second method for revenue assessment was Kankut. The word Kankut is derived from the words Kan and Kut. Kan denotes grain while Kut means to estimate or appraisal. It was a system in which the grain yield was estimated. The whole land was measured, either by using Jarib or pacing it, and the standing crops estimated by inspections. In case of doubt, the crops were cut and estimated in three lots-the good, the middle and the bad. Zabt system was the third most popular method of assessment under Akbar. It was introduced in the region extending from Lahore to

Allahabad as also Gujarat, Malwa, and parts of Bihar and Multan. In this system, measurement of land was essential and cash revenue rates were fixed for each crop.

The land revenue demands from the peasants vary from region to region. In most of the areas, the state demand was one-third of the average produce. In Multan and Rajasthan, one-fourth was charged from the peasants. In Kashmir, where saffron was sown, the state share was half. The land revenue under the Mughals was paid mostly in cash. Cash nexus was firmly established in almost every part of the empire. Apart from land revenue, other taxes were also paid by the peasants like cess on cattle and trees. There was also the share demanded by Zamindars, the local officials, (Qanungo, Muqaddam, Patwari), and the expenses of village upkeep. The land revenue demand was undoubtedly the heaviest demand which the peasant had to meet under threat of severe action, including loss of life, if he failed to meet it.

The Mughal state assesses the land-revenue on the individual cultivator on the basis of his actual cultivation. The state encouraged the cultivator to pay directly to the state, which implied to the imperial treasury if the area was under Khalisa. The peasants pay to the Jagirdar or to the agent of Jagirdar if it was Jagir. Apart from peasants, there were Zamindars or chiefs who paid only a stipulated sum of money as land-revenue. Akbar was able to procure the co-operations of the Zamindars in collection of revenue, represented by Qanungo in the settled area extending from Lahore to Allahabad. In order to get their support, the Zamindars were allowed to collect their traditional dues from the area under their control, as well as collected land revenue for which they were granted a percentage of the collection. Much emphasis has been laid on the state issuing a Patta or Qabuliat (letter of acceptance) to the peasant, setting out area sown, the crop, the schedule, and the amount due from him. It was devised on the basis of which the state could check the actual collection made by the village headman, or by the Zamindar. At times, the Zamindars manipulate the assessment in their favour but still the control of the state was more extensive.

The state gained a lot from this new system like the expansion and improvement of cultivation, the peasant has no redress on account of natural disasters, or fall in prices. An expansion and improvement of cultivation was one of the principal aims of the Mughal government. The Banjar or uncultivated wasteland was brought under cultivation. Amalguzar or revenue-collector was instructed to look that more and more Banjar land to be cultivated. He was also instructed to give agricultural loans or Taqavi for seed, implements etc. in case of drought, or for bringing Banjar land under cultivation. Such help was available for digging and repair of wells also. Concessions were also given for increase of superior or cash crops. Apart from this, the state promoted and shared the benefits of the expansion and improvement of cultivation.

The state was strict and harsh with the officials as well as the peasants as far as their revenue was concerned. The remissions were insufficient and often tardy. The revenue demand was quite high, so there was a tendency of piling up of arrears. The government dealt harshly with the Amils to realize these arrears and the Amils in turn harsh with the peasants. Akbar set up a separate commission to look into this matter in 1585. The commission reported the issues like lands which fallen out of cultivation were assessed, the demand or arrears based on guess

and computation. The Amils were arrested and punished in a harsh way. Their salaries were held to recover the arrears, or they were not paid for the additional men they had employed for measurement or as soldiers to overawe the cultivators. They were corrupt so ordered to pay back the amounts they had collected from the peasants illegally. It was partly due to the recommendations of the commission that a standard rate was fixed for the remuneration of the measuring parties, a charge which was payable by the cultivators. A new yard, Gaz-i- Ilahi was introduced, replacing the old Gaz-i-Sikandari.

Thus, a uniform system was established under the Mughals in which a uniform set of grain rates per Bigha, valued at a uniform, and then at local prices, gave way to local grain-rates valued at local prices. Later the schedules of cash-rate were fixed on the basis of productivity and the crops sown, based on the past experience. This system continued, although periodic adjustments were made. The measurement system (Zabt) remained the preferred system, through other systems continued side by side. Stability also helped in the process of expansion and improvement of cultivation under the Mughals.

1.4.1 CHECK YOUR PROGRESS III

1. What was the primary role of the Karori under the Mughals?

2. What was the mode of payment of land revenue?

3. What do you know about Taqavi loans?

4. Define the terms Patta and Qabuliat?

5. Write few sentences on the role of Amalguzar?

5.5 JAGIRDARI SYSTEM

The Jagirdari system was one of the important institutions developed under the Mughals. Under this system, the Mansabdars received their pay in cash (Naqd) as well as in the form of land assignments from which they collected the land revenue sanctioned by the Emperor. These assignments were known as Jagirs and its holder Jagirdar. Under the Delhi Sultans, these revenue assignments were termed as Iqta under the Iqtadar. It was not the land that was assigned, in actual sense it was revenue from the land that was given to the Jagirdars. The Jagirs were assigned according to the ranks of the Jagirdars in the empire. This system developed over a period of time and underwent many changes under the Mughals especially Akbar.

During Akbar's reign, the entire land of the empire was divided into the Khalisa and Jagir. The revenue from the Khalisa went directly to state treasury and the Jagirs were assigned

to the Jagirdars in lieu of their salary. The state calculated the rough estimate of revenue called Jama or Jamadami. It included land revenue, custom duties and other taxes. The amount of revenue collected was called Hasil. The land which was yet to be assigned to the Mansabdars was known as Paibaqi. This system continued up to the reign of Aurangzeb.

There were different types of Jagirs under the Mughals. Firstly, Jagir-i-Tankhwah in which Jagirs were assigned in lieu of the salary due to a Mansabdar, for his Zat and Sawar ranks. Such Jagirs were also known as Tankhwah-i-Jagir. Secondly, Mashrut Jagir or conditional in which Jagir was allotted to a person conditional upon his appointment to a particular post. The next category was of Inam Jagir which involved no obligation of service, being independent of rank. Lastly, Watan-Jagirs which were assigned to the Zamindars (chieftains) in their homelands. Their old dominions were known as their Watans, and they remained with their family. The king was entitled to determine the succession to a Watan-Jagir. But, as a rule, the Emperor neither took away, nor resumed any part of the Watan-Jagir from a ruling dynasty. Since a Jagir was given in lieu of cash salary, it was essential that it should yield at least as much as the salary to which the holder was entitled. If it yielded less, he would be a loser, and would not be able to fulfill his obligations.

The Jagirs were transferable after three or four years. No one was allowed to have same Jagir for longer period. The only exception to this established principle of Mughal Empire was in Watan-Jagirs. This system of transfer of Jagirs had certain limitations. The Rabi and Kharif harvests were hardly of equal value in the empire, if the Jagirdar transferred in the middle of the year, he had to suffer heavily. Sometimes the assignee was required to collect the previous arrears and send them to the treasury. In addition to that, sometimes transfers were made because the Mansabdars were sent to serve in a province, had to be assigned a Jagir there and similarly, those recalled from there would require Jagirs elsewhere. It was kept in mind during the transfer that the Jagirdar should be competent enough to manage or control the area assigned to him. Thus, administrative manuals were written for this purpose in which it was specified that the Governors had one fourth of his Jagirs in seditious (Zor-Talab) areas; the Diwans, Bakshis and other high Mansabdars had Jagirs in medium areas; the Jagirs of the small Mansabdars were to be placed in the Raiyati areas. These systems of Jagir transfers were necessary for the unity and cohesion of the empire.

The Emperor granted certain rights to the Jagirdars that were mentioned in the assignment orders given to the Jagirdar. He had given the right to collect revenue and authorized taxes from the land assignment. It was expected from him that he exercises his right in conformity with imperial regulations. The Jagirdars were instructed to take not more than half of the produce. They were also allowed to collect other such cesses and taxes, besides the land revenue, as were permitted by the government. The local officials and the cultivators were instructed to answer the Jagirdars and their agents properly and honestly.

The administration of the Jagir was in the hands of the Jagirdar. He had to employ his own agents to collect the authorized revenue and taxes within the Jagir in accordance with the imperial regulations. The big Jagirdars made systematic arrangements to manage the Jagirs than

the smaller assignees. The administrative structure of the Jagirs of the princes was usually modeled on that of the Khalisa. On the Jagirs of the princes, the Karoris (revenue collectors), a Amin (revenue assessor), a Fotadar (treasurer), and a Karkun (accountant) provided their services. However, some of these offices assigned to one person. In the ordinary Jagirs, the chief agent (Gumashta) was the Amil also known as Shiqdar. The duties of the Amin and of the treasurer were also entrusted to him occasionally. The Amils had to sign a bond in respect of future collections with the Jagirdar. Along with that, certain amount (Qabz) was paid by the Amils to the Jagirdar. Generally, those who paid highest Qabz were appointed as the Amil by the Jagirdar. The Jagirdar preferred agents those who had local connections and were likely to work with the Zamindars. If the Jagirdar was far away then it was difficult for him to manage the Jagir. The Jagirdars also passed their burden on the shoulders of his troops by parcelling out their Jagirs among them. Then, the troops had to collect revenue from the villages assigned to them out of their master's Jagirs. The smaller Jagirdars preferred Ijara or revenue farming because they did not possess enough resources to arrange for the collection of revenue from a distance.

The Jagirdars did not enjoy absolute powers on his Jagir or over its inhabitants. There was an imperial control over the Jagirdars. His authority was checked by the king and his ministers with the support of the network of administrative officers. In the field of revenue collection, every Pargana had two important officials; they were the Qanungo and the Chaudhari. Every Jagirdar or his agent had to depend on them for asserting and collecting the revenue. These officials assisted the Jagirdars as well as check the accounts of collection and to see that no irregular exactions were taken from the peasantry. The Faujdars was appointed to maintain law and order in the empire. They were also operating in the Jagirs. Some Jagirdars obtained the office of the Faujdar for themselves in their Jagirs. There was no judicial power with the Jagirdar, but the Qazi of every Pargana had such power to hear and settle criminal as well as revenue cases. He was independent of the Jagirdar and checks the actions taken by the Jagirdar. Waqia Navis and Sewanihnavis were news reporters who were expected to report every important matter. They sent their reports on various subjects and one of their concerns was the conducts of the Jagirdars. The inhabitants of the Jagir could also make complaints direct to the court. The Mughal Emperor ordered enquiries into the administration of the Jagirdars as well as reform their administration. The Jagirdars were punished if found guilty. On the other hand, the imperial administration also undertook some obligations towards the Jagirdars like protecting them in the management of their Jagirs and securing them in the enjoyment of their revenues. It shows that the Jagirdars were not autonomous; they were checked and controlled by the imperial government; they were dependent on the imperial government for the management of their Jagirs.

The Jagirdari system under the Mughals had worked efficiently until the middle of Aurangzeb's reign. But with the increasing strain of the Deccan wars on the financial resources of the empire, dislocation of the administration owing to the absence of the Emperor and the court from north India, the complicated machinery under which the Jagirs were assigned became inefficient. Initially, there was the absence of the Jagirs and no areas were left for assignment in

the Jagirs. This disrupted the regular working of the Jagirdari system. This led to struggle for the Jagir developed among the Mansabdars of the Mughal Empire. It developed factional rivalries among the Mansabdars, and they also started bribing the officials for the Jagirs. The Jagirdars did not like the transfer orders; they knew well that if they relinquished his Jagir, another Jagir would not be assigned to him. This led to the collapse of the Jagirdari system under Mughals.

5.5.1 CHECK YOUR PROGRESS IV

1. Define the term Jagir?

2. What do you know about the Watan-Jagir?

3. Why were the Jagirs transferred under the Mughals?

4. Mention few officials appointed to manage the Jagirs?

5. Write three types of the Jagirs?

5.6 MANSABDARI SYSTEM

Mansabdari was a unique system devised by the Mughals in India. The term Mansab (office or position or rank) indicated the position of its holder (Mansabdar) in the official hierarchy. A Mansab determined the status of its holder and fixed his pay. It laid upon him the obligation of maintaining a definite number of troopers with horses and equipment. Administrative or military duties were given to the Mansabdar under the Mughals. It can be said that the Mansabdari was a single service, combining both civil and military responsibilities. The salary of the Mansabdar was paid in cash as well as in the form of Jagir (land). The Mansabdar collected payment from the Jagir due to the state. The Mansab granted to nobles ranged from 10 to 5000 and formed 66 categories. The term Mansabdar was a generic term, but the Mansabdars were of different categories; those who hold rank up to 500 were called the Mansabdars, those from 500 to 2500 were called the Amirs and those from 2500 and above were called the Amir-i-Umda or Amir-i-Azam. With the passage of time, all the holder of the rank below 1000 were called the Mansabdars. The Mughal Emperor also appointed distinguished people on higher level directly. The princes or royal blood were given the Mansabs above 5000 up to 10,000. For instance, towards the end of Akbar's reign, nobles Mirza Aziz Koka and Raja Man Singh were raised to the rank of 7000.

The origin of the Mansab system lay in the decimal system of organization of armies used long before the Mughals. Under the Delhi Sultans, ten horsemen (Sawars) were put under one Sar-i Khail, ten Sar-i Khails under one Sipah-Salar, ten Sipah-Salar under one Amir; ten

Amirs under one Mailk, ten Maliks under one Khan and ten Khans under Sultan. Thus, the Sar-i Khail commanded 10 men, a Sipah-Salar 100, an Amir 1000, a Malik 10,000, a Khan 10000. Chengiz Khan, divided his army from 10 to 10,000 in which the nobles hold the rank of 100 or 1000. A unit of 10,000 was called Tuman. The basic principle in this system was that the lower officers were directly subordinates of the higher rank holders. Under the Mughals, Babur and Humayun did not contribute much to this system. It was Akbar who gave Mansab system a different form by introducing military and civil officers on the basis of their merit or service to the state.

Under the Mughals, all the Mansabdars were direct subordinate to the Emperor whether they commanded 10 Sawars or 5000. The single number represented the rank of the Mansabdar, personal pay and size of the contingent. For instance, if a person held a Mansab of 500, he was to maintain a contingent of 500 and received allowance to maintain it. In 1595-96, the rank of the Mansabdar changed from one to two, particularly Zat and Sawar. The Zat indicated the personal pay and status of a noble and the Sawar rank the actual number of horsemen he was required to maintain. During Akbar's reign the Sawar rank was normally either equal or lower than the Zat rank. This was continued to be the position under his successors. During the second half of the Aurangzeb's reign, there were quite a large number of the Mansabdars whose rank was higher than their Zat rank.

The reign of Jahangir saw an important innovation in the Mansabdari system i.e. introduction of the Du-aspa Sih-aspa rank. In his reign, Mahabat Khan, who served in the Deccan was the first to receive this rank. For example, if a Mansabdar held a Mansab of 4000 Zat/4000 Sawar, he may be granted Do aspa Sih aspa (all two-three horses). In this case the Mansabdar maintained double the number of Do aspa Sih aspa ($4000 + 4000 = 8000$). Again if the rank was 4000 Zat/4000 Sawar of which 2000 was Do aspa Sih aspa, then it shows the original Sawar rank of 4000, the ordinary troopers be only 2000 and the additional rank of 2000 Do aspa Sih aspa double itself to 4000 ordinary troopers. The total horsemen would be 6000.

The Mansabdars depended upon the state for their pay, whether in the form of cash or Jagirs. The pay depended upon the Mansab or rank he held. Sometimes, additional pay was also received by the Mansabdar in the form of Inam. A Mansab was dual, Zat and Sawar. The additional Du-aspa Sihaspa rank was included in the Sawar rank. The holder of a Mansab can claim each of these ranks separately, known as Talab (pay). The Zat rank was basically the personal. Out of which the Mansabdar maintained himself, his family and the cost of his personal establishment. The salary for Zat rank was fixed below the rank of 5000. The salary for Sawar rank was given to meet the expenses of his contingents. The salary for the Sawar varies on the bases of horses and horsemen Mansabdar had. For the Du-aspa Sih-aspa rank, double salary was given to the Mansabdar for procuring additional duties.

During the reign of Shahjahan, a new feature was included in the Mansabdari system that was institution of monthly scales. This was developed because of the difference between the official assessment of the Jagir (Jama) and the actual revenue collection (Hasil). When a Mansabdar obtained a Jagir, its Jama should be equal to his annual salary claim on paper, but in

actual sense he received half or one-fourth of his claim. That Jagir was called Shashmaha (six monthly) or Sihmaha (three monthly). With the passage of time this figure decreased further. The month scales were applied to cash salaries as well as Jagirs.

There used to be a number of deductions from the salaries. The largest deductions were made in the Dakhini especially of Bijapuri, Hyderabad and Maratha officers such as a fourth part called Waza-i dam-i Chauthai. This deduction was continued by Aurangzeb as well. The Chauthai charge was applied on a particular section of the nobility. It was an obligation to maintain elephants, horses, camels and carts and collectively known as Khurak-i Dawwab (fodder for beasts). Apart from this, another charge was to keep the animals in the stables and to feed the animals was Khurak or Rasad-i Khurak. There was also another deduction known as Irmas which means demand for supplies. It was given to troops apart from their salary. From the salaries in cash, another deduction was Du-dami (2 dams in the rupee) amounting to 5 percent deducted. In addition to these deductions, there were fines. These were imposed for various reasons, but mostly for deficiencies in the contingents required from the nobles. For instance, for any deficiency related with horses, a fine of 2 Muhars per horse was charged. Thus, with the reduction of salaries, there was a definite decline in the income of the Mansabdars.

The Mansabdars were appointed directly by the Emperor and for the enrolment they were required to appear before him. Another way to recruit the Mansabdars was by the leading nobles of the empire, especially the governors of the provinces. Their recommendations were accepted and the Mansabs were given to the persons they recommend. When the recommendations were submitted to the Emperor and approved by him, an elaborate procedure was followed for preparing the appointment orders. The royal approval was sent to the Diwan and the Bakshi for inspection. Then sent back to Emperor for second approval and formal appointment order was drawn with the seal of the Wazir, the Diwan and the Bakshi. Before receiving the Farman, Mansabdar had to provide a surety and without it, they cannot get employment. Even the princes had to follow this custom. This continued till the reign of Aurangzeb. Later, with the influx of Deccani nobles, Aurangzeb exempted them from this obligation.

The Mansabdars were received promotions from time to time. Their procedure was quite similar to the appointment of the Mansabdars. The recommendations were made by the princes, governors and commanders under whom the Mansabdar was serving. The promotions were announced by the Emperor on the festivals, beginning of the regional year, on his birthday celebrations and beginning or end of military expedition. There were many reasons for which promotions were given to the Mansabdars. The gallantry in military service and merit occupied a high place, promotions granted on receipt of a present from a noble and officer was found to really deserve a higher post. Their ranks were also increased with the promotions.

There were a number of views regarding the security of the wealth accumulated by the Mansabdar during their tenure of service. A set of scholars viewed that the king claimed a right to the property of all his deceased officers. In contrary to that, wealth of a noble safely passed on to the legal heirs of the Mansabdar. The European travel accounts reveal this

information that Mughal Emperor took possessions of the wealth of the nobles after their death. This practice was known by the name Zabt (escheat). The main reason behind this was the loan which the Mansabdars took and remained unpaid till their death. That particular amount was adjusted from it and the rest of the property was returned to the legal heirs of the Mansabdar. In case, the Mansabdar had no legal heir then, property was escheated to the crown. It seems that it was depended on the personal will of the Mughal Emperor. Aurangzeb issued a number of Farmans which confirmed that after the death of a Masabdar, and if he had an heir, then his entire property would be deposited with the state. Hence, the Mansabdari system of Mughals was a complex system but continued even after the death of Aurangzeb.

5.6.1 CHECK YOUR PROGRESS V

1. Define the term Mansab?

2. Write a few sentences on the Zat and Sawar ranks?

3. What do you know about the system of escheat?

4. What was the procedure for the appointment and promotion of Mansabdars?

5. Define the term Khurak-i Dawwab'?

5.7 SUMMARY

Students, in this unit we have discussed about the power and the position of the Emperor; administrative structure at various levels; and functioning of the administrative system under the Mughals. We have explained about the land revenue system designed during the reign of Akbar in which a uniform system was established to expand and improve the cultivation. In the next section, we have analyzed the Jagirdari system which was evolved and perfected under Akbar's reign. Its developments and working, the different types of the Jagirs that existed in the Mughal Empire and difficulties faced by the Jagirdars were highlighted. Lastly, we have talked about the evolution and the growth of the Mansabdari System under the Mughals especially Akbar. It was the grading system used to fix the ranks and salaries of the Mansabdars which continued even after the death of Aurangzeb.

5.8 SUGGESTED READINGS

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5.9. QUESTIONS FOR PRACTICE

5.9.1 LONG ANSWER QUESTIONS

1. Write a detailed note on Mansabdari system of the Mughals.
2. Discuss central and provincial administration of the Mughals.
3. Write a detailed note on Jagirdari System of the Mughals.
4. Examine the land revenue system under the Mughals?

5.9.2 SHORT ANSWER QUESTIONS

1. What role did the Diwan play with regard to the Mansabdars?
2. Who was Todar Mal?
3. Who was Waqia Navis under the Mughals?
4. What do you understand by Zabti system?
5. What do you know about 'Jagirdari Crisis'?
6. Write two features of Mansabdari System.
7. What do you know about 'Zat' and 'Sawar'?
8. Mention functionaries of a province under the Mughals.
9. Write two systems of land revenue introduced during the reign of Akbar.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER -II

COURSE: HISTORY OF INDIA :c.1200-c.1750

UNIT 6: POLITICAL DEVELOPMENTS AFTER AKBAR (1606-1707); DECLINE OF THE MUGHALS; RISE OF MARATHAS

STRUCTURE

6.0. Learning Objectives

6.1. Introduction

6.2. Political Developments after Akbar (1606-1707)

6.2.1. Jahangir (1606-27)

6.2.2. Shahjahan (1628-58)

6.2.3. Aurangzeb (1658-1707)

6.2.4 Check Your Progress I

6.3. Decline of the Mughals

6.3.1 Check Your Progress II

6.4. Rise of the Marathas

6.4.1 Shivaji

6.4.2 Check Your Progress III

6.5. Summary

6.6. Suggested Readings

6.7. Questions for Practice

6.7.1 Long Answer Questions

6.7.2 Short Answer Questions

6.0. LEARNING OBJECTIVES

Students after reading this unit you will be able to:

- Learn about the main political developments during the reign of Jahangir, Shah Jahan and Aurangzeb.

- Understand the different views of eminent historians on the decline of Mughals.
- Learn about the rise of Marathas under Chhatrapati Shivaji.

6.1. INTRODUCTION

Students, from the middle of the 1500s to the beginning of the 1700s, the Mughal Empire controlled almost the entire Indian subcontinent. It stretched from the edges of the Indus river basin, northern Afghanistan and Kashmir in the north-west to the now- Assam and Bangladesh highlands in the east, and down to the uplands of Deccan plateau in the south. The first six Mughal emperors of the Mughal dynasty – Babur, Humayun, Akbar, Jahangir, Shah Jahan and Aurangzeb -- changed the face of India with their political and intellectual prowess. So, this chapter will help you in understanding the main political developments and expansion of Mughal Empire under Jahangir, Shahjahan and Aurangzeb. The Mughal Empire which held sway over a large part of India for nearly three centuries, finally declined in its power and prestige by the first half of the 18th century. So, the second part of the chapter will help you in analysing the causes of its decline. The third part of the chapter deals with the rise of the Marathas under Chhatrapati Shivaji.

6.2. POLITICAL DEVELOPMENTS AFTER AKBAR (1606-1707A.D.)

6.2.1. JAHAGIR (1606-27 A.D.)

Students, Emperor Jahangir whose original name was Salim, became the Emperor of Delhi after the death of his father Akbar. Like his father, Jahangir also pursued the policy of imperialism. The conquest of north India was nearly complete during the reign of Akbar. Only some petty states and Mewar in Rajasthan could maintain their independence. But the conquest of the south was incomplete. Jahangir tried to subdue Mewar and the states of south India. Therefore, after becoming the emperor, his first military campaign was directed against Rana Amar Singh of Mewar. Jahangir and Rana Amar Singh, son of Rana Pratap saw several ups and downs in the struggle which continued for about 10 years. In 1615, both signed a peace treaty, and Rana Amar Singh accepted the suzerainty of the Mughal emperor. In turn, Jahangir restored all territory of Mewar including the fort of Chittor to the Rana on condition that the fort would not be repaired. The treaty reflected statesmanship of Jahangir as Mewar had given the Mughals no small amount of trouble but the emperor forgot the past and adopted a conciliatory policy in dealing with the Rana. Thus, the long drawn war between Mewar and the Mughals came to an end and this enabled him to further consolidate the alliance with the Rajputs.

Another political development in the reign of Jahangir was the consolidation of Mughal position in Bengal. Although Akbar had weakened the power of the Afghans in this region, Afghan chiefs were still powerful in various parts of east Bengal. They had the support of many Hindu Rajas of the region. In 1608, he deputed Islam Khan, the grandson of Shaikh Salim

Chishti, to subdue Afghans in Bengals. After three years of campaigning he was successful in capturing Sonargaon and other parts of Bengal. Like Akbar, Jahangir realised that conquest cannot last on the basis of force but can only be secured by the goodwill of the people. He, therefore, treated the defeated Afghan chiefs and their followers with consideration and sympathy. After some time, many of the Rajas and Zamindars of Bengal detained at the court were released and allowed to return to Bengal. Thus, Mughal power was firmly entrenched in east Bengal up to the seacoast. To keep the area under full control, the provincial capital was transferred from Rajmahal to Dacca which began to develop rapidly. In 1620, he was also successful in capturing the fort of Kangra. In 1622, he lost Qandhar to Shah Abbas, the ruler of Persia. It was a serious loss during the reign of Jahangir.

Before the coming of the Mughals, there were six Muslim states in the Deccan namely- Khandesh, Berar, Golconda, Ahmednagar, Bijapur, Bidar, and one Hindu state of Vijaynagar. Out of the 7 states, 5 were offshoots of the Bahmani Kingdom which came to an end in 1538. These five states included the Nizam Shahi of Ahmednagar, the Imad Shahis of Berar, the Adil Shahis of Bijapur, the Barid Shahis of Bidar, and the Qutb Shahis of Golconda. According to Babur, the state of Vijaynagar was the strongest among them. However, Babur and Humayun could not pay any attention towards the south. All these states were constantly at war with each other. There was a lack of political unity in the Deccan. In 1565, four of the Muslim states namely that of Ahmednagar, Bijapur, Golconda, and Bidar, formed a confederacy and fought against the Hindu state in the Deccan, the Kingdom of Vijaynagar. This battle is popularly known as the Battle of Talikota. Thus, this confederacy of the Muslim state gave a crushing defeat to the Kingdom of Vijaynagar. After the battle, Ahmednagar conquered Berar in 1574 and Bijapur annexed Bidar in 1618-1619. Thus, there remained only the state of Khandesh, Ahmednagar, Bijapur and Golconda. A little later, in the 16th century, the Marathas emerged as another power in the Deccan and the Mughals had to deal with them separately. Akbar was the first Mughal emperor who led an expedition towards the Deccan states and as among the three states in the Deccan, the kingdom of Ahmednagar lies in close proximity with the Mughal frontier. Therefore, it was the first state in the Deccan which had to deal with the Mughals. He annexed Khandesh, occupied some strong forts of Ahmednagar, Daulatabad, Burhanpur, and Asirgarh. However, Akbar could not achieve much success in the Deccan as the conquest of Ahmednagar could not be completed while Golconda and Bijapur were untouched so far and he had to rush back to the capital due to the revolt of Prince Salim. When Jahangir ascended the throne, the whole of the Deccan had become independent. At this time the state of Ahmednagar in the Deccan had considerably increased its military strength and revolutionized its method of warfare under the excellent leadership of Malik Ambar, the Abyssinian minister of the Sultan of Ahmednagar. He introduced guerrilla training in the military system of Ahmednagar and succeeded in checking the Mughal expansion towards further south.

Malik Ambar soon started making incursions on the Mughal territories. Therefore, Jahangir deputed prince Khurram to the Deccan with a large force in 1616. Prince Khurram with Bijapur as a mediator opened negotiation with Malik Ambar and he was successful in getting

back the territory of Balaghat and some forts including that of Ahmednagar or all Mughal territories which had been captured by Malik Ambar. The ruler of Bijapur also gave costly presents to prince Khurram. On this achievement, Jahangir bestowed the title of Shah Jahan on prince Khurram. But peace could not last long. In 1620, Malik Ambar again formed a league with the King of Bijapur and Golconda and besieged the fort of Ahmednagar under Mughal's protection. He also conquered Berar and its neighbouring territory. Jahangir again deputed Shah Jahan to subdue Malik Ambar and this time again Malik Ambar had to cater to a humiliating treaty with Mughals. Again, this settlement lasted for a few years and Malik Ambar continued to fight against the Mughals. Subsequently at this time, Jahangir could pay no more attention towards the Deccan because of the revolts of Shah Jahan and Mahabat Khan. The campaigns of the Mughals in the Deccan during the reign of Jahangir, in fact, brought not much territorial gain though, of course, pressure on the states of south India increased. No state of the south was prepared to acknowledge the suzerainty of the Mughals. Malik Ambar died in 1626 yet, it failed to strengthen the position of the Mughals. By 1627, Jahangir's health had deteriorated, and he also died in 1627.

6.2.2. SHAHJAHAN (1628-58 A.D.)

Students, after the death of Jahangir, his son Shahjahan ascended the throne of Mughals. Emperor Shah Jahan started his Deccan campaign to accomplish his military, political and imperialistic designs. He had the advantage of having launched two successful military expeditions on Ahmednagar. Through those two campaigns he could gain good knowledge of the Deccan states. Shah Jahan was an orthodox Sunni Muslim and did not like the existence of the independent Shia states of the Deccan Sultan and he also suspected the relation of the Deccan states with the Shia rulers of Persia, who were the hereditary rivals of the Mughals. Therefore, he decided to pursue a vigorous policy in the south. Also, he had sufficient time, money and military resources to conquer Deccan as the whole of northern India had already been annexed under Akbar and Jahangir. Shah Jahan had nourished a grievance against Ahmednagar because it had extended help to Khan Jahan Lodhi in his revolt against the Mughals. After the death of Malik Ambar, Fateh Khan, the son of Malik Amber then became the minister of the Sultan Murtaza of Ahmednagar and later killed Sultan and installed Sultan's 10 year old minor son Hussain Shah on the throne and himself became the virtual ruler of the state. Fateh Khan then tried to open up negotiations simultaneously with Bijapur, Golconda, and the Mughals. On the other hand, Shah Jahan could not trust Fateh Khan. This unscrupulous diplomacy of him resulted in the loss of many loyal nobles like Shahji Bhonsle to him as well as the faith of Bijapur and the Mughals. This ensuing chaos and anarchy in the kingdom of Ahmednagar provided Shah Jahan a good opportunity and therefore he ordered his forces under Mahabat Khan to attack Ahmednagar. Mughals laid siege to his fort of Daulatabad for about two and a half months and finally Fateh Khan surrendered Sultan Hussain Shah to the Mughals in 1633. Hussain Shah was imprisoned in the fort of Gwalior and Ahmednagar was annexed to the Mughal Empire. It meant

the end of the state of Ahmednagar though Shahji Bhonsle continued to fight against the Mughals on behalf of another child of the ruling dynasty of Ahmednagar, named Murtaza III. However, he surrendered that child to the Mughals in 1636 and accepted the service of Bijapur.

In 1636, Abdulla Qutub Shah, the ruler of Golconda was forced to accept the suzerainty of the Mughals and promised to pay an annual tribute of rupees 6 lakhs, to issue coins in the name of Shahjahan and to read Khutba in his name. Besides, he also promised to give military assistance against Bijapur. Shah Jahan, in lieu of this, permitted him to continue ruling over Golconda. On the refusal of the ruler of Bijapur to accept the overlordship of the Mughals, Shah Jahan attacked Bijapur and forced her to sign a peace treaty. The ruler of Bijapur promised to pay an annual tribute of rupees 20 lakhs. He also promised to take neither military action against Golconda nor to provide military assistance to Shah ji Bhonsle. In return, the Bijapur Sultan was permitted to retain his kingdom. In 1636, after conquering these states Shah Jahan appointed his 18 year old competent son Aurangzeb to be the Governor of all these conquered territories in Deccan. Being the Governor he consolidated the Mughal rule and extended an effective administration to these newly subdued territories. But in 1644, Aurangzeb returned to north India to check Dara Shikhan from seizing the throne of Delhi.

In 1652, Aurangzeb, when appointed as Governor of the Deccan for the second time, again pressurised Golconda because it had failed to pay the promised annual tribute to the Mughals. Aurangzeb waited for an opportunity and he got it when Mir Jumla, one of the most prominent nobles of the Sultan, quarrelled with him and sought protection from Shah Jahan. With his help he captured Hyderabad and besieged the fort of Golconda and made its ruler to accept the suzerainty of the Mughals, got one of his daughters to marry prince Muhammad, son of Aurangzeb, got rupees ten lakhs as dowry and yet another seventeen lakhs rupees as war-indemnity to the Mughals. Thus, though Golconda was weakened, but its existence remained. In 1656, Bijapur was also finally annexed to the Mughal Empire. Its ruler Adil Shah II agreed to pay one and half crores of rupees as war indemnity and surrendered Bidar and Kalyani to the Mughals.

Mughal emperors always desired to conquer their ancestral homeland in Central Asia which included Trans-Oxiana, Badakhshan, Balkh, Bhukhara, and Samarqand. Also, sound economic conditions, the tremendous military resources of his kingdom and to win glory as a great conqueror by expanding his empire outside India as well, had spurred him to conquer Central Asia. Except Aurangzeb, all Mughal emperors tried to occupy that territory particularly the city of Samarqand, the conquest of which they regarded as prestigious. The brother of Emam Quli, ruler of Samarkand, invaded Kabul and in 1639 captured Bamiyan, which offended Shah Jahan. The emperor was on the lookout for an opportunity to move his army to the northwest borders. In 1646, he responded to the Uzbek ruler's appeal for aid in settling an internal dispute by sending a huge army. The campaign cost the Mughals heavily. They suffered serious initial setbacks in Balkh, and, before they could recover fully, an alliance between the Uzbeks and the Shah of Iran complicated the situation. Qandhar was again taken by Iran, even though the

Mughals reinforced their hold over the other frontier towns. In short, his Central Asiatic policy was a big failure.

Shah Jahan fell seriously ill in 1657 which led to the war of succession between his four sons: Dara Shikhan, Shuja, Murad and Aurangzeb. From the war of succession in 1657–59 Aurangzeb emerged the sole victor. He then imprisoned his father in the Agra fort and declared himself emperor.

6.2.3. AURANGZEB (1658-1707A.D.)

Students, after Shah Jahan, Aurangzeb became the new ruler of India. For the first twenty-five years of his rule he remained busy in north India. Three major revolts occurred in the wake of the fanatic religious policy of Aurangzeb: The Jat peasantry of Mathura in U.P. rebelled in 1669; a rising occurred among the Satnami sect in Narnaul in 1672; and the Sikhs in the Punjab revolted to avenge the execution of their Guru Tegh Bahadur ji in 1675. In 1667, orthodox Muslim Yusufzai Afghan tribe living in the north-west frontier of his empire rose in arms and a large number of them crossed the Indus and raided the Mughal district of Hazara. The most prolonged uprising, however, was the Rajput rebellion, sparked by Aurangzeb's annexation of the Marwar state and his seizure of its ruler's posthumous son Ajit Singh with the alleged intention of converting him to Islam. This rebellion spread to Mewar, and Aurangzeb himself had to proceed to Ajmer to fight the Rajputs, who had been joined by the emperor's third son, Akbar (1681). Prince Akbar with the objective of trying his luck, established a liaison with the Rajputs and started dreaming of usurping the throne of Delhi after defeating Aurangzeb. However, through forged letters Aurangzeb created differences among the Akbar and the Rajputs on account of which prince Akbar had to flee to the Deccan and thence to Persia. The war with Mewar came to an end in 1681 because Aurangzeb had to pursue his rebellious son Akbar to the Deccan, where the prince had joined the Maratha king Sambhaji. Jodhpur remained in a state of rebellion for 27 years more, and Ajit Singh occupied his ancestral dominion immediately after Aurangzeb's death.

Aurangzeb spent the last 25 years of his reign in the Deccan. He was an advocate of direct conquest of the Deccan states due to the strategic importance of the Deccan states and the administrative and economic necessity of the Mughal Empire. The experience during his two tenures as Governor (1636-44 and 1653-57) of the south and his successful campaigns against Bijapur and Golconda proved very helpful to him, when he became the emperor of India in 1658. On the other hand, taking undue advantage of his absence from the south, the Sultan of Bijapur and Golconda again declared their sovereignty. Also, Shivaji, the Maratha, established an independent kingdom in Maharashtra at that very time when Aurangzeb was bent upon to conquer the entire south. To contain the Marathas, Aurangzeb believed that extinction of the states of Bijapur and Golconda was a prior necessity as their existence enabled the Marathas to enrich themselves. Aurangzeb must have argued that if those states were annexed to the Mughal Empire, the Marathas would not dare to attack them. Besides this political motive, he desired to

annex these states because their rulers were Shias who owed nominal allegiance to the ruler of Abbasaid-Khalifas.

Bijapur had failed to fulfil the terms of the treaty of 1657. Therefore, Raja Jai Singh was deputed to attack Bijapur in 1665-66 but he failed to subdue Bijapur. During the next fifteen years, Mughals attacked these Shia states several times but failed to occupy the kingdom. The situation, however, changed when Adil Shah II died in 1672 and was succeeded by his four-year old son, Sikandar Adil Shah. The Sultan, being a minor, failed to keep his nobles under his control. The nobles were divided into two groups, viz., the foreigners and the Indian Muslims. Both these groups tried to capture the power of the throne which resulted in maladministration of the state. The Mughals took advantage of it and attacked Bijapur in 1676 but with no result. The Mughals failed to get any success in the coming years also till Aurangzeb himself reached the Deccan. Aurangzeb pursued his son, Akbar, and reached the Deccan in 1682 with a view to destroy all states of the south. He first deputed his son, Azam against Bijapur. Azam besieged the fort and Aurangzeb also reached there in person in July 1686. The fort was surrendered in September 1686. Sikandar Adil Shah was granted a pension and Bijapur was annexed to the Mughal Empire. This brought an end to Adil Shahi dynasty and Bijapur became the seat of the Mughal provincial governor.

Golconda was ruled by Abudullah Hasan Qutb Shah at that time. He was a Shia, had handed over his administration to two Brahmin ministers, Madanna and Akanna who were believed to have joined hands with the Marathas against the Mughals. He learnt that Abdullah Qutb Shah had been financially helping Shivaji's son Sambhaji. Abdullah's promise of large military help to Sikandar Adil Shah during the Mughal invasion of 1685 also came to the Emperor's knowledge. Therefore, he ordered Prince Muazzam to invade Golconda. Abudullah left Hyderabad and sought shelter in the fort of Golconda. He pleaded for a treaty but Aurangzeb was not prepared for any treaty. After eight months' siege, Abdullah surrendered to the Mughals. He was imprisoned in Daulatabad fort, was given a pension for his life and Golconda became a part of the Mughal Empire. The conquests of Bijapur and Golconda did not complete the conquest of the Deccan by Aurangzeb. The newly-risen power of the Marathas under Shivaji was yet a powerful challenge to him. Shivaji had established an independent kingdom in Maharashtra.

Encouraged by his early success against Bijapur, Shivaji began to ravage the Mughal territories. This made the Aurangzeb anxious of the rising of the Maratha power near to the Mughal frontiers. Therefore, Aurangzeb sent Shaista Khan, the Mughal Governor of Deccan to capture him. But Shaista Khan failed to capture Shivaji. Shivaji succeeded in making a surprise night-attack on him when he was resting at Pune and he fled away. Aurangzeb recalled him and deputed Raja Jai Singh to attack Shivaji. Jai Singh forced Shivaji to sign the treaty of Purandhar by which he surrendered 3/4th of his territory and forts. Shivaji visited Agra in 1666 where he was virtually imprisoned. However, he managed to escape from Agra. He started fighting against the Mughals in 1670. In 1674, he held his coronation and made Raigarh his capital. Shivaji died in 1680 but prior to his death he was able to carve out quite an extensive kingdom in the south.

He was succeeded by his incapable son, Shambhuji, who gave shelter to the rebellious son of Aurangzeb, Prince Akbar. Thus, inviting the wrath of Aurangzeb. Aurangzeb reached the Deccan in 1682 and succeeded in capturing Shambhuji in 1689. Shambhuji was killed and his son Sahu was captured. Aurangzeb gave Sahu the Mansab of 7000 and treated him well. It completed the conquest of the south by Aurangzeb. But, his success remained short-lived. The Marathas rose as one force against the Mughals to liberate their motherland. The Maratha war of independence was first led by Raja Ram and then by his widow, Tara Bai. This war continued till the death of Aurangzeb. The war booty from Golconda and Bijapur was insufficient to cover the cost of the last phase of the Deccan wars. Aurangzeb failed in subduing the Marathas and died in the Deccan fully realising his failure against the Marathas. Thus, the Deccan policy of Aurangzeb, ultimately failed.



The Mughal Empire at the end of the seventeenth century⁷

⁷ S.A.A.Rizvi, *The Wonder That Was India*, Vol.II, London: Sidgwick & Jackson, 1987,p.147.

6.2.4 CHECK YOUR PROGRESS I

1. Who was Mir Jumla?

2. When was Bijapur and Golconda annexed by the Mughal Emperor Aurangzeb?

3. Who was Malik Ambar?

4. Who were Madanna and Akanna?

6.3. DECLINE OF MUGHAL EMPIRE

Students, the Mughal Empire held sway over a large part of India for nearly three centuries, but a drastic decline in its power and prestige came about by the first half of the 18th century. The process of the decline and emergence of regional polities has been intensely debated among historians. It has also been a subject on which scholarly opinion is more sharply divided than on any other aspects of Mughal history. Each and every historian has different theories on the decline of Mughal Empire and the major theories were as follows:

The first and foremost among them is the thesis put forward by Satish Chandra in his *Parties and Politics of the Mughal Court (1707-40)* (1959). He built up the hypothesis of a Jagirdari crisis. The Jagirdari system was a system that allotted Jagirs (assignments of land revenue) to the Mansabdars for the maintenance of troops, horses and horsemen for the Mughal state. Basically, the term Mansab (office, position, rank) indicated under the Mughals the position of its holder (Mansabdar) in the official hierarchy. The Jagirdari crisis referred to the mismatch between the availability of Jagirs and the growing numbers of Jagirdars (the Mansabdars who were paid in the forms of Jagirs were called Jagirdars), which was largely the result of Aurangzeb's Deccan policy. As with the annexation of the Deccan states, the absorption of the Marathas and the Deccanis into the Mughal nobility, led to the subsequent shortage of Jagirs. Added to this was a fall in the actual amount of revenue realised especially in the south and the adverse consequences of a price rise that strained the resources of the nobles. J.F. Richards is of the opinion that due to the extension of Khalisa land (crown land) the land to be assigned in Jagir decreased. However, he feels that this problem could have been overcome by consolidating the southern frontier of the empire. He also argues that Aurangzeb did not provide backing to or promote the Hindu warrior aristocracy in the Deccan (Maratha, Gond, Bedar or Telgu chiefs). Athar Ali in his paper, "Nobility and their Politics in the Late Seventeenth Century" provided the justification and quantitative support to Satish Chandra's study. With the collapse of the Jagirdari system the process of decline of the Mughal Empire was also complete.

Athar Ali ("The Passing of Empire: The Mughal Case", in *Modern Asian Studies*, Vol. 9, No. 3, 1975: Cambridge University Press) lists "cultural and ideological failure" as the root cause underlying the inability of the Islamic political formations to modernize or revolutionize their armies and productive capacities. No new innovations in the field of technology were introduced within the Mughal army since the death of Aurangzeb. For instance, in comparison to Europe, India saw no conscious attempt to design new artillery weapons: making of muskets and guns remained a mere craft, with no touch of science; and accordingly, by 1700 these almost completely got out-dated. The Mughals continued to rely upon sword-wielding cavalry when its days were long over. This adversely affected the military strength of Mughals and their ability to deal with powerful external entities like British and Afghans.

Peter Hardy suggests that the factors responsible for weakening the military cum administrative edifice was the difference between estimated revenue (Jama) and revenue actually collected (Hasil) and therefore the inability of the Mansabdars to sustain and support the requisite armed contingents. The theory of economic and administrative crisis leading to the decline of the Mughals is acceptable to the Aligarh School (Habib, Athar Ali etc.), Pearson and Richards. This postulation is based on inferences arrived at after a detailed study of the writings of contemporary writers viz. Abul Fazl, Mamuri, Bhim Sen and Khafi Khan.

Irfan Habib in his classic work, *The Agrarian System of Mughal India*, drew attention to the exploitative nature of agrarian taxation under the Mughals, to the three-way contradictions of exploitation and contestation between and among the ruling class (Jagirdars), hereditary landholding classes (Zamindars) and the cultivators (Khud Khast and Pahi Khast), which subsequently resulted in recurring peasant revolts. Such agrarian uprisings had some serious repercussions. It weakened the basis of the Mughal state and exhausted the ability of the system to either augment productivity or extract revenues from peasants. The agrarian disorder also paved the way for regionalism and a new regional power structure at the expense of the centralised structure. As Muzaffar Alam has argued in the context of Awadh, it was in the wake of general agricultural prosperity that Zamindars found themselves strong enough to rise against the Mughals, asking for greater share in political power and produce in the area under their control.

The failure of the agrarian system coincided with factional tensions and dissensions among the nobility with disastrous results. Satish Chandra in his classic work on *Parties and Politics at the Mughal Court (1707-40)* argued how after 1707, a divided nobility failed to keep the system in working condition and put their narrow self-interest before everything else. A degree of competition between the different factions of nobility like between the Turani faction (from Central Asia), the Irani group (Persia) and the Indian Muslims and Hindus was always there but in the 18th century it got aggravated by a pervasive economic crisis, referred to by historian Satish Chandra as the Jagirdari crisis.

J.F. Richards, M. N. Pearson and Peter Hardy attributed the Mughal decline to their excessive involvements in the Deccan and the Maratha land. J.N. Sarkar, in his book *History of Aurangzib*, elaborated upon the traditionally recognized factor, namely, Hindu-Muslim

differences: Aurangzeb's religious policy is thought to have provoked a Hindu reaction that undid the unity that had been so laboriously built up by his predecessors. Historian S.R. Sharma also support this view.

Karen Leonard (1979) gave the 'Great Firm' theory of the decline of the Mughal Empire, published in *Comparative Studies in Society and History* (vol.21, no.2). According to her, the indigenous banking firms or 'great firms' were indispensable allies of the Mughal state, and that the great nobles and imperial officers 'were more than likely to be directly dependent upon these banking firms. And thus the 'great firms' diversion of resources, both credit and trade, from the Mughals to other political powers in the Indian sub-continent contributed to its bankruptcy and ultimately the downfall. The period of imperial decline coincided with the increasing involvement of banking firms in revenue collection at regional and local levels, in preference to their continued provision of credit to the central Mughal government. This involvement increased from 1650 to 1750, and it brought bankers, more directly than before, into positions of political power all over India.

Existing theories attribute the decline of the Mughal Empire to the nature of monarchy, the breakdown of the Mansabdari administrative system, the challenges from newly established regional rulers, inflation of noble ranks, personality factor, the weakness of the later Mughals and the alleged communal policies of Aurangzeb (1658-1707) whose campaigns against the Rajputs and Marathas was seen to have provoked resentment and resistance among the Hindu subjects of the Mughal Empire. The failure of the Mughals to reform their political, administrative and military structure, the challenges from newly established regional rulers and the inability to modernise the Mughal state contributed to the eventual decline of Mughal Empire 1707 onwards. There was also an institutional failure especially the decay of the army, whose integrity and strength was undermined by factionalism, succession disputes and obsolete technology. One influential analysis points to the increasing burden of taxation and consequent Zamindar-peasant rebellions throughout the empire as the fundamental cause of decline.

6.3.1 CHECK YOUR PROGRESS II

1. What do you understand by 'Jagirdari crisis'?

2. List two factors responsible for the decline of the Mughals.

3. Name the historian who gave the 'Great Firm' theory on the decline of the Mughal Empire?

4. Who authored the book *Parties and Politics at the Mughal Court (1707-40)*?

6.4. RISE OF THE MARATHAS

Students, the background is important for understanding the subsequent rise of Shivaji and how under him the Bhonsles moved from being king makers to being independent kings in India. Let us discuss them.

The Marathas are natives of the hill country in the west of India which is now called Maharashtra. The geography of Maharashtra exercised a profound influence in moulding the character and history of its people. Encircled on two sides by the mountain ranges of the Sahyadri running from north to south and the Satpura and the Vindhyas running from east to west, protected by rivers Godavari and Krishna provided a special geographical characteristic to this region. The broken ranges of the hills provided natural forts which were largely impregnable and difficult to penetrate. In times of attacks, the Marathas found defensive cover in these forts and the mountainous areas made it possible for the Marathas to adopt guerrilla warfare very successfully. The invaders were prone to sudden attacks from forts located on the tops of hills. Also, the rugged and unproductive soil of the land, its precarious and scanty rainfall and its meagre agricultural resources, made the Marathas struggle hard for their existence and played a great part in moulding the Marathas active, hardworking, brave, warlike, simple in their habits and goal oriented. The Marathas did not suffer much from economic inequality, as there were not many people to be accepted as rich. There was no class of economic exploiters. This gave the Marathas a sense of social equality, spirit of self-respect and unity.

The Bhakti movement of the 15th and 16th centuries also reached the Marathas. The Marathi religious reformers of the day like Eknath, Himadri, Vaman Pandit, Gyaneshwar, Chakradhar, Tukaram, Ramdas and others brought about Hindu consciousness amongst the Marathas scattered in different parts of south India. The Marathas had a common language, Marathi and a common religion, Hinduism. These reformers inspired the Marathas to take pride in their mother tongue, country, nation and religion, which helped in inculcating the spirit of oneness, among the Marathas.

The famous battle of Talikot (January 22, 1565), led to the decline of the Vijaynagar Empire, one of the last bastions of the Hindu cultural and political stronghold which survived for more than two hundred years in the face of the expanding Muslim Empire in south, served as a source of power and inspiration to Chattrapati Shivaji to once again carve a Hindu Rashtra and preserve Hinduism. The religious orthodoxy of Aurangzeb was also responsible for the unification of the Hindus of the southern region of India. During the 17th century, many important Muslim states had declined. But two very important Shia Muslim states – Bijapur and Golkunda still existed. But by the end of the 17th century they were also engaged in the process of disintegration. Their administrative decline and internal strife could not put a check on the rising power of the Marathas under Shivaji.

Before the rise of Shivaji, the Marathas had acquired some experience in political and military administration through their employment from the time of the Bahmani kingdom, as also under its successor states. There were a number of influential Maratha families such as the

Mores, Ghatges, Nimbalkers and Bhonsles, which exercised local authority in many areas. The position of the Maratha chiefs improved further as first Malik Ambar, and then the Mughals competed for their support.

The rise of the Marathas during the 17th century, and the establishment of an independent Maratha state is closely associated with the family of Shahji Bhonsle. father of Shivaji. He began his career as a trooper in the army of the Sultan of Ahmednagar. He gradually rose to distinction, acquired vast territorial possessions in that state and played the role of a kingmaker during the last years of the Nizam Shahi rule. After the annexation of Ahmednagar by Shah Jahan in 1633, he entered the service of the Bijapur state in 1636. Here also he earned considerable fame and received an extensive fief in Karnataka, besides his old Jagir of Poona, which he had held as an officer of the Ahmednagar state. Shahji had left the Poona Jagir to his neglected senior wife, Jija Bai and his minor son, Shivaji, where he emerged as the most powerful figure in the clan.

6.4.1 SHIVAJI

Shivaji, a binding force behind the rise of Maratha, was born in 1627 in the fortress of Shivneri, in the Western Ghats near Poona. For the first few years of his life Shivaji was a wanderer with no settled home. From Shivner where he was born he moved with his mother and occasionally with his father too from place to place as safety and convenience required. Shivner, Baizapur, Shivapur, and Shivapattan are some of the places where Shivaji spent the first nine years of his life, before Jija Bai returned to a settled peaceful life at Poona in 1636. This only explains how he became inured to a life of danger and hardship ever since his birth. He was brought up at Poona under the careful supervision of his mother, a truly Kshatriya lady, who had infused in him a spirit to defend his nation and religion. Under the guidance of his tutor Dadoba Kondadev, Shivaji became an expert soldier and an efficient administrator. He was also greatly influenced by the teachings and writings of the religious reformers like Tukaram and Ramdas of Maharashtra, which inspired him with boundless zeal for Hindu religion and love for his motherland. All these influences made Shivaji to believe that it was his mission to liberate the Hindus and to weld the Marathas into one nationality and to free his country from the Muslim yoke. So, he soon made himself the leader of his people.

Shivaji began his military career at the young age of 18. He conquered some forts in the Bijapur state in 1646 and shortly after, he captured a number of some other hill forts near Poona- Rajgarh, Purandhar, Kondana, and Torna between the years 1645-47. In 1647, after the death of his guardian, Dadaji Kondadeo, Shivaji became his own master and the full control of his father's Jagir came under his control. The independent charge of his father's Jagir at Poona proved of great advantage to Shivaji. In this small Jagir all kinds of experiments could be quickly tried in the art of government, and valuable experience gained which could be later utilised on a wider scale when the time came. He roamed over the country minutely observing the capacities of the men and resources of the people. If a writer, he gave him a writer's job; if a brave man, he

was made a captain. Thus, he picked suitable helpmates, promoted them according to their merits and exacted great tasks from them. He wrote letters, paid visits, contracted friendships often through marriage ties, persuaded, threatened, coerced and thus strengthened his party. People talked of him as a heaven-sent leader, one whom they must implicitly obey.

In 1656, Shivaji conquered Javli from the Maratha chief, Chandra Rao More and started his reigning career. The conquest of Javli made Shivaji the undisputed master of the Mavala region or the highlands and freed his path to the Satara region and conquered the northern districts of the Konkan region. Mavali foot-soldiers became a strong part of Shivaji's army. With their assistance, Shivaji acquired a series of hill forts near Poona. In this way his conception of a Swarajya took a definite shape after 1656.

The Sultan of Bijapur was alarmed by Shivaji's entry into north Konkan and his conquest of Kalyan and Bhiwandi. The Konkan was not only an outlet for Bijapur exports, but Kalyan and Bhiwandi ports were important for the import of war horses which the Portuguese were trying to monopolize. Therefore, in 1659 to check his advance, the ruler of Bijapur sent his general, Afzal Khan with 10,000 troops, with instructions to capture Shivaji by any means possible. Afzal Khan sent an invitation to Shivaji for a personal interview, promising to get him pardoned from the Bijapur ruler. Convinced that this was a trap, Shivaji went with full preparation, and murdered Afzal Khan. Shivaji captured all Afzal Khan's property, including equipment and artillery. The proud and victorious Maratha troops overran the powerful fort of Panhala and poured into south Konkan and the Kolhapur districts, making extensive conquests. After this the Sultan sent a few more expeditions, but without any success. At last, in 1662, the king of Bijapur made peace with Shivaji and acknowledged him as independent king of his conquered territories.

Encouraged by his success against Bijapur, Shivaji began to ravage the Mughal territories. This made the Mughal Emperor Aurangzeb anxious of the rising of the Maratha power near to the Mughal frontiers. Therefore, Aurangzeb sent Shaista Khan, the Mughal Governor of Deccan to capture him. In 1660, Shaista Khan occupied Poona and made it his headquarters. Despite tough resistance from the Marathas, the Mughals were further able to acquire the control of the northern Konkan region. In 1663, on one night, Shivaji infiltrated into the camp and attacked Shaista Khan, when he was in his harem (in Poona). He killed his son and one of his captains and wounded Shaista Khan. This daring attack of Shivaji put Shaista Khan into disgrace. In anger, Aurangzeb transferred Shaista Khan to Bengal.

This failure of Shaista Khan further encouraged Shivaji to continue his plunder. In 1664 he mounted a celebrated raid on the Gujarat port city of Surat, the most important port under Mughal control and looted it to his heart's content, returning home laden with treasure worth a crore of rupees.

After the failure of Shaista Khan, Aurangzeb first sent his own son, Prince Muazzam, and at his failure Raja Jai Singh of Amber, who was one of the most trusted advisers of Aurangzeb, to deal with Shivaji. Unlike Shaista Khan, Jai Singh did not underestimate the Marathas; rather he made careful diplomatic and military preparations. Jai Singh planned to

strike at the heart of Shivaji's territories: fort Purandhar where Shivaji had lodged his family and his treasure. In 1665, Jai Singh besieged Purandhar (1665). With the fall of the fort at sight, and no relief likely from any quarter, and the realization that the war with the Mughals would result in a heavy loss and make his men suffer, made Shivaji open negotiations with Jai Singh. Thus, the Treaty of Purandhar (1665) was signed between Raja Jai Singh and Shivaji. After hard bargaining with Shivaji, the following terms were agreed upon:

- Out of 35 forts held by Shivaji, 23 forts were surrendered to the Mughals.
- Remaining 12 forts were left with Shivaji on condition of service and loyalty to the Mughal throne.
- Territory worth four lakhs of Huns a year in the Bijapuri Konkan, which Shivaji had already held, was granted to him.
- The Bijapur territory worth five lakhs of Huns a year in the uplands (Balaghat), which Shivaji had conquered, was also granted to him. In return for these, Shivaji was to pay 40 lakhs Huns in instalments to the Mughals.
- Shivaji's son Sambhaji was appointed a Mansabdar of 5000 at the Mughal court and was granted a Jagir.
- Shivaji was excused from personal service, but he promised to join any Mughal campaign in the Deccan in future.

It is believed that Jai Singh aimed at conquering the whole of Deccan in alliance with Shivaji by sowing the seeds of hatred between Shivaji and Bijapur. The Mughal-Maratha joint expedition against Bijapur however, did not materialize whereupon, Jai Singh persuaded Shivaji to visit the emperor at Agra. When Shivaji attended the Mughal court at Agra (1666), he was treated with discourtesy and was put in the category of Mansabdars of 5000 which was granted to his minor son. This infuriated him and he walked off angrily refusing imperial service. Shivaji and his son Sambhaji who accompanied him to Agra were placed under house arrest. But they managed to escape from detention. Henceforward, he became an implacable enemy of the Mughal Empire and after returning to his homeland, he asked for pardon from Aurangzeb and kept himself busy in consolidating his power.

From 1670 onwards he renewed his campaigns against the Mughals as he could not reconcile to the loss of 23 forts and the territory worth four lakhs Huns a year to the Mughals without any compensation from Bijapur. He sacked Surat a second time in 1670. During the next four years, he recaptured one by one the forts of Kondana, Purandar, Kalyan, Singhagarh, etc. from the Mughals and made deep inroads into the Mughal territories in Berar and Khandesh. Mughal preoccupation with the Afghan uprising in the north-west helped Shivaji. He also renewed his war with Bijapur, securing Panhala and Satara by means of bribes, and raiding the Kanara country at will.

Shivaji's coronation as "Chhatrapati" (king) took place at Raigarh in 1674 with great show of pomp and grandeur. It now became possible for Shivaji to enter into treaties with the Deccan Sultans on a footing of equality and not as a rebel. It was also an important step in the further growth of Maratha national sentiment. Although at the time of his accession, Shivaji assumed the title of "Haindava-Dharmodarak" or "Protector of the Hindu Dharma", and "Kshatriya-Kulavatansa" or the jewel of the Kshatriya clan, there is no reason to think that Shivaji was setting himself as a champion of the Hindus, intent to fight the narrow religious policies of Aurangzeb.

In 1676, he undertook an expedition into Bijapur's Karnataka, which was considered a land of gold. He captured Jinji and Vellore from Bijapur's officials. He also conquered much of the territories held by his half-brother, Ekoji. He captured Ponda and Karbar and came into conflict with the Janjibar Siddis. Shivaji built a strong navy and a fleet of ships to guard the coastal regions of Maharashtra. He died a natural death in the year 1680 at Raigarh at the age of 53. He founded the Maratha Empire, which dominated India for a century and a half.

Shivaji was a great warrior and an efficient administrator. From a petty Jagirdar at Poona, he rose to the position of a king by dint of his hard labour and skilful generalship. His country was well administered and it possessed all the qualities of charity, justice and benevolence in abundance. Most of the administrative reforms of Shivaji were based on Malik Ambar's (Ahmednagar) reforms. Shivaji was himself the head of the central administration and all powers were vested in him. He appointed a council of eight ministers to assist him, known as the Ashthapradhan. The Peshwa (Prime minister), Sar-i-Naubat (Senapati or military commander) Amatya (finance minister), Wajenavis (looked after intelligence, posts and household affairs), Surnavis or Sachiv also called Chitnis (looked after correspondence), Dabir or Sumanta (master of ceremonies), Nyayadhish (justice) and the Pandit Rao (charities and religious affairs) comprised his Ashthapradhan. They were directly responsible to Shivaji. Shivaji introduced a few reforms in the revenue system. First of all he abolished the Jagirdari system and established a direct link with the peasants. The land was measured and the revenue was fixed according to its fertility. Revenue could be paid in both kind or cash. Loans were given in times of famines. The Swarajya lands had to pay two-fifths of the land produce. Chauth and Sardeshmukhi were collected not on his Swarajya but on an undefined belt of land which was legally part of the Mughal Empire or the Deccan states. Chauth was 1/4th of the land revenue paid to the Marathas by the people of the neighbouring territories to remain free from Maratha raids. Sardeshmukhi was an additional levy of 10 percent on those lands of Maharashtra over which the Marathas claimed hereditary rights but which formed part of the Mughal Empire.

He could not rule for a long time, but he laid the foundation of a powerful country which was prosperous and stable. After Shivaji's death, weak successors succeeded him: Sambhaji (1680-89), Rajaram (1689-1700), Shivaji II in the regency of Tarabai (1700-1707) and Shahu (1707-1749). Shahu's reign saw the rise of Peshwaship and transformation of the Maratha kingdom into an empire based on the principle of confederacy. Poona became the capital of the Maratha kingdom.

6.4.1 CHECK YOUR PROGRESS III

1. Who was Shahji Bhonsle?

2. List two geographical factors responsible for the rise of the Marathas.

3. When and between whom was the Treaty of Purandhar signed?

4. In which year was Shivaji's coronation ceremony held?

5. What was 'Chautha' and 'Sardeshmukhi'?

6.5. SUMMARY

Students, in this unit you have learnt that the Mughal rulers were great imperialists. By 1690A.D., under Aurangzeb the Mughal Empire reached its greatest extent ruling over nearly all of the Indian subcontinent from Kabul to Chittagong and from Kashmir to Kaveri. However, his last 25 years presence in the Deccan threw northern India in disorder and confusion from which it could not be recovered. Disintegration of the Empire had begun during the latter part of his rule. Existing theories attribute the Mughal decline to the weak successors of Aurangzeb, recurrent wars of succession, Aurangzeb's bigotry religious policy, no military reforms, obsolete technology, breakdown of the Mansabdari administrative system, growing factionalism in the court, corrupt officials, exhausted treasury due to the prolonged Deccan war, and the challenges from newly established regional rulers. Students you also learnt about the rise of Marathas under Chhatrapati Shivaji, which dominated India for a century and a half.

Aurangzeb fought the Marathas for 20 years but could not suppress their power.

6.6. SUGGESTED READINGS

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6.7. QUESTIONS FOR PRACTICE

6.7.1 LONG ANSWER QUESTIONS

1. Discuss the rise of the Marathas under Shivaji.
2. Critically examine different theories regarding the downfall of Mughal Empire.
3. Write about the main causes of the downfall of the Mughal Empire.
4. Write a detailed note on the political developments after Akbar.
5. Discuss the political developments under Mughal Emperor Jahangir?
6. Examine the political developments under Mughal Emperor Shahjahan?
7. Critically examine the political developments under Mughal Emperor Aurangzeb and his responsibility for the downfall of the Mughal Empire.

6.7.2 SHORT ANSWER QUESTIONS

1. When and between whom the treaty of Purandhar was signed?
2. Write two main objectives of the Deccan policy of Aurangzeb.
3. Write three causes of Shivaji's success against the Mughals.
4. What was 'Chauth' and 'Sardeshmukhi'?
5. When did Nadir Shah attack India?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: HISTORY OF INDIA:c.1200-c.1750

UNIT 7: ECONOMY: AGRICULTURE PRODUCTION; MANUFACTURE; TRADE

STRUCTURE

7.0. Learning Objectives

7.1. Introduction

7.2. Agricultural Production

7.2.1. Sultanate Period

7.2.2. Mughal Period

7.2.3 Check Your Progress I

7.3. Manufacture

7.3.1. Sultanate Period

7.3.2. Mughal Period

7.3.3 Check Your Progress II

7.4. Trade

7.4.1. Sultanate Period

7.4.2. Mughal Period

7.4.3 Check Your Progress III

7.5. Summary

7.6. Suggested Readings

7.7. Questions for Practice

7.7.1 Long Answer Questions

7.7.2 Short Answer Questions

7.0. LEARNING OBJECTIVES

Students, after reading this unit you will be able to:

- Learn about the development of urban economy and expansion of trade between the 13th and mid 17th centuries.
- Examine the marked rise in craft production.
- Understand a corresponding expansion in inland and foreign trade.

7.1. INTRODUCTION

Students, the people in medieval India pursued a diverse range of economic activities to earn their basic livelihood. The sphere of their works varied from agricultural to artisanal production, trade and commerce, associated commercial and financial services. These activities underwent various changes throughout the course of this period. The state mobilized its resources through collection of different types of taxes for its survival and expansion. So, in this unit, the medieval economy will be studied in three parts: agricultural production, manufacturing industries and trade. Let us discuss them one by one.

7.2. AGRICULTURAL PRODUCTION

7.2.1. SULTANATE PERIOD

Students, since time immemorial India has been an agricultural country, thus, the agricultural produce formed the major part of the economic setup of India in medieval times also. The peasants, with their simple tools but much skill, used light ploughs to tap the rich topsoil, and employed both dibbling (putting seeds into holes) and drill-sowing (letting seeds fall into furrows through a seed-drill usually attached to the plough). They practiced different systems of well irrigation, based on lifting water either by animal power, using the pulley or the pin-drum gearing (with chains of pots), or by manual means through employment of lever-based devices. Long before the period of the Sultanate, the crops raised in India had been classified into spring and autumn crops by season of their harvest. Thakkura Pheru (1310) patronized by Alauddin Khalji, concerned with the area around Delhi, mentions that the soil was so fertile that it produced two crops a year—the Rabi (winter) and Kharif (monsoon) crops, and lists as many as twenty-five crops classified as Rabi and Kharif. Wheat, and barley, were among the major Rabi crops, while rice, millets, pulses, sugarcane, cotton, flax and sesame were among those classed as Kharif crops. He carefully gives their yields in Mans (units of weight) per Bigha (a unit of area), as were, perhaps, officially determined for taxation purposes. Rather surprisingly, he omits to mention indigo (Nil), but it has, of course, a much earlier history, and, within our period, is mentioned by Marco Polo. Another important crop not in Pheru's list was betel-leaf. Ibn Batuta (1340), a Muslim traveller who travelled all over India, has left us a detailed account of the food-

grains and various other crops, fruits and flowers produced in the country during the Delhi Sultanate in his most famous travel logs, the *Kitab-ul-Rihla*. He gives a description of the betel-leaf plant and reminds us that it was in those times quite an expensive article: offering a betel-leaf to anyone was regarded as a very gracious act. Delhi received these leaves from as far as Dhar region in Malwa. Apart from this black pepper formed the most important article of trade from Kerela. One new crop that arrived in Sultanate times was opium. Though it is not mentioned by Pheru, there is an explicit reference by Barani (1356) to the cultivation of opium-poppy (Khashkhas), while Abdul Hamid Ghaznavi (1358-59) gives an estimate of the yield of the crop. Ibn Battuta mentions rice was sown three times a year. Rice and sugarcane were produced in the east and south, and wheat, oil-seeds, in the north. Cotton was grown widely, as also barley, sesame and other inferior crops. Some of the crops were the basis of village industries, such as oil-processing, making jaggery, indigo, spinning and weaving etc.

The method of agricultural production since ancient times has not been static and it has changed according to the needs of times. During the 14th century, Muhammad bin Tughlaq tried to improve the agricultural production by establishing a separate Department of agriculture called as Diwan-i-Kohi. The department divided the doab into development blocs headed by an official who would give loans to farmers and engage them in the cultivation of superior crops. Firuz Shah Tughlaq in order to extend irrigational facilities constructed a number of new canals, for instance, two canals were cut from Yamuna, one each from the Sutlej and the Ghaggar. But these mainly benefited the areas around Hissar in modern Haryana. Firuz Tughlaq is also said to have introduced new fruits and built around 1200 gardens in the neighbourhood and suburbs of Delhi, 80 on the Salora embankment, and 44 in Chittor. New fruits and building fruit orchards led to the increase in the fruit production. These gardens led to the improvement of fruits, especially grapes and dates. Grape-wine, used to come to Delhi from Meerut and Aligarh. Ibn Battuta mentions that the cultivation of melons was also officially encouraged. Among fruit trees, coconut, which was produced in abundance on western coast, especially Malabar, was pre-eminent from the economic point of view. As he mentions, 'oil, milk and honey' could be extracted out of it, and was used for making ropes for binding ships' planks. Ibn Battuta also speaks highly of the mango, though he knew of its reproduction only through planting of the kernel; obviously, mango-grafting was not yet practiced. Dholpur, Gwalior and Jodhpur were the other places where improved methods of fruit cultivation and gardening were adopted. Special attention was paid to the improvement of pomegranates at Jodhpur. Sikandar Lodi declared that Persia could not produce pomegranates which were better than the Jodhpur variety in flavour. However, the fruits produced in these orchards were mainly for the towns, and for the tables of the wealthy. They may, however, have produced some employment, and added to the avenues of trade.

Before the fourteenth century, India produced only wild or semi-wild varieties of silks such as Tasar and Eri. However, in the next two centuries, Bengal became one of the great silk-producing regions of the world. The first mention of the culture of mulberry silkworm - and so of sericulture was made by Ma Huan, who, basing himself on the report of a Chinese mission

to Bengal in 1422, wrote: “Mulberry trees, wild mulberry trees, cocoons all these they have”. Since the species of the silkworm in Bengal was multivoltine, yielding six crops in the year, it is likely to have been brought from south China where such varieties were found rather than from Iran.

Regarding implements, although they are hardly mentioned, we may assume that there was no change in them till the 19th century. We have no idea of the productivity of the soil. It may have been higher because of more extensive manuring by cattle which were plentiful, as testified to by the fact that Charai based on the number of animals was an important agricultural tax. Also, Banjaras had thousands of oxen for their journeys. The peasants had more land per head because of a much smaller population. Forests were also much more extensive. However, on account of social constraints, we hear of landless labourers and menials in the villages. Most of the land was rain fed, though digging of wells and making of Bunds (embankments) for storing water for irrigation were considered holy acts, and the state took an active part in building and preserving them.

7.2.2. MUGHAL PERIOD

Students, the agricultural sector during the Sultanate period (13th-15th century) was further strengthened and expanded during the 16th, 17th and 18th centuries. They raised two harvests in the year, usually from different fields, and, where half-year fallowing was not adequate for the soil's recuperation, took recourse to patterns of crop rotation. Another striking feature of Indian agriculture was the number of crops that the peasants raised: the official *Ain-i Akbari* (1595) lists twenty-one taxable crops in the Rabi (spring) harvest and thirty-three in the Kharif (autumn) being raised in northern India. Tavernier, a French traveller who came to India six times between 1638 and 1663 maintains that the Mughal territories were well manured and the fields well irrigated. He came across good fields of wheat on his journey from Surat to Agra via Sironj. Sir Thomas Roe who visited India during the reign of Jahangir also mentions that he once met nearly 10,000 bullocks loaded with wheat near Berampur. Bengal, Thatta, Khandesh, province of Agra and Lahore produced some finest quality of rice. The Mughal kings tried to regulate the prices of important food grains. To control the rise in price of rice, Aurangzeb by a definite Farman in 1675 prohibited the export of rice from the province of Gujarat. Thavenot (1666), another French traveller, graphically describes the cultivation of indigo and extent of its cultivation in his account *Remonstrantie*. Millets, one of the cheapest grains, were grown in drier parts of Rajputana, west Punjab and west doab. Pulses also formed one of the major parts of the food of the people of medieval India. Pulses were mostly grown in Bihar, Doab, Allahabad, Oudh, Lahore, Multan and Malwa. As regards cash crops, the cultivation of both cotton and sugarcane in the 17th century was spread all over the country and not concentrated in a few large tracts. All the oil seed crops (except groundnut) and fibre yielding crops were also cultivated. In Gujarat, outside this zone, a document of 1596 from Navsari, shows seven peasants raising as many as sixteen crops in fields within a total area of less than 20 hectares. In the 17th century and later, to

the extensive list of crops already cultivated in India were added new crops and different varieties of existing crops, mainly of Amerindian origins: maize, tobacco, capsicum, potato, tomato, okra, and among fruits, pineapple, guava, papaya and cashew. Coffee was introduced from Yemen, and China-root from China. Oranges were improved by grafting; and, by the eighteenth century, mango-grafting, introduced by the Portuguese, had spread to Bengal. There was obviously little hesitation among peasants in adopting new crops about which they must have needed to gather knowledge from oral sources. In Bengal, peasants had taken to sericulture since the fifteenth century, and in the seventeenth, Bengal became one of the great silk-producing regions of the world.

7.2.3 CHECK YOUR PROGRESS I

1. Name the new varieties of crops introduced during the Mughal's time.

2. Who was Sir Thomas Roe?

3. Who was Ibn Batuta?

4. Name the canals constructed by Firoze ShahTughlaq.

7.3. MANUFACTURE

7.3.1. SULTANATE PERIOD

Students, although agriculture formed the occupation of the bulk of the people, a variety of other crafts also existed on a significant scale in rural as well as urban areas of the country. We do not have any detailed account of the economic resources of the country during the Sultanate period, and it has to be supplemented by the account provided by Abul Fazl in the *Ain-i-Akbari*, written towards the end of the 16th century. Briefly, the most important manufactures pertained to textiles, dyeing, pottery, metallurgy, sugar making, building activities, ship-building, chemical works, mining and other ancillary activities, such as leather-work, paper-making, toy-making, etc. Craftsman and merchant's guilds played an important part in the economic life of the kingdom. Let us discuss them.

Among such crafts, by value and volume of product as well as numbers of persons wholly or partly employed, the textile industry undoubtedly occupied the most important place. With the coming of the spinning wheel with Turks in the 14th century, the spinner's efficiency in

weaving cloth was thereby increased by six times in comparison to the hand spindle-based yarn production. Similarly, pit loom was introduced in India during the 15th century, which further speeded up the process of weaving. Drawloom was another important weaving device which was used for simultaneous patterned weaving of different colours. Similarly, block-printing is also attributed by some scholars to the medieval Indian period. Another device introduced during the period was the bow of the cotton-carder (Naddaf, Dhunia) which speeded up the process of separating cotton from seeds. All these new inventions increased the production of yarn in much greater quantity than was previously available. The Indian weavers produced four major types of fabric - cotton, silk, woollen, and mixed coarse cotton. Cotton cloth of a little superior quality was called calico (Kirpas), and was widely used. Muslin, the finest quality cotton cloth, was very expensive and hence was used by wealthy people only. It was mainly produced at Sylhet and Dacca in Bengal, and Deogir in the Deccan. Gujarat also produced many varieties of fine cotton-stuff. Barbosa tells us that Cambay (Khambayat) was the centre for the manufacture of all kinds of finer and coarse cotton cloth, besides other cheap varieties of velvets, satins, Tafettas or thick carpets. Apart from the manufacture of cloth, other miscellaneous goods such as carpets, prayer carpets, coverlets, bedding, bed-strings, etc. were also manufactured in other parts of Gujarat. Kashmir, Lahore and Agra were major Shawl and carpet making centres. Silk clothes were the most expensive clothes. Some cheaper varieties of silk-cloth were probably made of Tasar and Eri silks, produced from wild or semi-wild species of silkworms, since much earlier times. In the second half of the 16th and the first half of the 17th century, Kasimbazar emerged as the most important weaving centre in the country. Silk from Kasimbazar was sent to Patna, Agra, Ahmadabad and Surat where it was made into special fabrics. Sericulture, the rearing of mulberry silkworm, is reported from Bengal only in the 15th century. Apart from manufacturing, Bengal and Gujarat were renowned for the export of textile goods.

The art of dyeing or bleaching developed as a separate and specialised craft during this period. Indigo and a range of other colours were produced by using flowers, vegetables and fruits, responsible for the bright colours of which both men and women were fond of. The dyeing industry went hand in hand with calico-painting. The tie and dye method was of old standing in Rajasthan, though we do not know when hand-printing using wooden blocks was introduced. Bharuch, Ahmadabad, Surat, Patna, Sonargaon, Dacca, Masulipattam, were major dyeing or bleaching centres.

Soap making was another important industry which flourished in the Delhi Sultanate. P.K. Gode points out that in ancient India only Phenak or soap-nut froth was used for washing clothes. Soap-making came with the Muslims. It involved a complex process of filtration of lime and earth containing carbonate of soda, and the boilers after induction of linseed oil, to produce cakes of soap (Sabun). The *Sirat-i-Firozshahi* (1370) and Firuz Tughlaq's own edict recognize Sabun-gari or soap making as an established occupation. Even if the soap-wash did not have any quantitative effect on cotton-cloth production, it made washing more effective and so contributed to better use of clothing.

Another industry in which large numbers of labourers and artisans were employed was that of building construction as both Muhammad bin Tughlaq and Firuz Tughlaq were great builders, who built number of cities, canals, forts and palaces, the remains of many of which are still visible. The Turkish Sultans introduced a new style of arch, the dome and the vault, and lime mortar for cementing. The Turkish rulers utilized the services of the local designers and craftsmen who were among the most skilful in the world. Amir Khusrau proclaimed that the mason and stone-cutters of Delhi were superior to their fellow craftsmen and were unrivalled in the whole Muslim world. Alauddin Khalji is said to have employed 70,000 workers for the construction of the state buildings. As is well known, Timur had taken masons and stone-cutters of Delhi to build his capital, Samarqand. Enamelled tiles and bricks were introduced in India during the period. Wood work of excellent quality was carried out throughout the country. This period also saw a great spurt in brick construction and its growing use in towns, though the poor continued to live in mud houses, with thatched roofs. The Dilwara temples at Mount Abu and the buildings of Chittorgarh in Rajasthan are also a living testimony of the brilliant skill of the Indian craftsmen in stone brick-work.

Metal industry was another major industry. India had an old tradition of metal-work as testified to by the iron-pillar of Mehrauli (Delhi), made of 98% wrought iron, is considered a highlight of ancient Indian achievements in metallurgy; it has stood more than 1,600 years without rusting or decomposing. Indian metallurgy enjoyed a worldwide reputation in the fashioning of swords, utensils, coins and idols of copper or mixed-metals including inlay work, produced in the Deccan had a steady demand in West Asia. The high quality of the Sultanate coinage is also an evidence of the skill of the Indian metal workers.

Some extractive industries still remain to be considered. Salt was perhaps the mineral that was most commonly used as part of diet, but no explicit reference has been traced to the Salt Range mines of north-western Punjab (now in Pakistan) before Abul Fazl's account of them (1595); and it is therefore, possible that they were not worked in the time of the Delhi Sultans, when the area seems to have partly passed under the authority of the Mongols. But the word Namak (salt) suffixed to the name of Sambhar Lake by Minhaj Siraj shows that salt was being collected from that famous lake in Rajasthan. Sea salt was mainly manufactured in Bengal, Sind, Malabar, Mysore and the Rann of Kutch. Saltpetre, primarily used as an ingredient for manufacturing gun powder, was one of the most important mineral products. Initially, it was extracted at some places like Ahmadabad, Baroda, and Patna. However, by the second half of the 17th century, Patna became one of the most important centres for processing this mineral. Among metals, India was deficient in gold and silver mines. These metals, therefore, were mostly imported. Diamond mining was carried out most notably at Golconda. Some other centres of diamond production were Biragarh (Berar), Panna (Madhya Pradesh), and Khokhra (Chotanagpur). Khetri (Rajasthan) was the main centre for copper production. Iron was the most commonly found metal. Bengal, Allahabad, Agra, Bihar, Gujarat, Delhi, Kashmir, Chotanagpur and adjoining regions of Orissa were major iron producing centres of the medieval period.

Paper making, as a craft, was introduced in India during the Sultanate period. It was first manufactured in China around the first century. The craft grew at a fast pace. The manufacture of paper was prevalent during the Mughal period in almost every region. Apart from that pottery and leather works were the most important non-agricultural village industries.

7.3.2. MUGHAL PERIOD

Students, the demand for manufactured goods was always high in Mughal India. Abul Fazl has written that the wood industry made tremendous development during the Mughal era. The wood furniture was exported to East Asia. They excelled in metal works, calico, and the textile industry. The trade made a tremendous contribution to the development of the economy during the Mughals. The textile industry was the most prominent industry. The best and finest muslin of the world was manufactured at Sonar Gaon and Dacca. Banaras, Bidar, Bengal, Bihar and Malwa were famous for manufacturing cotton cloth; the paper industry manufactured both inferior and superior quality of paper; sugar industries were primarily located in Sialkot, Kashmir and Gaya (Bihar). Bengal, Gujrat and Punjab manufactured jaggery, sugar, and crystal sugar (Mishri). Greater refinement was attained in the metal work under the Mughal emperors and it reached its zenith under Akbar. Abul Fazl has paid warm tributes to the excellence of the skill of these goldsmiths. The gold and silver-smiths of India were known for the fine pieces of jewellery produced by them for which there was an insatiable demand from both women and men. The great monuments of Mughal times also remind us of the presence of the building industry. Babur also speaks highly of the skill of the Indian workmen and takes pride in claiming that he engaged 680 stone-cutters in the construction of his buildings at Agra.

Another expanding sector was that of fire-arms manufacture. From official prohibitions it seems that even rural ironsmiths were now turning out matchlocks. In musket manufacture, which required much precision, bow-springs and wired screws were being used, since spiral springs and grooved screws still remained alien to Indian technology. The forging of cannon pieces naturally belonged to the sector of heavy industry. Here the absence of cast-iron (mainly due to ineffective leather bellows) made it necessary to use rings to join short barrel parts, and this in turn caused artillery pieces to be far too heavy and difficult to move. By 1750 India was certainly a full century behind Europe in both musketry and artillery.

The middle of the 17th century saw a revival of the Indian ship-building industry after it had undergone a virtual collapse earlier. The vessels now built were copied from designs of European ships, but, with better timber (teak) employed in them, the use of riveting (rather than caulking) for binding the planks and the coating of ships' sides with a lime compound, the vessels had virtues of their own. In 1701 there are said to have been at least 112 sea-going ships based at India's leading port, Surat. What these vessels lacked were navigational aids, such as efficient compasses and pilot's instruments to replace the floating compass needle and the astrolabe. Owing to its proximity to sources of suitable timbers, Chittagong specialized in shipbuilding, and at one time supplied ships to distant Istanbul. The Indian ship-building industry

earned such a high reputation that even the Portuguese had some of their best ships built in India. The ship-building activities were mainly carried on the western coasts of India.

The commercial side of the industry was in the hands of middlemen, but the Mughal government, like the earlier Sultans, made its own contribution. Some artisans worked independently as well as in 'karkhanas' under master craftsmen or merchants who set them to work on a wage-basis. Even where they worked independently, craftsmen were dependent upon the merchant for direction as to what to produce, for capital and for marketing. Unable to 'pay out' the sums of money advanced, they were often caught in the grip of the middlemen who retained for themselves a large share of profits. Production for courts was mostly carried on in royal workshops under supervision of a superintendent of arts and crafts. The Mughal emperors made every effort to induce master craftsmen and workers in different arts and crafts to come to the state 'karkhanas' which offered the possibility of improvement in design and workmanship.

7.3.3 CHECK YOUR PROGRESS II

1. Who authored the book *Ain-i-Akbari*?

2. What is sericulture?

3. Name two industries which flourished the most during the medieval times.

4. Who introduced the spinning wheel to India?

7.4. TRADE

7.4.1. SULTANATE PERIOD

Students, the first few Muslim Sultans could not devote their attention to trade and commerce as they were preoccupied with the problem of securing their position but gradually India fairly developed a good network of external and internal trade. Trade relations with regions like China, Arabia, Egypt, Central Asia, Afghanistan were maintained on land routes. It carried its overseas trade through the Persian Gulf, the South China sea, the Mediterranean and the Red sea. India's position was based on highly productive agriculture, skilled craftsmen, strong manufacturing traditions, and a highly specialised and experienced class of traders and financiers. The growth of towns and a money nexus in north India following the Turkish centralisation which led to improved communications, a sound currency system based on the silver Tanka and the copper

Dirham, and the re-activation of Indian trade, especially over-land trade with Central and West Asia, induced the trading activities in the country.

In order to induce trade, roads were made safe for travel from robbers and dacoits and various marauding tribes. Balban was the first Sultan who got dense forests cut; roads built and got them secured from the danger of Bandits, which helped the traders and their commercial caravans to move from one market place to another. The royal roads were kept in good shape and many Sarais were built on the way for the comfort and safety of the travellers. In addition to the royal road from Peshawar to Sonargaon, Muhammad Tughlaq built a road to Daulatabad. There were arrangements for the post being carried quickly from one part of the country to another.

Domestic trade was conducted at three levels. First, within the city, with local urban products, from cloth to ironware, being sold in the town's shops. Second, the sale of crops for the payment of land- revenue necessitated the flow of agrarian products and minerals from village to towns, which in turn helped in feeding the towns which were growing in size and number with some counter-flow of commodities from towns to villages. The sale of crops was primarily the responsibility of the village Bania who also provided the peasants with such necessities as salt and spices, and raw iron for use by the village blacksmith. Third, trade between towns, as specialized products of one town exchanged for those of others. Their trading activities were geared both to cater the movement of bulk commodities within the country, as well as to cater to the demand for luxury goods required by the nobility living in the big cities. The bulk commodities included food-grains, oil, Ghee, pulses, etc. with some regions having a surplus and some others a deficit. Thus, rice and sugar which were surplus in Bengal and Bihar were carried by ships to Malabar and Gujarat. Wheat which was surplus in modern east U.P. (Awadh, Kara/Allahabad) was transported to the Delhi region.

A brisk inter-regional trade was conducted in luxury commodities. Ziauddin Barani in his *Taarikh-i-Firozshahi* shows that Delhi during the Sultanate period received distilled wine from Kol (Aligarh), Muslin from Devagiri, striped cloth from Lakhnauati and ordinary cloth from Awadh.

The Banjaras, who were nomadic pastoralists, specialized in the transport of such goods of bulk, carried on the backs of oxen. The Banjaras often used their own routes that allowed them to pasture their oxen on the way. Trees were planted on both sides of the road, and a halting station (Sarai) was built every two miles where food and drink was available and where refugees could spend the night in security. In Bengal, an embankment was made so that a part of the road to Lakhnauti which had remained under water during rains could become passable. Tolls and taxes were usually collected at ferries and strategic points on the routes. Bullock carts carried the bulk of merchandise for ordinary merchants, though pack camels were also used in north-western India. Although there was no system of banking as such, the village Bania at the village level, and the Modis and Sarrafs at the national level were the main means of providing finance for agricultural operations and trade. According to an eminent modern historian, K.M. Ashraf, the interest charged on loans was 10 percent per annum for big loans, and 20 percent on small or petty sums. Perhaps, the operations of the Banjaras were financed by these rich

merchants: the Sahus and the Modis, though we do not have enough information on the subject. The movement of these goods in caravans was protected by hired soldiers because roads were unsafe on account of both wild animals and dacoits. The principal centre for overland trade from India was Multan. Lahore had been ruined by the Mongols in 1241, and was not able to regain itself till the reign of Muhammad Tughlaq. Multan was also the entry point of all foreigners, including traders who were all called Khurasanis

Regarding the commodities transported in long distance trade, apart from the bulk commodities, textiles were the main item. Muslin from Bengal and Deogir, and fine textiles from Gujarat were transported throughout the country. Horses, both foreign and domestic, were also an important item of import. Indigo, spices, drugs, leather-goods were other important items. Shawls and carpets from Kashmir were in demand at Delhi. So were dry fruits. Wine was imported from abroad, and also produced at Meerut and Aligarh in the Gangetic doab.

India's foreign trade both overland and overseas was in the hands of Marwaris and Gujratis, many of whom were Jains. The Muslim Bohra merchants also participated in the trade. The overland trade with Central and West Asia was in the hands of Multanis. Many of these merchants had settled down in Delhi. The Gujarati and Marwari merchants were extremely wealthy and some of them, particularly the Jains, spent large sums for the construction of temples. Cambay was a great city in which many wealthy merchants lived. They had lofty houses built in fine stone and mortar, with tiled roofs. Barani tells us that the Multani merchants were so rich that gold and silver were to be found in abundance in their houses, the nobles were so spendthrift that every time they wanted to hold a feast or a celebration, they had to run to the houses of the Multanis in order to borrow money. The major ports for foreign trade stretched from Lahari Bandar, the outer port of Thatta (Tatta), in the west to Sonargaon in Bengal in the east - mentioned by Ibn Batuta and in accounts of our 15th century sources. M.N. Pearson has pointed out that while the early 16th century Portuguese sources concentrate their attention on the trade in pepper that was mainly carried on by Arab traders between Malabar and the Red Sea (from where the pepper was distributed over Europe), a major area of commerce actually centered on Gujarat, from where merchants shipped out cotton textiles and other Gujarat exports to East Africa, the Red Sea and, via Malabar or directly, to South-East Asia. Another important commercial region was Bengal, from where textile and other exports were carried to South-East Asia. The foreign merchants, especially the Arabs, were more active in Gujrat and Malabar in overseas trades. Indians, both Hindus (Agrawal and Maheshwari) and Jains and Bohras were also active in this trade, with colonies of Indian traders living in West and South-East Asia. Bengal also carried on trade with China and countries of South-East Asia, exporting textiles, and importing silks, spices etc. Ma Huan, who came to Bengal in the early part of the 15th century, mentions that "wealthy individuals who built ships and go to foreign countries to trade are quite numerous".

7.4.2. MUGHAL PERIOD

Students, the economic condition of India during the Mughal regime was better than that of the era of Delhi Sultanate. Peace reigned over the vast kingdom which helped in the progress of internal and external trade. Various other factors accounted for the progress of trade such as: political, administrative and cultural unity in the vast dominions of the Mughals, uniform laws and revenue system all over the country, payment of salaries in cash to high officials and other functionaries, growth of new towns, money economy, encouragement to artisans and craftsmen, safety to trade routes and visit of Europeans to India.

In Mughal period, inland trade had developed considerably. Every locality had regular markets in nearby towns where people from the surrounding areas could sell and purchase things. Besides, trade at the local level was also conducted through periodic markets known as *Hats*, which were held on fixed days in a week. In these local markets, commodities like food grain, salt, wooden and iron equipment, coarse and cotton textiles were available. These local markets were linked to bigger commercial centres in that particular region. These centres served as markets for products not only from their specific region but also from other regions. Delhi, Agra, Lahore, Multan, Bijapur, Hyderabad, Calicut, Cochin, Patna were some of such trading regions during the Mughal period. Traders made use of bullock-carts, horse-carriages, carts, camels, donkeys, mules, boats and ships for internal trade. There was a good network of roads in the country. G.T. Road starting from Dacca and passing through Patna, Allahabad, Banaras, Agra, Mathura, Delhi, Lahore, Attock, and Peshawar, it reached Kabul. It was the most important and longest road of the country. Another road, passing through Agra, Gwalior, Jodhpur and Ajmer reached Asirgarh in Khandesh. It was a link between north and south India. Along with these routes important towns of the empire were inter-connected through water-routes of Ganga, Yamuna, and Indus rivers, which were especially helpful for the growth of domestic trade. Most of the trade was in the hands of Vaishyas, Gujratis, Marwaris, Chettis and Vaddid (from Deccan). The foreign Muslim traders were called Khurasani.

During the Mughal period, Bengal with its important trading centres - Hugli, Dacca, Murshidabad, Satagaon, Patna had well developed inter-regional trade with all parts of India. Similarly, Surat and Ahmadabad in western India and Agra in north India were some of the important centres with fairly developed inter-regional trade. During the greater part of the Mughal period, India had an active and considerable foreign trade with different countries of Asia and Europe. Traders from all over the world visited her shores for trade in her manufactures. In the words of Bal Krishna, "India was the respiratory organ for the circulation and distribution of moneys and commodities of the world; it was the sea wherein all the rivers of trade and industry flowed and thus enriched its inhabitants".

Goods were carried either by the overland routes in the North-west through Lahore and Kabul to Central Asia or through Multan and Qandhar to Persia or by sea to the Persian gulf and Red sea-ports in the west and to the Indian archipelago and spice islands in the east. The main ports were Lahori Bander and Surat in the west, Masaulipatam in the south, Chittagong,

Satgaon and Sonargaon in the east. The port of Surat imposed 31/2 per cent import duty and 2 per cent export duty. No trader was allowed to export silver from the country.

India's exports consisted of manufactures such as cotton and silken textiles, woollen Shawls, indigo, opium, wool, sugar, salt, calicoes, saltpetre, herbs, spices and pepper. India's chief imports were bred horses, gold, silver, diamonds, precious stones, metals, tobacco, African slaves, China vases and glassware sets and other luxurious articles. The country always had a favourable balance of trade. The gap between exports and imports was made good by imports of bullion and semi-precious stones. This feature of the Indian economy attracted widespread notice.

In the 17th century, the dominant feature of India's foreign trade was the advent of the East India Company. The exclusive privileges it secured from the Mughal emperor in 1717 further reinforced its position. As though these privileges were not enough, the Portuguese and English merchants practiced a regular system of piracy in the open seas. Shah Jahan took strict action against the Portuguese robbers at the ports of Hugli and Chittagong. The East India Company located at Surat was made to pay a huge fine of rupees 1,70,000 because of such unlawful activities. This seriously jeopardised the interests of Indian traders who turned either to usury or land. This was precisely the time when expansion of trade and accumulation of capital were powerfully operating to usher in the dawn of the Industrial Revolution in England. In India, however, the loss of predominance in trade by the Indian merchant class checked the growth of capital and the development of capitalist enterprise.

7.4.3 CHECK YOUR PROGRESS III

1. Explain the term Hundis?

2. Who were the Banjaras?

3. Who authored the book *Ta'arikh-i-Firozeshahi*?

4. What do you understand by the term Sarais?

5. Give two factors responsible for the growth of trade.

7.5. SUMMARY

Students, in this unit you have learnt about the economy during medieval India. The medieval Indian peasants produced a variety of food crops, cash crops, vegetables and spices. They were familiar with various advanced techniques of crop. The principal food crops produced were rice, wheat, barley, millets and a variety of pulses such as gram, Arhar, Moong, Moth, Urd, Khisari. Sugarcane, cotton, indigo (used to extract blue dye), opium, silk were some of the prominent cash crops of medieval India. Sericulture (rearing of silkworms on mulberry plant), which was practised on a modest scale till the Sultanate period, became widespread during the Mughal period. Bengal emerged as the main region of silk production. The Mughal provinces of Bihar and Malwa produced the finest quality of opium. Tobacco cultivation was introduced in India by the Portuguese during the 16th century and it became widespread in the subsequent period. Surat and Bihar emerged as major tobacco producing centres. Similarly, from the 17th century, cultivation of coffee began on a large scale. As agricultural lands expanded in the 17th and 18th centuries, Mughal economic growth boomed, and the economy came to be worth hundreds of millions of rupees per year. Though agriculture formed the occupation of the bulk of the people, a variety of other crafts also existed on a significant scale in rural as well as urban areas of the country. Briefly, the most important manufactures pertained to textiles, dyeing, pottery, metallurgy, sugar making, building activities, ship-building, chemical works, mining and other ancillary activities, such as leather-work, paper-making, toy-making. In the last section we read about the inland and foreign trade. Goods were carried either by the overland routes in the north-west through Lahore and Kabul to Central Asia or through Multan and Qandhar to Persia or by sea to the Persian gulf and Red sea-ports in the west and to the Indian archipelago and spice islands in the east. The main ports were Lahori Bander and Surat in the west, Masaulipatam in the south, Chittagong, Satgaon and Sonargaon in the east. India's exports consisted of manufactures such as cotton and silken textiles, woollen Shawls, indigo, opium, wool, sugar, salt, calicoes, saltpetre, herbs, spices and pepper. India's chief imports were bred horses, gold, silver, diamonds, precious stones, metals, tobacco, African slaves, China wares and glassware sets and other luxurious articles. The country always had a favourable balance of trade.

7.6. SUGGESTED READINGS

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Irfan Habib, *A People's History of India: Economic History of India (1206-1526), The Period of Delhi Sultanate and Vijaynagar Empire*, New Delhi: Tulika Books, 2017.

Irfan Habib, *A People's History of India: Indian Economy Under Early British Rule*, New Delhi: Tulika Books, 2019.

7.7 QUESTIONS FOR PRACTICE

7.7.1 LONG ANSWER QUESTIONS

1. Write a detailed note on internal and external trade under the Sultanate Period.
2. Discuss the position of agricultural production under the Mughals?
3. What do you know about manufacturing activities under the Mughals?

7.7.2 SHORT ANSWER QUESTIONS

1. What do you know about Ibn Batuta?
2. Who was Abul Fazl?
3. What were the reasons for the growth of trade under the Mughals?
4. Mention the industries which were flourished during the Mughal period.
5. Name the new varieties of crops introduced during the Medieval Period.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: HISTORY OF INDIA: c.1200-c.1750

UNIT 8: SOCIETY: SOCIAL CLASSES; SLAVERY; WOMEN

STRUCTURE

8.0 Learning Objectives

8.1 Introduction

8.2 Social Classes

8.2.1 Sultanate Period

8.2.2 Mughal Period

8.2.3 Check Your Progress I

8.3 Slavery

8.3.1 Sultanate Period

8.3.2 Mughal Period

8.4 Women

8.4.1 Sultanate Period

8.4.2 Mughal Period

8.4.3 Check Your Progress II

8.5 Summary

8.6 Suggested Readings

8.7 Questions for Practice

8.7.1 Long Answer Questions

8.7.2 Short Answer Questions

8.0 LEARNING OBJECTIVES

Students, after reading this unit you will be able to:

- Analyse the social structure prevalent during the Sultanate as well as the Mughal period.

- Examine the position of slaves as well as women during the Sultanate and the Mughal period.
- Trace the continuities and changes in medieval Indian society.

8.1 INTRODUCTION

Students, this unit will be discussing various aspects of society prevalent during the Sultanate and Mughal periods. Within the social classes, the ruling class included the Nobles as well as the Zamindars and the Chiefs. Their changing nature and relations with the State will help in understanding their position in society. Religious affairs were looked after by the theological class, the Ulemas who had a revered position in society. Lower level administrative officials, both Muslims and Hindus formed an important part of society in Medieval India. The trading and commercial groups were equally important as they kept the economy running. Slavery as a flourishing institution will be dealt with in medieval India. The role of Hindu as well as Muslim women in medieval Indian society will also be examined.

8.2 SOCIAL CLASSES

Students various categories of social classes like Nobility, Zamindars, Ulemas, administrative functionaries, professionals, trading and commercial groups, peasants as well as tribal communities existed during the Sultanate and Mughal periods.

8.2.1 SULTANATE PERIOD

a. THE NOBILITY

The ruling class of the Sultanate period consisted primarily of Nobles. The most important categories were the Maliks and the Khans and all the top posts in the government were held by individuals belonging to these categories. The nobles were also granted titles, such as Khwaja Jahan, Imad-ul-Mul and Nizam-ul-Mulk. They were also awarded various privileges such as robes of different kinds, sword and dagger flags and drums and were presented with horses and elephants.

During Iltutmish's reign there were 32 Maliks. The term Turkan-i-Chahalgani, or the corps of forty Turks reflected the number of top nobles. The number of top nobles rose to 48 under Alauddin Khalji. Among the Nobles the Turks considered themselves superior to others such as Tajiks, Khaljis, Afghans and Hindustanis. Under the Khaljis and the Tughlaqs, Khaljis, Afghans and Indian Muslims too emerged as Nobles on the basis of personal efficiency, thereby broadening the social character of the nobility. However foreign blood, or descent from a well-known foreign family continued to have considerable social value and esteem.

These Nobles along with the clergy, constituted the Ashraf (the respected sections). The state had a special responsibility towards these sections, not only in matters of employment,

but for giving pensions to the windows, even providing funds for the marriage of their unmarried daughters. During Balban's reign the nobles were not wealthy and at times had to borrow money from big traders (Saha and Multanis). This situation changed during Alauddin Khalji's rule with the growth of a new centralized system of land revenue administration. In the new system of revenue administration, there was an emphasis on payment of land-revenue in cash even in the Iqtas held by Nobles. The salaries of the nobles were also increased. Firuz Tughlaq enhanced their salaries further.

b. THE CHIEFS - EMERGENCE OF ZAMINDARS

The term chief was used for Rajput Rajas who had lost power almost all-over north India. They continued to control large tracts of the countryside and had their own armed forces. The Turkish rulers allowed them to rule the areas under their control as long as they paid a stipulated sum of money regularly as tribute, and remained loyal.

There are references to Zamindars from the beginning of the 14th century. This term was used to designate hereditary intermediaries. This term came to be applied also to the Khuts and Muqaddams and Chaudharies, and even to those former chiefs who had been forced to pay a sum fixed on the basis of land-revenue assessment.

c. ADMINISTRATIVE OFFICERS AND THE ULEMA

The ruling classes were helped by a group of lower functionaries. These functionaries can be broadly divided into two: judicial and religion functionaries, on the one hand, and revenue and administrative functionaries on the other. The former consisted of Qazis and Muftis who were appointed in every city for dispensing civil justice to Muslims. The Hindus were allowed to deal with their own cases on the basis of customary law, and the *Dharmashastras*. These functionaries also dealt with criminal justice, headed by the chief Qazi. In the capital and perhaps in other cities there was a Dad Bak who was responsible for checking arbitrary exaction of taxes. There was also the Muhtasib who worked under the Kotwal and was responsible for seeing that the Muslims did not openly violated the Muslim law. He was also responsible for checking weights and measures. All these posts were paid, and their number grew as the size of the Muslim population in the country increased. The theological class or Ulema were highly respected. They were appointed in mosques and as teachers in schools (Maqtab) and colleges (Madradas). They had undergone a course of training in Muslim Law, logic and theology, including some knowledge of Arabic.

A large number of clerks and officials were needed to man the growing machinery of administration at the centre, and in the various provincial and district towns following the new system of revenue administration introduced by Alauddin Khalji. Not much is known about the social background of these new recruits to government service. Most of these lower officials were Muslims. However, Hindus seem to have entered into this class under Muhammad bin

Tughlaq. This would explain the selection by him of a small number among them to high positions. By this time there is a class of Persian knowing Hindus.

d. TRADING AND FINANCIAL CLASS

During the Sultanate period a strong centralized empire in north India was established. There was a sound currency system, mainly based on the silver Tanka; the growing security of roads; growth of towns, and opening up of India to the Islamic world were important factors which led to the growth and expansion of India's overland trade to West and Central Asia, as well as overseas trade, mainly from Gujarat. Multan was a very important trading centre where the local Multanis emerged as traders and financiers. Multan was linked directly across the Bolan Pass to Qandhar, Herat and Bokhara which was the junction of the "silk road", extending eastward across Central Asia to China, and westward across Iran to Constantinople and Lebanon. Multan was also linked via the river Indus to the western sea ports. Majority of the Multanis were Hindus. The Multanis and the Sahs of Delhi had become rich by lending money to the nobles.

Another section of traders were the Dallals or brokers. They were commission agents who charged a fee for bringing buyers and sellers together. Their emergence is an index of the growth of trade at Delhi. They formed a rich and powerful group which, on occasions, could even defy the Sultan, and disregard his orders.

The Muslim traders at Delhi were generally of foreign origin - Iraqis, Iranians, and Khurasanis. The Afghans were another group of Muslim traders, specializing in caravan trade, and trade in horses. Important trading communities of this period were the Jains, the Marwaris, the Gujarati Banias and the Bohras.

Several other categories of people living in the cities were artisans, soldiers, peddlars, musicians, performers, self-employed people and beggars.

8.2.2 MUGHAL PERIOD

a. THE NOBILITY

Nobility in Mughal India was a class of people who were not only involved in the tasks of government at the higher level but reflected a certain level of culture and urbanity. Both the numbers and composition of the nobility underwent a change as the Mughal Empire was consolidated, and expended to cover the entire country. Between 1595 and 1656-57, while the numbers of the high Mansabdars remained more or less fixed at 25, the medium Mansabdar (500/1000 to 2500) more than doubled from 98 to 225. The composition of the nobility also changed. The nobles who came to India at the time of Babur and Humayun, or came to India during the reign of Akbar were mainly drawn from the homeland of the Mughals – Turan and Khurasan, along with Uzbeks and Tajiks. From the time of Akbar, Indian Muslims, and Rajputs representing the native ruling class also began to be inducted into the nobility. Babur tried to induct many of the leading Afghans into the nobility, but they proved to be untrustworthy. Struggle with the Afghans under Humayun, and with Akbar in Bihar, Bengal and Orissa led to

the virtual exclusion of the Afghans from higher posts in the nobility. But the process began to be reversed under Jahangir and during Aurangzeb's rule many Afghans from the Deccan were included in the Mughal nobility.

The Iranis and Turanis, for whom the word Mughal was used, continued to be the largest group in the nobility, forming as much as 40 per cent of the nobles. Social distinction between the Iranis, Turanis and the Indians did not disappear. Those who could trace a foreign ancestry considered themselves to be a privileged and superior group, and tended to marry among themselves.

Although the position of the nobles was not hereditary, those whose ancestors had been in the service of the King for more than a generation were called Khanazads, or the house born ones. They felt a special affinity with the ruling house, and claimed a privileged position in the grant of Mansabs. From 1679 to 1707, the proportion of Khanazads among those holding ranks of 1000 Zat and above, was almost half. The Mughal nobility was highly hierarchical in nature, with the senior positions being virtually reserved for the noble born, including the Hindu Rajas. Therefore from 1658 to 1707, the number of Irani and Turani nobles holding ranks of 5000 and above was over 60 per cent while the leading Rajput Rajas formed another 11 per cent. Even then, there was a chance for people with an ordinary background reaching the highest posts, as in the case of Rai Patr Das under Akbar, and Rai Raghunath under Shah Jahan and Aurangzeb.

The Mughal nobility was paid good salaries. In Shah Jahan's reign, 73 members of the Nobility received 37.6 per cent of the entire assessed income of the empire. The personal salaries they enjoyed placed them at par with autonomous Rajas of a middle size kingdom. Many Mughal nobles carried out commercial activities. They conducted trade in their own name or in partnership with merchants. They also patronized skilled manufacturers. The life style of the high nobles was very opulent. They had large multi-storied mansions with gardens and running water, a large Haram and numerous male and female servants. Every noble had to maintain a sizeable number of beasts of burden like elephants, camels, mules, and horses, as well as carts and palanquins for transport. Tents were another costly item of equipment they maintained.

Corruption was common among Nobles. No action would be carried out without giving or receiving presents. Nobles at the court who had access to the emperor, sometimes sold their good offices to the highest bidder. The Mughal nobles in the administration had earned a bad reputation as they accepted bribe and were corrupt. At the same time, the nobles also indulged in charitable activities. They built mosques, hospices, Sarais, covered markets (Katara), Khanqahs and dug water-tanks in the places where they settled down. They also bought land to plant orchards. Not all of these were for profit, but were considered meritorious acts. The upkeep of mosques, Sarais and hospices was sometimes met from the income of the markets and orchards. Nobles also extended patronage to the arts. Poets, musicians and painters were given rewards.

b. RURAL GENTRY OR ZAMINDARS

The Mughal's used the word Zamindar to designate one who was the owner (Malik) of the lands of village or township (Qasba) and also carried on cultivation. According to the well-known historian, Irfan Habib, Zamindari was therefore, 'a right which belonged to a rural class other than, and standing above, the peasantry'. This is the sense in which the word Zamindar was generally understood, although the Mughals sometimes used the word for autonomous Rajas and Chiefs also in order to emphasize their dependent status. These Rajas paid a fixed sum in money as Peshkash and were left free to assess and collect land revenue from the peasants in their area of control.

The Zamindars formed the apex of rural life. They had their own armed forces, and lived in forts that was both a place of refuge and a status symbol. The combined forces of the Zamindars were considerable. In Akbar's reign they had 3,84,558 Sawars, 43,77,057 foot soldiers, 1,863 elephants, and 4,260 cannons. The figures perhaps also include the forces of the subordinate Rajas.

Compared to the nobles, the income of Zamindars was limited. The smaller ones may have lived more or less like rich peasants. The living standards of the larger Zamindars might have been close to those of petty Rajas or nobles. Most of the Zamindars lived in the countryside and formed a kind of local gentry. The Zamindari right was both hereditary and saleable, and from the time of Akbar there are many examples of Zamindari being sold in whole or part. There was no restriction on caste or religion in the sales. Zamindari could also be divided like any property.

The Zamindari right implied both financial income and social prestige. The Zamindars had the right to a share of the produce which was paid in cash and kind. The Zamindar could also levy other cesses, such as impost on forest and water produce, tax on marriages and births and house-tax. The charges of the Zamindars varied from area to area, being called Biswi (1/20), or do-Biswi (1/10), or Sathri (1/17), or Chauthai (1/4). The Mughal government attempted to fix the dues of the Zamindars and consolidate the land revenue. In such cases, the dues of the Zamindars were assessed at 10 percent and called Malikana and could be paid either in cash, or by grant of revenue free land called Nankar. Some of the Zamindars continued to make illegal exactions from the peasants including forced labour (Begar). Sometimes, Zamindars were allowed to collect land revenue from a tract beyond their own Zamindari. This was generally called a Talluqa. For this area, the Zamindar was only a tax-collector, and was paid remuneration by way of revenue-free land.

c. MIDDLE CLASS

If middle class is defined as a class of persons who were paid for their professional services then in the Mughal period there was a large class of professional and service groups in the towns which may be considered a part of the urban intelligentsia. The Mughal administrative system

was such that it needed an army of accountants and clerks, for the state, as also for nobles and even merchants. Rich artisans could also live much above the standards of the poor.

Contemporary evidence suggests that certain categories of revenue officials like Amils and Karkuns formed a very prosperous group. Since many of them were drawn from the Khatri and Bania castes, or were Jains, they undertook side business, such as cultivation, usury, speculation in commodities, horticulture, revenue farming, and management of rent yielding properties in the towns. These sections were rich enough to buy good houses in towns. Some of them even led a life like that of a high noble. In Aurangzeb's time, Abdus Samad Khan, Amin and Faujdar of Jahanabad, established a small town in the name of his son. The property included orchards, a Sarai, and Turkish Hamams.

Among the professionals, medical practitioners catered not only to nobles, but also to petty officials, merchants and traders, smaller Mansabdars, urban professionals and rich artisans. While some of them were attached to rulers and high nobles, and received Mansabs, many of them conducted private practice. Musicians, calligraphists and teachers also belonged to this group of professionals. Writer, historians, and theologians were often drawn from the same urban middle-class intelligentsia though sometimes they received rent-free land, thus bringing them closer to the feudal classes.

d. COMMERCIAL CLASSES

There were a variety of commercial classes in Mughal India. Some specialized in long distance inter-regional trade, and some in local, retail trade. The former was called Seth, Bohras or Modis while the latter were called Beoparies or Banik. In addition to retailing goods, the Baniks had their own agents in the villages and townships, with whose help they purchased foodgrains and cash-crops. The word Bania (foodgrain merchant) was sometimes used for them. The Bania also acted as a money-lender in rural areas, and hence generally had a poor reputation for being greedy. However, they did discharge a positive role in the economy by enabling food-grains to be transported from villages and Mandis to towns, and to different regions in the country, and providing rural capital.

The trading community in Mughal India did not belong to one caste or religion. The Gurjarati merchants included Hindus, Jains and Muslims who were mostly Bohras. In Rajasthan, Oswals, Maheshwaris and Agrawals were called Marwaris. Overland trade to Central Asia was in the hands of Multanis, Afghans and Khatri. Traders in Bengal were called Gandha Baniks, through these seem to have been largely displaced later by Afghan and Muslim traders. The Marwaris spread out to Maharashtra and Bengal during the 18th century. The Chettiars on the Coromandal coast and the Muslim merchants of Malabar, both India and Arab, formed the most important trading communities of South India.

The trading community in India, especially in the port towns included some of the richest merchants who are comparable in wealth and power to the merchant princes of Europe. The Surat merchants were "very rich", some of them worth more than 50 or 60 lakhs of rupees.

They had fifty ships trading with various overseas countries. Virji Vohra who dominated the Surat trade for several decades owned a large fleet of ships. He was reputed to be one of the wealthiest man of his time. He bought opium and cotton from local merchants and exchanged these for pepper in Malabar and South east Asia, and supplied these to English and Dutch traders. His capital at one time was reputed to be 80 lakhs of rupees. Other Gujarati merchants, who could each buy up an entire ship's cargo or supply the entire annual investment of the European companies are well known. Abdul Ghafur Bohra left 85 lakhs rupees in cash and goods, and a fleet of 17 sea-going ships at the time of his death in 1718. Similarly, Malay Chetti of the Coromandal coast, Kashi Viranna and Sunca Rama Chetti were reputed to be extremely wealthy, and had extensive commercial dealings in India and abroad. There were many wealthy merchants at Agra, Delhi, Balasore (Orissa), and Bengal too. Some of these merchants, especially those living in the coastal towns, lived a life of luxury and copied the nobles. The wealthy merchants of Agra and Delhi lived in big double storied houses.

e. VILLAGE COMMUNITY

In the Mughal period most villages were inhabited by self-settled peasants (Lok). They were of two kinds: native villagers (Khwud Kasht) and cultivators coming from other villages (Paikasht). There were a set of villagers designated as Headmen (Panch or Muqaddam) who claimed to represent the entire village. They managed the financial pool (Fota) of the village. Taxes from all peasants were collected and paid into this pool. Tax payable to the state, village expenses like the fee of the Headmen, and expenses on travelers were met from this fund. Small parcels of land were assigned to village artisans, menials and servants (Baluta) who were an important section of the village community. The Headmen belonged to varying castes and were both Hindus as well as Muslims. The peasants, artisans and servants were divided among numerous castes of varying status.

f. TRIBES

Tribes can be defined as social communities in various stages of economic and cultural development that existed outside the caste system. Forests contained the most primitive of these communities such as the Forest Folk (Banmanas). Their main source of subsistence was pastoralism. Trade too was added to tribal occupation. In early seventeenth century the Nahmardis of the Baluchistan Sind border, who engaged in pastoralism and traded in camels, horse, sheep, felt, carpets and other hill products, which they exchanged for grains, weapons and cloth available in the plains. The Afghan tribes too originated as pastoral communities. By the fifteenth and the sixteenth centuries, they had taken to trade and agriculture along with pastoral pursuits.

8.2.3 CHECK YOUR PROGRESS I

1. Name the titles granted to the Nobles.

2. Who was the Dad Bak?

3. Which categories formed the middle classes in the Mughal period?

4. Mention the important trading communities in Mughal India.

8.3 SLAVERY

Students slavery already existed in India since ancient times, but its scale grew tremendously in the thirteenth and fourteenth centuries. Slaves were captured both in war and in lieu of unpaid taxes in the Sultanate and the Mughal period.

8.3.1 SULTANATE PERIOD

In the Sultanate period a large section in the town consisted of slaves and domestic servants. Slavery had existed India as well as in West Asia and Europe for a long time. The position of different types of slaves – one born in the household, one purchased, one acquired and one inherited is discussed in the Hindu *Shastras*. Slavery had been adopted by the Arabs and later, by the Turks also. The most usual method of acquiring a slave was to capture in war. The Turks practiced this on a large scale in their wars, in and outside India. The Turkish, Caucasian, Greek and Indian slaves were valued and were sought after. A small number of slaves were also imported from Africa, mainly Abyssinia. Slaves were generally bought for domestic service, for company, or for their special skills. Skilled slaves fetched a high price and some of them rose to high offices as in the case of the slaves of Qutbuddin Aibak.

Slave raiding was widely practiced and Ghazis used to capture slaves from central Asia. The early Turkish rulers, such as Qutbuddin Aibak, continued this practice in India. When he invaded Gujarat in 1195, he captured and enslaved 20,000 persons, and another 50,000 during his raid of Kalinjar. However, there is no mention of any such large-scale enslavement during the campaigns of Balban or Alauddin Khalji, although slaves were still considered a part of the booty. During campaigns of “pacification” in the country-side, large number of men, women and children were enslaved, and sold in the slave market at Delhi. The sale and purchase of slaves was a routine matter and the price of slave-girls and boys was fixed. The slaves sold in the market in Delhi were used mainly for domestic service. This was so common than even clerks

employed slaves. Generally, slaves were not used or trained for being craftsmen, though maid-servants were often used for spinning. This changed during the reign of Firuz Tughlaq. He instructed the bigger nobles to capture slaves whenever they were at war, and to pick out and send the best among them for the service of the Sultan. Even the various subordinate chiefs were asked to follow this practice. In this way, 180,000 slaves were collected, some of them were trained for religious studies, and 12000 among them were trained as artisans, and sent to different Parganas. The slaves also formed a corp of armed guards. Firuz Tughlaq's main minister, Khan Jahan Maqbul, possessed over 2000 women slaves.

8.3.2 MUGHAL PERIOD

In the Mughal period there are not many references to the price of slaves or of slave markets. The price of a slave-girl was about 50 rupees at Goa. The Portuguese employed slaves on a large scale. The Portuguese, Arakanese and Maghs made slave-raids into East Bengal, and set up slave markets at Chitagong, Sandwip, Hughli and Pipli. Goa was a busy market for slaves. Many of these slaves were also sold in South-East Asia. Shaista Khan put an end to these raids in the time of Aurangzeb.

Slaves were obtained from various sources. There was a continuous import of slaves from East Africa though on a small scale. The pilgrim-ships to Jeddah also indulged in slave trade. Ships returning from the Red Sea, both European and Indian, would generally carry fifty slaves bought in Mocha or Jeddah. Indian slaves were either hereditary and or captured from wars, or in raids in villages allegedly for rebellion or non-payment of government dues. Many people sold their children for food in times of famines. Akbar banned the practice of enslaving prisoners of war, and converting them to Islam. He also allowed people to re-purchase the children they had sold, and to reconvert them. Although slaves in India were generally not mistreated, and it was considered an act of morality to free slaves.

8.4 WOMEN

Students, women belonging to different castes and communities in the medieval times were oppressed. Their position in the family as well as society will be taken up in the following section.

8.4.1 SULTANATE PERIOD

There was little change in the position of women in the Hindu society. The old rules regarding early marriage for girls, and the wife's obligation of service and devotion to the husband, continued. Annulment of the marriage was allowed in special circumstances, such as desertion and loathsome disease. But not all writers agree with this. Widow remarriage continued to be regarded among the practice prohibited in the Kali Age. But this applied to the three upper castes only. The practice of Sati was prevalent in different regions of the country. Ibn Battutah mentions with horror the scene of a woman burning herself in the funeral pyre of her husband

with great beating of drums. According to him, permission from the Sultan had to be taken for the performance of Sati. Regarding property, the widow had a right to the property of a sonless husband, provided the property was not joint (had been divided). The widow was not merely the guardian of this property, but had the full right to sell it too.

During this period, the practice of keeping women in seclusion and asking them to veil their faces in the presence of outsiders, that is, the practice of Purdah became widespread among the upper-class women. The growth of Purdah has been attributed to the fear of the Hindu women being captured by the invaders. In an age of violence, women were liable to be treated as prizes of war. The most important factor for the growth of purdah was social – it became a symbol of the higher classes in society, and all those who wanted to be considered respectable tried to copy it. It affected women adversely and made them even more dependent on men.

In the Islamic society, widow remarriage was common as it was permissible by Islamic law. Similarly, daughters inherited their parents' wealth (though only a half share as compared to sons). Polygamy and Purdah were commonly practiced too.

8.4.2 MUGHAL PERIOD

In the Mughal period women in most Hindu communities had only limited rights of inheritance. Child marriage was common. Parents of the daughter among lower castes' received a bride-price, while among higher castes the groom's parents generally received dowry from the bride's parents. Among peasant and pastoral castes such as Jats, Ahirs and Mewatis widows could be remarried either to their husbands' brothers or strangers. Women carried water, spun yarn, milled corn and helped in agricultural operations. Women of certain castes went around hawking milk, Ghee and other wares.

Women of higher castes lived a life of leisure, but suffered from severe handicaps. One was the strict imposition of seclusion (Purdah). Widow remarriage among upper castes was absolutely prohibited, and the practice of Sati, or immolation of the widow, was practiced among the warrior-caste of Rajputs and corresponding ruling groups and other high castes. The Mughal administration pursued a policy of discouraging Sati, by trying to establish, in each case, that it was voluntary; though this was not entirely ineffective, Sati still took place. They occurred two or three times a week at the capital, Agra, during the late years of Jahangir's reign. Some women owned not only moveable possessions, but also Zamindaris, obtained by inheritance. A matrilineal system prevailed among certain communities in Kerala, and there were similar customs among the Gharos and Khasis of Meghalaya.

In the middle and upper levels of Muslim society, up to four wives and any number of concubines were permissible. Pre-puberty marriage, though permitted, appear to have been less common among Muslims. Widow remarriage, legally permitted, was not uncommon. Muslim women of higher classes observed complete seclusion (Purdah). The women could claim a dower (Mahr) for themselves from their husbands as settled in the marriage contract and also inherit property, though a share, much smaller than those of the male members of the

family. It is interesting that Akbar was unhappy with this inequality, and Aurangzeb in 1690 deviated from the Muslim law in providing that a widow could keep the entire grants of their husbands for life. It is probable that even among middle classes women remained largely illiterate. Few high-class women did receive education. Humayun's sister Gulbadan Begam was educated while her husband was illiterate.

8.4.3 CHECK YOUR PROGRESS II

1. What role did Firuz Tughlaq assign to the slaves?

2. What was the position of Hindu women in the Sultanate period?

3. What was the status of Muslim women in the Mughal period?

8.5 SUMMARY

Students, this unit has provided an account of Social life existing in Medieval India. The ruling classes that included the Nobility, Chiefs and Zamindars were at the apex of society. They continued to enjoy a privileged life of luxury. The middle classes consisted of professional and service groups in town and were considered as intelligentsia. The Administrative functionaries like accountants and clerks were indispensable for the smooth running of the State. The trading and commercial classes formed the backbone of the economy in medieval India. The institution of slavery continued to exist in both Sultanate and Mughal periods. The condition of women continued to be oppressed and they remained dependent on the men.

8.6 SUGGESTED READINGS

Satish Chandra, *Medieval India: From Sultanate to the Mughals, Delhi Sultanate*, Part I, New Delhi: Har Anand Publications, 2010 (rpt.).

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Irfan Habib, *Medieval India: The Study of Civilization*, New Delhi; National Book Trust, 2007.

Shireen Moosvi, *People, Taxation and Trade in Medieval India*, New Delhi, Oxford University Press, 2008.

8.7 QUESTIONS FOR PRACTICE

8.7.1 LONG ANSWER QUESTIONS

1. Discuss the position of women under the Delhi Sultanate?
2. Examine the position of women under the Mughals?
3. What do you know about the position of slaves in Medieval Period?
4. Write a detailed note on the social classes exist during the Sultanate period.
5. Discuss the social structure prevalent during the Mughal Period?

8.7.2 SHORT ANSWER QUESTIONS

1. For whom was the term Chiefs used?
2. What was the role of the Ulemas?
3. Where were the slaves obtained?
4. Mention the important trading communities in Medieval India.
5. What was the status of women in the Sultanate period?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: HISTORY OF INDIA :c.1200-c.1750

UNIT 9: SUFI ORDERS; VAISHNAVA BHAKTI; KABIR AND RAVIDAS; THE SIKH MOVEMENT

STRUCTURE

9.0 Learning Objectives

9.1 Introduction

9.2 Sufi Orders

9.2.1 Chisti

9.2.2 Suhrawardi

9.2.3 Qadiria

9.2.4 Naqsbandia

9.2.5 Check Your Progress I

9.3 Vaishnava Bhakti

9.3.1 Check Your Progress II

9.4 Kabir

9.5 Ravidas

9.5.1 Check Your Progress III

9.6 The Sikh Movement

9.6.1 Guru Nanak

9.6.2 Guru Angad, Guru Amar Das and Guru Ram Das

9.6.3 Guru Arjan to Guru Tegh Bahadur

9.6.4 Creation of Khalsa

9.6.5 Check Your Progress IV

9.7 Summary

9.8 Suggested Readings

9.9 Questions for Practice

9.9.1 Long Answer Questions

9.9.2 Short Answer Questions

9.0.LEARNING OBJECTIVES

Students, after reading this unit you will be able to:

- Analyse the ideas and institutions established by Sufi orders in medieval India.
- Trace the evolution of Vaishnava Bhakti in terms of Rama Bhakti and Krishna Bhakti.
- Understand the monotheistic movements started by Kabir and Ravidas.
- Evaluate the Sikh movement in terms of ideology and institutions.

9.1 INTRODUCTION

Students, this unit will focus on various Sufi orders prevalent in medieval India. The ideas, stages of growth and institutions of these orders will help in understanding the expansion and popularity of Sufism. Sufism in India was ‘indigenized’ through the use of regional languages as was used by some eminent Sufis. Vaishnava Bhakti in medieval India found expression in Rama Bhakti as well as Krishna Bhakti. Well known proponents of Bhakti were Ramanuja, Madhavacharya, Ramananda, Chaitanya, Vallabha, Jnandev, Tukaram and Eknath. Bhakti opened the path of devotion to all without any consideration of caste or sex. The ideology and activities of Kabir and Ravidas will be analysed in this module to understand the monotheistic movements initiated by them. Their rejection of existing system of religious beliefs and practices as well as the caste system is quite emphatic. Understandably, both Kabir and Ravidas had a great appeal for the people in the lowest strata of the traditional social order. The Sikh movement will be examined in terms of the ideology and the institutions of the Sikhs, and the responses of individuals to their changing historical situation.

9.2 SUFI ORDERS

Sufism or Muslim mysticism came to India from Iran and Central Asia. Within Sufism authority was given to the Pir or Shaikh over his disciples. This led to the formation of various Orders (chains) or Silsilahs among Sufis. These Silsilahs were formed when Pirs appointed Khalifas or successors. The Khanqah was the centre of their activity where the Pir gave instructions, held conversations and Sama assemblies and organized a free kitchen.

A wide range of ideas in Sufism, come from several sources. In the first place there were quotations from the *Qur'an* which had served as the basis of mysticism and become a common heritage of the Sufis. Some of the attributes of God which are found in Sufi theosophy do not appear in the *Qur'an*: Al-wajib (necessary), Wajib-al-Wufud (necessary existing), Al-Kamil (the perfect) for instance. Perhaps more important than the *Qur'anic* verses, which the Sufis interpreted in the light of their mystical experience and in its support and justification, was

the mystical experience itself. From this experience emerged the idea of union with God as the mystic's goal, with the associated ideas of Fana (annihilation of self) and Baqa (subsistence in God). The Sufi theories of Ma'rifat (knowledge of God), were expounded on the assumption of the mystical experience of union with God. Tauhid, or unification, is defined as the realization of the absoluteness of the Divine Nature in the passing away of the human nature so that 'the man's last state reverts to his first state and he becomes even as he were before he existed'.

A repeated remembrance of God (Zikr), one of the most important of Sufi practices, had its basis in the *Qur'anic* verse, 'Remember God often'. The most important practice of the Sufis was audition (Sama), or listening to the singing of moving verses often accompanied by dance and instrumental music. Descriptions of the stages of the mystic path reveal variations. The stages most commonly mentioned are repentance, abstinence, renunciation, poverty, patience, trust in God and satisfaction. Though all of these might have been regarded as equally important, greater emphasis is laid in Indo-Muslim Sufi literature on Taubah (repentance), Tark (renunciation) and Raza (satisfaction). The first involved realization of sin; the second meant the abandonment of all desire and pleasure and the third, an eager acceptance of God's decree. The Sufis believed that they represented the true ethics of Islam. They inculcated a whole-hearted devotion of God alone. Devotion or piety in women was as much acceptable as in men. Indeed, women were to be accepted as disciples. Sufi piety at its best was free from superstition. The Sufis preached personal humility and a deep concern for the brothers-in-faith. They denounced oppression and injustice.

Sufi orders or Silsilahs were not equally important in terms of the size and the number of their Khanqahs, the literature they produced or inspired and the influence they came to have over the common people. Four of these seven orders were more important than the others. The most important among the four was the Chishtia order, followed rather closely by the Qadiria and then at some distance by the Naqshbandia and the Suhrawardia order. The other three orders, Shattaris, Firdausias and Kubrawias were less important in medieval India.

9.2.1 CHISHTIA

The Chishtia order remained important from the thirteenth to the eighteenth century in medieval India. Starting from Rajasthan, its centres spread to Delhi and the Punjab, Uttar Pradesh, Bihar, Bengal, Gujarat and the Deccan. A large number of well-known Shaikhs belonged to this order. Among the early leaders were Khwaja Muinuddin Chishti of Ajmer, Shaikh Bakhtiyar Kaki of Delhi, Shaikh Fariduddin of Pakpattan, Shaikh Nizamuddin Auliya of Delhi and Shaikh Nasiruddin Mahmud, 'the lamp of Delhi' (Chirag-i Dihli). All of them had important disciples (Murids) and successors (Khalifas) of their own. Sheikh Hamiduddin, a Khalifa of Khwajah Muinuddin Chishtia, founded a centre at Nagaur. Shaikh Akhi Sirajuddin Usman, a Khalifa of Shaikha Nizamuddin Auliya, laid the foundation of Chishtia order in Bengal. Another Khalifa of Shaikh Nizamuddin Auliya founded a centre in Gujarat. Saiyid Muhammad bin Yusuf al-Husaini, popularly known as Khwaja Banda Nawaz Gisu Daraz, a disciple of Shaikh Nasiruddin

Mahmud, made Gulbarga in the Deccan the centre of his activities. During the time of Akbar, Shaikh Jalal turned Thanesar into a major Chishtia centre. Shaikh Salim Chishti and his Khalifas became important in Fatehpur Sikri and the Agra region. Several new centres emerged in the Punjab during the sixteenth and seventeenth centuries. By the end of the seventeenth century, Delhi had again become an important Chishtia centre with the presence of Shah Kalimullah.

9.2.2 SUHRAWARDI

The Suhrawardi order was represented in India by Shaikh Bahauddin Zakariya (c. 1182-1262) at Multan, Saiyid Nuruddin Mubarak (d. 1234-5) at Delhi, Qazi Hamiduddin at Nagaur and Shaikh Jalaluddin Tabrizi in Lakhnauti and Devatalla near Pandua in northern Bengal. Of these four Khalifas of Shaikh Shihabuddin Suhrawardi, Shaikh Bahauddin Zakariya proved to be the most influential in the times to come. He was succeeded by his son Shaikh Sadruddin Arif and his grandson Shaikh Ruknuddin Abul Fateh, both of whom had good relations with the Sultans of Delhi; they were also affluent like Shaikh Bahauddin Zakariya. All three of them had important Khalifas. Saiyid Jalaluddin Bukhari, called Jala Surkh (red), was a Khalifa of Shaikh Bahauddin; he died at Uch. Shaikh Fakhruddin Ibrahim, popularly known as Iraqi, the author of the *Lama'at* (Flashes of Effulgences) was a disciple of Shaikh Bahauddin. Shaikh Sadruddin Arif's disciple, Amir Husaini, wrote the *Nuzhat al-Arifin* and the *Zad al-Musafirin*. The descendants of Jalal Surkh, especially his grandsons Makhdum Jahanian Jahangasht and Raju Qattal and their descendants and disciples, popularized Sufism in Uch and their influence spread to the Punjab, Kashmir and Gujarat. Sheikh Burhanuddin, a grandson of Makhdum Jahanian, became famous in Gujarat as Qutab-i Alam (The Pole of the Universe). His father, Saiyid Muhammad, was known as Shah-i Alam (Emperor of the World). Both the father and the son enjoyed the devotion of the Sultans of Gujarat and their nobles. Delhi became a strong centre of the Suhrawardis due to Shaikh Samauddin and his disciple Shaikh Jamali. Suhrawardi influence in Kashmir came first through Saiyid Sharafuddin, known as Bulbul Shah in Kashmir, who was a disciple of Shaikh Shihabuddin's Khalifa in Turkistan. Bulbul Shah converted Richana to Islam who became the first Muslim king of Kashmir. Suhrawardi influence was revived by Saiyed Muhammad Isfahani, a disciple of Makhdum Jahanian, in the reign of Sultan Zain al-Abidin (1420-70). The Suhrawardi order lost its importance after the fifteenth century.

9.2.3 QADIRIA

The Qadiria order was introduced into India by Mir Nurullah bin Shah Khalilullah. He was a grandson of Shah Nuruddin Muhammad Ni'matullah who had been the spiritual guide of the Bahmani Sultan, Shihabuddin Ahmad (1422-36). His descendants remained influential at Bidar. A Qadiri Khanqah was established at Uch by Shaikh Muhammad al-Husaini al-Jilani who was a direct descendant of the Gaus-i Azam, Shaikh Abdul Qadir Jilani (1077-1166), after whom the order was named. The Khanqah at Uch was maintained by the descendants of Shaikh

Muhammad al-Husini An outstanding disciple of Shaikh Hamid was Shaikh Da'ud who established his centre at Chati in the Mughal province of Lahore. His influence spread from the Punjab to Delhi and Agra. He was succeeded by his nephew and son-in-law, Shaikh Abul Ma'ali. A number of Qadiri Sufis flourished in the Punjab during the sixteenth and seventeenth centuries. Some of them migrated to Kashmir and established Khanqahs there. Qadiri Khanqahs were established at Ludhiana, Pail, Sirhind, Kaithal, Panipat, Delhi and Agra. A few Qadiri Khanqahs were established at Ahmadabad in Gujarat and Mandu in Malwa. During the seventeenth century, Shaikh Mir Muhammad, popularly known as Mian Mir, rose into prominence in the Punjab. Among his important disciples in Lahore, Sirhind, and Sunam, was Mulla Shah who was greatly admired by Dara Shukoh and Jahan Ara Begam. Dara Shukoh himself is counted among the Qadiris. Some Qadiri Khanqahs were established in Uttar Pradesh, Bihar and Bengal before the end of the seventeenth century.

9.2.4 NAQSHBANDIA

The Naqshbandia order flourished in India during the Mughal period. The Sufi who gained remarkable popularity in a short period was Khwaja Muhammad Baqi, popularly known as Baqi Billah. For some years he travelled to different parts of India before he settled in Delhi from 1599 to 1603. His favourite disciple was Shaikh Ahmad Sirhindi who claimed to be the Mujaddid-i alifiI Sani (Renovator of the Second Millennium). He also proved to be the most influential disciples of Baqi Billah. However, the descendants of Baqi Billah remained important in Delhi and they did not support Shaikh Ahmad's philosophy, generally known as Wahdat al-Shuhud. Shah Waliullah and his son Shah Abdul Aziz were followers of Wahdat al-Wajud.

9.2.5 CHECK YOUR PROGRESS I

1. What are Silsilahs?

2. Name two important Chistia Sufis.

3. Name any four Sufi orders popular in medieval India.

9.3 VAISHNAVA BHAKTI

Well-known Vaishnava texts were *Bhagavata Gita*, *Bhagavata Purana* and *Vishnu Purana*. The Puranas associated with the avataars of Vishnu may be added to the above. In older Vaishnavism, Vishnu as well as his incarnations were worshipped as the supreme deity. The Bhakti cult cannot be regarded as a break from older Vaishnavism. Some new elements and

certain differences of emphasis distinguished the new cult from the older system of beliefs and practices. Bhakti movement began when the path of Bhakti was emphasized to the exclusion of the path of knowledge (Gyan) or the path of action (Karam).

Ramanuja made an important contribution to the Bhakti movement. By putting the personal God Vishnu at the centre of his scheme of salvation, Ramanuja smoothened the path of Bhakti. Loving faith of the worshipper as much as the grace of God is regarded as central to Ramanuja's doctrine. He subordinated the path of knowledge and action to that of Bhakti. Acquaintance with the principles of Vedanta and the performance of rites and duties were meant to lead those who sought eternal bliss to Bhakti. This Bhakti was open only to the upper castes. Ramanuja made a distinction between this Bhakti and Prapatti which was open to the Shudras as well. Thus, Ramanuja was able to adopt a middle position in his attitude towards the lower castes. Ramanujas Bhakti was directed towards Vishnu as Narayana.

Madhavacharya strengthened Vaishnava Bhakti. He believed that men could find happiness, knowledge and peace in God alone. For him Bhakti arose out of a feeling of affection for God as a perfect being. Devotion to God was open to the Sudras but not the study of Vedas. Madhava emphasized the need of Sadhana and the Guru. He established a few Maths in his lifetime.

The cult of Rama Bhakti as an incarnation of Vishnu originated in South India and it was Ramananda who took this cult to the North. Ramananda was the son of Punyasadana, a Kanyakubja Brahman. He was born at Prayaga and received education at Varanasi. He founded a new sect of Ramanandis and opened the path of devotion to all without any consideration of caste or sex. His pupils were associated with both Nirgun and Sagun streams of the Bhakti movement. The *Adhyatma Ramayana* was the scripture of the Ramanandis. A significant development reflected in this text is the emergence of a community of Rama devotees. Worship of Rama acquired a congregational character.

The Tradition of Krishna Bhakti known as the Varkari Sampradaya or Panth, originated in Maharashtra in the twelfth century and evolved into a mass movement by the seventeenth and eighteenth centuries. It deeply influenced the social, religious and political life of the people of Maharashtra. The four great leaders were Jnandev, Namdev, Eknath and Tukaram. Ramdas, another saint-poet, advocated the path of Bhakti, but according to some, he was not a part of the Varkari Sampradaya. These great mystics of Maharashtra produced literature to inspire all 'without distinction of creed, caste or race'. The teachings of great saints of the Varkari movement created awakening among the masses. They appealed to the masses to worship one God. The Varkari Sampradaya was open to all irrespective of their caste or creed or sex. It was popular among villagers, peasants, craftsmen and traders.

The centre of Krishna Bhakti in Bengal was Navadvipa. It was the greatest intellectual centre of Bengal at the time of Chaitanya. The followers of Chaitanya thought that no religion was higher than Krishna Bhakti or devotion for Krishna. Before Chaitanya, the Gaudiya Vaishnava concept of Bhakti was propagated by Rupa Gosvamin and by his nephew Jiva Gosvamin. The devotees are to follow the principle and practice of good conduct. They are asked

to be unselfish and to practice moral values. They should avoid bad company and oppose violence, vanity and sensual pleasures. Moral and social virtues like compassion and Philanthropy are emphasized. Bhakti is considered far superior to rituals, performance of purificatory rites, and observance of sacraments.

Chaitanya propagated Bhakti in Navadvipa, Shantipur and the adjoining rural and urban areas. Chaitanya's parents had come to Navadvipa from Sylhet. He came into contact with Isvara Puri, who formally initiated him into Vaishnavism. This was the starting point of Chaitanya's movement. He returned to Navadvipa and assumed the leadership of the Vaishnava group. Chaitanya organized ceremonial processions and congregational chanting of the holy name of Hari. In such events there was no obligation for the Vaishnavas to observe distinctions of caste and creed. Women were allowed to participate in Kirtanas. The Vaishnavas also organized dramatic performances in which Chaitanya actively participated. He also appointed Mahants who carried on the good work.

Chaitanya transformed Vaishnavism into a social religion which was characterized by collective rejoicing, singing and dancing. Everybody was free to participate in it. Congregational chanting of the name signified a movement against rituals and priest craft. It was also the best method of removing the barriers which had alienated the literate from the common people. Chaitanya stood for the right to practice Bhakti in absolute freedom from priest craft and the inequalities of the caste system. His followers adhered to the view that an untouchable Chandala, who uttered the name of Hari, was infinitely better than a Brahman who did not. Chaitanya became a wandering ascetic and he travelled extensively in the Deccan, western India, and upper India, and gathered knowledge of the various schools of Vaishnava theology.

According to Gaudiya Vaishnava theology, Bhakti signifies the intensification of devotion to a degree where the devotee feels that he has a personal relation with God. Krishna in his human form is the Supreme Being. Everything associated with Krishna is the essence of pure bliss. Priti (attachment of God) is the basic point of Gaudiya Vaishnava religion. It means love, affection and regard. This love is unconditional, unqualified and unambiguous. The concept of Krishna as God-hero is the basis of Gaudiya Vaishnava aesthetics.

The history of Vallabha Sampradaya seems to fall into distinct phases from the sixteenth to nineteenth century. It was founded by Vallabhacharya in the early sixteenth century. He was succeeded by his elder son Gopinath and then by his younger son Vitthalnath to continue his work. After the death of Vittalnath all his seven sons succeeded him. Several centres of the Sampradaya were established in Rajasthan and Gujarat. The centre at Nathdwara in the Mewar state emerged as the premier institution of this Sampradaya.

According to Vallabha, God is personified as Krishna with the qualities of wisdom and action. He is the creator of the world but it is not necessary to assume that He possess a physical body. All sins are washed if one has true faith in God. Bhakti consists in firm and overwhelming affection for God. Through this alone can there be emancipation. Vallabha was against all kinds of self-mortification. The body was the temple of God. The liberated continue to perform all actions. Bhakti is the chief means of salvation. Though Bhakti is the Sadhana, and

Moksha is the goal, it is the Sadhana stage that is the best, points out Vallabha. Thus, the highest goal is not liberation but eternal service to Krishna and participation in his sports in the celestial Vrindavan.

9.3.1 CHECK YOUR PROGRESS II

1. Who was Ramanuja?

2. Who was Chaitanya?

3. Name four leaders of the Varkari Movement.

9.4 KABIR

Kabir is one of the best known and most revered names in the Indian tradition. He was a Vaishnava Bhakta to Hindus, a Pir to Muslims, and a Bhagat to Sikhs. The basic ideas of Kabir are: concern with God and Brahm-Gian; dying unto self to subsist in God; Maya as the snare, and pride as an impediment to liberation from transmigration; denunciation of evil company and rejection of the Brahmanical way; emphasis on human life as a rare opportunity for liberation; and the awareness of separation as a prelude to union.

According to Kabir, God is recognized in the universe. He underlines the unity of God. He is the creator of the universe; He is in the microcosm as much as in the macrocosm. Kabir does not identify himself with any of the existing systems of religious beliefs and practices. In fact, he is critical of the representatives of Islam and Hinduism: their scriptures, their beliefs and their practices. Yogis, Vaishnavas and Shaktas are denounced. The idea of incarnation of God is totally rejected. No sanctity is attached even to places regarded as the most sacred. There is no merit in practices like idol-worship, pilgrimages and Shradhas and in the ideas of purity or pollution, auspicious or inauspicious time. In his view, there could be only one way to liberation and that was his own path: complete dedication to God alone. Kabir uses multiplicity of epithets for God. This does not suggest any 'sectarian' association. Ram and Allah are the same; Har and Hari are the same; but Brahma is not Kabir's God. God is also the True Guru (Satgur). To turn to Him is to be Gurmukh. Kabir uses another term for the true devotee of God: Sant. God is also equated with the Name. Kabir addresses himself to both men and women. Asceticism, renunciation and mendicancy are important for Kabir.

Caste distinctions were not sacrosanct for Kabir. He asserts that those who are preoccupied with distinctions of caste suffer from pride (Haumai). There are no distinctions of caste in the eyes of God. Caste for Kabir is no bar to emancipation. The path of liberation is open

to all irrespective of their caste. Kabir says the Brahman and his ways cannot lead to liberation. He questioned the legitimacy of the hierarchical varna order based on the principle of inequality. Kabir contests caste in strong terms to establish the point that liberation, the supreme aim of human life, is open to all, including the lowest of the low. A severe indictment of the contemporary social order is built into this idea.

Significantly, Kabir does not accept the idea of impurity associated with the woman who has given birth to a child. On the assumption of this impurity, women are kept in isolation for a fixed period and the practice is generally referred to as Sutak. One verse of Kabir relates to this idea and this practice. He says if generation of life is something impure then both land and water are impure in which life is generated all the time. According to Kabir devotion to God and consideration for the living husband is preferable to becoming Sati. Kabir does not subscribe to the belief that the woman who becomes Sati acquires merit.

An analysis of Kabir's composition leaves no doubt that he discarded all contemporary systems of religious beliefs and practices and expounded a system which was neither Hindu nor Islamic

9.5 RAVIDAS

The compositions of Ravidas tell us about his ideas. Ravidas uses a number of epithets for God. His conception of God is embedded in his compositions. God is omnipresent and all powerful. God is with and without attributes at the same time. He is unique, and He alone is eternal. The idea of divine incarnation is rejected by implication. God is in all the three worlds but has no fixed abode. There is no other 'master' like God. He is unique (Anup). He is the only leader (Naik). He is the giver of life and he sustains all living beings. He knows the innermost thoughts of men.

Ravidas asserts that the essence of God is his Nam. He tells his listeners to appropriate the 'name'. Appropriation of the 'name' was an essential part of the right path, the path of Bhakti. Essentially, Bhakti was devotion to the omnipotent Lord and love for the omnipresent beloved. Ravidas expresses the idea that God alone has the power to keep a man attached to Him. There is no other Master like Him. The rope that binds man to God is that of love (Prem). There can be no Bhakti without love (Bhav).

Ravidas states that the guide who leads to the path of liberation is God Himself. At several places in his compositions, Ravidas uses the word 'guru'. There is a reference to God as 'jagat-gur-soami', the Master who is also the Preceptor of the World. Bhakti, the Name, the guru, and grace according to Ravidas, can lead to liberation from the chain of transmigration. But man remains in bondage because, in the first place, he has no control over his five senses. The pleasures of the senses keep the human mind engrossed in Maya. The source of evil deeds which keeps one chained to transmigration is the mind (Man) that is controlled by Maya.

The only true path to God is the path of bhakti as loving devotion and complete dedication. This involves the rejection of the prevalent modes of worship. The prevalent systems of religious belief, their scriptures, and their modes of worship are of no avail according to

Ravidas. The supreme aim of life is liberation in life (Jivan-Mukti), which becomes possible only through God's grace (Kripa). Ravidas accepts the ideas of transmigration and Karma to emphasize the need of liberation and the importance of good deeds. To take refuge in God is to be in true association (Sat-Sangat) which for Ravidas is like honey to the honeybee. It is through Sadh-Sangat, he says, that one attains the highest spiritual state (Param-Gat).

Ravidas contests caste vehemently. Ravidas is conscious of his birth as a Chamar and that he belongs to the category of people regarded as untouchable. Ravidas also believed that a Brahman of high lineage who performs all the duties prescribed for the Brahman but who has no devotion in the heart, who does not lodge God in his heart, and who does not listen to His praises, is as low in the eyes of God as the Chandal in the eyes of a Brahman. Kabir's path was open to the untouchables as much as to Hindus and Muslims.

Ravidas does not use the term Hindu or Muslim in his compositions. He was not much concerned with this classification. It may be justified to draw the inference that Ravidas addressed himself to all the people irrespective of their caste and creed and perhaps irrespective of their gender. It is believed that Ravidas initiated disciples and started a tradition of his own. However, he does not appear 'to have established a formalized sect'. There is no indication that he chose a successor or successors. It has been observed that the memory of Ravidas has been kept alive in the Punjab and elsewhere in north India by a network of shrines and pilgrimage centres (Deras) dedicated to the devotion of his name, his poetry and his image. Both in Uttar Pradesh, where the following of Ravidas were called Raidasis and in the Punjab, where they were called Ramdasis as well, those who took Ravidas as their special patron were almost entirely the Chamars.

9.5.1 CHECK YOUR PROGRESS III

1. What does Kabir say about God?

2. What is Ravidas' view of caste?

9.6 THE SIKH MOVEMENT

Students, the development of the Sikh movement can be seen in four phases. The foundation of Sikhism and the Sikh Panth by Guru Nanak till 1539, followed by the growth of the Sikh Panth and Sikh institutions under the first four successors of Guru Nanak, the confrontation between the Mughal state and the Sikh Panth from the martyrdom of Guru Arjan in 1606 to the martyrdom of Guru Tegh Bahadur in 1675, and the career of Guru Gobind Singh from 1675 to 1708.

9.6.1 GURU NANAK

Guru Nanak founded a new faith and a new Panth. His ideas regarding contemporary society and religious life are in his compositions. Guru Nanak asserts that caste distinctions are discriminatory, oppressive and unjust in social and religious terms. Guru Nanak identifies himself with the lower castes and the untouchables. The differences of caste and class are set aside as irrelevant for liberation. The woman is placed at par with man. Guru Nanak comments on all the major forms of contemporary religious belief and practice. For Guru Nanak, Brahma, Vishnu and Mahesh are created by God who Himself is the creator, the preserver and destroyer. None of the Hindu deities could thus be equated with the Supreme Being. He does not support the authority of the Puranas, Smritis and Shastras.

With the rejection of traditional deities and religious text went the rejection of traditional modes of worship and religious practices. There was no merit in pilgrimage to sacred places. As the protagonist of such beliefs and practices, the Pandit is denounced. His sacred thread, his sacred mark and his rosary are useless without true faith. Guru Nanak has no appreciation for the idea of renunciation. The idea of incarnation too is rejection.

Guru Nanak's attitude toward the Ulema is similar to his attitude toward the Pandit. The *Qur'an* and the other Semitic scriptures are no better than the Vedas, or the Puranas. There is relative appreciation of the Sufi path however, Guru Nanak does not give them an unqualified approval. He asserts that many Sufi Shaikhs subsisted on revenue-free land granted by the rulers. They were aligned with the state which in Guru Nanak's view was unjust and oppressive.

God, for Guru Nanak, is the eternally unchanging Formless One. He has no material sign; He is inscrutable; He is beyond the reach of human intellect. He is boundless, beyond time, beyond seeing, infinite, not searchable, beyond description, eternally constant, unborn, self-existent and wholly apart from creation. He is only One; there is no second; there is no other. God possesses unqualified power and absolute authority. God is omnipresent and immanent as well as omnipotent and transcendent. He fills all the three worlds.

Guru Nanak says to attribute all creation to God is to recognize the Truth. Men become 'true' only when they give place to Truth in their hearts and act in accordance with the Truth. Equally important is to appropriate the Name (Nam) and the Word (Shabad), the object and the medium of divine communication. Without the True Guru one wanders through the cycle of death and rebirth.

Assuming the formal position of a guide (Guru), Guru Nanak admitted disciples and imparted regular instruction to them. A regular discipline was evolved for the adoration of God. The early hours of the morning were devoted to meditation. All the disciples joined Guru Nanak in singing the praises of God in the morning and the evening. The ideal of equality found concrete expression in corporate worship (Sangat) and communal meals (Langar). The believers in the new faith made contribution in cash, kind, or service. The Sikh sacred space was known as Dharamsal.

Before his death at Kartarpur in 1539, Guru Nanak chose his successor from amongst his followers, setting aside the claims of his sons. The nomination of Lehna by Guru Nanak was

regarded as unique because Lehan was installed in his office by Guru Nanak himself. His name too was changed to Angad, making him 'a limb' of the founder. This installation served as the basis of the idea that equally important was the idea that the positions of the Guru and disciple were interchangeable. There was no difference between the founder and the successor; they represented one and the same light. By now a new social group had come into existence with an acknowledged Guru to guide its social and religious life according to a pattern set by the founder and in the light of ideas expounded by him.

9.6.2 GURU ANGAD, GURU AMAR DAS, GURU RAM DAS

Guru Angad's guruship (1539-52) was meant to be an extension of Guru Nanak's work. To preserve Guru Nanak's compositions, Guru Angad popularized a new script called Gurmukhi. His own compositions were written under the name 'Nanak', carrying the implication that there was no difference between him and Guru Nanak. This practice was followed by all the successors to underline the idea of unity between the founder and the successors. His wife, mother Khivi, took special interest in the community kitchen (Langar).

Guru Amar Das (1552-74), the next guru, founded a new centre on the route from Lahore to Delhi; it developed into the township known as Goindwal. His community kitchen came to be known for the plenty of its fine flour and clarified butter, which may be taken as an indication of the growing prosperity of his centre. He had a Baoli constructed at Goindwal to meet the needs of the increasing number of visitors who came to have the Guru's Darshan. Baisakhi and Diwali become festive days for the Sikhs who visited Goindwal. Guru Amar Das introduced distinctly Sikh ceremonies, asking the Sikhs not to cry and lament in their hour of loss, and not to forget the divine source of supreme happiness in their hour of earthly bliss. He was against self-immolation and female infanticide. Before his death in 1574, Guru Amar Das installed his son-in-law, Bhai Jetha, as Guru Ram Das.

Guru Ram Das (1574-81) got a tank (Sarovar) dug where we find it today in the city of Amritsar. From the very beginning it was meant to be sacred. Amritsar was the name given to this tank in the beginning; it came to be extended to the city much later. A township started growing around the tank and it was called Ramdaspur. Guru Ram Das composed Lavan for the solemnization of Sikh marriage and Ghorian to be sung on days proceeding the day of marriage. Before his death in 1581, he chose his youngest son, Arjan, as the Guru.

9.6.3 GURU ARJAN TO GURU TEGH BAHADUR

Guru Arjan (1581-1606) enlarged the tank of Guru Ram Das, paved and walled it with burnt bricks. A temple dedicated to God (Harmandir) was constructed in the midst of the tank. The *Adi Granth* was compiled in 1604 by Guru Arjan. He founded the towns of Tarn Taran and Sri Hargobindpur in the Bari Doab and Kartarpur in the Bist Jalandhar Doab. This can be taken as an indication of his growing resources. Sikhs come to him from all four corners. There were many Sikhs in Lahore and Sultanpur Lodhi was known as a great centre of Sikhism. Guru Arjan had to appoint a number of representatives authorized to look after the affairs of the local Sangats at

various places in and outside the Punjab. These authorized representatives, known as Masands, brought offerings to the Guru, regularly collected from the Sikhs under their supervision.

Guru Arjan was martyred at Lahore due to the intrigues of the slanderers of the Guru, the enmity of some local administrator, and the autocratic prejudice of the Mughal emperor Jahangir. Guru Hargobind (1606–44) reacted to the martyrdom of Guru Arjan in proportion to the enormity of the injustice. He wore two swords, as the Sikh tradition underscores, one symbolizing his spiritual authority (Piri) and the other his temporal power (Miri). He encouraged his followers in martial activity. Opposite the Harmandir he constructed a high platform which came to be known as Akal Takht ('the immortal throne'). Here the Guru held a kind of court to conduct temporal business. He also constructed a fort called Lohgarh. An apparent departure from the practices of his predecessors made Guru Hargobind conspicuous in the eyes of the administrators.

Guru Hargobind installed Har Rai, the younger brother of Dhir Mal, as the Guru before his death in 1644. Guru Har Rai was 14-year-old at this time and died in 1661 when he was a little over 30. His pontificate of about seventeen years was politically uneventful. Guru Har Rai chose his younger son, Har Krishan as his successor. Aurangzeb summoned Guru Har Krishan also to Delhi. There he died of smallpox in 1664 after indicating that his 'grandfather' (Baba), Tegh Bahadur, the youngest son of Guru Hargobind, was his successor.

Guru Tegh Bahadur chose Makhwal as his new centre. He travelled to establish contact with some of the Sikh communities (Sangats) in the Mughal provinces of the Gangetic plain. He went to Agra and from there to Prayag (Allahabad), Benaras, Sahsaram and Patna. In March 1670, Guru Tegh Bahadur moved back towards Patna and reached Makhwal in April 1671.

A deputation of Brahmas appears to have met Guru Tegh Bahadur at Makhwal in May 1675, with a woeful tale of religious persecution in the valley of Kashmir by its Mughal governor. After deep reflection on the situation, he decided to court martyrdom to uphold the principle that every human being should be free to believe according to one's conscience. Guru Tegh Bahadur refused to accept Islam. He was beheaded on the order of the Mughal Emperor Aurangzeb in the main market-square close to the Red Fort in Delhi on 11 November 1675.

9.6.4 CREATION OF KHALSA

On one hand Guru Gobind Singh clashed with the Mughal Emperor Aurangzeb and on the other with the Hill chiefs. He soon founded a new township called Anandpur (the city of bliss). Guru Gobind saw many problems within the Sikh Panth. It was marked by cleavage. The Masands too were disloyal to the Guru.

Guru Gobind Singh created Khalsa on Baisakhi in 1699. Direct affiliation to Guru Gobind Singh made everyone his Khalsa and the new baptism made them Singhs. They were instructed to keep their hair (Kesh) uncut and to wear a small comb (Kangha) under a turban to keep the Kesh neat and orderly. They were instructed to wear arms, including the sword (Kirpan) and an iron bracelet (Kara). They were asked to wear short breeches (Kachh). They were asked

to remain firm in their belief in One God, to love Him, to place their trust in Him and to remember Him all the time. They were asked to have no faith in cemeteries, places of cremation, sepulchers, pilgrimages, ritual charity, ahimsa, fasting, penances or austerities. The Khalsa of Guru Gobind Singh were instructed not to associate with the rival claimants to guruship and their followers, the Masands and their followers and all those persons who cut their hair or used tobacco. The institution of the Khalsa reinforced the idea of equality given by Guru Nanak. Guru Gobind Singh vested the guruship in the Granth and the Panth.

9.6.5 CHECK YOUR PROGRESS IV

1. Who is the founder of the Sikh Panth?

2. What is the importance of the institution of Langar?

3. When and who compiled the *Adi Granth*?

4. Why was Guru Tegh Bahadur martyred?

5. Why was the Khalsa created by Guru Gobind Singh?

9.7 SUMMARY

Students, in this unit there has been a discussion about the origins, institutions and ideas of Sufism in medieval India. The spread and expansion of various Sufi orders all over India from Kashmir to the Deccan and from Gujarat to Bengal reveal their popularity. Each Sufi order had Shaikhs, texts and Khanqahs. It is important to note that with a change in historical situations, the ideas of different Shaikhs as well as orders also varied. Some orders were regarded as orthodox whereas others were quite liberal. Sufis were popular among the Muslims as well as non-Muslims.

Vaishnava Bhakti has been discussed in terms of Rama Bhakti and Krishna Bhakti in medieval India. Madhavacharya and Ramananda were proponents of Rama Bhakti that visualized a relation of love between God and His devotees. They believed that men could find happiness, knowledge and peace in God alone. Bhakti arose out of a feeling of affection for God as a perfect being. Krishna Bhakti was promoted in different parts of medieval India. Chaitanya

was responsible for the emergence of Bhakti in Bengal in the form of Gaudiya Vaishnavism. Vallabhacharya started the Vallabhacharya Sampradaya in Rajasthan and Gujarat, which was taken forward by his successors. The Varkari movement in Maharashtra had four prominent leaders, Jnandev, Namdev, Eknath and Tukaram.

Monotheistic movements distinct from the existing religious phenomena started by individuals like Kabir and Ravidas have been analysed in this module. The ideology propounded by Kabir discarded all the contemporary systems of religious belief and practice, and expounded a system of his own which cannot be characterized as Islamic or Hindu. Kabir questioned the legitimacy of the hierarchical Varna order based on the principle of inequality. Contesting caste with great verve and consistency, he made spirituality accessible to the lowest of the low. Ravidas had no appreciation for the upholders of traditional religious systems. He was a champion of the downtrodden and was sympathetic to the people who had no caste in society. His path was open to the untouchables as well as Hindus and Muslims.

Students, the birth and expansion of the Sikh movement in medieval Punjab has been dealt with. Sikhism was established by Guru Nanak, the first Guru of the Sikhs in the fifteenth century. He laid down the basic tenets of the Sikh Panth. He laid emphasis on belief in one God, equality, brotherhood, tolerance, Karma, morality, truth, Bhakti and the importance of a true Guru. He set up the institutions of Sangat, Langar and Dharmsal for the promotion of this ideology. These very ideals were taken forward by the following ten Gurus. Guru Arjan Dev and Guru Tegh Bahadur gave up their lives for upholding the ideology given by Guru Nanak. The Khalsa was created by the tenth Guru Guru Gobind Singh in 1699 at Anandpur. The institution of the Khalsa reinforced the ideal of equality that was given by Guru Nanak. The Khalsa way of life made the Khalsa distinct visibly.

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9.9 QUESTIONS FOR PRACTICE

9.9.1 LONG ANSWER QUESTIONS

1. Write a detailed note on Sufism.
2. Discuss the evolution of Vaishnava Bhakti in Medieval India?
3. What do you know about Kabir and Ravidas?
4. Discuss the circumstances and significance of the creation of Khalsa?
5. Explain in detail the martyrdom of Guru Arjan Dev and Guru Tegh Bahadur?
6. Mention the features of the Bhakti Movement in Medieval India.

9.9.2 SHORT ANSWER QUESTIONS

1. Mention four features of the Bhakti Movement.
2. Name four sufi silsilahs that existed in India.
3. Name four reformers of the Bhakti Movement.
4. Give two similarities between Bhakti Movement and Sikhism.
5. Give two social effects of the Bhakti Movement.
6. Give two religious effects of the Bhakti Movement.
7. What is the role of music in Sufism?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: HISTORY OF INDIA: c.1200-c.1750

Unit 10: LITERATURE; ARCHITECTURE; PAINTING

STRUCTURE

10.0 Learning Objectives

10.1 Introduction

10.2 Literature

10.2.1 Sultanate Period

10.2.2 Mughal Period

10.2.3 Check Your Progress I

10.3 Architecture

10.3.1 Sultanate Period

10.3.2 Mughal Period

10.4 Painting

10.4.1 Sultanate Period

10.4.2 Mughal Period

10.4.3 Check Your Progress II

10.5 Summary

10.6 Suggested Readings

10.7 Questions for Practice

10.7.1 Long Answer Questions

10.7.2 Short Answer Questions

10.0 LEARNING OBJECTIVES

Students, after reading this unit you will be able to:

- Analyse literature produced in various languages during the Sultanate as well as the Mughal period.
- Learn about different architectural styles, similarities as well as variations during the Sultanate and the Mughal period.
- trace the evolution of painting as a fine art in medieval India.

10.1 INTRODUCTION

Students, this unit will examine the various aspects of culture like literature, architecture and paintings of medieval India. Coming from Central Asia the Turks brought with them a unique culture. They had inherited a rich Islamic tradition that was reflected in various fields like architecture, literature, painting and science and technology. Persian was their language of governance and culture. Contact between this Islamic and the indigenous Hindu and Buddhist culture resulted in the creation of an accultured society. The result of this mutual interaction could be seen in various fields. Literature in this period was produced in Sanskrit and Persian and numerous regional languages like Gujarati, Bengali, Panjabi, Pashtu, and Kashmiri and Dravidian languages like Tamil, Telegu, Kannada and Malayalam. It was religious as well as secular. The Turks brought with them a distinct architectural style called Saracenic from Central Asia. Its major features were dome, vault and arch. A variety of buildings were constructed using these new characteristics. This module will also take up the new modes of paintings of this period like book illustrations, miniatures and individual portraits.

10.2 LITERATURE

10.2.1 SULTANATE PERIOD

Sanskrit literature continued to be produced during the Sultanate rule in India. Inscriptions in Sanskrit can be noted, for example the long Palam Boali inscription at Delhi, of 1276, praises Ghiyasuddin Balban's rule and labels it as benign. Sanskrit literature produced in the field of religion and law can be seen in the works of Madhava and Vachaspati. Literary works in the field of Advaita philosophy were written in Sanskrit by Ramanuja and Vallabha. Numerous commentaries and digests on the *Dharmashastras* were prepared between the twelfth and the sixteenth centuries. A network of specialized schools and academies in different parts of the country flourished under Muslim rule without any interference. The Jains too contributed to the growth of Sanskrit. Hemchandra Suri was most well-known. The influence of Arabic and Persian in Sanskrit literature could be seen in late fifteenth century. Shrivara in his *Kathakautuka* wrote

the story of Yusuf and Zulaikha in the form of a traditional Sanskrit love –lyric. This was composed under the patronage of the Sultan of Kashmir, Zainu’I ‘Abidin (1420-70). The Sultan also encouraged Bhattavata who composed *Zainavilas*, a history of the rulers of Kashmir.

The Turks introduced Persian poetry and prose to India. Literary forms of India too contributed to Persian literature, leading to a synthesis. Most notable figure in Persian poetry was Amir Khusrau (1253-25). He wrote five *masnawis* or romance (*Panj Ganj*), and a contemporary historical romance, the *Dewal Rani Khizr Khani*. His numerous historical works included *Khaza’inu’I Futuh* and *Nuh Sipihr*. He can be labelled as India’s first patriotic poet. In his *Nuh Sipihr*, he praises the climate of India, its languages, notably Sanskrit, its learning, its arts, its music, its people, even its animals. Amir Khusrau’s contemporary, Amir Hasan was also a well-known literary intellectual. Amir Hasan has provided an account of the Sufi mystic Nizamuddin’s conversations in *Fawaidul Fawad*.

Well known historians of this period were Ziya Barani, Afif, Isami and Minhaj Siraj. Fluent and forceful Persian prose can be seen in Ziya Barani’s *Tarikh-I Firoz-Shahi*. He also authored *Fatawa-i Jahandar*. Fakhuru’din Qawwas, a contemporary of Alauddin Khalji, wrote *Farhang-I Qawwas*, the earliest extant Persian dictionary composed in India. Another dictionary *Miftahu’l Fuzala* was compiled by Muhammad Shadiabadi in Malwa in 1468-69, concentrating on words indicating things of every-day life and instruments. This dictionary provides equivalent ‘Hindwi’ words. Numerous works were translated from Sanskrit to Persian. Sanskrit texts on medicine and music were translated to Persian under the patronage of Firuz Tughlaq. Sultan Zain-ul-Abidin of Kashmir had the *Mahabharat* and *Rajatarangini* translated to Persian.

Few literary works were produced in Apabhramsh (corrupt language) in this period. Two works may be mentioned: Abdur Rahman’s *Sandesharasaka* and a collection of tracts written by Hakkura Pheru at Delhi on coinage, jewels and arithmetic, which forms a unique literary source for economic history. Jain writing in both Apabhramsh and Maharashtri form of Prakrit could be noted in this period.

A wide range of regional literatures emerged during the Sultanate period. The earliest literary works were religious songs or secular ballads, that were initially only recited and only later put into writing. In Gujarati, these took a developed form from Vajrasena. Narasimha Mehta composed devotional lyrics praising Lord Krishna. In Rajasthan, *Prithvi Raj Raso*, was written by Chand Bardai, based on Prithvi Raj Chauhan and his battles with Muhammad Ghori.

Mature literature was produced in Dravidian languages during the Sultanate period. The Epics were written earlier in these languages. Kampan composed *Ramayana* in Tamil in the eleventh century. Pampa II, a Jain, translated it into Kannada in the twelfth or thirteenth century. In Telugu, Nanniah had begun a version of the *Mahabharata* in the eleventh century. Villiputturar wrote a Tamil version in the fourteenth century. In the next century, Naranappa, wrote a Kannada version. *Ramacharitam*, was written as the first literary text in Malayalam. Secular literature too was produced by the Tamil poet, Kalamekam in the fifteenth century.

10.2.2 MUGHAL PERIOD

As Persian and Sanskrit languages were spoken by a select few, the literature too was the domain of upper classes in Mughal India. Persian was the language of higher administration in the Mughal Empire and the Deccan Sultanates. It was also in use in the courts of the Rajput states. Interactions of Persian with Indian languages resulted in the birth of a new language, Urdu.

Indian contribution to Persian lexicography, can be seen in Jamaluddin Husain Inju's *Farhang-I Jahangiri* and Abdur Rashid Tattawi's *Farhang-i Rashidi*. Tek Chand Bahar's, *Bahar-i-Ajam* was the greatest and most comprehensive of all pre-modern Persian dictionaries. Bahar quotes poets and prose-works, arranged in a rough historical order to form an understanding. Mirza Jan in his *Tuhfatu'l Hind* treated different aspects of Indian literary styles and music. He also provided a very extensive glossary of the Braj dialect.

Most important Indian prose-writer of the Mughal times is Abul Fazl. He is held in high esteem for a polished style as well as the content of his work. He compiled the history of Akbar in the *Akbarnama*. He gives a description of Mughal administration, the provinces of the Empire and the culture and sciences of India in his *Ain-i-Akbari*. Some literary works were produced during Shahjahan's reign like Abdu'r Hamid Lahori and Muhammad Wari's *Padshahnama*. Muhammad Kazim wrote the *Alamgirnama* in the seventeenth century. These works were mere official chronicles lacking the philosophical depth of *Akbarnama*.

Another category of Persian literature included the Memoirs of Babur originally written in Turkish, but translated in 1588-89 to Persian. Jahangir's memories talked of natural history and arts. Regional histories, like Mir Masum's history of Sind and Ali Muhammad Khan's history of Gujarat was yet another class of literature. General histories of India included Nizamuddin Ahmad's *Tabaqat-I Akbari*, Muhammad Qasim Firishta's *Gulshan-I Ibrahimi* and 'Abdu'l Qadir Badauni's *Muntakhabu't Taqarikh*. Then there were collections of biographies of nobles, scholars, poets, and religious persons. Most important work of this kind compiled in India is Shah-Nawaz Khan's *Ma'asiru'l Umara*, a biographical dictionary of Mughal nobility.

Religious literature too was written in Persian in India. The anonymous *Dabistan* was an account of the beliefs and practices of different religions presented fairly. Sanskrit texts, like the *Mahabharata* was translated to Persian. It was commissioned by Akbar. Dara Shukoh translated the *Upanishads*. Persian poetry was influenced by Indian words and ideas. Two well-known Persian poets, Urfi and Abu'l Faiz Faizi obtained considerable recognition outside India as well.

Considerable Sanskrit literature was produced during Mughal rule. Much of it was religious, dealing with philosophy and law. Nagoji Bhatta (c1700) wrote a commentary on Kaiyata's commentary on Patanjali's *Mahabhashya*. Shahjahan's court poet, Jagannatha Pandita wrote *Rasagangadhara* and *Bhaminivilasa*. Tales, fables and legends continued to be composed in Sanskrit. Ballasena wrote a collection of legends about King Bhoja's court in the *Bhojaprabandha*. In the seventeenth century Narayana composed *Svahasudhakarachampu*. Scientific literature in Sanskrit too was written in this period. Notable among such works was

one by Akbar's astronomer, Nilakantha, the *Tajikanilakanthi*. In 1643 Vedangaraya compiled *Parasi-prakasha*, a Persian-Sanskrit glossary of astronomical terms.

Major dialects like Awadhi and Braj too produced literature in the Mughal period. Kabir's Dohas and *Padmavat* of Malik Muhammad Jayasi were in Awadhi. Written in Akbar's reign, Tulsidas's *Ramcharitmanas*, was very popular. In the Western Hindi dialect of Braj, there are the devotional lyrics by Surdas, the literary poems of Abdu'r Rahim Khan-I Khanan, and the Satsai of Bihari Lal. Non-literary Khari Boli dialect was used by Sadasukhlal and Insha Allah Khan Insha who wrote on secular themes in the late eighteenth and early nineteenth centuries. In the Mughal court, armies and people from different regions speaking various dialects, contributed to the evolution of Urdu. The eighteenth century saw the flowering of Urdu. It was used by the satirical poet Sauda and the lyricist Mir. This effort resulted in the birth of 'Hindustani', which both literary Hindi (written in Devnagari script) and Urdu (written in Arabic script) shared.

Regional literature flourished in this period. Bayazid Raushnai's religious text *Khairu'l Bayan* was in Pashtu, language of the Afghans. History of Kashmir literature began with the love-verses of Habba Khatun. Rupa Bhawani composed devotional verses in the Bhakti tradition. Literature in the Panjabi language began with the verses of Guru Nanak. The compilation of the *Adi Granth* by Guru Arjan was an important landmark in the history of the Panjabi language. Sikh literature also included the *Janamsakhis* and *Vars*. The great poet Bulhe Shah (1680-1757), wrote against the uselessness of ritual and religious hypocrisy. The secular element in Panjabi is represented by the romance of Hir and Ranjah composed by Damodar. A popular version of the same was written by Waris Shah.

Bengali literature flourished in the sixteenth century. Important works included Brindavandas's *Chaitanyamangal*, a long narrative poem about a semi-divine religious figure and Krishndas Kaviraj's *Chaitanyacharitamrita*, a work of Vaishnav faith. The Chaithanya cult gave rise to much poetry on the love of Krishna and Radha, especially in a variant of Bengali called Brajbuli. A poet, Bharatchandra Ray introduced historical romance into Bengali with his *Mansimha*. In Assamese, there was Vaishnavite *bhakti* poetry by Sharikaradeva. In Oriya, Ramachandra Patnaik (c.1600) wrote *Haravali*, a romance of common folk. Mirabai authored devotional songs in Gujarati, Rajasthani and Braj. Narasimha Mehta wrote devotional poetry in Gujarati. The most outstanding Gujarati poet was Premanand Bhatta who wrote narrative poems. Marathi literature was dominated by the popular devotional verses of Tukaram. Ramdas and Mukeshwar composed the *Ramayana* and *Mahabharata* in more literary Marathi.

Telugu literature flourished due to the patronage of the Vijayanagara rulers. The court poet of Krishnadevaraya, Allasani Peddana composed *Manu-Charitra*, a rich description of romance and passion. Krishnadevaraya himself wrote *Amuktamalyada*, a work on political conduct, morals and religion. Shaivite and Vaishnavite schools contributed to Kannada poetry. A well known poet was, Sarvajna. A poetess at the court of Chikkadeva Raya of Mysore was Sanchi Honamma. In her *Hadibadeya Dharma* ('Tenets for Chaste and Devoted Wives'), she

protests against women being considered as inferior to men. Kannada also produced scientific literature, comprising works on grammar, lexicography, medicine and mathematics.

Tamil literature was dominated by Shaivite works. In the sixteenth century Varathunga composed *Pramottara Kundam*, proclaiming his devotion to Shiva. Devotion to Vishnu was represented by Pillaipperumal's *Ashtaprabandham*. One interesting development was the contribution to Tamil prose made by Christian missionaries. Two great Malayalam works being Thunchathu Ezhuthachan's *Adhyatma Ramayanam* and *Mahabharatam*. The dance-drama (*Attakkatha*) developed as a form specific to Malayalam.

10.2.3 CHECK YOUR PROGRESS I

1. What do you know about Amir Khusrau?

2. Who was Hemchandra Suri?

3. Which literary work talks about Prithvi Raj Chauhan?

4. Who was Kampan?

5. Give two literary works in Awadhi dialect?

6. Write a note on Panjabi literature.

10.3 ARCHITECTURE

10.3.1 SULTANATE PERIOD

A distinct architectural style called Saracenic came to India with the Turks. Its major characteristic was the use of arch, vault and dome, and the application of lime cement. The arch and the dome dispensed with the need for a large number of pillars to support the roof and allowed the construction of large halls with a clear view. It was useful in mosques as well as palaces.

Initially, in the thirteenth century, this new architecture lacked high domes and perfect arches as the local builders were still learning these forms and were not perfect. The buildings of the Quwwatul Islam Mosque in Delhi and Arhai Din Ka Jhonpra in Ajmer had false

arches and imperfect domes. Adjacent to the Quwwatul Islam Mosque was built the Qutb Minar. It was originally four-storeyed, rising to 72.5 meters; fourteenth-century repairs under Firuz Tughlaq added a fifth storey and raised the height to 74 meter (with 379 steps). Its height, the angular flutings, raised belt marking its storeys, and the easy sloping of the tower upwards, all were features of a remarkable monument. The second stage of mature architecture came when artisans became skilled enough to construct the true arch and dome. The first true arch is found at Delhi in the tomb of Sultan Balban and the first dome in the elegant Alai Darwaza (1310) constructed during the rule of Alauddin Khalji.

In the first half of the fourteenth century, the palace fortress complex of Tughluqabad was laid out at Delhi. The tomb of Ghiyasuddin Tughlaq was made of red sandstone and marble, with battering walls carrying the marble dome. Under Firuz Tughlaq construction on an exceptionally large scale took place at Delhi. During the Lodi period, the Indian architects and masons had mastered the Sarasenian style. A new device, the double dome can be seen in the tomb of Sikander Lodhi. By putting an inner cover inside the dome, the height remained proportionate to the room inside. Another device used by the Lodis was placing their buildings on a high platform. Thus, giving the building a feeling of size as well as a better skyline. Some of the tombs were also in the midst of gardens. The Lodi garden in Delhi is a fine example.

While decorating the Turks refrained from using representations of human and animal figures in their buildings. They used geometrical and floral designs. These were often combined with panels of inscriptions containing verses from the *Quran*. The combination of these decorative devices was called Arabesque. They also borrowed Hindu motifs such as the Bel motif, the bell motif, swastika and the lotus. The Turks added colour to their buildings by using red sandstone. Yellow sandstone and marble were used in these buildings for decoration.

Number of provincial styles could be seen in the fifteenth century. They were the Sharqi (Jaunpur), Bengal (Gaur), Malwa (Mandu) and Gujarat (Ahmadabad). Bahmani style of architecture could be seen in monuments at Gulbarga and Bidar. At Gulbarga the Jami' Masjid is remarkable as it had a roof of 2,854 square meters, aided by 63 small domes. In Kashmir wood was used for construction, marked by pyramidal roofing.

As royal patronage mostly went to mosques in this period, not many temples were constructed. From 1295 to 98, the ruler of Arakan (north-eastern coast of Myanmar coast) carried out extensive repairs of the Mahabodhi temple, at Bodhi Gaya. In the late fifteenth century Man Singh, the ruler of Gwalior, built the grand fort-palace complex Man Mandir. Many monuments were built at Vijayanagara (Hampi, Karnataka). Stone temples were constructed in the Dravidian style. In and around the palace complex, arcuate technique was used with both true and false arches and domes. A bridge with beams on single stone-block piers across the Tungabhadra was constructed.

10.3.2 MUGHAL PERIOD

Architecture during the Mughal period excelled as it absorbed various elements. Much was retained from the sultanate architecture like the arch, dome and vault. The Mughals added

features from the provincial styles, that of Gujarat, Rajasthan, Malwa, the Sharqi Kingdom and Bengal. New fashions were brought from Central Asia and Iran, symbolized by the bulbous dome, *pietradura* work, and the rectangular garden settings. The most fascinating feature of Mughal architecture was the 'spirit of experimentation and innovation'. Akbar's palace-city of Fatehpur Sikri is a brilliant exhibition of this spirit.

The main Mughal period was preceded by the brief but rich interlude of the Sur dynasty in which the Purana Qila at Delhi and the tombs of Sher Shah and Islam Shah at Sahasram in Bihar were built. The Purana Qila is a huge structure with walls of grey stone and a gateway of red sandstone with white marble inlay and inset with blue glaze. The tomb of Sher Shah was built at the centre of a large pond. The octagonal building was based on a high square platform which is linked to the main building by kiosks at the corners. There is an arched verandah around the building and a massive dome that rises in stages. The dome is covered by a 'lotus finial'. Sher Shah Mausoleum gives the impression of 'strength and solidarity'.

Mughal architecture with all its features could be seen in the tomb of Humayun at Delhi. It is a 'domed building with kiosks and cupolas (*chhatris*) set on a large platform, and it surrounded by a rectangular walled garden, which is served by straight, criss-crossing water courses'. Akbar rebuilt the fort at Agra in red sandstone. The city of Fatehpur Sikri was laid out chiefly in the 1570s and here again mostly sandstone is used.

'The great mosque, dominated by the greatest of Mughal gateways, the Buland Darwaza, fronting the mosque, sets the alignment for the extensive place-complex with courtyards and tanks. The river Utangan was dammed to provide water which was lifted by water wheels and taken to the complex and to its tanks by aqueducts'.

Akbar's own mausoleum at Sikandra, near Agra, was innovative with its storeys of colonnades and an undomed marble top storey. In Jahangir's tomb at Lahore too the dome is absent.

The tomb that Shahjahan built for his wife Mumtaz Mahal at Agra is known as the Taj Mahal. Built by the river Yamuna:

'the building was made part of a carefully planned minor city, with shops and a caravanserai, all arranged on a strictly geometrical rectangular pattern. The building itself, with its entire facing of marble, is flanked by two buildings in red sandstone and has in front a monumental gateway, all the three of these latter being architecturally important buildings in their own right. The water-channel and pathway from the gate to the tomb, with the park around, are essential to the beauty of the whole. We have, then, the main marble structure itself, with its large platform, four free-standing minarets at each of its corners, the great bulbous dome (built on an inner dome) rising in the centre over a large front, the latter representing a Mughal recessed gateway. There are four subordinate cupolas (*chhatris*) around the dome which keep their subordinate place by not rising above its base'.

The *pietradura* work within the Taj Mahal, with rare semi-precious stones and the exquisite marble carving was done by skilled craftsmen, both Indian and Iranian.

The Mughal architecture reached its apex under Shahjahan. The Red Fort and the Jami' Masjid at Delhi were part of a planned city, Shahjahanabad. The Jami' Masjid is undoubtedly the greatest of the Mughal mosques and displays a mixture of marble with sandstone. The long reign of Aurangzeb (1659-1707) saw much building activity, but nothing extraordinary architecturally. The two buildings of note are his Badshahi mosque at Lahore, and the marble tomb of Rabi'a Daurani at Aurangabad, an imitation of the Taj Mahal.

Important monuments reflecting Mughal architecture can also be seen in Srinagar, Lahore, Ajmer, Allahabad, Jaunpur and Raj Mahal. Moreover, the buildings of the Mughal style are not confined merely to forts, palaces, mosques and tombs. The Mughals build many bridges, the greatest of them being the bridge over the Gomati river at Jaunpur completed in 1567-68. Numerous caravanserais were built. They were often massive rectangular structures with courtyards, verandahs and cells. Best example of civil engineering seems to have been the west Yamuna Canal, built by Shahjahan. It was about 250 kilometers in length, it ran through deep cuts and over huge masonry aqueducts to provide water to Delhi, from a level much above that of the river Yamuna.

The Mughals laid out beautiful gardens as adjuncts to their great buildings, especially tombs, but were often independent units in themselves. Each garden was usually divided into four parts with well-arranged flower-beds and fruit-trees, and provided with water tanks, wells and masonry channels, with sometimes a domed pavilion with cells. These gardens were for private use but some were also open to the public.

Mughal architecture was also imitated in this period. Among the most successful were the rulers of Amber, who built the palace-complex at Amber in the seventeenth century, and the new city of Jaipur in the eighteenth century, in Rajasthan. The temple of Govind-dev at Vrindaban, near Mathura, was built in 1590 by Akbar, in the Mughal style, with domes and vaults. The main hall in the form of a cross with Galleries above the main hall resemble the interior of a church.

Let us now take note of the architecture of the Deccan Sultanates during their last phase in the sixteenth and the seventeenth centuries. The Char Minar at Hyderabad built in 1591, is a gateway with four sides and four openings, surmounted by storeys of colonnades, and four massive towers at each corner. It is a well-known symbol for that city. At Bijapur the tomb of Muhammad 'Adil Shah called the Gol Gumbad, has the largest true dome in India.

In South India, temple architecture of the 'Dravidian' Style continued. Best examples are the Minakshi Sundareshwara temple at Madurai built in the seventeenth century and parts of the Ramalingeshwara temple at Rameshvaram built in the seventeenth and the eighteenth centuries. This temple 'has an inner corridor, 650 meters in length, the roof carried on heavy, sculptured pillars'. The Dravidian style can also be noted in Kerala. The Padmanabhaswamy temple was built in this style in 1729 in Thiruvananthapuram. Wood is used in its construction.

During this period in Goa, the Portuguese followed European styles in their buildings. The Basilica of Born Jesus was built (1549-1605), with a combination of Renaissance and Baroque styles, while the Se Cathedral (1562-1619) is purely influenced by Renaissance style.

10.4 PAINTING

10.4.1 SULTANATE PERIOD

Painting as a fine art was not popular in the Sultanate period. Tradition of wall paintings in private homes existed among Muslims outside India. A rich tradition of painting had developed in Shiraz in Persia. Amir Khusrau tells us that the art of painting was practiced by the ruling classes. During the fifteenth century when the provincial kingdoms of Gujarat, Malwa and Jaunpur emerged as patrons of art, many artists moved from Shiraz to these regions. Book illustration became popular from the thirteenth century onwards. A recognized school for the same emerged in Malwa where manuscripts and the dictionary *Miftahul Fuzala* were ‘profusely illustrated’. These illustrations were extremely precise and accurate. A school of miniature painting continued from the past in Gujarat and Rajasthan. They could be seen in the form of Jain book illustrations. It is marked by certain conventions such as putting both eyes on figures in profile, one of them necessarily projecting out.

10.4.2 MUGHAL PERIOD

Painting of the Mughals has received international recognition. Miniature painting was popular and was done mostly on paper. Two important masters were Abdus Samad and Mir Sayyid ‘Ali, both of whom came to India with Humayun in 1555-56. Akbar created a new school by getting the illustration of the *Hamzanama* done in the 1560s. After this the illustration of a number of other manuscripts throughout Akbar’s reign was done, for which painters were recruited from various parts of India. Thus, the influences of the existing schools of Malwa, Gujarat, Rajasthan, Gwalior and Kashmir began to be reflected in this work. Abul Fazl gives a list of painters, praising especially Daswant. Composite paintings, where portraits are drawn by one painter, the rest by another, were also done. Sometimes even three painters were involved. This contributed to ‘creative synthesis’. Emphasis on realism in portraiture as well as in scenic or historical detail is evident. Akbar became interested in European painting and Christian themes were introduced.

Jahangir’s rule marked the peak of achievement for Mughal painting. Now the focus was on albums and individual portraits. Jahangir was especially interested in the portraits of individuals and the depictions of birds and animals, trees and flowers. In the latter sphere, Mansur was the master. European influence was now increasingly visible, without however affecting the individuality of the Mughal style. Under Shahjahan and under the patronage of Dara Shukoh, Mughal painting reached fully maturity, though the number of paintings declined. Bichitr’s “Sufic Singers”, showing ordinary men in an ordinary wayside scene, is one of the

masterpieces of Mughal art. Its realism is reminiscent of Renaissance painting, while the attention given to the minutest detail is in the classic Mughal style.

Themes selected by Mughal painters were scenes of battles, hunting, celebrations at the Imperial Court, and assemblies of religious men. Mughal painting was essentially secular, being intended not for the religious, but for the cultured. In Rajasthan and the Western Himalayas, the Rajput and Pahari schools came into existence. Both secular and devotional painting became increasingly popular.

10.4.3 CHECK YOUR PROGRESS II

1. What do you understand by the Sarasenic style of architecture?

2. Mention the provincial architectural styles prevalent in the fifteenth century?

3. Write a note on the palace city of Fatehpur Sikri.

4. Write a note on Taj Mahal.

5. Write a note on the Mughal gardens.

6. Mention the buildings of Goa.

7. Write a note on Mughal paintings.

10.5 SUMMARY

Students, this unit focused on the new cultural environment that emerged in medieval India as a result of intermingling of two distinct cultures with the establishment of Islamic rule. Literatures that was produced in Persian and Sanskrit belonged to ‘high culture’, as these languages were not spoken by ordinary people. This period saw the emergence of a new language, Urdu that was born as result of interaction between Persian and local Hindi dialects. Large variety of literature

that sprang from this period included religious texts, General histories, biographies, poetry, dramas, dictionaries, official chronicles, tales and legends. Numerous literary works were translated from Sanskrit to Persian. Regional literature too flourished during this period. The literary development of a number of India's major regional languages is certainly an important phenomenon. It is evident that religion was the dominant genre in the literary output of most regional languages. Perhaps such literatures deepened the uniformity of beliefs across regions in India. As the focus was predominantly on religion in regional literature, secular themes like politics, dramas, reason and science remained restricted. Architecture flourished in medieval India. The Turks introduced new features like the arches, domes and vaults in the architectural style. The Indian artisans and masons soon perfected the skill to construct buildings with these new characteristics. This resulted in the construction of magnificent buildings like the Alai Darwaza. Numerous Dravidian style temples came up at Vijayanagara like the Virupaksha Temple. The contribution of the Mughals in the field of architecture exceeded that of the Sultanate. Emphasis on detail and good taste resulted in the creation of some breath-taking monuments. We see the synthesis of many styles like Indian, Iranian and Central Asian in these buildings. An important feature of Mughal architecture was the will to experiment and innovate. The best examples are Akbar's palace-city of Fatehpur Sikri and Shah Jahan's Taj Mahal. The Mughal buildings were not limited to forts, palaces, mosques and tombs. The Mughals built bridges, canals, caravanserais and laid out beautiful gardens. In South India, Dravidian style temple architecture can be noted at Madurai and Rameshwaram. In the field of Painting, book illustration and miniature painting was popular in Sultanate India. Painting of the Mughal period far exceeded that of the Sultanate. Jahangir's reign marked the peak of painting. Focus was on individual portraits and depiction of flora and fauna. One notices the influence of Renaissance paintings on Mughal art during Shah Jahan's rule. Significantly, Mughal art was 'essentially secular'.

10.6 SUGGESTED READINGS

Satish Chandra, *Medieval India: From Sultanate to the Mughals, Delhi Sultanate*, Part I, New Delhi: Har Anand Publications, 2010 (rpt.).

Satish Chandra, *Medieval India: From Sultanate to the Mughals, Mughal Empire*, Part II, New Delhi: Har Anand Publications, Students this module has 2010 (rpt.).

Irfan Habib, *Medieval India: The Study of Civilization*, New Delhi; National Book Trust, 2007.

Catherine B. Asher, *Architecture of Mughal India*, New Delhi: Cambridge University Press, 1992.

Mila Cleveland Beach, *Mughal and Rajput Paintings*, New Delhi: Cambridge University Press, 1992.

10.7 QUESTIONS FOR PRACTICE

10.7.1 LONG ANSWER QUESTIONS

1. Trace the developments in the field of architecture under the Delhi Sultanate.
2. Discuss the major literary works under the Delhi Sultanate?
3. Write a note on the Mughal paintings.
4. Explain in detail the architectural developments under the Mughals?
5. Write a detailed note on the developments in the field of literature under the Mughals.

10.7.2 SHORT ANSWER QUESTIONS

1. What is the meaning of the term Arabesque?
2. What is the contribution of Lodis to architecture?
3. What kind of decorations did the Turks use to beautify the buildings?
4. Name two important literary works of Abul Fazl?
5. Name two Persian poets.
6. What do you know about the work *Dabistan*?

GLOSSARY

amils: revenue officers

amir-i-akhur: amir or officer commanding the horse

amir-i-hajib: officer-in-charge of the royal court

amirul mominin: commander of the faithful; the caliph

arz-i-mamalik: minister in charge of the army of the whole country

barid: intelligence officer appointed by the state to collect information

bakhshi: a military paymaster also in charge of military inspections and intelligence gathering

bhakti: popular devotional Hinduism centered on poet saints and their followers

bigah: unit of land area standardized by imperial decree at approximately three-fifths of an acre

charai: a tax on cattle

chatr: royal umbrella

chaudhuri: in north India quasi-official recognized as the headman of a pargana by the imperial authorities

chauth: traditional one-fourth portion of the land revenues claimed by zamindars and later the Marathas in western India

chhatrapati: Sanskrit term for all-conquering ruler

dagh: mark of branding

darogha: a minor officer in charge of a local office

dar-al-islam: the abode or land of legitimate Islamic rule and practice

dar-al-jihad: the land of war or unbelief

deshmukh: in the deccan a quasi-official recognized as the headman of a pargana by the imperial authorities

diwan: a fiscal or revenue officer within the Mughal administration

diwan-i-khalisa: officer in charge of all lands and revenue producing units administered directly by the emperor

diwan-i- kul: wazir or chief imperial fiscal minister

diwan-i-tan: Mughal minister in charge of salaries and prerequisites for mansabdars

farman: a royal order

fatwa: a public ruling on a point of law issued upon request by a Muslim jurist or mufti

faujdar: a Mughal officer given military and executive responsibility in a fixed area.

gazz-i-sikandari: the yard of sultan sikandar lodi

hadis: acts or words of the Arabian prophet

imam: supreme commander, leader; also, the person leading the congregational Muslim prayers

inam: gift; reward

iqta: a governorship; or grant of revenues of a piece of land

iqadar: governor or a person in whose charge an *iqta* has been placed

jagir: a piece of land assigned to a government officer by the state

jitals: copper coins of the Delhi sultanate

jizya: has two meanings: (a) in the literature of the Delhi sultanate, any tax which is not kharaj or land tax; (b) in the shari'at: a personal and yearly tax on non-Muslims

jama: total revenues or revenue demand

jauhar: killing of female dependents in a last rite of defeated Rajput warriors who then seek a suicidal death in battle

jihad: striving on behalf of the Islamic faith in the conflict with unbelievers

karkhanas: royal factories or enterprises for producing or collecting commodities required by the state

khalifa: caliph, commander of the Faithful, or successor of a sufi

khalisa: income which went directly to the king

khanqahs: a house of mystics but more commodity than the jamaeat khana

kharif: a winter crop in India

khil'at: robe of honour

khilafat: caliphate; commander of the faithful

kharaj: land revenue; tribute paid by a subordinate ruler

karuri: a revenue official under Akbar

khalifa: the caliph or the secular successor to the Prophet Muhammad who assumes leadership of the entire Muslim world

khutba: prayers which acknowledge the legitimate ruler of the kingdom uttered at the time of the weekly congregational Friday prayers

kotwal: a city magistrate

madad-i-maash: grant of land or pension to religious or deserving persons

madrassa: an educational institution

mameluks: slave-officers

muhtasib: an officer appointed to maintain regulations in a municipality

mullahs: persons claiming, to be religious leaders of the Musalmans

muqaddam: village headman; literally the first or senior man

mushrif-i-mamalik: accountant for all provinces

mansab: rank, status and position denoted by numerical rank and title

mansabdar: officer holding a specified numerical rank and title awarded by the Mughal Emperor

mir bakhshi: a high-ranking officer reporting directly to the emperor in charge of military pay, inspections, recruitment, and intelligence

mir saman: officer in charge of the royal household, palaces, treasuries, mints and royal construction projects

mufti: a Muslim jurist who issues public decisions on legal matters

mujtahid: interpreter of the Holy Law of Islam

murid: disciple who has sworn devotion to a Sufi master or to the Mughal emperor

naib: deputy, assistant, agent, representative

paibos: kissing the feet, a ceremony generally reserved for God

pir: spiritual guide

paibaqi: unassigned jagir lands managed temporarily by the diwan-i-khalisa

pargana: a small, named and bounded, rural administrative area containing between ten to over one hundred villages and one or more larger towns

pir: a Sufi saint or master

qasbas: towns

qazi: a Muslim judge

qanungo: quasi-official recognized by the imperial administration as the keeper of revenue records for a pargana or district in North India

rai: a Hindu chief, usually one having his own territory and army

sadah: literally one hundred; the term *sadah amirs* meant officers controlling territory containing about a hundred villages

sadr-i-jahan: title of the central officer of the Delhi sultanate, who was in charge of religious and charitable endowments

sama: an audition party of the mystics

sarrafs: money-changers, bankers

sarai: inn

sarai-adl: name given to Alauddin Khalji's market in Delhi for the sale of cloth and other specified commodities

shahr: city, used for the capital, Delhi

shari'at: Muslim religious law

shiqdar: an officer-in-charge of an area of land described as a *shiq*

shahna-i-mandi—officer-in-charge of the grain-market

sufis: mystics

sadar: Muslim head of religious patronage for the Mughal emperor.

sardeshmukh: chief of the deshmukhs within a province or region

sardeshmukhi: that ten percent of the revenue allocated to the chief deshmukh or a region

sarkar: a named territorial and administrative unit between the pargana and province

sijdah: the extreme form of ceremonial prostration favoured by Sufi disciples before their masters and adapted by Akbar for his court

tanka: silver coin of the Delhi Sultanate

tauhid: unity of God

taluqdar: a zamindar who collected land revenues from his fellow zamindars in return for a commission from the imperial revenue ministry

ulema: Muslims of religious learning; plural of *alim*

umara: Plural of amir; amir means ruler or commander

urs: the anniversary of the death of a revered saint

vakil: deputy or assistant, chief minister in Akbar's early years.

wajhdar: a salaried officer

wali: governor

waqf: a trust for religious and charitable purposes founded by a Muslim

watan: ancestral lands held in the family of a Maratha chief or warrior

watan jagir: ancestral holdings assigned in jagir to Rajput Mughal officers

wazir: chief fiscal minister for the Mughal emperor

zawabits: state laws

zakat: obligatory tax levied on the property of Muslims every for charitable purposes

zamindars: landlords or landholders who controlled the peasantry directly

zat: personal numerical rank held by a Mughal officer

zimmi: protected non-Muslims

CHRONOLOGY

712 A.D.—Conquest of Sind by Muhammad bin Qasim
998-1030 A.D.—Mahmud of Ghazni
1191A.D.—Defeat of Muhammad Ghori at the first battle of Tarain by Prithviraja Chauhan
1192A.D.—Second battle of Tarain, defeat of Prithviraja Chauhan
1192-93A.D.—Delhi seized by Qutbuddin Aibak
1200A.D.—Conquest of Bihar and Bengal by Ikhtiyar ud-Din Bakhtiyar Khalji
1206A.D.—Death of Muhammad Ghori

Ilbari Turks; 1206-90

1210A.D.—Death of Qutbuddin Aibak
1235A.D.—Death of Khwaja Qutubuddin Bakhtiyar Kaki
1236A.D.—Death of Sultan Iltutmish
1236-40A.D.—Raziya
1246-66A.D.—Nasiruddin Mahmud Shah
1266-87A.D.—Ghiyasuddin Balban

Khaljis: 1290-1320

1290-96A.D.—Jalaluddin Khalji
1294A.D.—Devagiri invaded by Alauddin
1296-1320A.D.—Alauddin Khalji
1297A.D.—Conquest of Gujarat
1303A.D.—Capture of Chittor
1306-07A.D.—Expedition of Devagiri
1309-10A.D.—Malik Kafur's invasion of Warangal
1310-11A.D.—Kafur's invasion of Devasamudra near Bangalore
1316A.D.—Death of Alauddin Khalji
1316-20A.D.—Qutubuddin Mubarak Shah

Tughlaqs: 1320-1414

1320-25A.D.—Ghiyasuddin Tughlaq
1325-51A.D.—Muhammad-bin Tughlaq
1327A.D.—Deogiri, renamed Daulatabad, made the second capital
1330-32A.D.—Token currency
1332A.D.—Arrival of Ibn Battuta in India
1347A.D.—Foundation of the Bahmani kingdom
1351-88A.D.—Firuz Tughlaq
1353-54A.D.—Firuz's first Bengal expedition
1359A.D.—Firuz's second Bengal expedition
1365-66A.D.—Firuz's Thatta Expedition
1376A.D.—Levy of *jizyah* on the brahmans
1388-1414A.D.—Successors of Firuz
1398A.D.—Timur seized Delhi
1399A.D.—Timur re-crossed the Indus

The Sayyids: 1414-1451

The Lodhis: 1451-1526

1451-89A.D.—Bahlul Lodhi
1489-1517A.D.—Sikandar Lodhi
1517-26A.D.—Ibrahim Lodhi

Mughals: 1526-1707

1526-30A.D.—Zahiruddin Muhammad Babur
1530-40A.D.—Humayun's first reign
1540-45A.D.—Sher Shah Sur
1542A.D.—Birth of Akbar at Amarkot in Sind
1545-54A.D.—Islam Shah
1555A.D.—Humayun's second reign
1556-1605A.D.—Jalaluddin Akbar
1560A.D.—Fall of Bairam Khan
1562A.D.—Akbar's first pilgrimage to Ajmer
1563A.D.—Remission of tax on Hindu pilgrim centres
1564A.D.—Abolition of *jizyah*
1568A.D.—Fall of Chittor
1569A.D.—Birth of Prince Salim, order given to build Sikri palaces
1571A.D.—Akbar at Fatehpur Sikri supervising construction work
1572A.D.—Gujarat campaign
1573A.D.—Akbar's lightning raid on Gujarat
1575A.D.—Building of the Ibadat Khana
1579A.D.—The *Mahzar*
1580-81A.D.—Bihar and Bengal rebellions suppressed
1586A.D.—Annexation of Kashmir
1590-91A.D.—Conquest of Sind
1599A.D.—Akbar left Agra to command the Deccan Expedition
1600A.D.—Rebellion of Prince Salim
 Fall of Ahmadnagar
1605A.D.—Death of Akbar
1605-27A.D.—Jahangir
1611A.D.—Jahangir marries Nur Jahan
1627A.D.—Death of Jahangir
1628-58A.D.—Shahjahan
1638A.D.—Qandahar surrendered by the Iranian governor, Mardan Khan
1664A.D.—Shivaji's first sack of Surat
1666A.D.—Death of Shahjahan in captivity at Agra
1667A.D.—Shivaji's second sack of Surat
1674A.D.—Aurangzeb leaves for Hasan Abdal to suppress Afghan uprisings
1675A.D.—Execution of Guru Tegh Bahadur
1679A.D.—*Jizyah* re-imposed on Hindus
1680A.D.—death of Shivaji
1681A.D.—Rebellion of Prince Akbar foiled

Aurangzeb leaves Ajmer for the Deccan
1686A.D.—Bijapur seized by Aurangzeb
1687A.D.—Golkonda seized by Aurangzeb
1689A.D.—Shivaji's son, Shambhaji, and his family taken captive, Shambhaji executed
Rajaram, the Maratha king, makes Jinji his centre for operations against the Mughals
1707A.D.—Aurangzeb's death



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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

BLAB31204T: POLITICAL THEORY II

CORE COURSE (CC): POLITICAL SCIENCE

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**JAGAT GURU NANAK DEV PUNJAB STATE OPEN UNIVERSITY,
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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centre /Study Centres, to enable students to make use of reading facilities, and for curriculum-based counseling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE (CC): POLITICAL SCIENCE

SEMESTER – II

(BLAB31204T) POLITICAL THEORY II

MAX. MARKS: 100
INTERNAL: 30
PASS: 35%
EXTERNAL: 70
Credits: 6

Objective:

This course aims to introduce the students to the basic concepts and themes of the discipline of political science. It will provide an overview about political science and theory and State and its sovereignty.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

SECTION – A

1. Political Theory: Meaning, Definition, Characteristics and Significance
2. Approaches to Political Theory: Historical, Normative and Empirical.
3. Rights and Duties: Definition and Types of Rights, Relationship between Rights and Duties.
4. Liberty: Meaning, Definition, Types and its safeguards.
5. Equality: Meaning, Definition, Types and its relationship with Liberty.

SECTION – B

1. Justice: Meaning and its various Dimensions.
2. Democracy: Meaning, Characteristics; Liberal and Marxist Theories.
3. Political Socialization: Meaning, Definition, Characteristics and its Agencies.
4. Political Culture: Meaning, Definition, Characteristics and its Types.
5. Political System: Meaning, Definition, Characteristics, Functions and its distinction from State.

Recommended Readings:

1. J.C. Johri: Principles of Political Science, Sterling Publishers, New Delhi, 2009.
2. S.P. Verma: Political Theory, Geetanjali Publishing House, New Delhi, 1983.
3. A.C. Kapoor: Principles of Political Science, S.Chand & Company, New Delhi, 2009.
4. Robert A. Dahl & Bruce: Modern Political Analysis, Sixth Edition, Pearson, Education, 2003.
5. M.P. Jain: Political Theory, Authors Guild Publication, Delhi (Punjabi & Hindi), 1990.
6. Andrew Heywood: Political Theory: An Introduction, MacMillan Press, London, 1999.
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8. O.P. Gauba: An Introduction to Political Theory, Macmillan India Ltd. New Delhi, 2009
9. Frank Bealey, Richard: Chapman and Michael Sheehan: Elements in Political Science, Edinburgh University Press, Edinburgh, 1999.
10. David Easton: The Political System: An Inquiry into the State of Political Science, Wiley, New York, 1953.
11. E.Ashirvatham: Political Theory, S.Chand & Company, New Delhi, 2010.



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BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE (CC): POLITICAL SCIENCE

SEMESTER - II

COURSE (BLAB31204T): POLITICAL THEORY II

COURSE COORDINATOR- DR. SUKHPAL KAUR

SECTION A

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Unit 1	Political Theory: Meaning, Definition, Characteristics and Significance
Unit 2	Approaches to Political Theory: Historical, Normative and Empirical.
Unit 3	Rights and Duties: Definition and Types of Rights, Relationship between Rights and Duties.
Unit 4	Liberty: Meaning, Definition, Types and its safeguards.
Unit 5	Equality: Meaning, Definition, Types and its relationship with Liberty.

SECTION B

Unit 6	Justice: Meaning and its various Dimensions.
Unit 7	Democracy: Meaning, Characteristics; Liberal and Marxist Theories.
Unit 8	Political Socialization: Meaning, Definition, Characteristics and its Agencies
Unit 9	Political Culture: Meaning, Definition, Characteristics and its Types.
Unit 10	Political System: Meaning, Definition, Characteristics, Functions and its distinction from State.

BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: - POLITICAL THEORY – II

UNIT1:- POLITICAL THEORY: MEANING, DEFINITION, CHARACTERISTICS AND SIGNIFICANCE

STRUCTURE

1.0. Learning Objectives

1.1. Key Words

1.2. Introduction

1.3. Meaning

1.4. Definitions

1.5. History

1.6. Characteristics

1.6.1 Check your progress I

1.7. Significance

1.7.1 Check your Progress II

1.8. Summary

1.9. Questions for Practice

1.9.1. Long Answer Questions

1.9.2. Short Answer Questions

1.10. Suggested Readings

1.0. LEARNING OBJECTIVES: -

After the completion of this unit, you will be able to:

- Understand the meaning of political theory.
- Define political theory
- Evaluate the significance of Political Theory

1.1.KEY WORDS: Political Theory, thought, politics, liberty, equality, justice

1.2. INTRODUCTION

For a long time, the necessity of Political Theory was hotly debated. The argument was that theory is an abstraction and hence its study is waste of time without much utility. However this view has changed. Catlin has rightly observed, “The maturity and advancement of a subject is to be judged from the soundness and abstraction of that subject.” David Easton has laid stress on the study of Political Theory. His contention was that a subject can advance only when its theory and research is regularly conducted. Political Theory alone can get for political science an independent Status. Political Theory is responsible for producing and bringing out facts and interpretations.

1.3. MEANING: -

The term theory is derived from the Greek word “*Theoria*” meaning “a focused mental outlook taken at something in a settle of contemplation with the intent to grasp it.” In political studies political theory has been considered as a separate branch of political science. Political speculations of individual philosophers and some ideologies such as anarchism and communism etc are put together at one place which is given the title of ‘Political Theory’. The assumption is that other parts of political science like governmental organizations, political parties and pressure groups, International Relations are distinct from Political Theory. The impact of studying Political Theory in such a way is that a special meaning is being attached to the word ‘theory’ and this will rule out the possibility of the existence of any theory in other branches of political science. Vernon Van Dyke states, “The practice has objectionable aspect in that it seemed to suggest that all statements expressing theory belong in the subdivision labeled Political Theory, and conversely, it seems to suggest that books and courses in other subdivisions go beyond their proper limits if any theory is included. If theory is taken to be synonymous with thought, this attitude becomes disastrous for the other sub divisions.”

A theory is a generalized statement about facts .The level of generality differs from one theory to another. In the entire field of political science, theory building, in this scientific sense, is possible. Montesquieu theory of separation of powers, Michel’s iron law of oligarchy and recent theories on community power structure and in the field of international relations represents some of the attempts in this direction. The behavioural movement in political analysis which seeks to formulate testable, empirical and general propositions about political facts is also motivated by the urge to build a corpus of scientific political theory. Often the terms “political philosophy” and “Political Theory” are used simultaneously. But there is a need to make a distinction between the two terms. Philosophy is ‘thought about thought’ and is concerned with the nature and implications of rational thought. Clarification of thought, elucidation of meaning and elimination of linguistic confusions constitute the basic concern of philosophy. Political philosophy in this sense will continue to remain a separate but integral part of political science dealing with the logical analysis of thought about politics. Political Theory is a theory about what Political is. Political theory is the science and philosophy of something that is political. Political

Theory is that theory which is related to generalize, to define the Institution of state, explanation of government, forms of government and relation between man and state. Political Theory stands for an abstract model of the political order.

1.4. DEFINITIONS: -

According to Germino, "Political Theory is the critical study of the principle of right order in human social existence. It is a science but not a science which confined itself to prepositions capable of sensory verifications."

According to David Held, "Political Theory is a network of concepts and generalizations about political life involving ideas, assumptions and statements about the nature, purpose and features of Government, State and Society and about the political capabilities of human beings."

According to Andrew Hacker, "Political Theory is a combination of a disinterested search for the principles of good state and good society on the one hand and a disinterested search for knowledge of political and social reality on the other."

G.H. Sabine defines the whole concept of political theory as, "Broadly, it means as anything about politics or relevant to politics and narrowly as the disciplined investigation of political problems."

According to Bluhm, "Political Theory is an explanation of but politics is all about, a general understanding of political word, a framework of reference. Without it, we should be unable to recognize an event as political, decide anything about why it happened, judge whether it was good or bad or decide that was likely to happen next."

George Catlin refers to Political Theory includes Political Science and political philosophy. While, science refers to the phenomena of control in many forms and over all the process of whole social field. It is concerned with means, political philosophy is concerned with the end or final value, when man asks what is the national good or what is good society.

Political Theory is not always a part of philosophy while philosophy can be a part of Political Theory. Political Theory is a philosophy with action. Any Political Theory without action hardly is a Political Theory like theory of ideal state of Plato. It is essential to know its agents and actors like elite class theory and decision making theory is also the element of Political Theory.

1.5. HISTORY OF POLITICAL THEORY:-

We can see the history of Political Theory as ancient political Theory, medieval Political Theory, traditional Political Theory, modern political theory, and contemporary political theory. According to Barker, "Political thought begins with Greeks." But we cannot fully agree with this view because in India the tradition of political speculation dates back to 1500 BC that is the Vedic era .It cannot be ruled out that other civilizations too might be having their own tradition

of political speculation like India, But since no evidence is available, the Western thinkers considered Greeks the pioneers in the field of Political Theory. Plato and Aristotle are the two great thinkers of the Ancient or classical Political Theory. The Roman and Christian like Saint Augustine and Cicero of middle ages played a significant role in the development of medieval Political Theory.

Traditional period is that period during which the new trends like Liberalism, Scienticism, Marxism and Positivism became popular in Europe. The long spell of classical thinkers like Plato, Aristotle, Saint Augustine, Cicero and the like was broken in a number of ways after the twin revolutions of reformation and Renaissance in 15th century Europe, coupled with Industrial Revolution later on this period called traditional Political Theory started with the writings of Machiavelli, who was born in Italy in 1469. His ideas were very different from the thinkers of medieval period. He was called the first modern political thinker. When empirical and behavioural trends started in the beginning of 20th century the Political Theory of this period before it started being designated as traditional theory, while the 20th century was called modern Political Theory. Since the second half of the 20th century, the method of studying Political Theory from a single perspective that is either from liberal or Marxist view was found inadequate to grapple with the kind of issues which have come to dominate the political scene. So, positive, empirical and behavioural trends came into force. The supporters of these trends declared the traditional Political Theory as dull and irrelevant and in the place of this approach, gave another kind of Political Theory which is known as empirical, behavioural and scientific Political Theory. This approach has a long history but the credit of making significant development in this connection goes to American social scientists. In 1908, two writings, one by an English scholar Graham Wallas (*Human Nature in Politics*) and another by American scholar Arthur Bentley (*Process of Government*) were published. The new approach stressed on the need straying Political Theory on the basis of facts. Modern Political Theory is also known as scientific Political Theory.

Empirical Political Theory began to be criticized after 1960s due to too much focus on methods, tools and techniques on making the subject pure science, value free politics and its failure to study pressing social and political issues. David Easton, who had earlier come forward as the foremost supporter of behavioural movement, now criticized it for over emphasis on facts and value free study and gave the new ideas which are known as Post Behaviouralism during 1970s. It was admitted frankly that in every political structure, there are many segments of human life, relating to values and purposes which are ignored by behavioural studies. During the post behavioural face, the core issues of Political Theory like liberty, equality and justice were once again taken up by Rawls, Nozick, Habermas and others which signaled once again the revival of normative theory. This new Revival is termed as contemporary political theory.

1.6. CHARACTERISTICS OF POLITICAL THEORY: - The characteristics of Political Theory can be discussed as follows

1. Political Theory is an intellectual and moral creation of man :- Basically political theory is the deliberation of an individual who is giving us theoretical explanation built upon certain hypothesis which may be valid or not valid and which is always open to criticism . So, Political Theory is nothing but various attempts made by thinkers from Plato onwards to unravel the mysteries of human political life. It is largely an attempt to seek truth as a scholar sees it and it is usually expressed through a work, such as Plato's Republic, Aristotle's Politics, Hobbes' Leviathan and Rawls's Theory of justice.

2. The Scope of Political Theory is broadly related to 'What is Political' :- The area in which Political Theory works extends to the realms of 'political' only .Political life of a citizen ,his political behavior, his political ideas, the government established by him and the functions performed by that government constitute the subject matter of Political Theory.

3. Various aspects of political theory: - According to J Roland Pennock, "Political Theory has many aspects including ethical, speculative, legal and scientific etc.

Ethical: - The aim of Political Theory is to evaluate philosophical and ethical objectives of state and political institutions. What the state is, what the state ought to be, constitutes an important aspect of Political Theory. Rational method is used to determine this aspect

Speculative: - When a political scientist prepares a concept of an ideal state or political organization, this is called the speculative aspect of the Political Theory.

Legal: - A study and analysis of the concepts like law sovereignty etc, constitutes the legal aspects of Political Theory.

Scientific: - When certain generalizations, rules and trends are determined after the investigation of collected data, it is called scientific aspect of Political Theory.

It is clear from the above mentioned aspects that every problem, institution, method, Idea or content is analyzed in a special manner. It is also important to understand here that none of these aspects constitute a complete Political Theory. All these aspects are interrelated and analysis of one aspect is helpful in understanding the other.

4. Methods Of Investigating Political Theory: - For explanation and investigation of any political phenomenon, political theory applies various methods like description, explanation and investigation. When the whole material related to a political phenomenon or fact is collected and investigated with the help of above mentioned methods some results called generalizations are drawn. Political theorist cannot ignore the moral aspect while reaching these generalizations. He must keep human values, needs and aspirations in his mind while determining goals or theory of

a political system. This is the moral content of Political Theory and no theory can be considered complete without it.

David Easton also discusses these different methods of political theory as main elements of political theory: (i) Factual or descriptive statements (ii) Pure theory (iii) Value theory

According to William T Blum political theory has four main elements (i) Description (ii) Explanation (iii) Prescription (iv) Evaluation

5. Relationship of Political Theory with other social science subjects: - we can understand the relationship of political theory with other social science subjects from two aspects. (i) Though phenomena which the theorist seeks to explain that is 'The state' the writer may be a philosopher, historian, economist, theologian or a sociologist. Thus we are confronted by a variety of Political Theories each differentiated by the discipline on which it is based. (ii) Now a days it has been recognized that the major subject of Political Theory is state and its various Institutions, but it is an endeavour to understand 'political' in the social, economic, psychological, ecological, historical and moral context, because all these aspects influence the state, political institutions and organizations and provide them their distinct identity.

6. Uniformity and coherence: - There isn't any confusion that in political science, we have not accurate and rigid theories, like physical sciences. It is an accepted fact that uniformity and coherence are the main aims of political theory. While analyzing the collected data through empirical investigation some doubts and irregularities appear. There are certain reasons or causes of these irregularities which means that by removing those causes, confusions and irregularities too can be done away with. An experienced theorist aims at finding such theories through which it may be possible to bring about coherence and uniformity by removing all the irregularities.

7. Political Theory is a branch of political science: - Political theory is not political science while it is a branch of political science. According to Rodee, Anderson and Christol, "political theory is the so what the department of political science. It is the place where findings by statisticians, psychologists, sociologists and all the rest of the researchers and tabulators may be weighed tied together cross refined and contemplated to the end that meaning and significance may be extracted from this mountainous mass of the data." It is the house of comparative study and evaluation. It takes help from other Social Sciences as well as Natural Sciences and after observation makes some generalizations.

8. Political Theory is neither political thought nor political ideology and political philosophy: - For understanding the true nature of Political Theory it must be distinguished from political thought, political ideology, and political philosophy. Political Theory is a branch of political science. According to Rodee, Anderson, and Christol, "Political thought refers to the ideas and beliefs of a particular people at a particular time. A political philosophy expresses the ethical standards which presumably guide the policy of a particular society. A political ideology

is an official doctrine covering all vital aspects of man's existence to which everyone living in that society is supposed to adhere. A Political Theory has three different kinds of ingredients (i) Factual or descriptive (ii) Generalizations based on such empirical data (iii) A moral component that is value judgment." So, Political Theory has some special elements that doesn't available in other branches of political science.

9. Political Theory can be negative as well as positive in approach: - According to Henry B Mayo, "Each type of political system has a theory appropriate to it, a more or less cohesive body of principles on which it operates, and a body of normative beliefs to justify it. A complete Political Theory, we may explain and justifies a political system." The Political Theory can be negative as well as positive in its approach. When a Political Theory justifies the political system then it is working positively in its approach but when a political theory is against or condemns the political system then it is working negatively in its approach.

10. Dynamic nature Of Political Theory: - Political Theory is a dynamic subject. The subject matter of Political Theory is changeable. Any subject that belongs to human being or human society is always dynamic. If we see the history of political theory then we realize that in the different time period of history, different subjects of that time influence Political Theory and also provide direction to political theorists to work out.

11. Political Theory embodies both means and ends: - Political theory has a unique feature that it doesn't discuss only the political facts or political problems but it also gives a methodology to change that wrong facts and establish a better political structure.

1.6.1. CHECK YOUR PROGRESS I

1. Write Two Definitions of Political theory.

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2. Write the different Aspects of Political Theory.

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1.7. SIGNIFICANCE OF POLITICAL THEORY: -

Political Theory seeks to understand, explain and analyse the political phenomena. It provides solutions and resources to sort out the shortcomings of the political phenomena. It is a complex subject. This is because in the western tradition, it is at least 2500 years old and had been attended by philosophers, theologians, economists, sociologists and others. For the purpose of its utility, Political Theory is divided into distinct streams such as classical, modern and empirical. The classical Political Theory determined by philosophy and deals with description, explanation,

prescription and evaluation of political phenomena. Empirical Political Theory claimed to be a Science and had been mainly related to the description and explanation of political phenomena. Contemporary political theory has been tried to blend the theoretical and practical aspects.

According to David Held, “Political Theory is a network of concepts and generalizations about political life involving ideas, assumptions and statements about the nature, purpose and key features of Government, State and Society and about political capabilities of human beings.”

Political Theory is concerned with describing and explaining the realities of political behavior, generalizations on the basis of empirical evidence and role of power in the society. Political Theory is not only concerned with the behavioural study of the political phenomena from empirical point of view but also prescribing the goals which states, Government, societies and citizens out to pursue. A sound political theory is bound to provide a sound understanding of all the political problems. The significance of political theory may be sought in following areas:-

1. A Political Theory Fulfils a Number of Functions:-Political theory helps us to identify significant political variables and its mutual relations. To ensure it, analytical scheme is essential. If we have own theoretical framework to guide us, we can make our research meaningful and arrange our facts with a review to reach generalizations.

2. Social Criticism and Reconstruction:-The political philosophers like Plato, Aristotle, Saint Augustine, Machiavelli, Hobbes, Locke, Rousseau, Hegel, Marx, Mill and McPherson have given their own schemes of social reconstruction. Plato brilliantly exposed the *Modus Operandi* (a particular way of doing something that is typical of a person or a group etc.) of selfish and cunning politicians in a democracy. Machiavelli vividly described the character of selfish and greedy people. Marx analyzed the sources of conflict between the owner and non owners of the property and McPherson pointed out the intricacies of power structure in contemporary society which obstructs the way to creative freedom of individual.

3. Political Theory as a Technique of Analysis: - According to G H Sabine, “Political theory is quite simply, man’s attempts to consciously understand and solve the problems of his group life and organizationIt is the disciplined investigation of political problems.... Not only to show what a political practice is but also to show what it means in showing what a practice means, or what it ought to mean, political theory can alter what it is.” Political theory is used to either defend or question the status quo. Taking into consideration facts and details, it has to explain and describe politics in abstract and general terms that allows space for critical imagination. As a discipline the aim of political theory is to describe, explain, justify or criticize the existing institutional arrangements and power equations in society.

4. Conceptual Clarification: - It helps to understand the concepts and terms used in apolitical argument and analysis, like the meaning of freedom, equality, democracy, justice and rights. These terms are used in political theory discourse. An understanding of these terms is important. Liberals define freedom as implying choice, absence of restraints while socialists link freedom

with equality. Liberals define a state as an instrument of human welfare while for a socialist a state is an instrument of oppression, domination and class privileges. Conceptual clarification is definitely possible but cannot be neutral.

5. Synthesis of political science and political philosophy: - Political theory aims at a synthesis of political science and political philosophy. The functions of political theory should also reflect this synthesis. Broadly speaking we may identify three functions of Political Theory (i) description (ii) criticism and (iii) reconstructions.

1. Description:-This function is akin to political science. Political Theory should be built upon a sound knowledge of facts for example knowledge of human nature, economic, cultural and political conditions prevailing in society, laws governing social change, the conditions that give rise of conflict and the tested methods of resolution of the conflict.

2. Criticism: - This function is akin to political philosophy. Political philosophy is a search for better life. When we compare the conditions of actual life with our concept of better life; we find many shortcomings, weaknesses and disadvantages, which must be rectified finally.

3. Reconstruction: - This function is related to political thought. It calls for a vision of a new ideal social order which would be free from the shortcomings found by us in the conditions of actual life. We have a long tradition of political thinkers who have advanced their schemes of social reconstruction. We can certainly learn about them, compare and contrast their views, identify their bias, examine their applicability in the light of contemporary experience and draw our own conclusion.

6. Political Theory as the History of Political Thought: - The courses in political theory provide a detailed and elaborate study of books or particular political philosophies from Plato to contemporary times, from a historical perspective. These books are studied for their normative statement about the desirability of certain type of Institutions, governments, and laws which are usually accompanied by rational arguments. The classics are portrayed as timeless in quality, permanent in relevance and universal in its significance. The classics offer divergent interpretations of politics and this makes their study useful for understanding contemporary politics.

7. Political Theory helps to Formal Model Building: - It considers political theory as an exercise in devising formal models of political processes, similar to the ones in theoretical economics. These models serve two purposes. They are explanatory, offering systematic analysis of factors on which political processes are based. They are normative, for they try to show the consequences that accrue from following a certain rule.

1.7.1. CHECK YOUR PROGRESS II

1. Who introduced Behaviouralism?

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2. Write two important books related to the empirical approach of political theory.

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1.8. SUMMARY:-

From above discussion, it is clear that political theory is a branch of political science and it has various aspects like ethical, speculative, sociological, legal or scientific. Political theory has some unique elements that all are not present in any other branch of political science. The nature of political theory is dynamic but consistency and coherence are aims of political theory. Political theory seeks to understand, explain and analyse the political phenomena. It provides solutions and resources to sort out the shortcomings of political phenomena.

1.9. QUESTIONS FOR PRACTICE:-

1.9.1. LONG ANSWER QUESTIONS

1. Define political theory. Discuss its characteristics.
2. What is political theory? Discuss its significance.
3. Write a note on Political Theory.

1.9.2. SHORT ANSWER QUESTIONS

1. What do you mean by political theory?
2. Political Theory is neither political thought nor political ideology. Briefly explain.
3. According to David Easton what are the methods of political theory?

1.10. SUGGESTED READINGS:-

- Andrew Heywood "Political Theory An Introduction", Palgrave MacMillan, New York, 2004
- S.P. Verma, *Modern Political Theory*, Vikas Publishing House, Noida, 2017
- O.P. Gauba, *An Introduction to Political Theory*, National Paperbacks, U. P., 2019
- J. C. Johari, *Contemporary Political Theory (New Dimensions, Basic Concepts, and Major Trends)*, Sterling Publishers Pvt. Ltd., U.P., 2019

BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: - POLITICAL THEORY –II

UNIT2:- APPROACHES TO POLITICAL THEORY: HISTORICAL, NORMATIVE AND EMPIRICAL

STRUCTURE

- 2.0. Objectives**
- 2.1. Key Words**
- 2.2. Introduction**
- 2.3. Meaning of Approach**
- 2.4. Approaches to Political Theory**
- 2.5. Historical Approach**
 - 2.5.1. Meaning of Historical Approach**
 - 2.5.2. Characteristics of Historical Approach**
 - 2.5.3. Advantages of Historical Approach**
 - 2.5.4. Disadvantages of Historical Approach**
 - 2.5.5. Check Your Progress I**
- 2.6. Normative Approach**
 - 2.6.1. Meaning of Normative Approach**
 - 2.6.2. Characteristics of Normative Approach**
 - 2.6.3. Advantages of Normative Approach**
 - 2.6.4. Disadvantages of Normative Approach**
 - 2.6.5. Check Your Progress II**
- 2.7. Empirical Approach**
 - 2.7.1. Meaning of Empirical Approach**
 - 2.7.2. Characteristics of Empirical Approach**
 - 2.7.3. Advantages of Empirical Approach**
 - 2.7.4. Disadvantages of Empirical Approach**
 - 2.7.5. Check Your Progress III**

2.8. Summary

2.9. Questions for Practice

2.9.1. Long Answer Questions

2.9.2. Short Answer Questions

2.10. Suggested Readings

2.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to:

- Describe the meaning of historical, normative and empirical approaches to political theory.
- Identify the characteristics of historical, normative and empirical approaches to political theory.
- Analyze the advantages and disadvantages of historical, normative and empirical approaches to political theory.
- Compare the historical, normative and empirical approaches to political theory.

2.1. KEY WORDS: Approach, Normative, Empirical, Values, Facts, Behaviouralism, Post-Behaviouralism, Scientific, Political Theory

2.2. INTRODUCTION

Political Science is a social science which deals with political aspects of human life. It is the study of political institutions e.g. State and government etc., political functions, political activities, political processes, political system etc. Political Science is a vast subject which has various branches such as political theory, political thought, political philosophy etc. Political Theory is an important branch of political science which systematically investigates political phenomena or problems. It attempts to arrive at generalizations, interferences or conclusions to be drawn from the data gathered by other specialists, not only in political science but throughout the whole range of human knowledge and experience. Different approaches have been used by different political thinkers for the study of political theory. Firstly, they are categorized as traditional and modern approaches on the basis of time period. They are further broadly categorized into Historical, Normative and Empirical approaches. All approaches are inter-related and these can't be completely separated from one another. Some characteristics of empirical as well as normative approaches can be identified in both the traditional and modern approaches, along with their distinctive characteristics. Let us, first describe the meaning of approach and then proceed to examine historical, normative and empirical approaches to political theory.

2.3. MEANING OF APPROACH

Different approaches are used in the study of social sciences. The terms ‘approach’ and ‘method’ are used interchangeably in social sciences. Although these two terms are related, there is a distinction between the two. Method is the procedure through which certain problems and related information or facts are collected. It is used to obtain reliable knowledge in order to arrive at reliable conclusions in systematic study. Social scientists have used various methods such as scientific method, inductive method, deductive method, comparative method, etc. But an approach is a wider term which is a way of looking at and then explaining a particular phenomenon. It covers not only the method but also the focus of the study in order to understand the given phenomenon. It explains how to inquire and what to inquire about. Vernon Van Dyke described that an approach consists of criteria of selection-criteria employed in selecting the problems or questions to consider and in selecting the data to bring to bear; it consists of standards governing the inclusion and exclusion of questions and data. Dyke has further explained the difference between method and approach. Approaches consist of criteria for selecting problems and relevant data, whereas methods are procedures for getting and utilizing data. Approaches are generally associated with particular methods. For example, historical and normative approaches are associated with philosophical methods. On the other hand, empirical approach is associated with scientific method.

2.4. APPROACHES TO POLITICAL THEORY

The study of political theory is very vast. Therefore, the study of political theory has been done using various approaches. The approaches which were used before the twentieth century are termed as traditional approaches. On the other hand, modern approaches developed in the beginning of the twentieth century and became popular in second half of the twentieth century after the end of the Second World War in 1945. Traditional approaches were largely historical and normative in nature as these focused primarily on values and philosophy. Modern approaches are empirical in nature as these give prominence to facts and used scientific methods. But traditional and modern approaches overlap for using normative and empirical methods. Many traditional political scientists used normative as well as empirical methods. Similarly, modern political scientists applied both normative and empirical methods in their approaches. Hence watertight distinction between traditional and modern approaches is not acceptable. Post-behavioural revolution in political theory further has shrunk the gap between normative and empirical approaches.

2.5. HISTORICAL APPROACH

Historical approach is an important and commonly used approach by traditional political scientists. Plato, Aristotle, Thomas Hobbes, John Locke, J.J. Rousseau, Jeremy Bentham, J.S. Mill, T.H. Green, Karl Marx etc. used historical approach to explain their political philosophy.

George Sabine is a prominent advocate of this approach as he explained political thought through historical accounts in his great writing 'A History of Political Theory'.

2.5.1. MEANING OF HISTORICAL APPROACH

Political theory has evolved over the course of history. Historical Approach is based on historical study in political theory. It emphasizes on the use of historical evidence for the study of political phenomena. Every political phenomenon is constructed during a particular time. It can be analyzed in the light of its origin and evolution. Historical approach to political theory may be applied in two ways. Firstly, it advocates that history is governed by laws which determine characteristics of every time period. Hegel and Marx prepared laws governing politics by analyzing historical events. Karl Popper has called it 'historicism'. Secondly, the historical approach attempts to understand political theory through a historical account of political thought of the past. George Sabine's 'A History of Political Theory' is a testimony to historical approach in this regard.

All political theorists are greatly influenced by their contemporary conditions and times. Political theory can be understood by studying the time, place and circumstances in which it has developed. Political theorists have also had a great impact on history. Thus, political theory is not only the product of history rather it also shaped history. Political theory has its causes and effects. It can be explained in a cause-effect perspective. With historical analysis, relevance of political theory to the present situations can be evaluated and relevant predictions can be made for future perspective. Dr. Garner expressed that political institutions can be thoroughly studied through knowledge of the past, which means how they evolved or how they assumed their present form and to some extent moved towards those objectives.

2.5.2. CHARACTERISTICS OF HISTORICAL APPROACH

- 1. Widely used in the study of political theory:** Historical approach is widely used in the study of political theory. It has its distinctive characteristics. It mainly focuses on the study of past or on a selected period of time as well as on a sequence of selected events within a particular period. This approach analyzes the historical background of political institutions and explains how these institutions evolved in different time periods.
- 2. It studies socio-economic factors:** Historical approach studies socio-economic factors which causes emergence of political theory. Such factors have an everlasting effect on the minds of great political thinkers. Political thinkers formed new political theories as a reaction to those effects, to solve the problems. For example Plato's political theory was a reaction against the political system of the ancient Greek city-state of Athens. The Civil War in England during the 17th century inspired Hobbes to propound the theory of absolute sovereignty. Later, Locke explained the concept of people's sovereignty as a reaction to the struggle for supremacy between the Parliament of England and the King. According to the historical approach almost every political theory is formed in the

context of particular time, place and circumstances. Therefore, it is important to analyze political theory in the context of that time, place and circumstances.

3. **It analyses the whole socio-political issues:** the A study of political theory with historical approach also looks into the role of individual motives, actions, accomplishments, failures and contingencies in historical continuity and change. But the use of historical approach to burning political questions varies in certain ways depending upon the range of choice that a thinker adopts for his study.
4. **Historical approach used evolutionary methods:** Historical approach used evolutionary methods and applied it to human institutions. According to this, human institutions are the result of a long evolutionary process. Human institutions can be understood through complete information about their evolution. These institutions' progress from past to the present form can only be revealed with the analysis of their development processes.
5. **Historical approach deals with only political fact:** The word 'history' is used in a special sense in the historical approach. The historical approach is related to the genetic history of any political theory which is not only limited to any particular period of history. A political theory may have developed through many periods of history. The historical approach analyses only those historical facts of each period which have contributed to the origin of that political theory.
6. **Political evolutionism is an integral part of historical approach:** Political evolutionism is an integral part of historical approach. The great political thinkers applied evolutionary principles to describe the different stages of political development. Thinkers like Sir Henry Maine and MacIver put forward the idea that there was no state in the early period. Blood relations, customs, religion, property and economic activities, war, etc. played a very important role in the evolution of the state. They did not make predictions for the future. Rather they only tried to describe how the political institutions took their present form.
7. **Historical approach is descriptive in nature:** Historical approach is descriptive in nature. It descriptively explains past events in order to understand the origin and evolution of political theory. It applies an inductive method based on facts and observation of historical events and specific situations. It uses past events as a valuable guide in the formation of political theory.

2.5.3. ADVANTAGES OF HISTORICAL APPROACH

1. **It is useful for understanding the political views and theories:** Historical approach has great utility for the study of political theory. It is useful for understanding the political views and theories of political thinkers from ancient to the present times. The writings of classic political thinkers such as Plato, Aristotle, Rousseau, Hegel, Machiavelli, Burke etc. have developed during particular historical periods. Historical approach also throws light on the enormous influence of these classical political thinkers on their contemporary

times as well as influence in the shaping of ideas for the future. The subsequent leading and modern thinkers were greatly influenced by the theories of classical political thinkers. Their ideas were not only significant in their contemporary times rather their importance has not diminished even today. They were extremely influential in the formation of political institutions, ideas and ideologies. This contribution was the result of a method or methodology derived from historical facts. Political thought of political thinkers is an integral part of the historical approach. Sabine rightly observed that political theory always advanced in reference to a specific situation and, therefore, reconstruction of the time, place and the circumstances in which it was produced, is essential to understand it.

2. **Help to search out the questions:** The writings of these political thinkers help to search out those questions which they have raised about the truth or validity of political theories throughout the ages. It studies the growth and survival of political theory from ancient to recent times. Historical study helped political theory to attain universal character. It is also necessary to understand whether a political theory is true or false, valid or unreliable. This involves a question of values. A political theory is evaluated in two ways- as a theory and as a cause of events. As a theory, it is criticized and analyzed. As a cause it represents class interests and the motives of the political thinkers advocating these theories. Historical approach is useful to evaluate political theory in both these two ways.
3. **Significant to understand the origin and growth of political institutions:** Historical approach is significant to understand the origin and growth of political institutions. It explains different stages of evolution of political institutions. It also analyses various factors which have contributed to the development of political institutions in different time periods.
4. **Historical approach provides knowledge of political structures and institutions:** Historical development provides the basis for estimating the possibilities of future change. Historical approach provides a good amount of knowledge of the political structures, organizations, problems, assumptions, and goals of contemporary institutions during which political theories developed by great political thinkers. It helps to understand the methods for study used by different political theorists in different time periods.
5. **Helps to analyse present situations:** It does not mean that the historical approach does not have significance for the future times. It also helps to analyse present situations and provides suggestions for future situations. A good political theory, though it is the outcome of particular historical circumstances, has significance for all times to come. It is exactly this universal character of political theory which makes it respectable. A study of political theories is important, not only from the point of view of their role in a particular time period of history but also from the point of view of the contribution they have made to the political behaviour of society as a whole throughout history. Historical approach provides testimony to this contribution.

6. **Plays an important role in the study of political reality and events:** Historical approach plays a very important role in the study of political reality and events. The significance of historical objects and facts cannot be neglected. History is witness to the fact that things written at different times serve as beacons for future generations and their significance will be the subject of further study for the theorists in the future.

2.5.4. DISADVANTAGES OF HISTORICAL APPROACH

1. **Historical approach emphasizes only one aspect:** The historical approach has certain weaknesses. Historical approach emphasizes only one aspect i.e. of a study of the past. Thus, it prefers only one aspect and ignores the other aspects. But, it is important to study the past as well as the present and the future for a complete and accurate study.
2. **Mainly focuses on the study of the past:** Political theory is also concerned with what ought to be? But this aspect has given little importance in the historical approach. It mainly focuses on the study of the past and is descriptive in nature. There is a lack of use of analytical as well as scientific methods in this approach. Therefore, reliable political theory formulation is difficult.
3. **It can bring biases in the study of political theory:** There is a strong possibility to be influenced by values and emotions while studying the facts of the past. Moreover ethical aspects cannot be ignored for collecting historical information or data. It can bring biases in the study of political theory.
4. **Difficult to find relevant and authentic facts from history:** There is also the possibility that history is used in more selective terms than scientific way by political thinkers of different ages. Historical approach has to deal with superficial resemblances. Historical data sometimes may be misleading and historical facts have been exaggerated or misused as required. It becomes difficult to find relevant and authentic facts from history.
5. **Ideas of the past hardly provide accurate solutions to contemporary problems:** The use of historical approach creates a conservative attitude as it is absorbed in the study of the past and unable to focus on progressive factors. It is not possible to understand ideas of the past ages in the context of contemporary ideas and circumstances. Ideas of the past hardly provide accurate solutions to problems of the contemporary world which were beyond apprehension of the earlier thinkers.

2.5.5. CHECK YOUR PROGRESS I

1. Describe the meaning of historical approach to political theory.
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2. Explain three characteristics of historical approach to political theory.
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3. Analyze three disadvantages of historical approach to political theory.

2.6. NORMATIVE APPROACH

Traditional and Modern Approaches to political theory are broadly categorized into normative and empirical approaches. All political theories are evaluated and debated on the basis of their normative and empirical character. Traditional political theory was dominated by a normative approach. Classical and traditional thinkers like Plato, Aristotle to some extent, Rousseau, Kant, Bentham, Green, J.S. Mill, Barker, and Laski used this approach. Leo Strauss has used the normative approach in contemporary political theory in a new way.

2.6.1. MEANING OF NORMATIVE APPROACH

Normative approach to political theory is known with different names. Sometimes it is called a philosophical approach. Normative approach seeks to determine political theories based on prescribed values, ethics and philosophy. It studies political theory in terms of ethical considerations. It is not concerned with actual facts rather emphasis on values. It makes a normative statement which is concerned with what ought to be?

The normative approach describes political phenomena in its ideal type. It is theorising about values in politics. The normative approach either justified a political system that was existing or proposed an entirely new political system based on some norms. This approach suggests the mode by which an imperfect political system could be made perfect. It is primarily concerned with political values which ought to be implemented in order to achieve a great degree of harmony and stability and unity in common political life. Thus, the place of values and goals predominate in a normative approach.

The aim of normative approach is to determine certain levels of good, right and fairness and to evaluate certain political institutions and traditions on the basis of these. Exponents of this approach have given their views on what things or things should be like. Their values are prioritized. It is not a matter of what the purpose, means, or values really are, but of what they should be. They want to look at the facts and establish what they should look like.

The normative approach is mainly based on imagination. It uses some norms, values or preconceived assumptions about political facts, on the basis of which political theory is studied and analyzed.

2.6.2. CHARACTERISTICS OF NORMATIVE APPROACH

Normative approach has its distinctive characteristics.

1. **Normative approach is mainly prescriptive:** The normative approach is mainly prescriptive. It is concerned with laws and conditions largely created or adopted by

human society, which are dynamic. These can be evaluated morally right or wrong which helps to prescribe the right course. Prescription may be preceded by description in the normative approach. Political theorists provide descriptions of their experience before prescribing their respective solutions. Normative approach lays down certain standards of evaluation through which imperfectness of a particular system may be judged and measures for its improvement would be suggested.

2. **Value laden approach:** Normative approach is value laden. The aim of a normative approach is to create commitment to certain values. Political phenomena are judged based on certain values and prescriptions are provided for improvement. This approach tries to produce a hierarchy of principles or scales of values and also tries to explain how many should use them to make sets of values of their choices. It evolves 'standards of right and wrong' for the purpose of a critical evaluation of the existing political institutions, laws and policies. The aim of normative approach is to establish standards of the good, the right, and the just, and to appraise or prescribe political institutions and practices according to these standards.
3. **Idealistic:** Normative approach is idealistic in nature. It is based on certain ideal assumptions and seeks solution of the existing problems within a perfect or ideal framework. It is far from reality. It is concerned with should and should not without taking into consideration the real world of political facts. Ideal standards are formulated which may even be difficult to achieve.
4. **Concerned with imagination and speculation:** Normative approach is philosophical. It is concerned with imagination and speculation. It emphasizes on 'what ought to be?' It seeks to prescribe universal answers concerning political life. Normative statements tend to express preference for a particular type of order as dictated by a sense of duty or universal need or by commitment to a moral principle or ideal. While strong arguments may be advanced in support of a normative statement, it is not capable of being discovered, described or verified by our sense-experience. For example, 'what is justice- this question may be answered in several ways, such as 'justice is treating equals equally and unequals unequally', or 'justice is giving equal freedom and equal opportunity to all provided any departure from equal distribution will prove beneficial to the least advantaged', etc. All such statements defining justice express a variety of value preferences.
5. **It is goal oriented approach:** Normative approach is goal oriented. There is a direction, a purpose, a vision, and a frame of reference which guides normative approach. Prof. Leo Strauss, who is a great advocate of this approach in contemporary times, rightly says, "All political action aims at either preservation or change. When desiring to preserve, we wish to prevent a change for the worse; when desiring to change, we wish to bring about something better. All political action is, then, guided by some thought of better or worse. But thought of better or worse implies thought of the good. The awareness of the good, which guides all our actions, has the character of opinion: it is no

longer questioned, but, on reflection, it proves to be questionable. The very fact that we can question it, directs us towards such a thought of the good as is no longer questionable towards a thought which is no longer opinion but knowledge. All political action has then in itself directedness towards knowledge of the good: of the good life, or the good society. For the good of society is the complete political good."

6. **It is deductive:** It is deductive. It is based on a view of what values should be? It tries to establish a set of norms or values on this basis of which it studies particular political phenomena. It attempts to justify a political principle or phenomena with more general, higher level principles or norms.
7. **Approach is subjective:** Normative approach is subjective. It is based on values which are dominated by personal perspectives or opinions. Ethical values are also subjective to time, circumstances and many other factors.

2.6.3. ADVANTAGES OF NORMATIVE APPROACH

Normative approach has its advantages for the study of political theory. It is quite refreshing. It is goal-oriented and aligns political theory with the case of good life. Normative political theory plays an important role in making political science the normative science. Political science as a social science is concerned with the political needs of human life. Political science can make valuable contributions to human life with a normative approach. Normative approach attempts to determine what political life should be? Thus, it can prove beneficial for the development of the state, society and human beings.

Normative approach is based on rationality. Rationality in political life can solve social, economic, political, etc. problems. Rationality is the basis that motivates human beings to live in a peaceful environment. Thus, a normative approach helps to establish ideal political social order in which all human beings can live in harmony.

One advantage of the normative approach is that it relates the cause and the actual fact. Why and how the real facts happened can be explained on the basis of rationality. Cause and effect are definitely related and the normative approach plays an important role in clarifying this relationship.

Normative approach helps to formulate good legislation to legislators. Moreover, by motivating executives, it can teach executives and justice defenders how to make good laws based on ethics. Ethics, rationality and ideals are the basis of good society, good government, good legislators, good executive officers and good judiciary.

Normative approach, by giving emphasis on values, brings ethics in political theory. Although, modern political theory uses more scientific and empirical approaches and even these approaches cannot ignore values by becoming scientific.

2.6.4. DISADVANTAGES OF NORMATIVE APPROACH

Normative approach is criticized as insignificant and useless as it is more concerned with speculation rather than reality. It is a utopian approach that deviates from the facts. It is generally criticized for being deductive, speculative, hypothetical, abstract and imaginative. It is based on certain pre-conceived ideals and it attempts to solve the existing problems within such ideal assumptions. Thus, it is away from the world of reality.

Normative approach uses philosophical and deductive methods for the study of political theory. It formulates imaginary and hypothetical political theories on the basis of their philosophy. It doesn't try to collect facts and to verify hypotheses. It emphasizes only on logic and philosophy as main tools for attaining more and more knowledge about political phenomena. Moreover, it is based on philosophical methods which keep on changing their form. It is therefore imperative for philosophers to reconsider their rational and linguistic frameworks as their purpose is to interpret rational frameworks and not to eliminate them.

Normative approach is considered as an obstacle in the way of scientific political theory. Its formulations cannot be put to an empirical investigation; therefore, it cannot be termed as scientific study. It doesn't provide objective criteria for scientific political studies. Thus, conclusions drawn by this approach can be reliable and realistic.

2.6.5. CHECK YOUR PROGRESS II

1. Define normative approach to political theory.

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2. Explain three characteristics of normative approach to political theory.

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3. Identify three advantages of normative approach to political theory.

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2.7. EMPIRICAL APPROACH

The names of Aristotle, Machiavelli, Hobbes, Locke, Montesquieu and Marx may be associated with empirical observations. But, modern political theory which emerged in the twentieth century was mainly dominated by empirical approaches. It has been borrowed from natural sciences into social sciences. Empirical approach is concerned with facts or actualities. The facts can be subjected to scrutiny and so this approach can be called a scientific approach. Modern Political thinkers such as Charles Merriam, Max Weber, Harold Laswell, David Apter, Robert A. Dahl, David Easton, Gabriel Almond and Powell etc., under behavioural revolution widely used empirical approach.

2.7.1. MEANING OF EMPIRICAL APPROACH

The empirical approach seeks to discover and describe facts. The empirical approach aims at making an empirical statement which is concerned with 'What is?' Political theorists seek to understand and explain political reality as it is and offers solution to the prevailing political problems in scientific terms. It attempts to attain scientific inquiry about political phenomena. It empirically verified and proves political principles and theories through scientific tools. Empirical approach is value free and concerned with principles and situations which are real and can be verified by repeated observation and whose accuracy can be tested. Thus, empirical approaches focus to make political theory more and more scientific and formulate more reliable conclusions. It seeks to discover laws that are unalterable. Through experiments and fact based studies, it tries to formulate uniform political theories.

2.7.2. CHARACTERISTICS OF EMPIRICAL APPROACH

The empirical approach has all characteristics which make it a scientific approach.

1. It is fact laden approach: It is fact laden and should also be treated as an analytical description of reality. It discards values in the study of political theory and treats all values as equally significant. Instead of utopian ideas, it examines the real political phenomena by verifiable facts. If a political theorist puts aside his personal feelings and values and searches for a fact, he will surely be able to draw fair conclusions.

2. The empirical approach is objective: While the normative approach is subjective, the empirical approach is objective. The paradigms cannot be determined, but the general principles of political theory can be formulated by analysing special events in certain situations. For example, separation of powers is an established principle of political theory. The obvious implication of this theory is that the centralization of all powers of government can prove fatal to human freedom. The famous French scholar Montesquieu used an empirical approach to formulate this theory. Likewise, all material relating to political life may be quantified and on the basis of which some general principles may be laid down by testing their validity in similar situations.

3. Bring uniformity in principles of political theory: Empirical approach attempts to bring uniformity in principles of political theory. It is a fact that there may not be uniformity in the views of different scholars on all principles of political theory, but there may be certain principles about which uniformity of opinion is possible. For example, the aim of the state is public welfare, the government should be accountable to the people, power corrupts the individual, all the powers of the government should not be vested in one person or one institution, etc.

4. Focused on Experiments: The empirical approach emphasizes that experiments are possible in political theory, although these are different from physical sciences. In Political theory experiments are not done behind closed doors of laboratories, but in an open society. History is a laboratory of political theory and validity of every political theory can be tested on the basis of its historical experience.

5. Based on empirical Study The empirical approach uses scientific tools and techniques for the study of political theory. Political knowledge and material is collected and systematized. Political theorists use various methods for collecting and statistically analyzing data on political issues. People's voting behavior can be observed through empirical studies. Similarly, the functioning of political institutions can be monitored by collecting the required material. Political data is acquired through empirical study, observation and experience and whose facts have been equated, sorted and classified. Some predictions can be made after experiments to determine some general principles of political theory.

The empirical approach is mainly descriptive. It seeks to discover laws that are unalterable. Hence, they are beyond man's control; one can discover and describe them. In the empirical approach, description may be followed by prescription for the achievement of some obvious goals. Therefore, empirical approaches can provide great help in examining the grounds of normative statements.

2.7.3. ADVANTAGES OF EMPIRICAL APPROACH

The empirical approach has its own advantages. It is based on the study of facts in political theory. It emphasizes that facts can be empirically tested without values in political theory. Political reality can only be traced through an empirical study of facts. It cannot be done on the basis of values because value laden study produces biased conclusions.

The empirical approach uses scientific tools and methods which make the study of political theory scientific. Political facts are systematically collected and analyzed. Scientific observations are made after empirical investigation and verification of the facts. It results in coherent theory-building.

The empirical approach brings objectivity in the study of political theory. With fact laden study, reliable predictions can be made which are empirically true and whose validity can be scientifically proved. It also helps to examine the normative argument due to scientifically valid or reliable methods of determining what is morally right or wrong.

The empirical study helps to formulate certain general principles and to bring uniformity of principles in political theory. Knowledge about political phenomena can be systematized through empirical investigation. The empirical approach analyses all the factors which influence the process of politics. Thus it brings comprehensiveness, realism and precision in the study of political theory.

2.7.4 DISADVANTAGES OF EMPIRICAL APPROACH

The empirical approach may be criticized for being too scientific. It is dependent on scientific techniques and methods ignoring the limitations of political science as a science. The advocates of this approach said that human beings behave in similar ways in similar circumstances, but it is not right. It is difficult to study human behaviour and political phenomena and to get a definite result. Therefore it is always difficult to use scientific methods in the study of political theory.

The study of political theory can't be totally value free. Values and facts are closely related. Political theorists being a human being is not always value neutral. Moreover, the study of political theory has to be meaningful for society. It must involve study of values.

Political science is social science. Therefore, general and uniform principles for all times, circumstances and situations cannot be fixed in political science as in physical sciences. Definite experiments and predictions are not possible in political theory because it is concerned with the study of political phenomena and human behaviour which is of dynamic character.

Due to the dynamic subject matter of political theory, it lacks a definite relationship between cause and effect. Therefore, a purely empirical study is not possible in the study of political theory.

2.7.5. CHECK YOUR PROGRESS III

1. Define empirical approach to political theory.

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3. Identify three advantages of empirical approach to political theory.

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4. Analyse three disadvantages of empirical approach to political theory.

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2.8. SUMMARY

There are different approaches to the study of political theory. They are broadly divided into traditional and modern approaches. Traditional political theorists gave prominence to historical and normative approaches. On the other hand modern political theorists widely used empirical approaches. But there is an overlapping use of normative and empirical approaches by traditional and modern political thinkers. Many traditional political theorists had used empirical methods and many modern political thinkers have not discarded normative approaches. Normative approach is value laden, whereas empirical approach is based on facts. During the twentieth century, this gave emergence to a great debate in the study of political theory - Values vs Facts. Both normative and empirical approaches have their own relevance to the study of political

theory. Both have their distinctive characteristics with some overlapping in each other. Both have their advantages as well as disadvantages. We cannot discard the importance of values in the study of political theory. Fact based empirical and scientific study cannot be fully applied to political science, having its limitations as a social science. There is great need to give due importance both to values and facts in the study of political theory in order to achieve reliable findings. Therefore, post- Behaviouralism during the 1960s brought a fine combination of Normativism and empiricism in the study of political theory.

2.9. QUESTIONS FOR PRACTICE

2.9.1. LONG ANSWER QUESTIONS:-

1. Define historical approach to political theory. Explain its characteristics.
2. Examines advantages and disadvantages of historical approach to political theory.
3. Define normative approach to political theory. Explain its characteristics,
4. Examines advantages and disadvantages of normative approach to political theory..
5. Define empirical approach to political theory. Explain its characteristics,
6. Examines advantages and disadvantages of empirical approach to political theory.
7. Make a comparative analysis of historical, normative and empirical approaches to political theory.
8. Critically examine the debate between normative and empirical approaches to political theory.

2.9.2. SHORT ANSWER QUESTIONS

1. What is Political Theory?
2. Identify three advantages of historical approach to political theory.
3. Analyse three disadvantages of normative approach to political theory.
4. Explain three characteristics of empirical approach to political theory.

2.10. SUGGESTED READING

- O.P. Gauba, *An Introduction to Political Theory*, Macmillan Publishers India Ltd, New Delhi: 2010
- J.C. Johari, *Contemporary Political Theory: New Dimensions, Basic Concepts & Major Trends*, Sterling Publishers Private Limited, New Delhi 2019
- J.C. Johari, *Principles of Political Science*, Sterling Publishers Private Limited, New Delhi: 2019
- Andrew Heywood, *Politics*, Palgrave Macmillan, New York 2002
- S.P. Verma, *Modern Political Theory*, Vikas Publication House Pvt. Ltd., Delhi, 2018

BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: - POLITICAL THEORY – II

UNIT3:- RIGHTS AND DUTIES: DEFINITION AND TYPES OF RIGHTS, RELATIONSHIP BETWEEN RIGHTS AND DUTIES

STRUCTRE

3.0. Learning Objectives

3.1. Key Words

3.2. Introduction

3.3. Meaning of rights

3.3.1. Definitions of Rights

3.3.2. Main Elements of Rights

3.3.3. Kinds/Classification of Rights

3.3.4. Check Your Progress I

3.4. Duties

3.4.1. Meaning

3.4.2. Definition of Duties

3.4.3.1.1. Kinds of Duties

3.4.3.1.2. check your Progress II

3.5. Relationship Between Rights and Duties

3.6. Summary

3.7. Questions For Practice

3.7.1. Long Answer Questions

3.7.2. Short Answer Questions

3.8. Suggested Readings

3.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to:

- Understand the concepts of Rights and Duties.
- Know the meaning and definition of Rights and Duties.
- Discuss the main elements of Rights.
- Evaluate the various types of Rights and Duties.
- Examine the relationship between Rights and Duties.

3.1. KEY WORDS

Rights, Duties, Fundamental, Individual, Welfare, citizen

3.2. INTRODUCTION:

Rights are essential conditions for a good life in society. Man is a social animal. He cannot live without society. In order to live a peaceful and happy life and develop his personality, man needs some basic conditions of life and these conditions are called rights. Rights help in the all round development of people. Rights are those conditions of social life which man cannot be at his best or give of his best. A person can enjoy his Rights only within the state. It is said that every state is known by the rights it maintains for its citizens. The nature of the state has changed from police state to welfare state only because of change in rights of the individual. According to Harold J. Laski, "The state is known by the rights it maintains."

3.3. MEANING OF RIGHTS

A right is a claim of individual upon something. But every claim of a person cannot be defined as right. State is the first condition of civilized life. So rights are those conditions of social life without which no person can generally realize his best-self. The main aim of the state is to provide more facilities to its citizens and to improve the living standard and to make their lives more comfortable and happy.

3.3.1. DEFINITIONS OF RIGHTS

Some important definitions of Rights are as below:

1. According to H.J. Laski, "Rights are those conditions of social life without which no man can seek to be himself at his best.
2. According to John Austin, "Rights mean one man's capacity of exacting from another or others acts of forbearances,"
3. According to Holland, "Rights is one man's capacity of influencing the acts of another by means not of his own strength but of the opinion or the force of the society."
4. According to Bosanquet, "A right is a claim recognized by the society and enforced by the state."
5. According to T.H. Green, "Rights are those powers which are necessary to the fulfillment of man's vocation as moral rights."

6. According to Wilde, “A right is a reasonable claim to the freedom in the exercise of certain activities.”

3.3.2. MAIN ELEMENTS OF RIGHTS

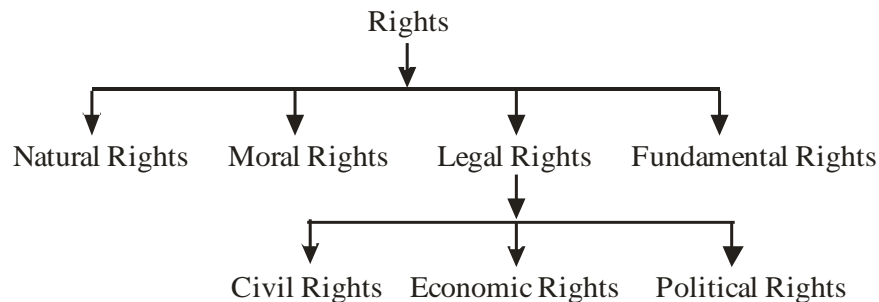
According to the above definitions there are some elements of rights which are as below:

1. **Claim of an Individual:** Rights are claim of an individual or a group so that they can get some facilities from the state. An individual wants to develop his capabilities to the fullest extent that he can realize himself and be happy. So, rights are claim by an Individual.
2. **Proper and Moral:** Rights should be more just and ethical from the point of view of society only those demands can ask for the rights of the person who is necessary for the mental and physical development of the person. No person can demand for play gambling and commit suicide openly because these demands are totally immoral.
3. **Possible only in Society:** No person can enjoy rights outside the society. A right is what an individual can have from others. So, rights exist only in society. They are always at aim of social good. A man living outside the society or acting against the social principles cannot have any rights.
4. **Recognition from Society:** Certain rights are the claims of individual but it should be noted that all claims of a person cannot become rights like gambling, eve teasing, theft; robbery, etc. cannot become rights of the individual. Society will not recognize such claims.
5. **Common for All:** Rights are common for all. Rights is a claim not a particular person but of all the persons. Those Rights which only for one class or a section of the society, should not be termed as rights. Right do not discriminate any person on the basis of caste colour, sex, religion, language, creed etc.
6. **Rights are Limited:** Rights are not unlimited. No right can be absolute because when one person enjoys his right and create problem or danger to the peaceful life of others in the state are restricted by the State. These restrictions should be reasonable. Like, Right to assembly will always be conditioned by peaceful ways.
7. **Welfare Character:** Rights should be welfare character. Rights remove hurdles of the society which come in the way of proper development of the members of the society.
8. **Protected by the State:** Rights are socially desirable conditions. Without proper protection, these Rights are meaningless. Rights are protected by the legal code of the state. No organ of the state/government is allowed to supersede the rights of the people.
9. **Rights and Duties are Correlated:** Rights and duties are two sides of the same coin. No right is possible without its corresponding duties. Right of one is the duty of another and duty of one ensures the rights of others.
10. **Dynamic Nature of Rights:** Rights are dynamic in nature. These are not permanent. They change according to the changing conditions of society. Rights are subject to change in accordance with the values and needs of the society.

From the above discussion, Rights are the claims of individual with their specific characteristics. Man has struggled a lot to achieve his rights which he enjoying today. Rights can never be absolute. They should also be based on reason and morality. No person or class should be discriminated against any ground.

3.3.3. KINDS/CLASSIFICATION OF RIGHTS

In order to live a peaceful and happy life man needs some basic conditions of life and these conditions are called Rights. Brief classifications of Rights are as given below:



1. NATURAL RIGHTS:

Natural rights mean those rights which were enjoyed by the people even before the origin of the state. The Theory of natural rights is considered to be the oldest theory of rights. The exponents of this theory are John Locke and Thomas Paine. According to Locke Individuals enjoyed the rights of life, liberty and property is the state of nature. According to Locke all men are born free and rational. God has given authority to no man can compel others to carry out his orders. So, this theory has played very important role in the history of human development. The concept of natural rights is indefensible in Modern era. Rights cannot be existed without society. State is a source of rights and without state individual cannot enjoy their rights. According to theory of natural rights, rights are possible without state but this is totally wrong. They keep on changing with the changing social needs. It is also believed that the natural rights are absolute in nature; but no right can be absolute. Each right has a corresponding duty.

2. MORAL RIGHTS:

Moral rights are based on the ethical feelings of men and moral code of society. Moral right is not guaranteed by any legal authority. People follow moral rights as they have social values and they are based on the moral code of the community. So, moral rights are those rights which have a bearing on our internal conduct and are more concerned with our inward. Since they are based on our old customs and are deep-rooted in our society. For example, Parents have the rights that they should be assisted by their children in their old age but they cannot seek the help of any law.

3. LEGAL RIGHTS:

These are the rights which are enforced by the state. According to Leacock, "A legal right is a privilege enjoyed by a citizen against his fellow citizens, granted by the sovereign power of the state and upheld by that power." A legal right is enforceable by a court of law against the government or other citizens. The violation of legal right leads to punishment by the government. Legal rights are classified as follow:

- (i) Civil or Social Rights
- (ii) Economic Rights
- (iii) Political Rights

4. CIVIL OR SOCIAL RIGHTS

Civil rights are essential for the primary existence of man. Man is a social animal and as a member of the society he enjoys rights. These rights are basic necessity of a man to have smooth and happy social life. The nature of the rights is changed according to time. Some of the essential civil rights are as below:

1. **Right to Life:** Right to life is the one of the most important civil right of individual. This is the basic right gives to each and every citizen. Without life and security we cannot dream of civilized society and the state. Man is agreed to accept the foundations of law and customs of the society only in order to see that his life never at stake. According to Gettell, "All rights depend upon life, for unless life is secure no rights are possible.
2. **Right to Freedom:** Every normal human being desires personal freedom. He wants to be able to plan his life in his own way. No individual or the authority in power should in any way stand in the way of personal freedom of the individuals. A person must be permitted to exercise his inner faculties without hindrance. Individual can enjoy those rights within the framework of the constitution and the society.
3. **Right to Property:** It enables the citizens to acquire, hold and dispose of property without any restriction. The right to property will have meaning only when it is related to the value of one's effort and nobody is allowed to collect unearned income in the form of rent, interest or profits. It also means that he is free to alienate property by way of gifts, exchange or will.
4. **Rights to Freedom of Religion:** Every person has right to freedom of conscience, practice and propagates his religion. However, this freedom can be restricted on the grounds like public order, morality, and health and to the fact that all persons are equally entitled to such freedom. State cannot impose any religion on any men one.
5. **Right to Family:** Each citizen should be given right to lead an independent family life without interference from any other source. He is given freedom to rear and bring up the children in the way he likes. So, state passes the laws for the protection of right to family.

These laws deal with polygamy, bigamy, marriage, divorce, property rights etc. of family members.

6. **Freedom of thought and Expression:** Freedom of thought and expression is the essential feature of democracy. Man is given the right to express his thoughts either orally or by writing. This right is important for the development of the individual. Every person has right to speech and expression. Person can give his views without any fear or favour. According to Laski, “Men who are prevented from expressing their thoughts “will soon cease to think” and “men who cease to think” cease-also to be in any genuine sense citizens”.
7. **Right to Education:** Education is a health of democracy. Man can enjoy his rights and perform his duties only when he is aware of his rights. Education gives the knowledge of rights and duties to men. Educational opportunities are provided by the state to individual. According to this right, each and every citizen has right to get education without any discrimination. It is essential condition for the success of democracy. So, it becomes the duty of the state to provide not only right to education but also gives the financial aid to the poor and deserving students.
8. **Right to form Union and Association:** It means that people are free to form the union and association for the purpose of promotion of social, economic, and political life. They can hold public meetings without becoming a menace to peace and order. The only condition however that is the association and union should work within the constitutional and legal system.
9. **Right to Freedom of Movement:** The citizens of a state have the right to move freely without any restrictions throughout the state. According to Gilchrist, “Mere life without movement would be meanings and without the exercise of human faculties. It would not rise above the leave of that of animals.”
10. **Right to Freedom of the choice of Profession:** Every citizen has right to choice of their profession for the fulfillment of their basic needs. So, every person has right to free choice of his profession, as well as the right to engage in enterprise and pursue other economic activities.
11. **Right to Equality before Law:** It means all are equal before the law. All persons should be treated equal according to the law. No person has been discriminated on the basis of caste, class, religion, race etc. Law is equal for all.
12. **Right to Freedom of Press:** Press is known as the guardian of human rights. Press is the only source which promotes understanding between the citizens and the government. This right enables the person to express, write and publish their views in newspapers and Media. This right is not absolute because to publish that matter which is libelous, obscene and seditious and against the integrity of state becomes an offence.
13. **Right to Freedom in Domestic Matter:** Every person has right to spend his domestic life according to their wish. Nobody has the right to interfere in the domestic affair of another

person. Under this right he has freedom to eat, drink, live, wear and have freedom in personal life.

5. ECONOMIC RIGHTS

In a socialist country, special attention is paid to economic rights. These rights enable the individual to earn a livelihood. These are the rights which are very important for the economic development of the individual. Some important economic rights are as below:

1. **Right to Work:** This right is very essential to earn one's livelihood. Employment is necessary for living a better life. This right emphasizes the he can fulfill the basic needs of the life. In some developed countries, constitution provides the right to work for their citizens. So it is the duty of the state to create a condition in society in which every person must get adequate opportunities to earn his livelihood.
2. **Right to Adequate Wages:** Every person, without any discrimination has right to adequate wages for his work. The wages of the workers must be enough to enable them to fulfill their basic needs i.e. food, clothe and shelter. According to Laski" A man has not only the right to work but he has the right to be paid adequate wages for his labour."
3. **Right to Leisure:** Everyone has the right to rest and leisure including reasonable limitation of working hours and periodic holiday with pay. Leisure should be claimed by citizen as a matter of right. Without leisure human mind cannot be proper explained.
4. **Right to Fixed Hours of Works:** Man is a living creature. He is not a machine which can work continuously. The hours of labour should be fixed for the healthy life. So the right to work and right to adequate wages automatically imply the right to fixed hours of works.
5. **Right to Economic Security:** Everyone, as a member of society, has the right to economic security. This is the duty of state to fulfill the basic need of the person. Some developed countries provide the economic security to their citizens like people who are too old to work and do not have adequate wages of livelihood are given old age pensions, provide for the treatment of the poor person.

6. POLITICAL RIGHTS

In addition to economic rights citizens alone have certain political rights. Political rights and civil rights are supplementary to each other. These are the rights which check the government from becoming automatic and despotic. Some political rights are as below:

1. **Right to Vote:** This is the most essential right which every adult citizen enjoys in a modern state. Every person who is in the age of 18 years and above 18 years, has right to vote. This is the direct participation of people to elect their own representatives. The age of right to vote is different from country to country. Like, In India, USA and Great Britain the voting

age is eighteen and other countries the voting age varies from twenty-one to twenty-five. This right helps to give free choice to citizens in choosing the government.

2. **Right to Contest Election:** In a democracy every citizen has not only the right to vote and choose his rulers, but also to contest elections. So, every citizen is free to contest in elections and get himself elected to the legislative bodies of the country. For example, In India, the age of right to contest election in Lok Sabha and Legislative assemblies is 25 and in Rajya Sabha it is 30 years.
3. **Right to Hold Government or Public Office:** Every citizen has not only a right to vote but to hold any public office to which he is either elected or nominated. This right provides equality of opportunities for all citizens to hold public offices without any discrimination on the basis of sex, caste, birth, race etc.
4. **Right to Freedom to Form Political Organization:** People are free to form associations or political organization without becoming a menace to peace and order. There can be no democracy without political parties. These are very essential for the working of a democratic government.
5. **Right to Petition:** People have right to petition against the executive and legislative authority for any unconstitutional action. It provides the people an opportunity to inform that in authority where exactly the shoe pinches. So people have right to prepare the list of grievances and submit to respective officers.
6. **Right to Criticize Government:** This right enables people to draw the alteration of the government to the defects in its politics. The citizen has right to criticize the government when so ever they felt that it is going to the despotic and tyrannical. This right is implied in the civil right to freedom of speech and expression. In democratic countries, people have different types of opinion, so right of criticism is essential.

So, above all these rights are very essential for the success of democracy. There rights are the social of the democracy. No state can be ignored the rights of the citizens.

7. FUNDAMENTAL RIGHTS

These are the rights which every citizen living in a state enjoys. Fundamental Rights have been provided in Part III of Indian constitution from Article 12 to 35. These rights have been inspired by American Bills of Rights. Fundamental Rights are very important for promoting the ideal of political democracy, rule of law, preventing the authoritarian tendencies of legislature, executive and upholding the dignity of the individual.

Originally the Indian constitution provided seven fold classifications of Fundamental Rights. These are:

1. Right to Equality Article 14 to 18
2. Right to Freedom Article 19 to 22
3. Rights against exploitation Article 23-24
4. Rights to Religious freedom Article 25-28

5. Cultural and Educational Rights Article 29 to 30
6. Right to Property. It has been deleted by 44th, 1978 Act which added article 300 (a). Now it is legal rights.
7. Right to constitutional Remedies Article 32.

Article 32 is the Rights of constitutional Remedies and also for the protection of fundamental rights. If there is a violation of above given 5 rights, the person can move directly to the Supreme Court. In every country of the world like USA, Russia, Japan, China etc. provides the fundamental rights to their citizens.

3.3.4. CHECK YOUR PROGRESS I

1. Write a note Right to Property.

.....

2. Which part of Constitution deals with fundamental rights?

.....

3.4. DUTIES

3.4.1. MEANING

Duty can be described as an obligation to perform an act or a task. This act or task can be ethical, moral, cultural etc. in nature or either a compulsion by the state, omission of which will result in punishment. So, a duty means that a person has to do something or abstain from doing something in favor of another person. Like, a son is under a duty to feed his dependent parents. Duty is an obligation to do or omit to do something.

3.4.2. DEFINITION OF DUTIES

The different definitions of duties are below:

- According to Almond, "A duty is an obligatory act, that is to say, it is an opposite of which would be wrong; Duties and rights are correlatives."
- According to Merriam Webster Dictionary, "Obligatory tassels, conduct, service or functions that arise from one's position (as in life or in a group)."
- According to Legal language, a legal duty is an act that obliges to do something and act, the opposite of which would be a legal wrong. Whenever law ascribes duty to a person, a corresponding right also exists with the person on whom the duty is imposed.

3.4.3. KINDS OF DUTIES

Duties can be classified into three categories:

1. Moral Duties
2. Legal Duties
3. Fundamental Duties

1. Moral Duties

Moral duties are based on moral values of the society. So, moral duties are those obligations which we should observe but we are not legally bound to observe them. In other words, such duties are not enforced by law. It is our moral duty that we should serve our parents, teachers, brothers and sisters and relatives. It is our moral duty to help the poor and down-trodden.

• MORAL DUTIES TOWARDS SELF

Some Moral Duties Towards self are below:

1. **Character Building:** A good character helps you develop a winning personality. One needs to be honest. A good character is playing a vital role to the development of a nation.
2. **Self Control:** Self-control is the ability to regulate one's emotions, thoughts, desires and lusts.
3. **Good Health:** Healthy mind is a symbol of healthy body. So, one should take care of his health.
4. **Simple Living and High Thinking:** One should to promote the simple living and high thinking.
5. **To Receive Education:** Education leads to mental development of individual which is necessary for his social, spiritual, cultural and political development.
6. **To Earn Livelihood:** This is the duty of every citizen to do work for the fulfillment the needs of his family and his self.
7. **Ideal Routine Behaviour:** A person should have the ideal routine behaviour. Ideal routine behaviour is the creator of the life of a person. Our behaviour towards society is an identity of our citizenship.
8. **Progressing Thinking:** This is the duty of every citizen to adopt progressive thinking for the development of the society.

• MORAL DUTIES OF PARENTS TOWARDS FAMILY

The moral duties of parents towards family are gives below:

1. **Ideal Atmosphere in Home:** It is the moral duty of every citizen to contribute to making the environment of his home good so that his family can develop properly.
2. **Procreation of Children:** Procreation of children is necessary for the existence of human being. So, this is the duty of individual of rears or nurtures the child for the protection of the human race.

3. **Family Planning:** Too many children in the family make life more difficult. Because fulfillment of the basic needs of life is not possible in a large family. So planned family is the most important duty of all.
4. **To Take Care of Children's Health:** Health is a wealth. So, it is the duty of every parent to take care of his children's health and provide them a nutritious food.
5. **Education of Children:** This is the duty of every parent to provide the good education to their children. So, that they can become self-independent.
6. **Sound Economic Condition:** This is the duty of parents to do hard work and maintain the sound economic conditions and fulfill the desires of the family.
7. **Restraint from Bad Habits:** Parents are the first teacher of their children. So, this is the duty of the parents to provide the knowledge of good habits and aware them from bad habits.
8. **Savings:** Family can face any time an unforeseen emergency, so, this is the duty of parents to save the amount in their bank balance. It also helpful to tide over the crisis.
9. **To Bring Fame to the Family:** It is the duty of every individual to make his or her family's name famous with their good deeds and achievements.

- **MORAL DUTIES TOWARDS SOCIETY**

Man is a social animal. He cannot live without society. So there are some moral duties towards society are gives below:

1. **Social Service:** The person should be social worker. They should help the poor or helpless persons. They should instill the responsibility towards society in their children.
2. **To Eradicate Social Evils:** Social evils are the curse of the society. One should try to remove social evils from the society. Because social evils are the big hurdle of the path of development of society.
3. **Co-operation:** It is the duty of every individual to work with the members of society. It makes the society powerful.
4. **Arresting Criminals:** This is the duty of every person to arresting criminal is the society with this the filth of the society is cleansed.
5. **Sense of Love:** Our atmosphere is full of hatred and Jealousy. It is the duty of every human being to create a sense of love in the society.
6. **Cleanliness:** It is the duty of every citizen to take care of cleanliness in his home as well as the society.
7. **Co-operation in Development:** Development of villages and Cities are not possible without the cooperation of the persons in order to get rid of natural disaster, one has to help the society.

- **DUTIES TOWARDS HUMANITY**

Some of the duties towards humanities are given below:

1. **Love for Humanity:** Love for humanity is the duty of every person. He should not love only his nation he should also be love with the whole world. With this, there will be peace in the world.
2. **No-Discrimination:** No one has right to discriminate persons in any expects. One should do his work without any discrimination.
3. **Help to Poor:** There are many poor and needy people. This is the duty of every person to provide the maximum help to them.
4. **Sense of World Citizenship:** This is the duty of every person to remove the conservative thinking and promote the world citizenship.

• MORAL DUTIES OF CHILDREN

There are some moral duties of children towards their parents are given below:

1. **Obedience:** This is the moral duty of every child to obey their parents and teachers. This will help him to create a better character.
2. **To Hard Work:** This is the duty of every child that he should not waste money and do hard work and use for their needs.
3. **Service of Parents:** It is the duty of every child to serve his parents with all his heart.
4. **To Bring Fame:** It is the duty of every child to do good deeds or to enlighten the name of their parents and parents should feel proud them.

• LEGAL DUTIES

Legal duties are those which are capable of being enforced through the courts. It is important for the individual that he should obey the legal duties. Because punishment for those who fail to observe legal duties. It is a legal duty of every citizen to show obedience to the constitution, commands of law and pay taxes regularly. Some important legal duties are as under:

1. **Loyalty towards the State:** This is the basic duty of citizens to loyal towards the state. He must give his whole hearted loyalty to the state and nation. Loyalty towards the state means the supreme sacrifice of life in the time of nation's defense.
2. **Obedience of Law:** This is the duty of every citizen to obey the laws of state. Disobedience of laws by the citizen leads to anarchy.
3. **To do Military Service:** This is the duty of every healthy, citizen get ready to serve himself for the nation. Loyalty to the state involves willingness to defend the country in the emergency. Some states provide compulsory military service in the time of emergency for their citizens.
4. **Payment of Taxes:** This is the duty of every citizen to pay the tax regularly. If citizens don't pay taxes honestly the activities of the government will suffer. State discharges their functions for the welfare of society if citizens pay their taxes.

5. Right to Vote: Right to vote is the duty of every person who is eligible for this.

6. Co-operation with the Government: This is the duty of every citizen to co-operate with the public officer so that they can fulfill their duty. Citizens have also to help to remove the anti-social element from the society.

7. Protection of Public Property: Public property is state's property. Protection of public property is the duty of every person. If any person destroys or dismantles the public property then it is the right state to give the punishment of such a person.

8. Respect of the Constitution: Constitution is the supreme legal power of the nation. So, it is the duty of every citizen to respect of the constitution.

9. Respect to the National Flag: Every state has its own National flag. Every citizen has the duty to give the respect of its National flag. Give the disrespect to the National Flag is a crime.

10. Respect Other's Rights: This is the duty of every citizen to give respect other's right and protect the public property.

11. Attending School: Every child has right to education. It's the duty of every parent to provide the education of their children below the age of fourteen.

3. FUNDAMENTAL DUTIES

A duty means that some person has to do something or abstain from doing something in favour of another person. There are various aspects of man's life. He has performed number of duties in every aspect to make his life happy. For the development of individual and welfare of the society, constitution provides some duties for the citizens, which are known as fundamental duties.

Fundamental Duties are mentioned in Part IVA of Indian constitution. These duties are not in original constitution and have been added by 42nd Amendment Act, 1976 by Indian Gandhi government. These has been inspired by USSR and originally there were Eleven Fundamental duties and Eleventh duty has been added by 86th Amendment Act, 2002 i.e., Education from six to 14 years children.

The Fundamental Duties of the citizens are gives below:

1. To abide by the constitution and respect its ideals and institutions, the National Flag and the National Anthem;
2. To Cherish and follow the noble ideas which inspired our national struggle for freedom;
3. To uphold and protect the sovereignty, unity and integrity of India;
4. To defend the country and render national service when called upon to do so;

5. To promote harmony and the spirit of common brotherhood amongst all the people of India transcending religious, linguistic and regional or sectional diversities; to renounce practices derogatory to the dignity of women;
6. To value and preserve the rich heritage of our composite culture;
7. To protect and improve the natural environment including forests, lakes, rivers and wildlife, and to have compassion for living creatures;
8. To develop the scientific temper, humanism and the spirit of inquiry and reform;
9. To safeguard public property and to abjure violence;
10. To strive towards excellence in all spheres of individual and collective activity so that the nation constantly rises to higher levels of endeavour and achievement.
11. Parent or Guardian, to provide the opportunities of education to his child, or as the case may be ward between from the age of six to fourteen years.

The constitution has set out the duties towards society on individuals. These duties are non-justifiable in nature. It means there is neither provision in the constitution for direct enforcement of any of these duties nor for any section to prevent their violation.

3.4.4. CHECK YOUR PROGRESS II

1. What do you mean by Duty?

.....

2. Through which amendment fundamental were added in the Indian Constitution?

.....

3.5. RELATIONSHIP BETWEEN RIGHTS AND DUTIES

Rights and duties are like the two sides of a coin. Rights are born in the world of duties and both are related with each other. A person cannot claim his rights without doing his duties. According to Dr. Beni Prasad, “Rights and Duties are interdependent. They are two aspects of the same thing. If one looks at them from one’s own stand point, they are rights. If one looks at them from the standpoint of others, they are duties. Both are social and both are conditions of rights living to be secured to all members of society.”

The relationship between rights and duties are given below:

1. **Right is a Duty Itself:** Rights and duties are closely related with each other. Right is a duty itself. If the state gives the right to life to a citizen, it also imposes an obligation on him to not to expose his life to dangers, as well as to respect the life of others.
2. **Every Right has a Corresponding Duty:** Each right has a corresponding duty. Without duty there is no right. A citizen cannot claim rights without doing his duties. No right can command its security unless it is provided with some duties. If a person claim to his

protection of his life and property that can only be possible if he feels it's his duty to protect them. So, every right has a corresponding duty.

3. **Rights without Duties are not possible to enjoy:** It is impossible for the human being to enjoy rights without being obliged to obey certain duties. Right without duties is nothing but the shielded anarchism ready to establish the notion "might is right".
4. **Every Right has a Duty of its Proper Use:** State gives a several types of rights to its citizens. So it's the duty of a citizen to use these rights properly. For example, as a citizen, he is given a right which is very valuable and important, i.e. right to vote. While using this right one should see to it that only those who deserve get them and not others. While casting votes, he should not be guided by selfish or low ends.
5. **Every Right has a Related Social Welfare Duty:** There is a close relationship between society and human being. A person can enjoy his right only within the society. Without society rights are not possible. So, there are some duties of citizens towards the society. One of the most important duties of a citizen that he should use his rights for the welfare of the society.
6. **Duties towards the State:** State protects the rights of citizens. Citizen should be loyal towards state in thought, speech and action. He should obey all laws of the state. He should pay all taxes which are imposed by legitimate authority of the state. He should look after the welfare of all and sacrifice his own interests for collective welfare.

3.6. SUMMARY

So, it can be said that each democratic state gives certain rights to its citizens which they enjoys as members of society. But rights are not absolute but pre-requisite conditions for duties and as such both must go hand in hand. So, beyond society there are not rights at all. Each right has a clear corresponding duty. Without duty there will be no rights at all because rights and duties are reciprocal. Duties are social obligation thus necessary for smooth and harmonious social life.

- Duties and rights do not exist in the absence of each other.
- Rights are the laws, rules and regulation that are attested by the society and also contribute to the high moral well beings of the citizens.
- It is necessary for the rights to be legitimate and ethical. Rights can possible only within the society.
- There are many types of rights like Natural, Moral, Fundamental and legal rights. Legal rights can be divided into civil, economic and political rights.
- Indian constitution provides the six fundamental rights of every citizen under Articles 14 to 32. These are Right to equality, Right to Freedom, Right against exploitation, Right to freedom of religion, Cultural and educational right and Right to constitutional Remedies.
- A duty is an obligation. A duty means that some person has to do something or abstain from doing something in favour of another person.
- According to definitions duty is the binding and necessary preserve of something which is right in moral and legal form like moral and legal duties.

- There are three types of duties- Moral duty, Legal duty and Fundamental duty.
- The base of the moral duties is the moral values of the society like give respect to the parents, obey the order of the parents, responsibility towards the parents etc.
- A legal duty is one that is enjoined by the law of the land. Legal duty imposed by the state and punishment those who fail to observe legal duties like non-payment of taxes, disobey the rules of road side, destroy the public property etc.
- The importance of moral duty is to develop the personality of individual and social well-being.
- Indian constitution provides eleven fundamental duties for their citizens. But these duties are non-justifiable. These duties are depended upon the wish of the citizens.
- There are close relationship between rights and duties. They are like the two side of the coin. A citizen cannot claim his rights without doing his duties. A person who performs duties without enjoying rights is not a free citizen. So rights and duties go together.

3.7. QUESTIONS FOR PRACTICE

3.7.1. LONG ANSWER QUESTIONS

1. Describe the four main features of Rights.
2. Q4. Describe the main kinds of Rights.
3. Describe the Civil or Social Rights.
4. What do you know about duties? Discuss its kinds.
5. What is meant by Fundamental Duties? Describe
6. Critically evaluates the fundamental duties of Indian Constitution.
7. “Rights and Duties are co-related with each other”. Explain.
8. Describe the moral duties of a person towards society.

3.7.2. SHORT ANSWER QUESTIONS

1. What is meant by Rights?
2. Give three definitions of Rights.
3. Write any four civil or social rights.
4. Write down four Political Rights.
5. Write down two Economic Rights.
6. What do you mean by Fundamental Rights?
7. What do you mean by moral duty?
8. What do you know about legal duty?
9. Describe the four moral duties of a person towards himself?
10. Discuss the four legal duties of a person?

3.8. SUGGESTED READINGS

- S.S. Nanda, Political Theory; Nanda Publications, Patiala, 1977
- N.P. Barry, Introduction to Modern Political Theory, MacMillan, 1995, London
- Ernest. Barker, Principles of Social and Political Theory Oxford University Press, Calcutta, 1976
- Political Theory, S.P. Verma, Geetanjali Publishing House, New Delhi, 2007

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER- II

COURSE- POLITICAL THEORY –II

UNIT 4: LIBERTY: MEANING, DEFINITION, TYPES AND ITS SAFEGUARDS

STRUCTURE

4.0. Learning Objective

4.1. Keywords

4.2. Introduction

4.3. Meaning of the Concept

4.4. Definitions

4.5. Two Concepts of Liberty

4.5.1 Negative Liberty

4.5.2. Positive Liberty

4.6. Marxian Perspective

4.6.1. Check Your Progress I

4.7. The contemporary Discourse:

4.8. Liberty: Freedom as a Triadic Relation

4.9. Types of Liberty:

4.9.1. Check Your Progress II

4.10. Safeguards of Liberty

4.10.1. Check Your Progress III

4.11. Summary

4.12. Questions for Practice

4.12.1. Long Answer Questions

4.12.2. Short Answer Questions

4.13. Suggested Readings

4.0. LEARNING OBJECTIVE:

After the completion of this unit, you will be able to

- understand the meaning of liberty
- differentiate between two concepts of liberty
- describe the types of liberty
- analyze the safeguards of liberty

4.1. KEYWORDS: Liberalism, Marxism, Tyranny, Nation-State, Welfare State.

4.2. INTRODUCTION

Liberty as a concept has been considered as an important principle of political philosophy. The history of mankind is a testimony of unending struggles for liberty. Human life is unimaginable without it. Liberty is the product of rights which can be enjoyed in the state only. Of all the rights, which are considered basic for all round development of an individual, the right to liberty appears to be the most favourite and admired right. We speak of the freedom of religion, speech, writing, association and of participation in the political process. The thought has been broadened to cover demands for economic liberty, freedom from want and even national self-determination.

4.3. MEANING OF THE CONCEPT

The terms 'liberty' and 'freedom' are normally used interchangeably by Political and Social Scientists. Freedom is seen as the quality of human beings. Human beings are capable of freedom because they are different from other living beings or organisms. So freedom is more broader and concrete concept. Human beings' capacity to gain scientific knowledge is the source of their freedom. When freedom is considered as the condition of human being, one enters the realm of liberty.

The word 'liberty' has been derived from the Latin word "liber" which means free or absence of restraints. In this sense, liberty means freedom from restraints or no restraints. It means freedom to act as one likes or do whatever one might wish to do regardless of all the consequences. But this type of liberty is obviously impossible because freedom from restraints is available only to animals. Certainly, it is necessary to have some restraint on freedom. In a civilized society, no one can be permitted to act without restraints and liberty is possible only with restraints. So we can say that liberty is the absence of not all restraints but only those restraints which are held to be irrational.

4.4. DEFINITIONS

Different interpretations of liberty define how individuals relate to society/state, different political ideologies. The changing conception of the liberty thesis from Adam Smith to Hobhouse offers the best way to the understanding of the evolution of political thought. This shifting emphasis has been marked by a change from a negative to a positive concept of liberty i.e. from liberty as 'silence of laws' to freedom as 'the presence of socio-economic and political conditions'. Let us understand the views of various philosophers and see to what extent each of them views different notions of liberty.

4.5. TWO CONCEPTS OF LIBERTY

4.5.1 NEGATIVE LIBERTY

The concept that emerged from the writings of early liberalists is known as Negative Liberty. This concept found classical expression in the writings of John Locke, David Hume, Adam Smith, Thomas Paine, Herbert Spencer, Bentham and J.S. Mill furthered by Michal Oakeshott, Milten Friedman, Hennah Arenet, F.A. Hayek and Robert Nozik. Negative liberty means absence of constraints or absence of interference or obstruction. This perspective considers man as rational, reasoned, and able to make his choices and knows his best.

This concept developed during 17th century in the wake of Industrial Revolution. It deliberately paved the way for the establishment of capitalism against the prevailing forces of feudalism. The absence of restraints economic, political, religious moral was regarded as a pre-condition for liberty of the individual. It sees liberty as a natural right and limits the authority of the state. It provides you the opportunity to act and it does not see whether you are able to do that

or not. In this form, liberty becomes a license. But we should remember one thing that when negative liberty is taken to mean as absence of restraints or constraints, the constraints are external, man made, and intentional.

According to Thomas Hobbes (1588-1679), liberty or freedom signifies the absence of all impediments to action that are not contained in the nature and intrinsic quality of the agent. Hobbes defined liberty as *dependent on the silence of law*. With John Locke also, the sovereign coercive power was considered suspect and it is law which must restrain it like all other arbitrariness. Lock's moral framework is based on the laws of Nature of which equality is a central tenant. He says, *man is free to act without subject to arbitrary will of another within allowance of moral law*. The exercise liberty should not be at the cost of equality. G.D.H Cole also gave negative aspect of liberty when he defined it as *the freedom of the individual to express without external hindrances to his personality*.

J.S. Mill in his famous essay On Liberty (1859) also deliberated upon the negative aspect of liberty. 'Mills views on liberty are based on his understanding of utility, in the largest sense grounded on the permanent interests of man as a progressive being.' The sphere of non-intervention in an individual's life is demarcated by drawing a distinction between self-regarding and other-regarding activities. Self-regarding actions are actions over which the individual is sovereign. Whether an action is other-regarding or is of concern to others depends upon whether such action is harmful to others. According to seelay, *liberty is the opposition of over-government*. After the above discussion, we can summarize the concept of negative liberty as:

- Negative liberty is usually attributed to individual agents.
- Negative liberty represents the early liberal assumptions regarding man, society and the state.
- Rights are more important than duties.
- The state has a minimal role to play. The state cannot decide ends and purposes for the individual.
- The concept of negative liberty proved instrumental in the establishment of Capitalist System in Europe.

4.5.2. POSITIVE LIBERTY

As you know Negative Liberty is taken to mean as absence of restraints. Such a meaning of liberty can never be accepted in a civil society. In this way, this type of conception of liberty stands rejected. In contemporary times, positive liberty is possible. Positive liberty means liberty under the rational, necessary and required restraints imposed by law. These restraints are considered essential for ensuring the enjoyment of liberty by all the people. The changed perception about the individual and state that came out of the critique of negative liberalism by a number of thinkers like T.H. Green, Laski, Berlin Hegel Marx, John Rawls and Amartya Sen are important names in this context.

Political thought of the early advocates of positive liberty is associated the Welfare State thesis which first appeared in England and then spread to other parts of the world. This perspective supports community life and also expands the role of the state. Here liberty does not mean the absence of restraints but absence of any irrational and arbitrary restraints. Positive liberty does mean equal and adequate opportunities for all to enjoy their rights.

First of all we can take the name of Kant who says true freedom obedience to the moral law duty. T.H Green postulated a theory of rights and asks the state to play positive role in creating conditions under which moral freedom is there. He described true freedom is act of “Good Will”. It is a positive power of doing or enjoying something worth doing or enjoying moral freedom. Rousseau (1712-1778) considered freedom as a collective venture. Unlike Hobbes and Locke, liberty is not a natural right for Rousseau. Positive liberty supports community life because freedom is participation in collective activity and obeying law reflecting general will of society.

While discussing the role of the state we can say that a state may interfere with equality and negative liberty. The individuals may be rightfully forced to act in a certain way. State has to create a positive atmosphere for the all round development of a man. To create such a positive atmosphere, state has to put some restraints. Laski observes it as is the eager maintenance of that atmosphere in which men have the opportunities to be their best selves.

As McKechnie observes liberty is not the absence of restraints, rather the substitution of rational ones for the irrational. Hegel (1770-1831) also opines same when he says from ‘abstract’ concept of freedom, linked to a single individual will, to a ‘concrete freedom’ actualised in a political

community as a rational system of wills. Positive liberty means enjoying things of worth and doing things worth of work.

4.6. MARXIAN PERSPECTIVE

Marxism has been an heir to a wider and richer view of freedom originating from such sources as Spinoza, Kant and Hegel who conceived of freedom as self-determination, self realization, self development, self fulfillment and self creativeness. Marx and Marxism tend to see freedom in terms of removal of obstacles to human emancipation. He views that freedom is the full development of human mastery over the forces of nature and humanity's own nature. In the same way, Huberman and Sweezy views, freedom means living life to the fullest the economic ability to satisfy the needs of the body in regard to adequate food, clothing, shelter and effective opportunity to cultivate the mind, develop one's personality and access one's individuality.

Like liberalism, Marxism also believes that freedom implies absence of restraints but it disagrees with liberalism regarding the quality of restraints. It believes that apart from the restraints of law and the state, there are restraints of long hours of work, arduous, dull and unrewarding job, lack of good food and living conditions and above all constraints of finding work. Marx and Engels believed that by socializing the means of production, the individual can enjoy a freedom which he had never enjoyed i.e. freedom from exploitation of labour, by the institution of Socialism, real beginning for the achievement of a free society can be made. To achieve such a freedom, not only more effective forms of democratic control of rulers be introduced but social reactions must also be changed.

Marx criticized bourgeois and Liberalism by saying that liberalism has wrongly equated political emancipation with human emancipation. The masses, the wage earners without property continued to be dependent upon the Bourgeois which owned the means of production. Marx opined that in a society based upon competitive market, man's relations to other men become exchange relations and quite impersonal and they behave with each other as agents of market exchange. In such circumstances, they are not free. The Marxist concept of freedom is absolute in the sense that man ought to be freed from all kinds of 'alienation, necessities, oppression,

exploitation and domination'. So we can brief the concept of positive liberty by saying that it means:

- Not the absence of all restraints but that is irrational and arbitrary.
- Very important for individual's material and moral development.
- Collective approach allows greater state authority and individuals are considered as members of given collectivities.
- Self control, self realization, collective actions to remove constraints, help one to realize ones' goal.
- Possibility of acting or the fact of acting in such a way as to take control of one's life and realize one's fundamental purposes.
- May give rise to paternalism and authoritarianism.

4.6.1. CHECK YOUR PROGRESS I

1. Define the term Liberty.

.....
.....

2. What is the difference between freedom and liberty?

.....
.....

4.7. THE CONTEMPORARY DISCOURSE

Positive liberty is now regarded as an essential complement of negative liberty in all modern States. However some of the present liberal thinkers, known as supporters of libertarianism, seek to reestablish emphasis upon negative liberty. Some of these proponents are Isaiah Berlin, F.A. Hayek, Milton Friedman, and Robert Nozick. Isaiah Berlin criticizes the negative liberty by saying that it is meaningless for people lacking basic necessities of life. What is the area within which the subject a person or group of persons is or should be left to do or be what he is able to do or be, without interference by other persons? Another liberal thinker who seeks to oppose the principle of equality in strong terms is Robert Nozick.

While determining the functions of the state, as he follows Locke's perspective, he believes that individuals have certain rights in the state of nature. He also believes that because state has come into existence for the performance of limited functions, so inequalities at the level of production should not be sought to be rectified at the level of distribution. F.A. Hayek in his work *Constitution of Liberty* (1960) provides the meaning of liberty by saying that a man possesses liberty or freedom when he is not subject to coercion by the arbitrary will of another. He contrasts individual freedom with three other meanings of freedom which speak for 'political freedom', 'inner freedom' and 'freedom as power' respectively. Hayek recognizes freedom as, freedom from constraints of the state. He is of the view that state should minimize the use of coercive powers of government and should encourage competitiveness. He further suggests that "the state should ensure minimum income to each individual or family, but should not make market itself an instrument of distributive justice".

F.A. Hayek further provides his view against equality on two grounds. At the first, he supposes that liberty consists in 'absence of coercion' in the realm of individual activity by other individuals or the state. In the second place, he perceives that individuals differ in their abilities and their equality before the law is certain to generate inequality in their actual position in terms of their material status. So any effort to create material equality among different people is bound to involve 'coercion' which could deprive them of their freedom. In short, we can say that the cake of freedom as maintained by Hayek, is not to be divided on the basis of 'equal shares for all' but on the basis of each individual's contribution to progress. Since each individual has unknown potential of making contribution to progress, it is difficult to ascertain each individual's entitlement to different amounts of freedom. Milton Friedman defines freedom as 'the absence of coercion of a man by his fellow man'. He suggests that 'a free private enterprise exchange economy' or competitive capitalism' is both a direct component of freedom and a necessary though not a sufficient condition of political freedom. Friedman's contempt for equality is inherent in his very concept of freedom. He argues that in order to maximize this freedom governments should be allowed handle only those matters which cannot be handled through the market at all and while handling political channels may be preferable. This would mean government moving out of almost all its welfare and regulatory functions.

4.8. LIBERTY: FREEDOM AS A TRIADIC RELATION

In 1967, Gerald MacCallum revealed that there is no simple dichotomy between positive and negative liberty. He explained liberty as a triadic relationship: X is free from Y to do or become (or not to do or become) Z. He further explained that a subject, or agent, is free from certain constraints, or to preventing conditions, to do or become certain things. Freedom is therefore, a triadic relation that is, a relation between three things: an agent, certain preventing conditions and certain doings or becoming of the agent. Any statement about freedom or unfreedom can be translated in a statement of the above form by specifying what is free or un-free. Any claim about the presence or absence of freedom in a given situation will, therefore, make certain assumptions about what counts as an agent, what counts as a constraint or limitation on freedom and what counts as a purpose that the agent can be described as either free or unfree to carry out. So MacCallum's basic concept of freedom is: a subject, or agent, is free from certain constraints preventing conditions, to do or become certain things. Freedom, a triadic relation, is a relation between three things: an agent, certain preventing conditions and certain doings or becoming of the agent.

4.9. TYPES OF LIBERTY:

The concept of liberty and its importance has been so strong that its supporters and critics both agree to the fact that liberty is the essence of political, economic and social relationships. Harold J. Laski talks about three kinds of liberty i.e. Private Liberty, Political Liberty and Economic Liberty. In order to identify the proper sphere of activities we will try to understand three and other different types of liberty.

1. NATURAL LIBERTY:

First of all we can talk about *Natural* liberty. It is believed that man has inherited the right to liberty from nature. Natural reason is the basis of liberty. Traditionally, the concept has been made popular by contractualists. Natural liberty means the enjoyment of unrestrained natural freedom. Contractualists like Hobbes, Locke, and Rousseau justified it on the ground that since man is born free; he is to enjoy freedom as he wills. As Rousseau once said, "Man is born free, but is in chains everywhere". Proponents of natural liberty talk about complete freedom from the individual to do whatever he or she wants to do. As Hobbes described this type of state of nature,

National liberty is the absolute rights of men in the state of nature to all things including the right to kill other men. However, the concept of liberty is now considered to be an imaginary one. Unrestrained freedom can create anarchy. There can be no real freedom in a state of nature. National liberty as described by Hobbes can lead to a living on the Principle of Might is Right. Existence of such liberty came to an end after the establishment of civil society. It is only an orderly society characterized by essential restraints on laws and rule that real liberty can be possible. The rational and necessary restraints are considered essential for ensuring the enjoyment of liberty by all the people.

Natural liberty condemns the presence of restraints of any kind. *Civil Liberty* justifies the presence of some rational restraints imposed by the state and society. Civil liberty means liberty under law. These are legal instruments of protection of the individual from arbitrary acts of government. It is manifested in concrete terms in right to freedom, speech and expression, property, associations etc. State guarantees civil liberty. Law creates necessary conditions for it. Law imposes only reasonable restraints that are necessary for the achievement of liberty by all the citizens. Civil liberty includes Personal Freedom. It means the existence of conditions in which an individual can act as he pleases without any arbitrary or illegal control. Protection of civil liberties is regarded as an essential feature of liberal democracy.

2. POLITICAL LIBERTY:

Political Liberty is the freedom to participate in the political life and affairs of the state. Political liberty is closely connected with democracy because state cannot be democrat without political liberty. Without political liberty, citizens cannot enjoy full civil liberties. When people have the freedom to participate in political process, it is said that they are enjoying political freedom. It means the freedom to exercise the right to vote, to contest elections, right to hold public office, right to criticize and oppose the policies of the government. Education and free press are the two essential conditions which are necessary for the existence of political liberty. As Laski says, political liberty means *the power to be active the affairs of the state*. Political liberty is the right to form political parties, interest groups and pressure groups and most important of all the right to change the government through constitutional means. It is concerned with whether people live in a society that respects their basic human rights.

3. ECONOMIC LIBERTY:

Economic Liberty is said to be the mother of all liberties. In the absence of economic liberty, all liberties are meaningless. It means the basic necessities of life should reach to everyone. It also means absence of economic disparities, exploitation, inequity, unemployment, starvation, hunger and destitution. It means the availability of the right to work and adequate opportunities for earning one's livelihood. Economic liberty can be secured by defining economic rights of the people by guaranteeing the individuals the right to work, by providing minimum wages, by providing adequate leisure and shielding workers from the woes of unemployment, sickness and old age. Therefore, civil and political liberty is meaningless in the absence of economic liberty.

4. NATIONAL LIBERTY:

National Liberty means liberty or independence of the Nation State. It exists where the nation is independent and sovereign. It also means people have a constitution of their own. National Liberty means freedom from external control. The Nation State is free to solve its problems according to its will without any interference. So long as we are governed by the concept of sovereign nation-states, freedom from the control of other states' is essential to the concept of National Liberty. If the nation is under the control of others, no cultural, social economic, political development is possible. The state should be free to adopt policies and programmes according to its need and desire. It must be kept in mind that this liberty is not absolute and can be exercised by the states through various channels like propaganda.

5. RELIGIOUS LIBERTY:

Religious liberty means the freedom of faith and worship and non-intervention of state in religious affairs of the people. Nobody can tolerate any interference in religious affairs so the freedom is to profess or not to profess any religion. In most of the nation states, it is considered as a fundamental human right. Like other liberties, Religious Liberty is also not without limits. Some religious beliefs and practices clash with or conflict with laws like compulsory education laws animal protection laws and anti-dowry laws. In these cases, states have to step in to accommodate the things. *Moral liberty* suggests the right of an individual to act according to his conscious. It stands for the liberty to work for receiving moral self-perfection. It means the freedom of an individual to act as rational being. Freedom to pursue moral values is moral

freedom. Moral liberty is not concerned with the state but with our own self. Plato, Aristotle, Bradley, Hegel and T.H. Green interpreted moral liberty in an idealistic manner. The individual should be morally free and the state such create such environment that is desired to ensure moral liberty to everyone.

6. INDIVIDUAL LIBERTY:

Individual liberty means the freedom to act according to one's desires and interests as a person. But this is too kept in mind that these acts should not clash with the desires or interests of others. Many kinds of freedom come under it: the freedom of speech and expression, freedom of residence, freedom of movement, and freedom of conscious, freedom to choose any profession, right to personal property, freedom to profess or not to profess any religion. Citizens should enjoy these freedoms in such a way that it does not hinder the freedoms of his co-members of the society as does not violate public order, health and morality.

4.9.1. CHECK YOUR PROGRESS II

1. Mention any two kinds of Liberty.

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1. Is there Religious Liberty in your Country?

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4.10. SAFEGUARDS OF LIBERTY

For safeguarding liberty of the people democratic form of government is the best one. There can be no real *democracy* without the right to liberty. In monarchy and dictatorship, power is centralized in the hands of one person or a group of persons. But in democracies people get due chance to criticize the government. If the representatives fail to perform according to the expectations of the people, people resist or withdraw their loyalties in other ways and can remove them. The government must be responsible to the people. In order to check the government from becoming absolute, the powers of executive legislative and judiciary should be

separated. The *separation of powers* in a democracy is to prevent the misuse of power and safeguard the liberty. In this system, tasks of the state are divided into three branches legislative, executive and judicial in such a way that they can check each other's.

1. RULE OF LAW:

The main objective behind the inclusion of *fundamental rights* in the constitution is to maintain the rule of law, so that individual liberty can be preserved. By incorporating a character of fundamental rights and freedoms in the constitution of the state, people can be conversant with their rights. Fundamental Rights limit the authority of the State. Judicial protection is also necessary for the full attainment of fundamental rights. Laski believes that there cannot be liberty where the right of some depends upon the pleasure of others. So liberty can be enjoyed only in the presence of rights. Rights become the guarantee of a minimum biasness between citizens. Because the greatest values of human life is best represented in the recognition of fundamental rights.

2. INDEPENDENCE OF JUDICIARY:

Independence of judiciary is the keystone of democracy. If the keystone is removed, the whole structure comes under the danger of disintegration and destruction. Independent judiciary is the guardian of true liberty. Rights of individuals would be without value if no legal system is able to play an active role in their protection. The independence of judiciary is the key factor that allows the members of the judiciary to be outspoken. If Judges are allowed to work independently, the rights and freedoms of people can be protected in a better way. Without independence, the possibility of despotism increases and the suspicion of the power of the judiciary expand and citizen's freedoms would have no meaning. The independence strengthens the effectiveness of the courts and enhances the judiciary's role in the realization of justice and in the restoration of human rights.

3. ABSENCE OF SPECIAL PRIVILEGES :

Real freedom cannot be realized in the absence of special privileges. The presence of privileges would have negative impact on the liberty of others. It would lead to frustration and loss of creativity. Laski opines that special privilege is incompatible with freedom because the later quality belongs to all alike in their character as human beings. So for safeguarding liberty, there should be no class of privileged persons in society. Granting special rights to any class is against

the will and spirit of liberty. Liberty is possible only on the condition of equality i.e. equal rights and opportunities for development for all classes without any discrimination.

4. POSITIVE ROLE OF MEDIA

Media can play a major role in protecting and safeguarding liberty. It makes people aware of the fact that liberties are of eternal value to humankind. It also helps in exposing violations and turns the attention of the people towards areas and issues in need of the protection. It also educates the people about their rights and liberties. Media also plays an important link between the state and the public. If press is free and is performing its sacred duty, people's liberties will be safeguarded for sure.

5. POLITICAL PARTIES:

Political Parties serve as a critical watchdog for the public. They are the key actors in democratic societies. To protect and safeguard the liberties, well organized and healthy party system is needed. Burke laid stress on the national character of the party. A Political Party should serve the national interest not sectional interest. Political Parties may participate (directly or indirectly) in the ruling of the government. Parties may denounce human rights violations or highlight liberty related issues. It helps in the protection of human rights and liberties.

6. TRANSPARENT AND RESPONSIBLE ADMINISTRATION:

The administration must be responsible, transparent and accountable. It is also essential that the power of the government especially executive branch of the government should be placed at all the three levels of government local, regional and national. People should be aware of their rights and duties. They should have firm faith in the government but they should also be committed towards their liberties. People should have full alertness against any encroachment of their liberty because liberty needs continuous efforts by the citizens to defend it.

4.10.1. CHECK YOUR PROGRESS III

1. Mention any pre-conditions which are essential for Individual Freedom.

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2. What is the relation between Fundamental Rights and Liberty?

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4.11. SUMMARY:

The quest for freedom is continuous process. Classical liberalism put forward the definition of liberty as absence of constraints or restraints. Market forces are seen as the regulatory mechanism for the mutual adjustment of citizens. It was expected that state should restrict itself to the minimum function. But with the passage of time, welfare state was seen as necessary agent of freedom. It was felt that market is not a smooth and humane agency for the adjustment of human relations. Marxists viewed the state as an instrument of ‘dominant class’ and predicted ‘withering away of the state’. It was seen as an instrument of liberty and emancipation. In contemporary societies, it is felt that a genuine urge for emancipation will go a long way in establishing a new social order. In this new social order, man will not become a slave to technology and capitalism. Freedom and liberty would prevail supreme. In this regard, democratic form of government, provision of fundamental rights, separation of powers, role of press, media, rule of law, and decentralization of powers, aware and vigilant citizens will help creating a healthy atmosphere for freedom.

4.12. QUESTIONS FOR PRACTICE

4.12.1. LONG ANSWER QUESTIONS

1. Explain in your own words “what freedom means”.
2. Write a critical essay on the positive and negative concept of liberty.
3. Write a detailed note on the kinds of liberty.
4. Analyze the important safeguards of liberty.

4.12.2. SHORT ANSWERS QUESTIONS

1. What is Negative Liberty?
2. Is liberty absolute?
3. Do you feel you have a lack of Liberty?
4. What extra liberties would you like?
5. Why should Individual Liberty be curtailed?
6. What role do Media play in safeguarding Liberty of the people?

4.13. SUGGESTED READINGS

- Peter M.R. Strik and David Weigall, An Introduction to Political Ideas, Pinter Publishers.
- O.P. Gauba, An Introduction to Political Theory, Macwillam.
- R.C. Vermani, An Introduction to Political Theory and Thought, Gitanzali Publishing House.
- Rajeev Bhargava (eds.) Political Theory: An Introduction. Pearson education.
- Robert Garner, Peter Ferdinand & Stephanie Lawson, Introduction to Politics, Oxford University Press.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER- II

COURSE- POLITICAL THEORY –II

UNIT 5:- EQUALITY: MEANING, DEFINITION, TYPES AND ITS RELATIONSHIP WITH LIBERTY

STRUCTURE

5.0. Learning Objectives

5.1. Key Words

5.2. Introduction

5.3. Definition

5. 4. Significance

5.4.1 Check Your Progress I

5.5. Types of Equality

5.5.1. Political Equality

5.5.2. Formal or Legal Equality

5.5.3. Social Equality

5.5.4. Economic Equality

5.5.5. Check Your Progress II

5.6. Certain Conceptions against Equality

5.7. Equality and its relationship with Liberty

5.8. Summary

5.9. Questions for Practice

5.9.1. Long Answer Questions

5.9.2. Short Answer Questions

5.10. Suggested Readings

5.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to

- Comprehend the meaning, definition and types of equality.
- Understand the concept of equality
- Define the concept of equality
- Explain significance of conception of equality
- Study certain objections to the concept of equality
- Discuss the relationship between equality and liberty

5.1. Key Words: Liberty, Equality, right, freedom

5.2. INTRODUCTION

Equality is very important ideal or concept in the field of political science. In fact, it is the aspiration of all people to be treated equally. The dream to bring equality has inspired millions of people across the world from time immemorial. Different religions around the world preached that all human beings are equal in the eyes of God. Guru Nanak has also sermon that the whole universe has born from One Light, i.e. God. Therefore, all human beings residing in this world are equal. So, the argument in support of equality has a long history. The human beings aptly consider that they are essentially equal and have equal worth in all aspects of life.

Human being demands equal treatment from others to live respectful life. The flip side of call for equality means that human beings are treated unequally. They are being discriminated against on the basis of caste, race, colour, sexes, birth, class, religion, etc. They are considered as inferior or superior on the basis of above mentioned ascriptive identities, i.e. identities with which we are born. It means, inequality is very much part of our social and economic systems. What do we mean, then, when we say all human beings are equal?

5.3 .DEFINITION OF EQUALITY

Defining equality in modern times, one may say that all humans have equal worth; irrespective of their differences on the basis of caste, race, colour, sexes, birth, class, religion, etc. Secondly, all human beings are entitled to equal rights, freedoms and opportunities, in spite of, divergent ascriptive identities.

5.4. SIGNIFICANCE OF EQUALITY

Across the globe, individuals and collectives – including communities and nations – have organised themselves around the slogan of equality. Long struggles have been fought against the political, social and economic systems and institutions that promoted inequalities. In recent history, the slogan of ‘liberty, equality and fraternity’ became the rallying point for struggle against the institutions of feudal aristocracy and the monarchy. These slogans became the rallying point during French revolution in 1789. Indian freedom struggle against British colonial regime was a fight against their treatment as a subject, i.e. less than equal human beings. It means equality cannot be materialized without political freedom. The stated purpose of political freedom is to bring social and economic equality.

That is why, the right to equality is one of the fundamental rights enshrined in Indian Constitution. It includes equality before law (Art. 14), prohibition of discrimination on grounds of religion, race, caste, sex or place of birth (Art. 15), equality of opportunity in matters of public employment (Art. 16), abolition of untouchability (Art. 17) and abolitions of titles (Art. 18). The Constitution makers assured people of India; especially the marginalised sections like Dalits, women, religious minorities that they would be treated with equal respect and dignity in an independent country. However, we witness grave inequalities in all the spheres of life around the world including our own country. A very small section of our society lives in palatial houses but large majority either lives in slums or totally homeless. Dharavi slum located in Mumbai is Asia’s largest slum with a population of more than ten lakhs.

Due to these inequalities, we need to understand what one means by equality? How to make a distinction between differences and inequality? Are we intended to eliminate all the differences and trying to make everybody equal? How we should treat all so that the notion of equality is implemented in its true spirit? What types of policies the government should formulate to bring equality into all aspects of human life? When we attempt to answer these questions, one should be clear that equality does not mean treating everybody equal by ignoring existing inequalities among them.

One cannot bring equality by treating everyone equally in an unequal society. This kind of treatment may lead to further inequalities. Analysing Indian Constitution, its makers came to an agreement that broadly equality means equal treatment by law and other institutions of the state, fulfil basic needs of all without any discrimination, providing equality in opportunities for all to develop, and eradicating the practices of discrimination and exploitation and abolishing any privilege positions in society. To explain further, as a citizen of India everyone must be treated equally by the law. The law should not discriminate on the basis of our ascriptive identities like class, caste and religion etc. The unequal treatment by the law will not bring justice to them. There must be equal treatment to all with regard to fulfilling the fundamental needs of every human being. No one must be deprived of bare minimum wants so that the people direct their energies to explore their talents and capabilities.

Fulfilling basic needs is a very important aspect of the right to equality of opportunities. It means human beings may have different goals and ambitions in a society and possess different talents, abilities and capacities. They all must have equal chances to attain their desired goals. As their goals and talents are different they will differ in success and achieving end objectives. But this inequality is not violating the principle of equality because the unequal status, wealth or privileges are not due to lack of equal opportunities to achieve the stated aims. It is due to the fact that we all are born with different capacities, which are often defined as natural inequalities.

These so-called natural inequalities are different from inequalities generated by our social, economic and political conditions. Though one may argue that one of the important reasons for different dreams and capacities of human beings are due to their different social and economic positions in society. The majority poor may not dream of getting jobs by doing higher studies. The majority of marginalised sections are suppressed to an extent that they are unable to become aware of their talents. So, in order to make everyone capable enough to avail opportunities, the government may provide special treatment in the form of reservations or other means to the underprivileged section/s of society. These measures are called either 'positive discrimination' or 'affirmative actions'. So, we need equality for fair treatment to all. The notion of equality teaches us to respect each other as equal human beings and provide infrastructure to develop our talents.

5.4.1. CHECK YOUR PROGRESS I

1. What are the provisions written in Indian Constitution related with equality?

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2. Write a short note on equality of opportunity?

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5.5. TYPES OF EQUALITY

The notion of equality has different features and types based upon various dimensions of a given society. All the aspects are related to each other in a manner that absence of one may lead to denial of other aspects of equality. Talking about equality usually includes four dimensions: (1) political equality, (2) formal equality, (3) social equality, and (4) economic equality. We shall discuss these in some detail here.

5.5.1. POLITICAL EQUALITY

It is a very significant dimension of equality as it demands political freedom for all to elect their own representatives who will formulate laws, rules and policies for the welfare of people. It is best possible in a democratic form of government in which periodic elections are held through universal adult franchise. To achieve this, the first step is to gain political freedom and become independent nation-state. Secondly, to recognise all the members of state as equal citizens. Every citizen above certain age has right to vote irrespective of caste, sex, birth, religious and class differences. In India, citizen of eighteen years old and above has a right to vote and to contest elections the age must be twenty-five and above. The elections are held periodically and citizens are free to elect a candidate in two-party or multi-party democracy. They may reject or accept a candidate or party in these elections.

The right to political equality enables citizens to participate in the decision-making process of the government. It is called as peoples' participation in governance of country and society. The Indian freedom struggle was fundamentally to attain political freedom to become citizen of free country from subjects of colonial rule. They believed that social and economic development would take place after achieving political equality. As a citizen, people acquire certain rights such as right to vote; freedom of movement, speech, expression and association; freedom of belief, etc. Though, it is a very basic right for people to progress, but our experience shows that independent countries with political rights to citizens have grave inequalities in all aspects of life. It means, political equality in itself would not bring social and economic equalities, which are very important to live with respect and avail opportunities to achieve ones' goals.

5.5.2. FORMAL OR LEGAL EQUALITY

This notion of equality drives from the fact that all human beings should be treated equally before the law. In other words, it is the equal subjection of everyone to the law and equal right of all to avail legal protection against violation of their rights and liberties. It rests on the notion of

supremacy of rule of law or no human being is above law irrespective of social and economic hierarchies. It is a significant part of political equality and independent judicial system of democratic regimes. But political and legal equalities make less sense amidst glaring social and economic inequalities.

Dr. B R Ambedkar in his speech in Constituent Assembly (elected body to form Indian Constitution) on 25th November 1949 said that after independence India is 'going to enter into a life of contradictions. In politics we will have equality and in social and economic life we will have inequality. In politics we will be recognizing the principle of one man one vote and one vote one value. In our social and economic life, we shall, by reasons of our social and economic structure, continue to deny the principle of one man one value.'

5.5.3. SOCIAL EQUALITY

It is primarily concerned with the state or conditions of our society and the direction in which it is moving. The important question with regard to social equality is what is our social worth? Whether we treat each other in our everyday lives with respect? Or still hierarchies determine our social behaviour and access to opportunities? The political equality is necessary for all sections of society to make government accountable and responsible to bring social equality. The exclusion of section/s from right to vote would result in worsening social and economic conditions as they will not matter in the game of electoral politics. The principle of social equality means that people are not denied access to available social goods. In other words, people must have fair and equal opportunities to attain them.

For the progress of our lives we demand better facilities like housing, food, water, education, health, etc. Social equality demands equal access for all to these basic amenities without discrimination on the basis of our ascriptive identities. The continuation of discrimination – in accessibility to the above-mentioned basic needs – on the basis of caste, class, gender, religion, etc. would further increase social inequalities. In our society, women are paid less than men for doing same nature of jobs in various sectors. During the time of birth son or boy is preferred than daughter or girl. These practices are the result of a social structure which is called patriarchy.

In a patriarchal society, women face numbers of other discriminations that lead to inaccessibility of social goods for them. In our society caste is another hierarchical order. We consider individuals and communities as 'inferior' and 'superior' on the basis of caste in which they took birth. As per census 2011, only 5.8% marriages in India are inter-caste, which means large majority still do arrange marriages within one's own caste. The discrimination and exploitation on the basis of caste deprive Dalits of fair and equal access to the opportunities to live better life. It is the responsibility of the government, communities and social groups to eradicate above discussed and other wide range of inequalities to bring social equality.

5.5.4. ECONOMIC EQUALITY

Poverty also results in denial of accessibility to opportunities for large poor masses in India. It is the result of unequal distribution of wealth, which is related to the accessibility of resources to earn. An NGO called Oxfam in its report in 2020 stated that one per cent of India's rich owns 43 per cent of total national wealth. On the other hand, the bottom more than 50 per cent owns meagerly 2.8 per cent of national wealth. According to Indian Express newspaper report on 8th April 2021, 'India has the third-highest number of billionaires in the world after US and China' consists of '140 billionaires in 2021'. Another report published in *Down to Earth* on 27th January 2020 stated that nine Indian billionaires own as much as 65 crore people. The international organisations like United Nations Development Programme (UNDP) has evolved other criteria to measure poverty, called multidimensional poverty index (MPI). This index includes ten indicators of poverty, which can be clubbed together into three: health, education and standard of living. It has broadened the dimension of poverty from merely the level of income to other basic sectors. The extent of economic inequality has direct relationship with social structure and development policies of the government. The social inequalities would reduce the availability of opportunities for getting better education or health facilities. It would result in diminishing the chances of acquiring appropriate know-how and skills to get better paid jobs and they will remain poor. Another factor of rise in prices of essential goods can push certain sections of society into poverty.

The neglect of governments in providing employment also increases poverty. The lack of employment either drive large section of population into poverty or people would remain poor due to unemployment. The less wages for work, which is very common phenomenon, increases scale of poverty among masses. The unstable, insecure or casual labour makes difficult to arrange a single day meal. The large section of urban population is involved in these kinds of work and unable to lift them out of poverty. The majority of this section consist of migrated rural poor population that has come to cities with a dream of attaining decent livelihood opportunities. The model of development adopted by the governments also result in either increase or decrease of poverty among masses.

The adoption of welfare policies, like secure and better income employment, making education and health affordable to all irrespective of income status and providing financial assistances to the needy will reduce mass poverty. The neglect of rural areas for last many decades have ruined agriculture and shrunk all other occupations. It has plunged large rural population into abject poverty, as a result increase in number of suicides among peasantry and labour. The massive displacement of tribal population from their original habitat in the forest due to governments' policies of acquiring forests for mining, constructions of big dam, etc. have

pushed them into vicious cycle of poverty. So, to make society more egalitarian economic inequalities must be dealt with.

5.5.5. CHECK YOUR PROGRESS II

1. What is Multidimensional Poverty Index (MPI)?

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2. What is the relation between political and social equality?

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5.6. CERTAIN CONCEPTIONS AGAINST EQUALITY

A set of scholarship is critical regarding the principle of equality and considered it unsustainable. They argue that inequality is very much part of our society as we possess different abilities and talents. Individuals must have right to acquire any amount of property or resource through 'just' and 'fair' means. For the libertarians, such as Robert Nozick, taxing the individuals by the state to collect revenue is equal to committing theft. Because state is stealing their hard-earned wealth through law. These thinkers are against the welfare policies promoted by the state. They argued that state should not help those who are not helping themselves. The spending on the poor through welfare schemes by taking away money from rich (in form of taxes) will lessen the zeal for entrepreneurship among individuals. It is against the notion of individual freedom and liberty. For Friedrich Von Hayek, socialism –an ideology committed to welfare of masses– is a road to serfdom.

On the other hand, the thinkers such as John Rawls also accept the unequal status of individuals in a society. He favored the intervention of state in distribution of goods and services. The state, as per his argument, should formulate welfare policies for the betterment of society. He proposed that there must be equality of opportunities for all to attain offices and positions. Further, he argued that the best principle for unequal society is to arrange social and economic inequalities in a manner of greatest benefits to the least advantaged. It is called as 'difference principle'. So, he justified the inequalities in case everybody gets equal opportunities and distribution is taking place in accordance with benefiting the downtrodden.

5.7. EQUALITY AND ITS RELATION WITH LIBERTY

In common understanding liberty and equality are regarded as antithetical to each other. The principle of liberty is understood as freedom of individuals to express themselves without constraints. In other words, it is considered as the absence of restraints or removal of

hindrances in choices and actions of individuals. The practices of bondage, slavery, imprisonment, confinement and restrictions imposed by laws may be called as absence of liberty. The constraints on liberty restrict individuals' freedom of choice according to libertarian thinkers. According to this thought, people must have freedom or liberty to make their own economic choices. They must be free to choose in the marketplace as consumers and buyers. There must be freedom for workers to seek employment or profession of their own choice in the market.

The understanding about liberty based on these characteristics is called negative conception of liberty. But the unrestrained conception of liberty serves no purpose as it may cause more harm to the society. The principle of equality of opportunities at surface level may appear as against liberty but it will enable freedom for every human being to explore its talents and abilities. Though, it may restrain certain acts of individuals but may provide others certain chances to make progress in their lives. It means both liberty and equality make the political regime responsible and accountable to provide freedom and equal opportunity for all.

The notion of equal protection of law or legal equality put some reasonable restrictions on absolute freedom of all. The restrictions are either imposed by law and/or society. A group of scholars argue that rule of law enables and protects those spaces where individuals can act freely without facing the threat of interference in their actions by few others. The existence of 'lawful' restrictions on absolute liberty or freedom may facilitate human progress. In some cases, individuals place restrictions on themselves, which may be called as self-restraints. These restrictions may contribute positively in realising egalitarian society. Some scholars address this in terms of 'equal liberty'. Hence, liberty and equality are two very fundamental and compatible elements of democratic living.

5.8. SUMMARY:

This unit attempts to explain the concept of equality. The study of this concept is important to understand the existing inequalities and its various dimensions. It also facilitates us to explain the need to bring equality for the betterment of society. It elucidates the significance of the interconnections between political, social and economic dimensions. It evaluates the arguments of certain scholars against equality. In the end, the unit discusses the relationship between equality and liberty and concludes that both are very important democratic society.

5.9. QUESTIONS FOR PRACTICE

5.9.1. LONG ANSWER QUESTIONS

- 1 Treating everyone equal in an unequal society creates further inequalities? Do you agree?
- 2 The reservations are given to different sections of the society to uplift their social status. Comment.

- 3 Do you agree with the view of Robert Nozick that equality disrespects individuals?
4. What is the relationship between equality and liberty?
5. Discuss various dimension of Equality.

5.9.2. SHORT ANSWER QUESTIONS

1. Define negative liberty?
- 2 What is Positive Liberty?
3. What do you mean by Economic Equality?
4. Briefly explain social equality.

5.10. SUGGESTED READINGS

- Rajeev Bhargava and Ashok Acharya, *Political Theory: An Introduction*, Pearson: New Delhi, 2008.
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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER- II

COURSE- POLITICAL THEORY –II

UNIT 6:- JUSTICE: MEANING AND ITS VARIOUS DIMENSIONS

STRUCTUR

6.0. Learning Objective

6.1. Key words

6.2. Introduction

6.2.1. Etymological Meaning of Justice

6.3. Definitions of Justice

6.4. Characteristics of Justice

6.5 Basic Postulates of Justice

6.5.1. Check Your Progress I

6.6. Various Dimensions of Justice

6.6.1. Legal Dimension of Justice or Legal Justice

6.6.2. Social Dimensions Of Justice or Social Justice

6.6.3. Economic Dimension of Justice or Economic Justice

6.6.4. Check Your Progress II

6.7. Summary

6.8. Questions for Practice

6.8.1. Long Answer Questions

6.8.2 Short Answer Questions

6.9. Suggested Readings

6.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to

- Understand the concept of justice
- Examine the basic postulates of justice
- know the different dimensions of justice

6.1. KEY WORDS: Justice, System, Values, Discrimination, Impartial

6.2. INTRODUCTION

The notion of justice is as old as the Political Science or Political Theory and at the same time it is disputed and dubious topic of political sphere. The political philosophers beginning from Plato right up to the 21st century, the theory of justice has been defined in various ways. Concept of justice is one of the most important concepts of the study of political system. Every society is at its aim to give justice to all its members. This is related to the all aspects of human life. Justice may differ from one to another society as well with the change of values of society. The main base of the justice is known as a 'value'.

6.2.1. ETYMOLOGICAL MEANING OF JUSTICE

The word justice has been derived from Latin word '*Jus*' which means bound or tie. This means that Justice is a system in which men are tied in close relationship. This relationship has few rights and duties attached to it. When a man enjoying his rights and duties then he is said to be doing Justice.

6.3. DEFINITIONS OF JUSTICE

Some of the important definitions of justice are as under:

1. According to **Salmond**, "Justice means to provide everybody his share."
2. According to **Messian**, "Justice consists in a system of understanding and procedures through which he is gives that is agreed upon as fair."
3. According to **Bann and Peter**", to act justly is to treat all men alike except where there are relevant differences among them ".
4. According to **J.S. Mill**, "Justice is the name of certain classes of moral values which concern the essential of human well-being more clearly and are, therefore, of more absolute obligation than any other rules for guidance of life."
5. According to **Sabine**, "Justice is the bond which holds a society together in a harmonious union of individuals each of whom has found his life work in accordance with his natural fitness and training."
6. According to **Robert C. Tucker**, "The idea of justice connects a rightful balance in a situation where two or more parties or principles are in conflict."

From the above definitions, the concept of justice is moral legitimacy is the base of justice. The thing which is according to the morality and values is called Justice.

6.4. CHARACTERISTICS OF JUSTICE -:

1. **Human Welfare:** Human Welfare is the first characteristics of justice because the main aim of justice is public welfare. So, any system which is based on general welfare is just.

2. **Lack of Unanimity with Regard to the Meaning of Justice:** There is no single meaning of the word justice. Every thinker has its own ideology regarding the justice. The sophists in ancient Greece had defined it as the interest of the stronger. The idealist theory of justice by *Plato* emphasized on the moral element in justice. The liberal concept of justice emphasizes its legal and political dimensions.

3. **Related to Recognized Values:** The concept of justice is related to the recognized values. Values are changed time to time and new values are born and these values are related to justice. So, the concept of justice is not an absolute idea and its implications vary from society to society.

4. **Ethical Concept:** The concept of justice is known as an ethical concept. This concept is related to the rationality and legitimacy. If all the members are allowed to enjoy their legitimate rights and they have to perform their duties in a good manner, then justice can be realized in the society.

5. **Fulfillment of Duties:** The concept of justice is related to the fulfillment of duties. Every human being has to play many roles in his life. Many duties are assigned with these roles. If a person does not perform his or her duties, then they cannot perform their respective roles. In such situation justice may not be exist. Justice can be achieved only when the person fulfill his or her definite duties.

6. **Multi-dimensional Concept:** The influence and relation of justice is with every aspect of life. So, there are multi-dimensional aspects of justice. Like political, economic, social and legal etc.

6.5. BASIC POSTULATES OF JUSTICE

The basic postulates of justice are as below:

1. **Equality before Law:** All are equal before the law. There is no discrimination on the basis of caste, creed, colour, sex, place of birth etc. Special privileges should not be given to any section of the society. All citizens should get equal opportunities for their growth and development.

2. **Freedom or Liberty:** Freedom is an essential attribute of the concept of justice. Negative liberty is not possible in the society. For justice there is existence of positive liberty, in which every person ought to freedom of speech, freedom of religion, freedom of education, and economic freedom etc. Proper balance in authority, freedom and power of the state is a symbol of justice.

3. **Equality:** Equality plays an important role in to ensure justice in society. Justice

demands that every person should have equal opportunity of development. There is no discrimination on the bases of caste, religion, creed, language, status, property etc. All are equal on the bases of social, economic, political, and legal aspects. The notion of equality must be there in any theory of justice.

4. **Rights:** If there are no rights for the people, there can be no justice in the society. Rights are the fundamental normative rules about what is allowed to people or owed to people according to legal system. There should not be any discrimination with any person under the law of rights and all persons get equal rights.

5. **Impartiality:** Impartiality means no discrimination is allowed among men. According to Benn and Peter, “Do not let your judgment be influenced by relationship or let enmity, fear, greed or ambition”.

6. **Fulfillment of Basic Needs:** Fulfillment of basic needs of all the people is basic postulates of concept of justice. Food, clothing and shelter are the universally accepted basic needs or requirements of a person. So, this is the main principle of the justice to fulfill these basic needs of individual.

7. **Universally Recognized Values:** Peace, liberty, social development, equal rights and human dignity are universally recognized values. No society accepts that person who violates these human values. So, this concept is the basic attribute of justice.

6.5.1. CHECK YOUR PROGRESS II

1. What is etymological meaning of justice?

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2. What is equality before law?

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6.6. VARIOUS DIMENSIONS OF JUSTICE

The concept of justice is multi-dimensional. This is concerned not only with the legal and judicial procedures but it has social, economic and political aspects too. The most popular dimensions of the justice are:

- Legal dimension
- Social dimension
- Economic dimension
- Political dimension
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6.6.1. LEGAL DIMENSION OF JUSTICE OR LEGAL JUSTICE

The legal dimension of justice means every person should get justice according to law. Justice can be delivered according to the Law. Law defines and explains the rights and obligation of individuals and groups in a community. There is equal distribution of justice according to law without any discrimination. According to **Barker**, “A law has validity and I am legally obliged to obey it, if it is declared, recognized, and enforced as law by the authority of the legally organized community acting in its capacity of state. A law has value and I am bound to obey it not only legally and not only by an outward compulsion, but also morally and by an inward force if it has the inherent quality of justice.”

- **ESSENTIAL CONDITIONS FOR LEGAL JUSTICE**

The essential conditions for legal justice are followings:

1. **Law should be based on Justice:** This means the law should be based on the rituals, customs and values prevailing in the society. It must also be legal and logical.
2. **Equality before Law:** To sit up the legal proceedings of law it is necessary that all are equal before the law without any discrimination on the bases of caste, religion, race, language, status and property.
3. **Uniform Legal System:** To establish the legal justice more faithfully, it is necessary that law should be equal for any class and section of the society. If there will be different laws for different class and citizens then it is not legal justice. Law must be equal for all.
4. **Free and Impartial Judiciary:** Judiciary should be impartial and free. Judiciary should not be under control of any other organ of the government. The appointment and service of judges should not be under the control of political parties but it should have on merit basis.
5. **Inexpensive Judicial System:** Judicial system should be inexpensive and economical for everyone. The fees of courts should be lower, so, the poor person is cannot be deprived of justice due to lack of money. This is the duty of the courts to take decisions quickly to save the time and money of the citizen.
6. **Base of Legislative Bodies should be Democratic:** It is an essential feature that law making body should be based on democratic principles because these bodies are the true mirror of the public opinion. This is possible only when the members of the legislature are elected by the people on the democratic basis. The elected representatives must be responsible towards the people then they can provide fair and legal justice.

6.6.2. SOCIAL DIMENSIONS OF JUSTICE OR SOCIAL JUSTICE

The meaning of social justice is that all should enjoy equal status in the society irrespective of any discrimination on the basis of caste, colour, religion, language, status, sex, property etc. in the society. Everyone should have equal rights. No one should be deprived of those social

conditions which are essential for their development in society. Social justice includes the following things:

1. **Equality before Law:** Equality before law means there should be absence of any kind of discrimination on the basis of caste, religion, creed, race, language etc. in the society. Laws are equal for everyone.

2. **Absence of Special Privileges:** Social justice has been defined as a concept which eliminates all kinds of discrimination and special privileges based on place of birth, race, creed, sex, caste. Social roles ought not to be determined by status but by capacity. Social justice is possible when special privileges are not extended to any section of the society.

3. **End of Caste System:** System of caste hierarchy should not have any room in the society. Caste system is the big hurdle in social justice in India. Government should make strict laws to eliminate caste system in the society.

4. **Just Distribution of Wealth:** Social justice implies the equitable distribution of wealth. Basic necessities of life must be available to all. State can follow the policy of distribution of essential goods to the poor at fore of cost. To ensure the social justice in the society, unjust distribution of wealth should be eliminated.

5. **Democratic System:** Democratic system is necessary to implement the social justice. In democratic system, no discrimination allowed on the basis of caste, creed, sex, language, colour etc. In this system, people have right to choose their own representatives and they can also their vote without any discrimination.

6. **Abolition of Superstitions and Social Evils:** The society is infested with superstitions and social evils are big obstacle in the execution of social justice. Social evils like child marriage, dowry system etc. are hurdles in the way of social justice. So, to achieve or realize social justice these evils and superstitions must be abolished.

6.6.3. ECONOMIC DIMENSION OF JUSTICE OR ECONOMIC JUSTICE

Economic justice means non-discrimination on any ground which means no-discrimination between man and man on the economic basis. According to *Setalvad*, “Economic justice is the provision of equal opportunities to the citizens to acquire wealth and use it for their living, it implies that those persons who are disabled or old or unemployed and therefore, not in a position to acquire wealth, should be helped by society to live.”

- **ESSENTIAL CONDITIONS FOR ECONOMIC JUSTICE**

Some essential conditions for economic justice are following:

1. **Right to Work:** Economic justice demands that every person have right to work. It also requires that adequate payment for work should be provided. If the government ensures right to work of every person and make the laws, only then unemployment can be reduced and economic justice can be established.

2. **Equal Pay for Equal Work:** Equal pay for equal work is the important dimension of economic justice. Every person must be paid according to his ability without any discrimination. One must have the same ways to get the same job.

3. **Economic Security:** It is the duty of the state to provide the economic security to its people. Under the economic security, this is the duty of state to provide the allowances and pensions to unemployed, disabled and old age persons. State should launch welfare scheme of the poor persons.

4. **Just Distribution of Wealth:** Concentration of wealth in a few hands becomes the root cause of economic injustice. No violent means should be adopted for the purpose of good distribution of wealth of the society. Economic justice means, production in few hands should not be allowed. To achieve the goal, there should be nationalization of means of production.

5. **Protection of the Interest of the Workers:** In society, there should be no place for the exploitation of the weaker sections and workers. It is the duty of the state to provide necessary provisions for the workers, so, that they can fulfill their basic needs i.e. food, cloth, and shelter. State should grant some necessary economic rights to the workers such as right to adequate wages, right to leisure, right to good working conditions etc.

6. **Welfare State:** Welfare state is a tool for the attainment of economic justice. Welfare state plays significant role to reduce poverty, unemployment, economic inequalities and exploitation. That is why, in modern time, the welfare state is necessary to achieve the economic justice.

6.6.4. POLITICAL DIMENSION OF JUSTICE OR POLITICAL JUSTICE

Political justice means granting the political rights to all the citizens without any discrimination. No one can be discriminated on the grounds of caste, religion, race, language, sex, states, and property etc. Everyone should get equal opportunity to get political positions. Every person has right to equal participation in political process. Nobody should be denied of political rights and to provide equal political rights is called Political Justice.

• ESSENTIAL CONDITIONS FOR POLITICAL JUSTICE

Political justice consists of the following elements:

1. **Democratic System:** A democratic government is the only government that can ensure political justice. In democratic system, there is no discrimination on the grounds of caste, creed, religion, sex, language etc. Everyone enjoys equal political rights.

2. **Political Right:** For political justice everyone has some political rights i.e.:

- (i) Right to vote
- (ii) Right to contest election
- (iii) Right to form political parties
- (iv) Right to criticize government

- (v) Right to petition
- (vi) Right to hold public office.

3. **Periodical Elections:** In order to achieve political justice, it is necessary to have fixed periodical elections. Every citizen should be free to offer himself as a candidate in election. If elections are not held for a long time, then people will not get political justice.

4. **Special Provision for Backward Castes or Tribes:** The notion of political justice requires that state has to protect and preserve the rights of backward castes or tribes. If backward castes and tribes are not satisfied with the provisions of government, the cause of political justice may suffer. So, political justice demands that special provisions for the protection and promotion of the interests of backward castes and tribes should be made.

5. **Right to Protest:** Citizen should have right to express their views and protest against wrong policies of the government. Political parties help in protecting the human interests. So, it can be said that to enjoy the rights, political rights are on top which leads all type of justice and play important role to for a just and equitable society..

6.6.5. CHECK YOUR PROGRESS II

1. How can we achieve political justice?

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2. What do you mean by welfare state?

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6.7. SUMMARY

In the end, we can say that human being has struggled a lot to achieve justice from the very beginning and he is still struggling to achieve it in total. Justice consists of both rights and duties. In every society people enjoys some rights and they are expected to perform certain kind of duties. The concept of justice is at aim of maximum welfare of the people to all sections or class of the society. Justice is dynamic by nature which means it changes with change in values of the society. Justice is related to every aspect of human life. Justice is that condition in which there is proper system and coordination in personal and social relations. The concept of justice is based on morality. It is related to logic and impartiality. Justice has a law of legitimacy. The things which are according to the values are considered as justice. According to the legal aspect of justice, every person should be treated equally. For the establishment of legal justice law has to be justifying with equality before law, equal protection of law, independent judiciary, cheap judicial system, etc. Elimination of caste system, just distribution of wealth, democratic system

are some necessary steps to be taken for the establishment of social justice are. The concept of economic justice is associated with the basic needs of people i.e. food, clothing and shelter. There should not be wide economic disparities and the principle of equal wages for equal work should prevail. Every person should be provided with adequate means to earn his livelihood. Right to work, right to adequate wages, and right to reasonable hours of work, economic security and democratic state are the essential postulates of economic justice. Citizens should not be discriminated on the grounds of caste, sex, religion, language, colour, creed etc. Everyone have political rights like right to vote, right to contest elections, right to hold public office, right to petition, right to criticize the government, right to form political parties etc. Democratic system should be required to protect theses Rights.

6.8. QUESTIONS FOR PRACTICE

6.8.1. LONG ANSWER QUESTIONS

1. What is meant by the concept of justice? Discuss the various dimensions of justice.
2. Define justice? What are the features of social and economic justice?
3. Discuss the social and political dimensions of justice?
4. What are the main provisions of social justice?

6.8.2. SHORT ANSWER QUESTIONS

1. What is Justice?
3. Give the definitions of justice?
4. Discuss the main features of justice.
5. What are the various dimensions of justice?
6. What do you meant by the legal aspect of justice?
7. Discuss the main provision of legal justice.
8. What do you know about social justice?
9. What do you mean by economic justice?
10. What are the main provisions of economic justice?
12. What do you mean by political justice?
13. What are the political rights of the person?

6.9. SUGGESTED READINGS

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- M.P. Jain, Political Theory (Punjabi & Hindi): Authors Guild Publication, New Delhi, 1990
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BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: - POLITICAL THEORY – II

UNIT7:- DEMOCRACY: MEANING, CHARACTERISTICS, LIBERAL AND MARXIST THEORIES

STRUCTURE

7.0. Learning Objectives

7.1. Key Words

7.2. Introduction

7.3. Definitions

7.3.1. Check Your Progress I

7.4. Characteristics

7.4.1. Check your progress II

7. 5. Liberal Theory of Democracy

7.5.1. Check Your Progress III

7.6. Marxist Theory of Democracy

7.6.1. Check your progress IV

7.7. Summary

7.8. Questions for Practice

7.8.1. Long Answer Questions

7.8.2. Short Answer Questions

7.9. Suggested Reading

7.0. LEARNING OBJECTIVES

After reading this unit, you will be able to know:

- What is democracy?
- Why should we choose Democracy?
- How do democratic forms of governments emerge, take root and develop?

- Analyze Liberal and Marxist perspectives of Democracy

7.1. KEY WORDS: Sovereignty, Rule of Law, Majority Rule, Supremacy of the Judiciary, Separation of Powers

7.2. INTRODUCTION:

Democracy is essentially a contested concept. It has numerous connotations: to some, it is a system of government while for others it is a way of life. It is also considered as self government, government of the poorest, more educative, more responsive, and more responsible and more people- friendly. Its foundation lies on the basis of equality, liberty and welfarism and the most important thing is that it is less prone to revolution and violence. It thrives on the attitudes that are democratic, scientific, flexible and open. Democracy works towards human development. It is almost universally regarded in a favorable light. Its ethical conceptions are individuality, Liberty, equality and fraternity.

The word ‘democracy’ comes from the ancient Greek word ‘Demos’ meaning the citizens within a city state and ‘*Kratos*’, mean power to rule. The term was used to describe the practice of Greek City-States. The Greek City States practised direct democracy. More specialized and time-consuming tasks were allocated to a smaller number of office holders. The office holders themselves were subject to regular rotation, chosen by lot by the rest of the community. Jury Service was also a feature of Greek City States. Each citizen was equally entitled to attend, vote and speak at gatherings of the assembly, which decided all the major issues in the City- State by simple majority vote. In actual fact, direct democracy was possible precisely because a considerable number of people most notably women, slaves and foreigners were excluded. All major decisions were made by the Assembly to which all citizens belonged. It ensured a high level of political accountability and political activity of the citizens. Republican Rome shared some features of Athenian democracy; i.e., the notion of popular participation in civic life, the idea of public good and civic virtue as being of higher value than private individual interests.

For much of its history, Democracy has been regarded in a negative light mainly by Greek philosophers- Plato and Aristotle. It was argued that democracy was synonymous with mob rule and was a perverted form of government. It was regarded as the least bad of the three ‘deviant’ forms of rule: democracy, tyranny and oligarchy. In 18th century, both the French and American revolutions proclaimed democracy as one of their goals. The writings of Jean Jacques Rousseau have made an important contribution to turn the tides. The founding fathers of the US Constitution, keen to get rid of the monarchy, set up a directly elected legislature, the House of Representatives. But at the same time check it by separating the powers between House of Representatives and the Senate, the Executive branch and the judiciary. By the 19th Century, democracy was beginning to take on more

popular connotations implications in theory and practice. The utilitarian theory of democracy (Jeremy Bentham and James Mill) was very influential in theoretical context. This gave rise to liberal democracy which was based on liberal principles associated with the industrial middle class. Despite the rise of labor party in England, there was no great move towards a socialist political program. The classical Marxism emphasized that main power lies in the economic base and the political realm is a major reflection of it. It is difficult to achieve greater political equality in an economically unequal society. In the final quarter of the 20th century, there was an enormous expansion of regimes introducing competitive elections and proclaiming themselves democratic. The classical theory associated with participation and citizen involvement in decision making was regarded as unrealistic in the post 1945 period, the elite theory held sway. The elite theory began to be challenged in the 1960s by the participationists who wanted to show the development possibilities of greater citizen involvement. The development theory has been built upon by exponents of deliberative democracy who considered political discussion necessary and accepts that political debate and argument leads to rational and more legitimate decision making.

7.3. DEFINITIONS

Democracy is the rule of the people. The political aspect of democracy emphasizes everyone's share in the government. Its economic aspect demands abolition of exploitation and inequalities. The social aspect seeks to eliminate all distinctions. It is about popular rule or the rule of the people. It can be interpreted *as a form of government under which majority opinion determines legislation.*

In this definition Dicey (1905 in his famous work *Law and Opinion in England*) has tried to demonstrate elaborately the relation of legislation to the prevailing public opinion. Here Dicey has provided rather a conservative view of democracy.

James Bryce hints at a more liberalized definition of democracy. He defined it as *the rule of the people expressing their sovereign will through votes.* Bryce does not consider democracy as a panacea for all ills of the society. He prefers it because it has given better government in comparison to the past.

MacIver's definition of democracy, highlighting the representative system, says it is not as much as the way of governing as is a *way of determining who shall rule and how.* In the phrase of Abraham Lincoln, *democracy is a government of the people, by the people and for the people.*

The Webster New Encyclopedic Dictionary defines democracy *as a government in which supreme power is vested in the people and exercised by them directly or indirectly through representation. It is a system of government where people choose their government in a peaceful manner without revolution.*

Sartori says that a democratic political system is one that makes the government responsive and accountable and its effectiveness depends first and foremost on the efficiency and skill of its leadership.

In a nutshell, it is said that democracy, as a system of government, has four key elements: a system for selecting and replacing the government through free and fair elections; where active participation of the people is there, as citizens, in politics and civic life; safeguarding human rights of all citizens; and a rule of law in which laws and procedures apply equally to all citizens. Democracy has two main categories: Direct and Representative type of democracy. In a direct democracy, citizens without the intermediary of elected or appointed officials can participate in making public decisions. This type of system is successful where small number of people is there in a community or in an organization. The second major type of democracy is referred as representative democracy. It is an indirect democracy where sovereignty is held by the representatives of the citizens. There are two sub components of the representative type: the parliamentary system and the presidential system.

7.3.1. CHECK YOUR PROGRESS I

1. Where did the idea of democracy come from?

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2. Whose rule is Democracy considered to be?

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3. With whom does the final decision making power rest in a Democracy?

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7.4. CHARACTERISTICS

Democracy is not static, it is evolutionary. It needs compromises, co-operation and coordination among all citizens. Popular sovereignty is an important feature where people have the power to elect their representatives and if the government is not working properly, people have the power to change the government. Democracy is based upon the principle of majority. The quality of decision making is improved when the candidates are selected by the voters and the selected candidates are elected as representatives of a democratic government. They become the voice of the people who have elected them. They bring into notice their problems and aspirations and help try to solve them. It also enhances the dignity of the individual when every voter has the right to cast his vote. In the selection process,

there is no discrimination on the basis of religion, gender or any other differences. The rulers are elected by the people on the principle of one person one vote. The final decision making power rests with those elected by the people.

The main objective of democracy is to preserve the human rights of every citizen. The most important fundamental rights include freedom of speech and expression, freedom of religion and conscience, freedom of assembly and the right to equal protection before the law. All the rights are protected by the judiciary. Judiciary is free and not under the control of executive. Free judiciary means more democratic resolution of disputes. Democratic States should have an independent Judiciary system to protect the rights and freedoms of citizens. The Judiciary also keeps a check on the government. Judiciary is regarded as the protector, the interpreter and the guardian of the constitution and of fundamental rights of the citizens. This independence does not mean that judges can make decisions on personal preferences rather they are free to make lawful decisions.

To keep a check on the government, an organized opposition party is a dire need in democracy. Opposition parties and candidates enjoy the liberties like assembly, speech and movement. Political competitors tolerate each other and acknowledge that everyone has a legitimate and important role to play in the system. The opposition should be loyal but not to the specific policies of that government. It should be loyal to the fundamental legitimacy of the state and to the democratic process itself. The constitution plays a significant role in deciding the aspirations and purposes for ensuring the common welfare of all the citizens. All the citizens of a nation- state including its representatives are subject to the country's constitution. The constitution stands as the supreme law of the nation-state. All the laws should be written in accordance with the constitution. In a democratic state, an independent judiciary allows citizens to challenge the laws they think unfair.

The role of media in this regard also attains significance because it informs and educates the citizens in many ways. From the traditional means like radio, newspapers, television, books, and magazines etc. to a new media like satellite, television, internet and social media, it allows us to be critical. The independence of media is one of the most significant characteristic of democracy. It serves as a watchdog upon various institutions and government. It plays an active role in the public debates by editorials and investigative reporting. Media also plays a crucial role in setting the agenda. To make wise decisions about the public policy, citizens need accurate, timely and unbiased information. Media also helps audiences to have a wide range of viewpoints or opinions. Its role becomes extremely important at the time of elections. It helps keeping a check on the government and officials and holds them accountable for their actions.

Citizens in a democracy have not only rights but also the responsibilities to participate in the political system. Democracy does not consist of a universally applied single unique set of institutions. The particular form that democracy takes in a country is largely determined by the existing political, economic and social circumstances. It is also greatly influenced by historical, traditional and cultural factors. The diverse groups in a

democracy, some local and some national, play a mediating role between citizens and societies' complex social and governmental institutions. In authoritarian societies, such organizations are controlled or crushed but in democracy, private organizations are free of government control. In this kind of atmosphere, democracy provides a method to solve the conflict in a peaceful and justified manner. Many conflicts and contrasts arise within the country and even with the states. Democracy provides a platform for every individual and every state to raise its concerns and solve the disputes peacefully. Citizens explore the possibilities of peaceful settlement and responsibilities of belonging to a community.

Constitution plays a significant role in deciding the aspirations and purposes for ensuring the common welfare of all the citizens. The Constitution puts fundamental obligations and limitations on the State Power. Federalism and unitary administrations are the two ways of government. In federalism, power is shared at the local, regional, state and national levels. The rights of the minorities are protected because democratic laws and Institutions protect the rights of all citizens. Gender equality is acknowledged as a foundational feature of democracy. The concept 'democratic deficits' has been used to explain those governmental authorities where women do not contribute, participate and share equally in public decision making. It is true that the number of women holding political office has increased.

7.4.1. CHECK YOUR PROGRESS II

1. Why should we value democracy?

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2. Explain any two characteristics of Democracy?

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As discussed above, democracy means rule by the people. While defining democracy, it raises many questions like what constitutes 'people', what is the meaning of 'rule', what is scope and extent of participation, what are the favorable conditions of participation and many more. Many theories have been developed to answer these questions: Liberal theory, Elitist theory, Pluralist theory, Participatory democracy and Marxist theory of democracy etc. Now we shall discuss liberal and Marxist theory of democracy.

7. 5. LIBERAL THEORY OF DEMOCRACY

It is viewed that liberal democracy which lead to capitalism has been the champion of present era. It is seen as most appropriate system for present and for future. The history of modern liberal democracy can be classified into three categories: The early modern liberal

democracy, liberal democracy 18th and 19th century; and the 20th and the liberal democratic 21st century. The early period describes (the medieval and before 18th century) the Declaration of the Rights of Man and the Citizen. The liberal democracy during 18th to 19th century can be described as the power of the British Empire into a laboratory liberal democracy from the mid 19th century onwards.

During 20th and 21st century liberal democracies, as the elections were free and fair and plural society won in most of the areas around the world. The ideas about democracy can be found in the early English writers' writings like Thomas Moore and Winstanley. After the birth of the social contract theory, it is maintained that the real birth of democracy happened. Thomas Hobbes' *Leviathan* contended that government is created by the people through social contract. John Locke maintained that government must be by the people and aim for their good only. Adam Smith's free market model also talked about freedom for all to produce, buy and sell. Bentham and Mill also supported democracy on utilitarian lines i.e., greatest happiness of the greatest numbers. The best way to getting this happiness is through representative democracy, constitutional government, regular elections, secret ballot, healthy competition among parties and rule by the majority vote etc. Mill saw democracy as a means to achieve moral self development and growth of individual capacities.

The liberal state was forced to accommodate democratic principles to save its own existence. This amalgamation appeared in the form of liberal democracy. The ideas of liberty, equality, rights, secularism and justice became the foundational stone for liberalism and democracy became a means to achieve these. Thomas Hobbs' *leviathan* developed the idea that government must be formed by the people and aim only at their good. Locke's idea was further elaborated by Adam Smith in economic field. Montesquieu enhanced the theory of separation of powers. The Utilitarian's Bentham and J. S. Mill justified democracy on Utilitarian grounds. To achieve greatest happiness of the greatest number, Bentham saw democratic franchise as essential. J. S. Mill added in it another dimension i.e., the moral worth of democracy for the improvement and development of mankind as a whole (human development). We can have more views of classical-liberal democracy in the writings of T. H. Green, Hobhouse, Lindsey, Barker, Laski and Willison etc.

In this form of government, the political sovereignty resides at the level of the individual. Power and authority is taken from the consent of the people. No one individual can claim absolute sovereign power, but on behalf of citizens some representatives have lesser or greater political power relative to other representatives. It is not a divine or hereditary but a general right that is dispersed with in a political community. Individual is the basic unit of democratic model. It considers human being as rational, ethical, active and self interested. An informed, committed and developed citizenry can be developed by participating in political life. Democracy would serve as a means of intellectual, emotional and moral education leading to all round development. Leaders are elected through fair and free elections. Political pluralism is respected. To guide the country, and to set up a system

of checks and balances, liberal democracy functions through liberal democratic constitution. It is a kind of representative democracy where elected members make decisions on behalf of the citizens. These decisions are guided and governed by the constitution which describes that the Civil liberties and rights should not be crushed. It advocated representative government with elected leadership, regular elections, secret ballot independent Judiciary, individual rights and civil liberties. Democracy is a worthy political goal. It is an effective system of governance for gathering political preferences. This is a kind of system which gives clear indication of majority preference and a clear determination of the best course of action. It believed in competitive market economy, private possession and control over the means of production and laissez faire economy. Democracy is to maximize the liberty of citizens and above all their property and the working of the capitalist economy. Liberal democracy strengthened the state and capitalist society. High level of civic engagement is required to achieve success. The individuals who are engaged in collective action for common good make a strong democratic society. Liberal democracy is based on the negative conception of freedom (absence of restraints). Democracy is a way to bridge the gap between state and society.

In democracy, majority rule means in the entire decision making bodies, the issues are resolved by voting. There will be no privileged sections in the society and political equality is secured. The principle of majority rule does not mean the suppression of minorities. The challenge of accommodating and promoting the rights of ethnic, religious and other minorities tends to emerge in 21st century. In modern Nation-States, many racial, religious, linguistic or cultural minorities fear discrimination. Legal awareness in this regard is essential to protect from violation. As Albert Camus said, 'Democracy is not the law of the majority but the protection of the minority'. Democracy is weakened when divisions are constructed between ethnic, cultural, linguistic and or religious grounds. Democracy is a government by the consent of the people. Free discussion is necessary to achieve the national consent. The discussion on major issues is essential. It can have two levels: one with the representatives of the people in legislative assemblies and another at public level. Channels of mass media play an important role in this regard. They are an important source of connection between the leadership, government and the people.

Liberal democracy always remains answerable to the people, so people should be constantly vigilant. J.S. Mill was of the view that, if liberty and democracy are taken together, they can create "human excellence". Rousseau wanted that political system should draw a line to separate legislative and executive's functions. It is also said that, "the ignorance of one voter in a democracy impairs the security of all" (John F. Kennedy). Democracy requires public acknowledgement, understanding and deliberation. It's not just about voting or formal democratic electoral process but also includes a wide range of other political and non political activities. Liberal thinkers have recommended democracy as the best way of realizing, Liberty, equality, rights, secularism and Justice. Democracy was seen as a natural way of governing the masses after the freedom from the shackles of feudal

Lords. Equality amongst citizens is a democratic ideal. But in reality, this equality may be limited to complete or inadequate. It is believed that sovereignty and equality are not enough in a democracy. It requires a set of norms, values and rules that proclaim its position in society.

7.5.1. CHECK YOUR PROGRESS III

1. Is Liberal Democracy the best form of Democracy?

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2. Is a free market necessary for Democracy?

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7.6. MARXIST THEORY OF DEMOCRACY

Democracy is not the monopoly of the western liberal world. The concept of democracy was equally accepted by Marx, Engels and the succeeding Marxist writers, but with different connotations. Marxism correlated democracy with the dictatorship of the Proletariat or People's democracy and the construction of a socialist society. In the higher state of communism, it would abolish ultimately. Marx was assured that only democracy could help in establishing a state on rational basis. He attacked on aristocratic, hereditary and property qualification for franchise. He also condemned non-democratic bureaucracy. Marx wrote 12 essays to express the principle belief of his democratic convictions. He was also the editor of the journal named, 'Organ of Democracy'. Marx was still to develop the class concept of democracy but his commitment to Communism was quite clear i.e., it was to be classless and based upon the absence of exploitation of man by man. A series of uprisings that exploded across the major cities of Europe in 1848 led them to reject the thinking that communism and democracy were synonyms. The democrats wanted to overthrow feudalism and establish representative Institutions within the capitalist society; they were not ready to allow power to defend to the working class. The meaning of the democracy was not different from that of liberal notion i.e., constitutionalism, civil liberties, representative Institutions and universal adult franchise. Marx criticized it by saying that the selfish and corrupt politicians misused democratic structure for their own personal ends. According to Marx and Engels, bourgeois democracy was not real democracy. They maintained that this kind of democracy could be used by working class to organize itself i.e. to raise the level of political consciousness and to achieve the level of proletarian revolution. Both (Marx and Engels) saw the revolutionary and parliamentary path not as opposed but complementary to each other. Parliamentary tactics is one part of class

struggle. Genuine democracy can come into existence only after the proletarian revolution. After the seizure of power by the workers of the Paris Commune, Marx further elaborated the concept of democracy. 'The Dictatorship of the Proletariat' was used to signify the different forms of proletarian governments. Marx and Engels were sure that at the time of socialist revolution, the proletariat would be in majority. The dictatorship of the proletariat meant to be the rule of the majority and for the majority. Revolution could be violent or peaceful depending upon the presence of democratic political possibilities and whether peaceful or not, the socialist revolution must be democratic. For Marx, there was no possibility of bringing any social change through peaceful parliamentary means, but at the time of Communist Manifesto, he declared that the first task after the revolution would be to raise the working class to the level of democracy. Marx and Engels anticipated the possibility that socialism could be introduced peacefully by parliamentary means in countries like England and United States.

Democracy as a state institution must be established on the basis of economy. Marx was of the opinion that in the classic society, democracy is nothing but political shape to achieve the classic services and benefits. Actually democracy is a way to rule between the classes. Marx believed that one cannot separate democracy and dictatorship. Democracy becomes the ruling technique for ruling class. Democracy must defend the political interests of the ruling class. Once the interest has been threatened, the governing authority must deprive the political rights of the ruled class without any delay. Human sovereignty is an important feature of democratic republic state. Marx is firm on the view that capitalistic democratic politics is a political mask that is always suitable to capitalism private ownership. This kind of democracy is a kind of hypocrisy, exploitation and operation. Democracy is a product of long development of human society and finally it would also expire along with the state. The private ownership and class would also be destroyed. The democracy of a state should also be in league with history because the state is a history category.

The Marxist concept of democracy as the Dictatorship of the Proletariat as developed by Lenin and Stalin, and the establishment of people's democracies in USSR and other communist countries introduced major variations in the original concept. Lenin made it clear that the dictatorship of the proletariat can be exercised in either by the proletariat class as a whole by the mass proletariat organization but only through its vanguard- the party, on behalf of the proletariat. Bourgeois democracy is the democracy for the rich where the capital class controls not only the political institutions but also other structures to grab the overall control on the society. Because it does not serve the interests of working class so it has to be replaced by a radically different form of state, by a different set of Institutions to serve proletarian interests. Stalin gave new turn to the theory of revolution when the party was converted into a centralized and all powerful bureaucracy. Dictatorship of the proletariat meant further centralization of power and greater use of repressive and arbitrary power. Whereas Lenin reduced Dictatorship of the Proletariat to dictatorship of the party,

Stalin reduced the dictatorship of the party to the dictatorship of one person. The Western concept of democracy believes that the socialist transformation in the advanced capitalist societies can only be brought about by using the democratic institutions. Socialism can be brought about by peaceful means. Democratic attributes is not the copyright of the bourgeois regimes but a part of the enlightenment tradition of the Western Civilization. The revolutionary techniques of capturing power by the proletariat are not possible in the advanced capitalist societies.

7.6.1 CHECK YOUR PROGRESS IV

1. Who was the editor of the Journal, “Organ of Democracy”?

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2. What is the Dictatorship of the Proletariat?

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7.7. SUMMARY

The two schools of thought liberalism and Marxism have deep impacts on political, sociological and economic theory. They are normally considered as opposite and rival approaches. One of the greatest bones of contention between them is the issue of democracy. There is a rift around the question of political versus economic democracy. Liberals are of the view that economic democracy is a non realistic thing or concept and is difficult to perceive. For Marxists, political democracy without economic democracy is baseless. It is proved that neither the state nor the market alone can manage the development of modern societies. There is much difference in theory and practice. Democracy set limitations on certain freedoms e.g., anti-democratic speech and attempts to violate human rights. The critics argue that it does not respect the will of the people, and freedom is also restricted by the constitution. However, the best can be achieved if Marxists and liberals leave the zero-sum attitude between them. Rather, they should be busy in a more constructive dialogue through which the means is not to defeat each other but to reach deep insights.

7.8. QUESTIONS FOR PRACTICE:

7.8.1. LONG ANSWER QUESTIONS

1. Explain the characteristics of democracy?
2. Compare the Marxist and Liberal Perspectives on Democracy?
3. What are the main problems democracies facing today?

7.8.2. SHORT ANSWER QUESTIONS

1. What is Democracy?
2. What is meant by direct democracy?
3. Any two principles of Marxist Democracy.

7.9. SUGGESTED READING

- O.P. Gauba, An Introduction to Political Theory, Macmillan.
- R.C. Vermani, An Introduction to Political Theory and Thought, Gitanzali Publishing House.
- Rajeev Bhargava (eds.) Political Theory: An Introduction. Pearson education
- Robert Garner, Peter Ferdinand & Stephanie Lawson, Introduction to Politics, Oxford University Press
- WEN Jichang, Reconsider Marx's Democracy Theory, *Higher Education of Social Science*.
- 6. Peter M.R. Strik and David Weigall, An Introduction to Political Ideas, Pinter Publishers.

BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: - POLITICAL THEORY – II

UNIT 8:- POLITICAL SOCIALIZATION: MEANING, DEFINITION, CHARACTERISTICS AND ITS AGENCIES

STRUCTURE

8.0. Learning Objectives

8.1.Key Words

8.2.Introduction

8.3.Meaning of Political Socialisation

8.4.Nature of Political Socialisation

8.5.Types of Political Socialisation

8.5.1. Direct or Manifest.

8.5.2. Indirect or Latent

8.5.3. Check Your Progress I

8.6. Agents of Political Socialisation

8.7. Significance of Political Socialisation

8.8. Shortcomings of the Concept

8.8.1. Check Your Progress II

8.9. Summary

8.10. Questions for Practice

8.10.1. Long Answer Questions

8.10.2. Short Answer Question

8.11. Suggested Readings

8.0. LEARNING OBJECTIVES

After the Completion of this unit, you will be able to

- To analyses the process of socialization
- Learn that the process of socialisation is highly helpful in maintaining the stability of political system.
- To explore the manner in which this concept has been understood in various strands of modern political analysis
- Analyse how it serves as tool for understanding the stability of political system, modern state and society.

8.1. KEY WORDS: Socialisation, modernization, orientation, attitudes

8.2. INTRODUCTION

Political culture is a sociological concept on the other hand political socialization is a psychological concept. If modernization is a state of mind and to a student of empirical politics it seems that a political system can be operated effectively only by the people who shared the lively and rational ingredients of the modern outlook, the task of political development thus boils down to the blunt need to change the attitudes and feelings of the people. According to this view point, the argument about how best to facilitate development is again a relatively simple: introduce the essential structure and performance changes- by Persuasion if possible, arbitrarily if necessary- and the people will in time make the appropriate changes in attitudes. Evidence can be cited to show that once people have been placed in a developed context, they can readily adapt their mind and spirit and thus there is little need to show excessive concern over such murky matters as the psychic state of affairs of transitional individuals.¹

Political socialization concerns itself with the orientation of individuals towards political objects and could be studied in the elite, the mass, the deviant groups and social movements. If their attitudes, orientations and values change through time they bring about a change in the political culture also. Since the individual is continually being influenced in the shaping of his political attitudes, orientations and values the process of socialization goes throughout his life. While the process of political socialization is going on all the time there is a possibility of it's getting accelerated through major crisis. For example, a country going through war or inflation or political instability coming in the wake of inefficiency and corruption on the part of the political leaders may bring about radical changes in the attitudes of the people almost overnight. The politics of Imperial powers towards their subject in the colonies- incidents like the Jallianwala Bagh massacre in India in 1919 and attack on Harmandir Sahib during Operation Blue Star in 1984 for example have provoked millions of people into radical political action. The Vietnam War brought about almost civil competition in the United States in the late sixties under the pressure of events loyalists turn into rebels and rebels into loyalists, Friends into Enemies and Enemies into friends, attitudes of aggression are converted into those of cooperation and of

¹ Lucian W. Pye, *Aspects of Political Development*, Little Brown, Boston, 1966, p. 89.

cooperation into those of aggression. If the process of political socialization is slow the waters of the political culture will run smoothly, and a political system smoothly adjusted with the political culture of the country will be able to function effectively. Too Rapid a process of political socialization on the other hand is likely to through everything out of gear.² The term 'Political Socialization' is coined by H.H. Hyman.

8.3. MEANING AND DEFINITION

According to Rush, political socialisation is a process by which an individual becomes acquainted with the political systems which determines his reaction to political phenomena. It involves the impact of social, economic or cultural environment of society upon the individual and upon his political attitudes and values.

The definition given by David Easton and Jack Dennis includes various factors of political socialisation. They define political socialisation simply as those developmental processes through which persons acquire political orientation and pattern of behaviour.

For Almond and Verba, political socialisation is the process by which political cultures are maintained and changed. Political culture is a sociological concept, whereas political socialization is a psychological concept. Political socialisation concerns itself with the orientation towards political objects. It can be studied in the elite, the masses, the deviant groups and social movements. As their attitudes, orientations and values change through time, they bring about a change in political culture as well.

Political socialisation is a learning process and goes on throughout life. Through this process norms and behaviour acceptable to a well-running political system, are transmitted from one generation to another. It seeks to train or develop individuals in a way that they become well-functioning members of a political community.

This learning process is a gradual and imperceptible one. It works without being noticed Political values are not simply acquired during active political participation, but also in the period before an individual engages in any explicit political activity. In this sense, political socialisation includes all formal, deliberate or unplanned learning at every stage of the life cycle.

Further, the process by which political culture is shaped at the individual level and at the community level and passed on from one generation to another is called political socialisation. The political culture which an individual or community comes to have is a matter of learned behaviour, though not necessarily a conscious process. This learning process involving an internalization of the existing cultural pattern is called socialisation. But when this process acquires a political context, it is known as

² S.P. Verma, *Modern Political Theory*, Vikas Publishing House, New Delhi, 1975, pp. 297-98.

political socialisation.

8.4. NATURE OF POLITICAL SOCIALISATION

Political socialization is the process by which political culture are maintained and changed. Through the performance of this function individuals are inducted into the political culture, their orientations towards political objects are formed.³ In other words it refers to the learning process by which norms and behaviour are acceptable to a well learning political system are transmitted from one generation to another. Thus, the aim of this concept is to train or develop the individuals in a way that they become well-functioning members of political community. The process of political socialization generally acts in a casual or imperceptible manner. That is, it operates in a quiet or smooth manner without peoples being aware of it. The people take the norms for granted without questioning their legitimacy. Thus, the subject matter of this concept is the process by which people acquire political values not simply during active political participation but also in the period before they engage in an explicit political activity.⁴

The principle emphasis on concept of political socialization is on the transmission of political values from one generation to another. The stability of a social or political system depends on the political socialization of its members. On account of the fact that a well-functioning citizen is one who accept societies political norms and who will then transmit them to future generations, for example, the members of a stable democratic system as a operating in Britain are trained and made habitual of adopting constitutional means to effect changes rather than resorting to the techniques of taking the matter to the streets creating conditions of a violent upheaval. Political socialization thus covers the whole process by which an individual born with behaviour potentials of immense range is led to develop actual behaviour which is confirmed with a much narrower range- the range of which is customary and acceptable for him according to the students of his groups.⁵

Political socialization desires to achieve the goal of political stabilization. It stands on the premise that a political system cannot function smoothly unless the process of the internalization of legal norms and values is at work simultaneously. As in the case of an individual organism, so in the case of body politic, nothing but maintenance of survival is needed. And survival means nothing else than stabilization. Political socialization is the most important link between social and political systems but may vary considerably from one system to another. From a political point of view, political socialization is extremely important as a process by which individuals become involved in varying degrees in the political system-- in

³ Gabriel Almond and G. B. Powel, *Comparative Politics: A Developmental Approach*, Little Brown, Boston, 1966, p. 64.

⁴ Stephen L. Wasby, *Political Science: The Discipline and its Dimensions: An Introduction*, Scientific Book Agency, Calcutta, 1970, p.333.

⁵ Irwin L Child, "Socialization" in G Lindzey (ed.), *Handbook of Social Psychology*, Mass, Camb, Vol. 2, 1975, p. 655.

political participation.⁶

8.5. TYPES OF POLITICAL SOCIALISATION

8.5.1. Direct or Manifest.

8.5.2. Indirect or Latent.

8.5.1. DIRECTOR MANIFEST POLITICAL SOCIALISATION:

This refers to the process in which the content of the transmitted information, values or attitudes is clearly political. For example, an individual under the influence of family, teachers or some other agencies like the peer group or occupational group, learns in clear terms, the pattern and functions of the government. Further, he learns the views of a political party or gets convinced of the superiority of a particular ideology. Since the objects of his orientations are specifically political, these are instances of direct or manifest political socialisation.

8.5.2. INDIRECT OR LATENT POLITICAL SOCIALISATION:

As a result of his relationship with parents, teachers, or some other socialising agencies, an individual may develop an attitude to authority in general. Subsequently, this attitude may be directed to political authority in particular. Thus, the orientation with a Non- Political object is ultimately transformed into a political orientation. This is an example of indirect or latent political socialisation. This includes the transmission of non-political orientations that ultimately affect objects.

It is wrong to think that manifest socialisation is intentional and latent socialisation unintentional. Actually both manifest and latent political socialisation may be intentional as well as unintentional depending upon the context. For instance, when a school teacher urges his students to be public spirited and law abiding citizens, he is promoting intentional manifest political socialisation, but when a child starts fearing a policeman by watching how a member of his family has been mercilessly beaten up by him, there occurs an unintentional transmission of political orientation. Again, when a child is taught that good boy is one who obeys his elders, intentional latent socialisation is being intended. But when a child begins to learn the necessity of rules by participating for the first time in children's sports, there occurs unintentional latent socialisation.

⁶ Michael Philippe and Phillip Althoff, *An Introduction to Political Sociology*, Nelson, London, 1971, pp. 13-14.

8.5.3. CHECK YOUR PROGRESS I

1. What is socialisation?

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2. What is Latent Political Socialisation?

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8.6. AGENTS OF POLITICAL SOCIALISATION

The family, peer, groups, educational institutions, secondary groups, the mass media, political system and party agencies are regarded as chief agents of political socialisation which is a lifelong process is effected through them. Among these agents, the family comes first.

Family:

Family plays a key role in the socialising process. It transmits political culture from one generation to the next. Major part of an individual's personality is shaped by his family influences (from the age of 3 to 15). Many studies on political socialisation have revealed that what an individual acquires from his family outlasts the influences flowing from other socialising agents in his later life. In the United States, three-fourths of the children share the party preferences of their parents. This is so despite the two generations having been kept in quite different socio-economic environment.

Family's key role in the socialisation process may be explained by several factors. These are summarised as follows:

Family holds a crucial position in the life of the child because it is the only agency during one's formative years. For a fairly long period, it meets one's emotional and physical needs. It provides the child both love and approval. He is also given a status by the family. In this way, child has to depend on his family for both moral and material needs. In the process he comes to subscribe to the political beliefs and attitudes of his family. Similarly, he readily accepts the parental version of what is right and wrong, good and bad, or proper and improper.

Child learns through imitation. There is a natural tendency in a child to imitate his parents. In most cases, the ideal role model for a son is his father and for a daughter is her mother. But the influence of this parental model diminishes as the child grows older. He begins drawing new models for himself from the wider social sphere where he then moves about. However, the memory of the parental model does not totally

disappear with age. It remains very much intact especially in persons not endowed with high intelligence and not receiving higher education.

All family members live in the same environment. They are influenced by the same neighbours and neighbourhoods. They have the same circle of friends, who usually share with the family such social characteristics as class, religion and ethnicity. They are further influenced by the same economic forces of the area and of the father's occupations. The family members read the same news papers and listen to the same preacher and other local opinion leaders. Further, they gather the same gossip and hear the same stories. All this tends to give a family, a marked uniformity of thinking and belief. As a result, the children are likely to share the political orientation of their parents.

This does not mean that individual sticks to these parental political orientations and never abandons some of them in later life. In fact, he tries to test their validity in terms of his own experiences of society and politics which he acquires later in his life. In this process, he changes many of the political orientations of his parents which he might have acquired from his family. But in spite of these changes, some prominent traces of the family influences till persist in him till the last.

Invariably it has been noticed that political socialisation which takes place within the family is essentially conservative in character. A family has an inherent tendency to preserve and perpetuate traditional practices and ideas. As a result, political socialisation performed through family tends to slow down the process of change in political change. This cultural lag in political system leads to condition which social scientists have called '*Anomic*' (Following Durkheim).

It is usually noticed that while political institutions of a society undergo change, families continue transmitting political attitudes to the next generation which are not appropriate to the changed political order. These transmitted political orientations are appropriate to situations prior to this change. This phenomenon is frequently observed in the modern developing societies aim in gat vital changes in the social and political order. This aspect of the political socialisation through family is essentially retrogressive. In this context, family works as an obstacle to rapid and widespread changes in the social and political orientations of the people who are members of a political system.

Peer Groups:

Childhood play groups, friendship, cliques, small work groups, brothers and sisters, married couples and like are some of the examples of the peer groups. Like the family these groups are also based on primary relationship. But they differ from family in their structure and in the character of the *intra-relationships*. Despite the

fact that intercourse among the members of a family rests on a highly intimate and personal relationship, yet all of them are not given an equal status. The parent-child relationship is always hierarchical. In fact, family contains at least two separate generations. Thus, members of a family, namely, parents and the child, naturally have different status positions within their family circles.

On the contrary, peer groups consist of members of about the same age. The members can, therefore, afford to enjoy an equal status in their relations with each other. In short, they can afford to be non-hierarchical. This does not mean that peer groups have no leaders. But they are not given rigidly defined roles as in case of families.

Political socialisation within the family, fulfils a major function, that of establishing a child's basic political orientations and knowledge. But family influence starts diminishing when a child reaches adolescence. Then one longs for becoming a more autonomous human being. He wants to function independent of family guidance. Political socialisation, however, at this stage, assumes new dimensions. An individual then is confronted with the problem of interpretation of and adjustment to political changes. He had to prepare himself for participating in specifically political roles. In this way, peer groups supplement the socialising functions of the family by preparing the individual for more specific political experiences.

In modern complex society peer groups as socialising agents, perform very useful function. They prepare a child to a full and political status. They enable them to participate in the complex and depersonalized social and political cultures of modern societies. Further, peer group is in force of political orientations acquired from in family as a *socialiser*. Thus, it does not always work in conflict with the family. In fact, the more static the society the less this peer group will probably conflict politically with family.

Members of a peer group have free access and exposure to each other. There is to be found an easy flow of interactions among its members. Its members have relations which are usually of a highly intimated and personal nature. A peer group receives a very high degree of attention from its members. This is why peer groups play a vital role in the extra socialisation process.

Like the family, the peer group is characterized by personalise as well as emotive extra relationships. These tend to facilitate the task of socialising its members. The extent to which a peer group is capable of replacing the family as an agent of political socialisation, however, varies with the degree of parental control. In countries like India, France, Germany and Belgium, the family maintains its control over the adolescent's life for a much longer period. However, this is not so in case of the United

States and Britain. This is why the peer group plays a crucial role as an agent of political socialisation in the lives of people of the former countries rather than those of the latter.

The extent to which a peer group may perform the role of political socialisation would largely depend on how far politics happens to influence it. For example, in the U.S.A. youth groups generally are not much concerned about politics. Hence, a group of this sort cannot be expected to be an important agent of political socialisation.

Educational Institutions:

Educational institutions are close rivals to the family as major agent of political socialisation. As a person grows older and is initiated into formal education, schools, colleges and universities start working as important socialising agents. All governments try to set up schools or help in founding them because they are very effective medium of transmitting such political values and beliefs are congenial for their working.

The schools are apt to provide most effective channel for shaping the citizen's political attitude and behaviour while they are young and pliable. They socialise both directly and indirectly. For instance; if the school curriculum is imbued with national patriotism and obedience to law, which governments are likely to instill among their citizens, direct socialisation's said to have been the result. Again a student becomes politically socialised not only through what the formal curriculum deliberately teaches him but also by the inference he derives from his school experiences.

Thus, a process of latent political socialisation is at work at the school level. There is to be seen a particular pattern of authoritative decision-making in a school. All the students are subjected to it. In the light of this experience, they may develop a particular type of attitude to political authority. Similarly, participatory process in a school orients an individual not only in modes of participation but also determines his general attitude towards liberal democratic values and institutions. This is more applicable to the colleges and universities than schools. The former may instill among most citizen's new values and lead to the formation of more radical political attitudes.

Thus, formal education is certainly powerful in developing children's political selves. Most educated people are found to have the strongest sense of political efficiency. They are found to be the most politically interested and informed and take the most important roles in political affair. For many social scientists, educationist the last and best hope for curing social evils. War will never disappear until people are educated to recognize its futility and horror. Likewise, racism will not end until white people are educated to recognize blacks as full equals, and so on. But formal education is not the only opinion forming agency for a child or in case of an adult. When children hear one thing in school and quite another at home or from

their classmates, there is no reason to believe that they will believe teachers and text books rather their parents and peers.

It will be much better if schools and families do not work at cross-purposes with each other, but work in harmony, to effect a smooth transition of one political culture to another.

In recent times, student power has emerged on the campuses of the Indian universities. Colleges and universities have been found to have fostered among certain students a political attitude and a love for confrontation with authorities. The student movement in Gujarat and Bihar at J.P.'s call contributed to strong political socialisation of the student's community. The opposition of a large number of American students to the Vietnam War is another example of educational institutions acting as agents of the political socialisation.

Secondary Groups

The importance of a secondary group as agents of political socialisation cannot be over emphasized. It varies with one society to another. The more highly developed and complex a society is, the greater will be the number of secondary groups, and their role in the process of political socialisation is likely to be a major one. Membership of a secondary group equips new skill, information and predispositions that are found very useful in the context of political participation. It provides a very good apprenticeship for meeting the challenges in the political world.

Political scientists identify three types of secondary groups which undertake political socialisation. They are as follows:

These are secondary groups with a distinctive political characters, political parties, pressure or interest groups come in this category. They aim at disseminating political values, mobilizing political action and recruiting political leaders. Evidently groups perform functions which are called international manifest political socialisation.

This category comprises those groups which are instituted for non-political purposes. These are found to carry on political education and mobilization along with their other activities. A labour union is a typical example. While a labour union is basically engaged in the task of collective bargaining and looking after material well-being of its members, yet at the same time, it equally tries to involve the main political action, thereby enhancing their political consciousness. This may also be viewed as a direct international socialisation.

In this category are included those secondary groups which do not have any

political character. They never try to impart political education to their members. But the members develop orientations that have political relevance by mere participation in the routine affairs. For example, a cricket club is not directly an agent of political socialisation, but its activities result in a process of unintentional political socialisation. This is evident from the fact that while participating in its matters are equipped for participation in the political sphere.

Mass Media

Mass media include, radio, television, newspapers, magazines and the like. They provide a good deal of information to the members of political system. They often add their own perception and interpretation of the things they inform about. Hence, their role in political socialisation of citizens is very important. In recent years, the mass media have greatly developed. It is due to advance in technology that the apparatus of mass media has become an effective agent of political socialisation.

In most cases, the mass media are not the actual origin at or of the messages they transmit, but their interpreter. The social setting determines not only the type of mass media likely to attract a particular people, but also the way in which the latter would interpret and react to the performance by the mass media. Since messages generally originate at the level of government officials and political leaders, secondary groups as also the mass media transmit them to the people. From this point of view mass media strictly speaking, are not themselves the agents of political socialisation. Indeed, they are only used as an instrument by other socialising agents to perform the task of political socialisation.

Further, the mass media do not generally have a direct impact on the people. The mass media go through two way flows. Initially, the messages they transmit reach only to a small number of opinion leaders like parents, teacher's community, activists etc. It is they who then pass on these messages to those over whom they have influence.

Obviously, mass media is not the primary socialiser. They serve the function of reinforcing the already established orientation. More often, the messages transmitted by the mass media are intended to support the existing arrangements. They inform and interpret in order to maintain the status quo or property relation. In this way, they become more an agent of reinforcement rather than an agent of change. A corollary of this is that the attitude to the receiver has direct link with this reinforcement function people's relation are likely to be quite favorable when the messages passed on by the media are in agreement with their established ideas.

8.5. SIGNIFICANCE AND ROLE OF POLITICAL SOCIALISATION

Political socialisation includes both political learning and non-political learning of politically relevant issues. It also involves the acquisition of politically relevant personality traits. Political learning has a clear bearing on the later behaviour of men who are exposed to socializing influences, including the political system. Most commonly, socialisation seems to have conservative consequences for existing political arrangements. These conservative effects are not necessarily in the direction of encouraging political stability. Nonetheless, they are likely to maintain existing patterns both in stable and non-stable systems.

In a way, socialisation may prove to be a potential source of change. It's possible that the link may be broken in the attempt to transmit one generation's values and beliefs to the next. And since the training of the young is in part future oriented, one generation may deliberately transmit the next generation such values as may differ from its own. Further, wherever different generations are exposed to different experiences the needs of change are present.

Thus, political socialisation not only shapes and transmits a society's political culture but also maintains, transforms and sometimes creates the political culture of the people. Under stable conditions, the task of maintenance, that is, of transmitting a society's political culture successfully from one generation to next receives greater importance. But stable conditions are a rare phenomenon in the modern world. Most nations are seen struggling to transform the old order or to erect new political structures with new social arrangements. It is here that political socialisation assumes the transforming role. Some countries, especially the newly independent nations of Asia and Africa, are often found striving for completely new political order; a new political socialization becomes highly significant in such countries.

In this way, political socialization has three distinct roles. Like, maintaining existing political culture, transforming existing political culture and Creating new political culture.

So, it can be said the process of political socialization in every society involves a combination of all these three roles, that of maintenance, transformation and creation of political culture.

8.6. SHORTCOMINGS OF THE CONCEPT

The study of political socialization seems to be one of the most promising approaches to understand political stability and development, even though this concept has its own weaknesses.

- First of all, the concept of political socialization may be accused of being conservative.

As the entire concept of political development is an exercise for defending and preserving the status quo, the concept of political socialization on account of the very fact of being a derivative of the same may be accused of in a similar vein.

- The concept of political socialization may not serve the purpose of those who subscribe to the school of Marxism-Leninism, nor can it fully satisfy those who are in search of a real alternative to the school of scientific socialism. The Marxist openly declared that the philosophers have so far interpreted the word the problem is how to change it. For this reason, they reject any concept of an open society like that of political socialization as another ingenious gift of bourgeois mind.
- The new generation of American political scientists has found many faults with the pattern variables and an empirical specification not only in regard to their application to the developing countries of the Third World but to their own countries so terrible caught up in the problems like those of inflation, unemployment and war all assuming threatening postures to the survival of their own political systems.
- A study of political development of countries belonging to the Third World reveals that the model of political socialization, as given by many distinguished American writers, may hardly applied to them in the midst of too many Armies, too much bureaucratic parasitism, too much unequal distribution and not in a production, too much concentration on display of projects and neglect of infrastructure, too much articulation of conflicts between communities, in short, too much politics for the elites not enough authentic participation for the masses. For anything but in the very long run, the Western model began to be regarded as unattainable, especially given the absolute character of the values and goals of many third world leaders.⁷

8.8.1. CHECK YOUR PROGRESS II

1. Family plays key role in Political Socialisation. Explain.

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2. How political socialisation is helpful to preserve the political culture?

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8.9. SUMMARY:

Political socialization desires to achieve the goal of political stabilization. It stands on the

⁷ J.P. Nettl, "Strategies in Study of Political Development" in Colin Leys (ed.), Politics and Change in Developing Culture, Cambridge University Press, London, 1969, p. 19.

premise that a political system cannot function smoothly unless the process of the internalization of legal norms and values is at work simultaneously. In this way, political socialization has three distinct roles. Like, maintaining existing political culture, transforming existing political culture and Creating new political culture. So, it can be said the process of political socialization in every society involves a combination of all these three roles, that of maintenance, transformation and creation of political culture.

8.10. QUESTIONS FOR PRACTICE

8.10.1. LONG ANSWER QUESTIONS

1. Write a note on the nature of Political Socialisation.
2. What are the types of Political Socialisation?
3. Discuss the agents of Political Socialisation.
4. How the concept of Political Socialisation is significant even today?
5. Critically evaluate the concept of Political Socialisation.

8.10.2. SHORT ANSWER QUESTIONS

1. Give two definitions of political socialisation.
2. What do you mean by Political Socialisation?
3. Write the name of three agents of political socialisation.
4. Give Three Shortcomings of political socialisation.

8.11. SUGGESTED READING

- R. Ball, *Modern Politics and Government*, Macmillan Publishers, 1971
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BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: - POLITICAL THEORY – II

UNIT9:- POLITICAL CULTURE: MEANING, DEFINITION, CHARACTERISTICS AND IT'S TYPES

STRUCTURE

9.0. Learning Objectives

9.1. Introduction

9.2. What is Culture?

9.3. Meaning of Political Culture

9.4. Roots of Political Culture

9.5. Secularisation of Political Culture

9.6. Types of Political Culture

9.6.1 Check Your Progress I

9.7. Marxian Perspective of Political Culture

9.8. Significance of Political Culture

9.9. Shortcomings of the Concept

9.9.1. Check Your Progress II

9.10. Summary

9.11. Questions for Practice

9.11.1. Long Answer Questions

9.11.2. Short Answer Questions

9.12. Suggested Readings

9.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to:

- Understand the concept of political culture.
- Analyse the role of political culture.

- Examine the People's beliefs, symbols and values structure both their attitude to political process, and, crucially, their view of the regime in which they live- most particularly, whether or not they regard their rights as rightful or legitimate.
- Understand and explore the manner in which this concept has been understood in various strands of modern political analysis and how it serves as tool for understanding modern state and society.

9.1. INTRODUCTION

Politics is a social activity. Politics is about 'power' politics occurs when there are differentials in power or authority. Power occurs in all societies and if we equate politics with power relations then politics also is endemic to social life. Political arrangements depend upon social organization and cultural values. So the roots of politics always find in the social setup and the culture of that particular region. This trend was commenced during the behavioural revolution particularly under the impression of sociology. One political system is distinguished from another, the system theorists point out, not only its structures but also by the political culture in which the structures are rooted. Despite the fact that developing countries adopted political Institutions like parliamentary democracy or party system from countries where they had been developed through several centuries. It became clear very soon that they did not generally function in the same way. This could only be explained by the fact that the working of the political system is very much affected by the political culture in which it functions. So the political scientist especially Europeans and Americans had enthusiastically started to look at the layers of different cultures and examined the interaction between society and politics. It is for this reason that Walter Bagehot, Alex de Tocqueville, Max Weber and Dicey and regarded as seminal theorists whose works signify the important role played by ideas, sentiments, symbols and values in the Politics of English, French, German and American countries. We may take note of the fact that great thinkers like Plato, Aristotle, Rousseau, Kant, Burke, Green and Bryce attached great importance to the inculcation of public sentiments and values appropriate to an ideal or best possible political system.

Political culture of a country, in the sense, is like its general culture. Just as countries differ in their critical norms, they differ in their political cultures also. Political culture provides structures and meaning to the political sphere in the same manner as culture in general gives coherence and integration to social life. It relates to emotions, rational considerations and ethical values. To understand the term political culture, it is essential to first know what we mean by culture.

9.2. WHAT IS CULTURE?

Culture is defined by UNESCO as the set of distinctive spiritual intellectual and emotional features of society or a social group. Culture involves values symbols meanings and Expectations. It tells us who we are and what is important to us and how we should

behave.⁸ According to Merriam-Webster dictionary⁹ culture is the customary beliefs, social forms, and material traits of a racial, religious, or social group; the set of values, conventions, or social practices associated with a particular field, activity, or societal Characteristic; the integrated pattern of human knowledge, belief, and behavior that depends upon the capacity for learning and transmitting knowledge to succeeding generations.

In other words, culture is the central human characteristic expressing our essence as aware social beings. Unlike nature (with which it is often contrasted) culture involves values, symbols, meanings, and expectations. It tells us who we are, what is important to us and how we should behave. The people of a society share a common human nature like emotional drives, intellectual capacities and moral perspectives. This common human nature expresses itself in the form of certain values, beliefs and emotional attitudes which are transmitted from one generation to another, though with greater or lesser modifications and thus constitute the general culture of a society. Certain aspects of general culture of a society are especially concerned with how government ought to be conducted and what it shall try to do. This aspect of culture we call political culture."¹⁰

9.3. POLITICAL CULTURE: MEANING

A definition of political culture flows from this account of culture. The term refers to the overall pattern in society of beliefs, attitudes and values towards the political system. There are many and also varied definitions of the term 'political culture' that also suggest its nature. It has been described as the commonly accepted rules.¹¹ Dahl has suggested political culture as a 'factor explaining different patterns of political opposition.' According to him, the salient elements of the political culture are¹²:

1. Orientations to problem-solving: are they pragmatic or rationalistic?
2. Orientation to collective action: are they co-operative or non-cooperative?
3. Orientations to the political system: are they allegiant or alienated?
4. Orientations to other people; are they trustful or mistrustful?

In other words, political culture "is composed of the attitudes, beliefs, emotions and values of society that relate to the political system and political issues."¹³ It is defined as "the pattern of individual attitudes and orientations towards political among the members of the political system. It is the set of attitudes, beliefs and sentiments that give order and meaning to a

⁸ UNESCO, Universal Declaration on Cultural Diversity 2002, <http://unesco.org>, accessed 12 June, 2021.

⁹ Merriam-Webster dictionary, <https://www.merriam-webster.com/dictionary/culture>, accessed 9 June, 2021.

¹⁰ Beer and Ulam, *Patterns of Government*, Random House, New York, 1962, p. 32.

¹¹ Roy C. Macridis "Interest Groups in Comparative Analysis" in *Journal of Politics*, Vol. XXXIII, 1961, p. 40.

¹² Robert A. Dahl (ed.), *Political Opposition in Western Democracies*, Yale University Press, 1966, pp. 352-55.

¹³ A. R. Ball, *Modern Politics and Government*, Macmillan Publishers, 1971, p. 56.

political process and that provides the underlying assumption and rules that govern behaviour in the political system."¹⁴

Culture in its broadest sense, is the way of life of a people. Sociologists and anthropologists tend to distinguish between 'culture' and 'nature', the former encompassing that it is passed on from one generation to the next by learning, rather than through biological inheritance. Political scientists, however, use the term in a narrower sense to refer to a people's psychological orientation, political culture being the pattern of orientation to political objects such as party, government, the constitution, expressed in beliefs, symbols and values. Political culture differs from public opinion in that it is fashioned out of long-term values rather than simply peoples reaction to specific policies and problems.

9.4. ROOTS OF POLITICAL CULTURE

A political culture hinging on the fact of people's attitude and beliefs towards the political system, whether homogeneous or heterogeneous, is a product of several inter-related factors importantly:

- (a) Historical;
- (b) Geographical;
- (c) and socio economical

Let us discuss these three factors that constitute the foundations of the political culture.

(A) Historical factors:

A study of history offers ample authentic evidence to prove the continuity or discontinuity of a political system behind which the foundations of a political culture can be found out. The importance of political continuity in a country like Britain, for example, lies in the fact that their older values have been allowed to merge with the modern attitudes undisturbed by violent internal strife or domination by foreign power.¹⁵ They borrowed a lot from glorious revolution of 1688. France offers a sharp contrast in the chain of historical development. While the revolution of 1789 and a violently overthrew the existing structures and subsequent events showed the highly emotional attitudes of the French people, the English leader expressed their shock at the events of 1789 and the leading parliamentary like Edmund Burke could successfully draw the attention of his countrymen towards the horror of such a violent upheaval. Such a political culture had its impact upon the fate of the colonies as well. Thus, the Indians learnt from their British Masters the value of parliamentary democracy and efficacy of the Constitutional means.

(B) Geographical factors:

Geography has its own part in laying the foundations of political culture. The insular character of the British Isles protected the country from foreign invasion and also from the massive influx

¹⁴ Lucian W. Pye, *Aspects of Political Development*, Little Brown, Boston, p. 104.

¹⁵ A. R Ball, *op.cit.*, p. 58.

of foreign races that could have created the problem of ethnic differences. Different from this, the limitless frontiers of a country like India opened the ways for the foreigners to invade and even stay here with the result that we developed the values of independent egalitarianism in the midst of Sharp ethnic differences. Instances can be gathered to show that in case the ethnic differences are allowed to develop in the direction of hostile political cultures, national integration suffers heavily and different people in the name of their different nationalities struggle for their separate sovereign states. Thus, the Government of Kenya, for instance, has to wage a relentless fight against its Somali tribesmen demanding their Union with Somalia. The factor of political Geography engage our attention when we find that the rebellious tribesmen very much thrive on the support of the alien enemies Nations as the Nagas and mizos of India, on the people of country like West Germany are forced to accept the existing critical structures of a neighbouring state like that of East Germany- virtually an integral part of their own- because of the geographical compulsions and also because of the competing International Alliances led by the United States and the Soviet Union. Apart from this, our neighbouring country Bangladesh's separation from the Pakistan was also because of geographical factors.

(C) Socio-economic factors:

A predominately urban Industrial society is a more Complex society, putting a premium on Rapid communications. Educational standards are higher, group proliferate and participation in the decision-making process is, by necessity wider. Rural societies are not geared to change and innovation, and states with the predominantly peasant population are more conservative.¹⁶ Developments in the field of science and technology have their impact on the growth of agriculture and industry; they also have their impact on the process of transportation and communications, migrations and immigrations, imports and exports, revolutions and warfare.

9.5. SECULARISATION OF POLITICAL CULTURE

The concept of political culture is not static, it is dynamic and thus responds to the needs generated within the political system or imported or imposed from outside. Secularization of the political culture is another extension of this concept. It has two attributes

- (i) Pragmatic and empirical orientation
- (ii) Movement from diffuseness to specificity of cultural orientations.

Times change and so change the beliefs and values of the people. This change should, however, be in a pragmatic and empirical direction and that too to in a way from diffuseness to specificity. That is, the political beliefs and values of the people must change from a parochial to a mundane variety, the people must learn more and more the meaning of political participation and political recruitment and their knowledge of political involvement should grow so that they

¹⁶*Ibid.*, p. 61.

may grasp the implications of the idea of political legitimacy. Thus, the process of secularisation of political culture means:

- increasing political Awareness of the people
- enabling masses to have a growing information about their political system
- Peoples' role as a political actor in the political system
- increasing participation of peoples' in the process decision making

It is through the secularisation of political culture that these rigid, ascribed and diffuse customs of social interaction come to be over-ridden by a set of codified, specially political and universalistic rules. By the same token, it is in the secularization process that bargaining and accommodative political actions become a common feature of the society, and that the development of special structures such as interest groups and parties become meaningful.¹⁷

9.6. TYPES OF POLITICAL CULTURE

Through studies undertaken in the political cultures of different countries, the concept has been refined considerably. It is now widely realised that there is no society today which can claim us single uniform political culture. Within each political culture there are differences with regard to its structure and configurations. In all political systems we find a fundamental difference between what might be called the culture of the rulers, or the elite, and culture of the ruled or the masses. The relationship between the elite culture and the mass culture again is an important factor in determining the nature of political system. In some Countries there may be a wide gulf between two cultures. In others, as Myron Weiner has pointed out in case of India, there may be a continuous process of urbanizing the rural culture which might ultimately lead to some kind of reconciliation between the two kinds of cultures. Patterns of culture change also differ from country to country in some countries modernization might not completely cut itself adrift from tradition where as in other tradition may have too strong a foundation to yield place to even small degrees of modernity. The place of tradition in the changing political culture of a country, it may be reiterated, plays a very important role in the shaping of the political system. Almond and Verba set out to identify the political culture that most effectively upheld democratic politics. They identified three general type of political culture: participant culture, subject culture, and parochial culture.

- A participant political culture is one in which citizens pay close attention to politics and regard popular participation as both desirable and effective.
- A subjective political culture is characterized by more passivity among citizens, and the recognition that they have only a very limited capacity to influence government.
- A parochial political culture is marked by the absence of a sense of citizenship, with people identifying with their locality rather than the nation and having neither the Desire nor the ability to participate in politics.

¹⁷G. A. Almond and Powell, *Comparative Politics: A Developmental Approach*, Little Brown, Boston, 1966, p. 60

Although Almond and Verba accepted that a participant culture came closer to the democratic ideal, they argued that the Civic culture is the blend of all three in that it reconciles the participation of citizens in the political process with the vital necessity for government to govern. Democratic stability, in their view, is underpinned by a political culture that is characterized by a blend of activity and passivity on the part of citizens and the balance between obligation and performance on the part of government.

Efforts have also been made to study the content of political culture. Political cultures, it has been pointed out, differ from each other in the degree of trust or distrust that prevails in the society, in the emphasis on hierarchy or equality, in the importance given to liberty on the one side or tolerance of coercion on the other hand, and, finally, in the fact whether the liability and commitment of the people are towards the nation as a whole or to smaller groups like the family or the clan. One also comes across reference in these studies to the existence of various subcultures within a society's political culture, which could be in harmony with each other as well as with the national culture. Cultures could, thus, be termed as homogeneous for heterogeneous.

9.6.1. CHECK YOUR PROGRESS I

1. What is Culture according to UNESCO?

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2. Discuss the historical factor of culture.

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9.7. MARXIAN PERSPECTIVE OF POLITICAL CULTURE

A very different view of the role and nature of political culture has been developed within the Marxist tradition. Although Marx portrayed capitalism as a system of class exploitation and oppression operating through the ownership of the means of production, he also acknowledged the power of ideas, values and beliefs. As Marx and Engels emphasized that the ideas of the ruling class are in every epoch the ruling ideas, i.e. the class which is ruling material force of society, is at the same time the ruling intellect force. In Marx's view, ideas and culture are part of a "superstructure" that is conditioned or determined by the economic 'base', the mode of production. These ideas have provided Marxism with two theories of culture. The first suggests that culture is essential class-specific: as members of a class share the same experiences and have a common economic position and interests, they are likely to have broadly similar ideas, values and beliefs. In Marx's words, it is not the consciousness of men that determines their existence, but their social existence that determines their consciousness. Proletarian culture and ideas can

therefore be expected to differ markedly from Bourgeois ones. The second theory of culture emphasizes the degree to which the ideas of the ruling class pervade society and become the 'ruling ideas' of the age. In this view, political culture, or even civic culture is thus nothing more than bourgeois ideology. What is the important about this view is that it sees culture, values and beliefs as a form of power. From the Marxist prospective, the function of ideology is to reconcile subordinate classes to their exploitation and oppression by propagating myths, delusions and falsehoods (in Engels' words false consciousnesses). Later Marxists have understood this process in the terms of bourgeois hegemony.

9.8. SIGNIFICANCE

The concept of political culture has made a highly significant contribution to the development of modern political theory. Since the advent of the behavioural revolution the attention of the political scientist was becoming more and more concentrated on the study of the individual political behaviour, and political science was a rapidly becoming identified with psychology. Even with the development of the systems approach, attention was being riveted mainly on the single act or the decision as a unit of political analysis. It was the decision maker, the leader, the voter or the opinion holder, who was the focus of political analysis. The concept of political culture focussed their attention on the study of the political community or society as a dynamic collective entity, as distinct from the individual and, thus, on the total political system.

The study of the Dynamics of continuity and change in political systems, which the political culture approach demanded, involved a combination of micro as well as macro studies. The political culture approach, therefore, made political science a more complete social science through its insistence on the combined micro- macro approach. The political culture approach helped the process of broadening the scope of political science in one other way. The processes of political socialization involved not only the political factors but also the non-political dimensions of life, the social and economic parameters, so to say. Political culture approach, therefore, encouraged political scientist to take up the study of the social and cultural factors which were responsible for giving a political culture of a country its broad shape. The political culture approach also helps us in combining the study of the rational factors, which shape the actions of individuals, to a large extent, with the more latent, the irrational, determinants of behaviour. The concept of national character, which was more or less static in its approach, was now found to be inadequate to deal with the political behaviour of societies, on which battle light could be thrown through a study of political culture, could be subjected to empirical research, at least to some extent. Finally, it was the political culture approach which helped us to understand why different political societies inevitably moved in different directions of political development, or, may be, find themselves suffering from severe constraints, socio economic as well as political, which force them to move towards political decay.¹⁸ In any case, it has now become clear in the light of our discovery that political cultures bear an important role in the

¹⁸S. P. Verma, *Modern Political Theory*, Vikas Publishing House, New Delhi, 1975, p. 297.

shaping of political development in a country, why some societies take more easily to democratic institutions and other find it more convenient to authoritarian ways.

9.9. SHORTCOMINGS OF THE CONCEPT

However, the political culture approach has some weaknesses .J. C. Johari pointed out these weaknesses as under

- This approach is not progressive but reactionary in character. It suffers from stigma of conservatism and reaction. Even Almond and Powell have realised that this approach cannot be taken as a correct barometer of individual behaviour. They affirm that a careful analysis of Political culture still provides no sure guide, perhaps at best a probabilistic one, for the prediction of individual behaviour in a given case.
- The political culture approach cannot be described as a very precise variable for presenting a morphological study of modern political systems. The terms coined by the protagonists of this approach are neither very clear nor very precise as a result of which a student of comparative politics is often confronted with a confusing situation. Thus, it has been pointed out that the concept of political culture is an attempt to find one rubric to include what in the past have been variously described as attitudes to politics, political values, ideologies, National character and cultural ethos etc. None of these terms are sufficiently broad provides a basis for classifying political systems, though each one of them separately is relevant to the study of comparative politics but each one is vague and ambiguous and, as such, has only a source of confusion for those attempting to compare political systems methodologically.¹⁹
- If political culture is nothing else than a set of beliefs and sentiments about politics as embodied in the verbal and non-verbal behaviour of the people and depending upon the specific content of the notion of 'political development', it is bound to be conducive for antagonistic to it. The problem arises when there is a measure of difference between the political culture of the rulers and that of the ruled in such a situation the question would arise as to which of these different cultures may be considered more relevant to political development.²⁰
- Diversity of political culture may be seen even in the community of the ruling class. One party may come into power after replacing another with its own set of political notions, beliefs and commitments. If so, it would have its own effect on the pace of political development and political modernization of the country. The problem, in fact, compounded as political culture itself is a subsystem of the culture in general. Or if it be objected that there is no such thing as culture in general but rather cultures as differentiated with respect to particular domains, the problem may be reformulated and

¹⁹Davis and Lewis, *Models of Political System*, Vikas Publishing House, Delhi, 1971, p. 114.

²⁰Daya Krishna, *Political Development: A Critical Perspective*, Oxford University Press, New Delhi, 1979, p. 151.

articulated in terms of the homogeneity or heterogeneity of the culture obtained in the political domain with those obtained in other domains.²¹

9.9.1. CHECK YOUR PROGRESS II

1. It is not the consciousness of men that determines their existence. What it means?

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2. According to J.C. Johari, this approach is not progressive but reactionary in character. Explain

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9.10. SUMMARY

In crux it can be said that the protagonists of the political culture approach claim that it has made a highly significant contribution of the development of modern political theory. It is said that is "may provide us with valuable conceptual tools by means of which we can bridge the micro gap in political theory. It enhances our ability to describe and analyse the interactions between political system and its culture. By distinguishing between behaviour and attitudes, we are able to explicate differences in performance across political systems and that the operation of the legislative process at the Union level as well as at State level "reinforces the Union predominance in the legislative field".

9.11. QUESTIONS FOR PRACTICE

9.11.1. LONG ANSWER QUESTIONS

1. Discuss the various types of political culture.
2. Write a note on the significance of political culture.
3. Critically evaluate the concept of political culture

9.11.2. SHORT ANSWER QUESTIONS

1. How political culture is different from culture?
2. What do you mean by the process of "secularisation of political culture?"
3. Write any two definitions of Political Culture.

9.12. SUGGESTED READINGS

- R. Ball, *Modern Politics and Government*, Macmillan Publishers, 1971

²¹ *Ibid.*, p. 152.

- Andrew Heywood, *Politics*, Palgrave Foundations, Hampshire, 2003
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BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –II

COURSE: - POLITICAL THEORY – II

UNIT10:- POLITICAL SYSTEM: MEANING, DEFINITION CHARACTERISTICS, FUNCTIONS & ITS DISTINCTION FROM STATE

STRUCTURE

10.0 Learning Objective

10.1. Key Words

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10.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to

- Understand the meaning of Political System
- Analyze the Characteristics of Political System
- Know the functions of Political System
- Understand the difference between State and Political System

10.1. KEY WORDS: System, Force, Universal, Limitations, Environment, adaptability

10.2. INTRODUCTION

There are number of approaches and concepts have been developed by various political scientists since the inception of political science as an independent discipline. The concept of political system was introduced by the famous American theorist **David Easton**, whose book '**The Political System**' was published in 1953. The traditional political thinkers commonly used the terms state, government, legislature, judiciary etc in place of words political system. As such their study was confined or restricted only to the legal, formal and organizational aspects. On the contrary, the protagonist supporters of the modern viewpoint regard it as more appropriate to use the comprehensive term 'political system'. They include in their study both, the formal and informal organizations and also the direct as well as indirect political activities which being of political nature, notwithstanding their different forms and have widened the scope of political science, and made its study' real and empirical.

10.3. MEANING OF POLITICAL SYSTEM

The term political system is a compound of two words-'political' and 'system' and the knowledge of the different meanings of these two words make this concept of political system absolutely clear.

MEANING OF POLITICAL:

The word 'political' refers to power' and 'authority'. **Aristotle**, the father of political science, regards political association as the 'most sovereign and inclusive association.' The very possession of sovereignty marks it out from all other associations. **Robert A. Dahl** observes, 'Ever since **Aristotle**'s time the notion has been widely shared that a political relationship in some way involves authority, rule or power.' **Almond and Powell** call this attribute of political association 'Legitimate physical coercive power.' In **Max Webber**'s estimate, an association can only be called political, 'if and in so far as the enforcement of its orders is carried out continuously within a given territorial area by the application and three of physical force on the part of administrative staff,'

Thereafter going through these views, we arrive at the conclusion that the term political is related to power, rule and authority and an organization possessing these attributes can claim to be as political.

MEANING OF SYSTEM:

According to **Almond and Powell** observe 'A system implies interdependence of parts and boundary of some kind between it and environment.'

Oxford Dictionary defines it, ‘When we speak of political system, we include all interactions which affect the use of or/the threat of legitimate coercion.’

According to Collin Cherry, ‘System is a whole which is compounded of many parts.’ The analysis of the aforesaid definitions summarizes that system is a complete entity or identity or an identifiable unit comprising of distinct parts which apart from being interdependent also influence one another. For example, human organism is a system. Its different organs are interdependent, and they also influence one another.

10.3.1. THE FOLLOWING ARE THE CHARACTERISTICS OF SYSTEM

- a. Unity
- b. Wholeness
- c. Organization
- d. Mutual interdependence
- e. Boundaries
- f. Comprehensiveness
- g. Existence of sub-systems.

After reading the views written above, we come to the conclusion that if we obey the orders of an organization because of the fear of authority of power such an organization can be called Political System.

10.4. DEFINITIONS OF POLITICAL SYSTEM

Robert A. Dahl observes, ‘A political system is any persistent pattern of human relationship that involves to a significant extent power, rule or authority.’

Almond and Powell defines, ‘When we speak of political system, we include all interactions which affect the use of or threat of legitimate coercion.’ **Almond and Powell** highlights the two main characteristics of political system-first, the use of legitimate power, second, the existence of interactions.

According to **David Easton**, ‘Political system is a set of interactions abstracted from the totality of social behaviour, through which authoritative values are allocated for a society.’

David Easton believes that political system is a set of interactions. It is a part of the social system and it possesses authority by which it can enforce its will on others.

According to **J.C. Plano and Robert E Riggs**, Political system is distinguished from other social systems by five characteristics

- a. It is universal in its reach extending for all members of society.
- b. It claims ultimate control over the use of physical coercion.
- c. Its right to make binding decisions is accepted as legitimate.
- d. Its decisions are authoritative bearing the force of legitimacy.
- e. A substantial probability of compliance.

Lasswell and Kaplin observe, 'Political system is a process of collecting policies with the help of (actual or threatened) severe deprivation.'

On the basis of the above definitions, we come to the conclusion that political system is a vast concept. It includes all interactions, structures and activities which are related to the taking of authoritative decisions and their implementation. Only political system has control over the legitimate physical coercive authority and its decisions are binding and everybody is bound to obey the same. If any group or a person violates or disobeys the decisions of political system, he is liable to be punished. It is this characteristic of political system which distinguishes it from other systems.

10.5. CHARACTERISTICS OF POLITICAL SYSTEM

Following are the characteristics of Political System;

1. Persistent pattern of human Relationship: Political System, according to Robert A. Dahl, is a persistent pattern of human relationship. Power, rule or authority and influence are the bases of this human relationship. Though in it, each individual actor plays his own distinctive role, yet viewed as a whole it is the gross total of their roles.

2. Legitimate Force: Every political system is vested with legitimate force which makes its decisions binding and influential. It is this peculiar characteristic of political system which marks it out from the social and economic systems. Legitimate force, as a matter of fact, penetrates all political activities.

3. Comprehensiveness: Comprehensiveness is one of the essential ingredients of political system. It does not include only government structures e.g. legislature, executive and judiciary, but all those formal and non-formal organizations also, which in any form influence the political processes, in which kinship, caste-groups, murders, riots, processions, political parties and pressure groups, religious and cultural organizations are included.

4. Universality of Political System: Universality is also one of the characteristic of political system. It implies that every society, however, backward, has a political system, because the probability or existence of political system does not only signify a civilized society, though in its form it may vary from society to society.

5. Universality of Political Structures: Every political system has different structures which perform their different roles. The earlier traditional viewpoint regarded only the legislature, executive and judiciary as political structures. But the modern viewpoint includes each formal and non-formal or among the political structures which directly or indirectly influences the functioning of political system

6. Universality of Political Functions: Every Political system whichever its form performs both, the input and output functions

- **Input Functions:**

1. Political socialization and recruitment 2. Interest articulation

3. Interest aggregation 4. Political communication

- **Output Functions:**

1. Rule making 2. Rule application 3. Rule adjudication functions

7. Sub-Systems and their Dependence: Every political system is a blend of numerous sub-systems. The sub-systems depend on the influence of one another. Change in one sub-system invariably influences the other sub-systems. For example, if the people elect the capable legislators to the legislature the executive will naturally become efficient and responsible.

8. Existence of Boundaries: Almond and Powell are of the opinion political system has boundaries which distinguish it from the other systems e.g. economic system and social system. These boundaries related to the functional rather to the territorial aspect, and they continue changing from time to time. During war time, the boundaries become greatly extended as large number of men is recruited into military service, as business firms subjected to regulations and as internal security measures are taken. In this way, change in the functional boundaries is a common phenomenon in political system.

9. Adaptability: Political system is prone to change according to the situations. During the emergency, for example in India, the nature of the political system instantly gets transformed from the usual one to a different one. But when the emergency is over, it again undergoes a change. Any political system lacking in this quality will not remain stable.

10. Multi-functionality of Political Structures: Each political structure does not perform only one type of function rather performs various kinds of functions. For example, Legislature does not only legislate, but it also exercises control on executive and the national exchequer. Similarly, we note the multi-functionality of the political parties contesting the election, forming the government, criticizing the government and acting as a link between the government and the people.

11. Mixed character of Political Systems: Generally political systems are of a mixed character. For example the Indian Political System is a mixture of eastern and western institutions and values. Similarly, if we make the ideological evaluation of different Political Systems none of these are completely traditional nor completely modern rather these are the mixture of traditional and modern. For example, though the British Political System is modern, yet we find in it the monarchical system of middle age. This we call the mixed character of political systems.

12. Environment and its impact on Political System: David Easton is of the opinion that each political system operates within an environment and it is also affected by that environment. David Easton divides the environment of political system into two parts.

I. Intra-Societal Environment.

II. Extra-Societal Environment.

In the intra-societal environment, he includes political, economic, social and cultural life in which the political system works and in the extra-societal environment, he includes international organizations, international laws and international politics etc.

10.6. STRUCTURES OF POLITICAL SYSTEM

The structures of Political System can be divided into two categories;

1. Formal Structures: Every state has a formal constitution which makes the provision of formal structures such as legislature, executive and judiciary etc. These formal structures do the functions fixed by law and the constitution. These formal structures convert inputs into outputs in a political system and whatever may be the nature of political system, these formal structures are found in every political system.

2. Informal Structures: According to Almond and Powell, 'The political system includes not only governmental institutions such as legislature, courts and administrative agencies but all structures in their political aspect.' This statement of **Almond and Powell** it very clear that apart from formal structures, all those informal structures which in any way affect, the working of political system are also included in the structures of Political System. We know it fully that political parties, pressure groups, Interest groups etc. influence in a big way the working of political system and these can be termed as Informal structures of political system and without understanding their interaction with political system, we cannot understand the working of a political system.

10.7. ENVIRONMENT OF POLITICAL SYSTEM

According to David Easton, the environment which influences political system or in which political system operates or functions, may be classified into two broad categories;

1. Intra-Societal Environment: By Intra-societal environment, we mean that in each society, there are many such factors which influence the working of the political system. For example, wide spread poverty, unemployment, illiteracy, casteism, communalism, violence and corruption etc factors have greatly affected the working of the Indian political system. Besides this, many other caste groups, religious groups, economic groups and many more such pressure groups and interests groups and political parties etc also influence the working the political system and the commutation of all these is known as intra-societal environment.

2. Extra-Societal Environment: International organization, international law and the other constitutional systems constitute the extra-societal environment. It also exercise Influence on the political systems. Now-a-days, in fact, no political system can remain Immune from the influence of the extra-societal environment.

10.8. FUNCTIONS OF POLITICAL SYSTEM

David Easton's Model of Functions of Political System or Political System as Input and Output Process

Political system, according to David Easton, converts Inputs into Outputs;

Meaning of Inputs: David Easton, with the help of an illustration of the sugar mill which requires sugarcane, electricity, oil, water etc as raw material for its operational process, presents the case of political system. Inputs act as the requisites or raw material in the functioning of political system. David Easton classifies the inputs into two-categories;

- (a) Inputs in the form of demands
- (b) Inputs in the form of support

INPUTS IN THE FORM OF DEMANDS: Every individual expects the fulfillment of some of his demands from the political system, which we call inputs in the form of demands. These demands may be of four types;

1. Demands for the allocation of goods and Services: Every individual expects that the political system should ensure reasonable wages, fixed hours of work, educational opportunities, recreational facilities, the promotion of the means of transport etc. David Easton calls them demands in the form of allocation of goods and services.

2. Demand for the regularization of Behaviour: For the proper regulation of social life every individual demands that the political system should make rules for the safety of human life, to regulate marriages and divorces and public health and sanitation etc.

3. Demand for participation in Political System: The people demand for participation in political system such as the right to vote, right to public or government services, right to petition, right to form association etc.

4. Demand for Communication and Information: David Easton includes in it, demand for communication and information and framing of ideology, seeking decision making information from elites, display of authority by the political system at the official or ceremonial occasions etc.

INPUTS IN THE FORM OF SUPPORT:

David Easton is of the view that for the smooth functioning of the political system apart from Inputs in the form of demands, inputs in the form of support are also necessary. They provide capability to the political system to meet challenge of demands. They may be of four types;

1. Material Support: Payment of taxes, performance of public duty, recruitment to military services etc are covered under material support

2. Obedience Support: Obedience of laws framed by political system for the purpose of the regularization of public life is known as inputs support.

3. Participatory Support: In the category of participatory support, David Easton includes, voting, taking part in political debate and discussion and the other similar political activities

4. Attention and Respect Support: Attention and respect support means attention and respect for public information, public authority, symbols, formal ceremonies etc. **David Easton** further states that the political system and the elites operating in it will have to seek support from the other systems as well as from the people for the effective implementation of the demands.

Conversion Process: Every political system is furnished with Input Demands and Input Support as its raw material which it converts into decisions or policies in the form of outputs, and this whole process is called conversion process. It may not be possible to convert every input into output. It depends on the efficiency and resources of the political system to convert the inputs into outputs. That is why all the demands presented or represented to the political system by the people are not accepted.

MEANING OF OUTPUT:

The decisions or policies which are made keeping in view the Input Demand, Input Support, are called Outputs by **David Easton**. These decisions may be favourable or unfavourable in respect of demands. Much depends on the nature of political system. Outputs may be of the following types

1. Extraction: We have read above that the outputs may be or may not be according to the demands. All the demands which we put before the political system are seldom fulfilled. Sometimes the political system makes certain decisions which are absolutely inconsistent to the demands of the people. But since the political system has the legitimate coercive authority, it can get such decisions obeyed. According to **David Easton**, such decisions can be in the form of Tribute, Booty, Taxes or Personal Services.

2. Regulation of Behaviour: According to David Easton, the second form of output is to regulate the behaviour. It is always essential to make some rules and regulations to regulate the behaviour of the people living in an organized society. In case this is not done the situation of anarchy and "might is right is going to prevail. So, the political system makes certain rules and regulations to regulate the behaviour of the people.

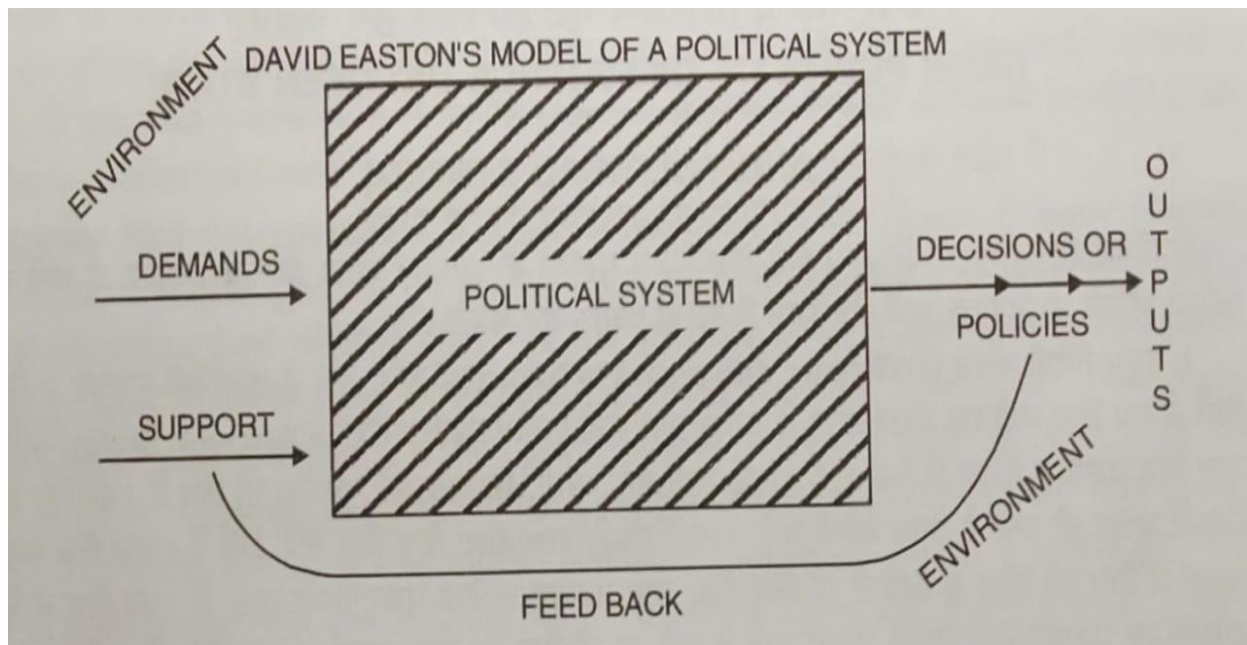
3. Allocation of Goods and Services: Every political system wants to provide wide range of social services to its people and wants to meet their needs of food, cloth and shelter in these days, the state which provides wide range of social services, is considered Good **David Easton** calls this output function of the political system as the allocation of goods and services.

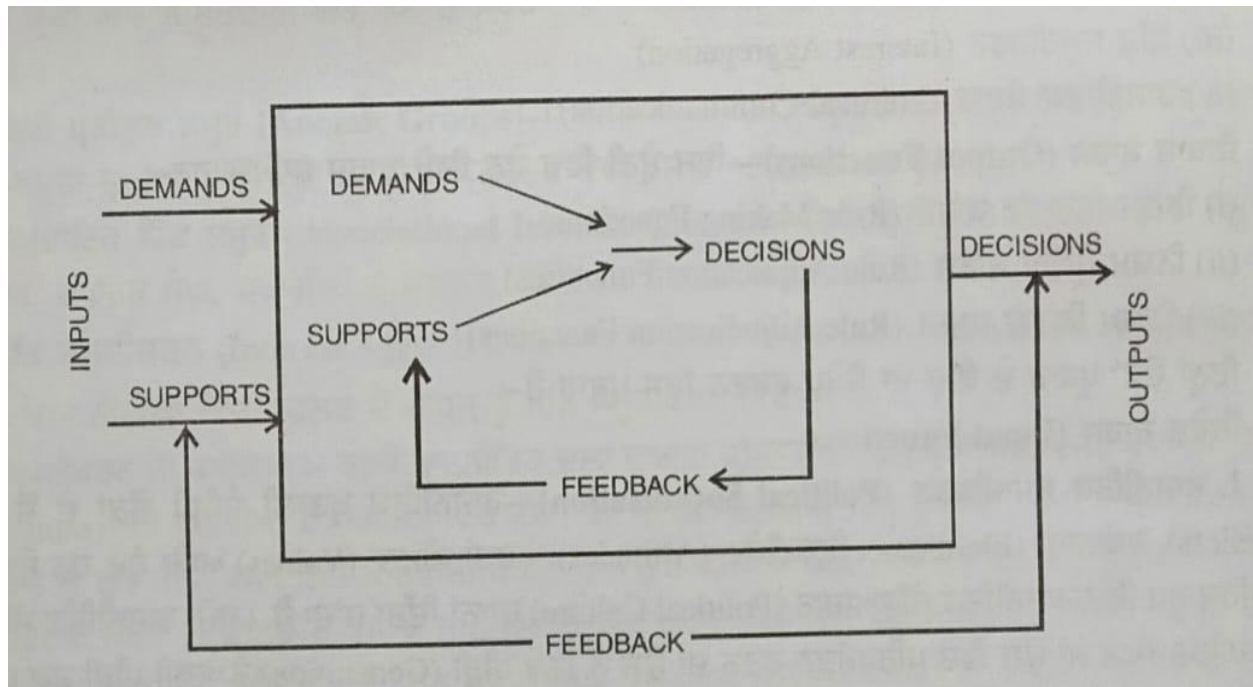
4. Symbolic Output: Every political system is based on some special ideology and values which are expressed by the political system with the display of symbols, and declaration of policies and interests etc. For example, we read written on buses etc that 'India is one though religions are many' The political system demands from the people the affirmation of these values and **David Easton** gives the name of, symbolic output, to this function of political system.

10.9. DAVID EASTON'S MODEL OF POLITICAL SYSTEM

According to **David Easton**, there is a close relationship between Inputs and Outputs. Whichever the decisions are taken by the political system in the form of outputs, they further take the shape of raw material and become inputs. In this way, the conversion process goes on continuously. **David Easton** calls it, 'Feed Back Loop Mechanism'—the illustration of which is given as under in Easton's model of a Political System.

EASTON'S MODEL OF A POLITICAL SYSTEM





10.10. FUNCTIONS OF POLITICAL SYSTEM ACCORDING TO ALMOND

The functions of political system can be divided into two main categories;

A. Input Functions:

1. Political Socialization and Recruitment
2. Interest Articulation
3. Interest Aggregation
4. Political Communication

B. Output Functions:

1. Rule-making Function
2. Rule Application
3. Rule Adjudication

ALMOND'S MODEL ON THE FUNCTIONS OF POLITICAL SYSTEM

(A) INPUT FUNCTIONS:

Input functions are performed by non-government structures viz. political parties, pressure groups, newspapers, magazines etc. We can classify these in the following four types;

Input Functions		Out Put Functions
1. Political Socialization and Recruitment 2. Interest Articulation 3. Inter Aggregation 4. Political Socialisation	Political System	1. Rule-making Function 2. Rule Application 3. Rule Adjudication

- 1. Political Socialisation and Recruitment:** Political socialisation is that process by which the values and beliefs of the people are formulated and they are incorporated into the state's political culture. According to **Almond and Powell**, 'Political socialisation is that process by which political culture is maintained as well as changed.'

Political socialisation is a regular process which goes on continuously. Political culture undergoes a change in accordance with the situations, as a result of which the process of political socialisation continues. The political parties, pressure groups, newspapers and the other similar organisations continue to keep the people well informed about the achievements and failures of the government through their forums and expressions by way of which political socialisation continues to take place.

The pace of political socialisation, however, depends on the types of government. There is a greater degree of political socialisation in a democratic government because a democratic government affords a larger measure of freedom for the expression of views and for forming of political organisations or associations. On the contrary, the pace of political socialisation in dictatorship or totalitarianism is comparatively slow because the people don't have political freedom in dictatorship. But it does not mean that there is no political socialisation in dictatorship at all. Political socialisation is universal though it varies in degree. It may be fast, somewhere and slow elsewhere, respectively.

Along with, political socialisation, recruitment also continues to take place in political system. It implies assigning of different roles for different purposes. New incumbents are recruited or inducted in, to fill in the vacancies caused by resignation, retirements, deaths, removals or transfers of the persons formerly holding the offices. **Almond and Powell** observe. 'We use the political recruitment or refer to the function by means of which the roles of political

system are filled.’ Political recruitment is made on the basis of Interest, capability, ideology, popularity, charismatic personality, influence, caste, religion, heredity, force etc.

2. Interest Articulation: In every political system, the people have some demands, interests or goals. The process for presenting them to the Decision Making Power, inter alia, government is called Interest articulation. This is a very important function of political system, because the decision making function of the government is performed keeping in view these demands or interests otherwise these interests will not be genuinely taken care of and fulfilled. For the smooth process of interest articulation it is required that all the different opportunities and forums are provided, and no suppression is allowed. If the people are denied constitutional methods they are bound to resort to revolutionary methods which will prove harmful. We can, in no way, keep the interest articulation suppressed for a long period. In dictatorship, interest articulation is kept suppressed. The results, there are greater chances of revolt in dictatorship.

Means of Interest Articulation-Interest articulation finds its outlets in written petitions, political meetings, newspapers and magazines, protest meetings, strikes etc. Sometimes in the process of Interest articulation, violent methods such as damaging or setting to flame public property, taking out violent demonstrations, killing of political leaders etc are resorted to.

3. Interest Aggregation: The different interest groups claim upon the political system different demands, for their fulfillment. As such the process by which all such different demands are combined or aggregated and common policies for their realisation are evolved is known as interest aggregation. **Almond and Powell** observed, ‘The function of converting demands into general policy alternatives is called interest aggregation.’

Interest aggregation occupies an important place in political system, because without aggregation of the different interests, the suitable common policy cannot be framed. In this process, political parties play a significant role. They frame out a general acceptable programme keeping in view the different interests of the various castes, communities and sections. Legislature as well as executive also promotes interest aggregation.

4. Political Communication: By political communication, we mean to transmit information. Political system has to rely on interest articulation for the purpose of policy framing. A healthy interest articulation is only possible when the suitable means of political communication are available. Political communication inter-links the various parts of the political system as well as the other non-governmental system. As a result of it, the proper information regarding the activities and demands of one or the other group also exist. In this way, political communication proves helpful to the political system in the policy framing. If this political communication is snapped, it results in dangerous consequences. In such a situation, the government will lose touch with the genuine public interests and the communication gap will go on widening, which at any time can take the form of revolution.

Political Communication is a Two-Way Process-

Political communication is a two way process. On the one hand, the government wants to know what the people actually want; on the other hand, it wants to communicate to the people the policies framed by it for the promotion and fulfillment of their interests.

With its formal as well as informal means the process of political communication goes on continuously. The people also wish to know what goods the government is delivering to them, and the government equally wants to know what the people expect. Radio, television, newspapers, magazines, discussions, political leaders etc play a significant role in this process. Political communication has gained so much Importance that even the states which have governments with unlimited powers, cannot ignore it. Even in these states notwithstanding the state control on the means of communication the government through its secret agencies continues to assess the public feelings and tries to communicate to the people its policies.

B. OUTPUT FUNCTIONS:

These are the functions of the government. The output functions of political system are viz. rule-making, rule-application and rule adjudication. According to **Almond**, political system performs the following three output functions.

1. Rule Making Function: Rules are necessary to determine the relationship among the individuals; without them anarchy will prevail in society.

The first important function of political system is, thus, rule making. New rules are framed to cope with the changing situations and needs, and also if need arises, the old rules are repealed. According to the traditional viewpoint, it was known as Law making or Legislative function and this was performed by parliament or legislature. Almond regards it as more appropriate to make use of the term, Rule Making in place to Law-Making, because the Law Making function restricts the function of political system to a specific extent whereas, the term Rule Making function widens the scope of political system.

2. Rule Application Function: Rules, however good, lose their utility if they are not properly implemented. Political System, therefore, not only discharges the function of rule-making, but also of rule application. The function of rule application is carried out by the civil servants inter alia, bureaucracy. The traditionalists regarded the rule application function as executive function. Proper structures are, thus, necessary in political system for the purpose of rule application, because these structures prove helpful in maintaining the impact of political system.

3. Rule Adjudication Function: The rules may, however, be good or stringent, but there remains the possibility of their breach. If the adequate mechanism to punish the violation of rules

does not exist, each individual will violate the rules and will also interpret them according to his personal convenience. Political system, thus, performs the function of rule adjudication. Rules are firstly interpreted, and those who violate them are punished. Here it is necessary to examine before awarding punishment that particular rule has been infringed: and it ever infringed, whether it has been infringed intentionally or accidentally. After arrived at this fact an individual is awarded reasonable punishment. Besides, there arises sometimes a dispute over the meanings of rules, and in such a situation the rules have to be interpreted clearly. According to the traditional viewpoint, this was regarded as the judicial function. There may be a provision of punishment for the rule violators within the framework of rule, even then it is necessary to examine as to which extent the rules have been violated. This function is performed by judiciary. In order to obtain fair and impartial justice, independent Judiciary is set up so that the people may have faith in judiciary.

10.10.1. CHECK YOUR PROGRESS I

1. Briefly describe the meaning of Political System.

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2. Write the functions of Political system according to David Easton.

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3. Write input functions of Political system according to Almond.

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10.11. THE STATE AND POLITICAL SYSTEM

According to traditional viewpoint, the state was considered central to the study of political science whereas the protagonists of the modern viewpoint they prefer to make use of the word political system in place of the state and Government and they also make distinction between the State and the Political System. But before making distinction between these two terms, we must know the meaning of both.

Meaning of the State: The state is supreme and sovereign institution. According to **Prof. Gettell**, ‘The state is a community of persons permanently occupying a definite territory, legally Independent of external control and possessing an organised government which creates and administer law over all persons and groups within its jurisdiction.’

The definitions given above make it very clear that the population, fixed territory, government and sovereignty are the four essential elements of the state and whichever association has these four elements can be called the state.

Meaning of Political System: The concept of political system is central to the study of modern viewpoint of political science and is the result of the behavioural revolution which came in the study of political science in the beginning of 20th century. According to **Almond and Powell**, ‘When we speak of political system we include all interactions which affect the use of or threat of legitimate coercion.’

In brief, we can say that political system is combination of interactions and structures which have final control over the legitimate physical coercive power and the decision made by it are backed by legal sanctions.

10.12. DIFFERENCES BETWEEN STATE AND POLITICAL SYSTEM

After knowing the meaning of state and political system, we find the following differences between the two;

1. State is an Abstract Concept, whereas Political System is a Reality: Notwithstanding the fact that each individual recognises the existence of state, nevertheless is an abstract concept which is thought and felt, but is not visible in physical form. This is the reason that there are different views regarding the origin and nature of state. On the other hand, there are no such fixed elements of the political system rather political system is the sum total of formal and informal institutions and their roles and the use of legitimate physical coercive power is the special characteristic of political system which distinguishes it from other systems

2. Difference in their Constituent Elements: The state consists of four elements viz., population, territory, government and sovereignty. These four elements are essential to constitute the state and even if one element out of these is absent, the state cannot come into existence. Political System comprises of political processes, political behaviour, political institutions and political goals. According to **Almond and Powell**, ‘One of the basic units of the political system, then, is the political role.’

3. Difference in their Boundaries: There is a difference between the boundaries of both the state and Political System. The boundaries of the state are territorial and are generally permanent. On the basis of these, we measure the territories of different states. On the other side, the boundaries of the Political System are fixed according to the roles of different individuals and institutions which keep on changing according to time and situations,

4. The State consists of People whereas Political System consists of their Political Relations and Political Roles: According to Garner, the state is a community of persons and when these people organise themselves politically and settle permanently on a particular portion of territory, have their government and are free from internal and external control that constitutes a state. In comparison to it, the political system is a persistent pattern of human relationship that includes

their political roles and political activities which one way or the other influence the working of political system.

5. Difference in their Functions: There is a specific difference in the functions of State and Political System. The modern state apart from providing security to the individual's life, goods and property also tries to provide amenities to the individual to make his life more and more comfortable. The present day state is a welfare state and today the state which performs the maximum number of functions is considered a good state. On the contrary according to **Almond**, Political System performs the function of converting the inputs into outputs and this process continues ceaselessly.

6. All States are alike whereas Political System can be of different kinds: All states are alike in form irrespective of the size-vast or small; irrespective of the population big or small, irrespective of the content of the people-rich or poor; irrespective of the natural resources scarce or plentiful. Only the four elements are compulsory in the formation of state. On the contrary, political systems are of different kinds in the different states. Whereas in England there is liberal democracy, in China there is totalitarian political system. Though India like Great Britain has also adopted liberal democratic system, yet there is a wide difference between the working of the political systems in both the countries and this is the case with the political systems of all the countries.

7. There is Inter-dependence of Parts in Political System, but no such thing in the State: Inter-dependence of parts is the basis of political system. **Almond and Powell** are of the opinion that political system implies their dependence of parts and existence of some kind of boundaries. Inter-dependence of parts Implies that whenever a change occurs in one part, it influences the political system as a whole. On the contrary, state is an abstract concept on which neither the Interdependence of parts nor the change in boundaries cause any influence.

8. Difference in respect of the element of Sovereignty: Internal and external Sovereignty is an important characteristic of the state which means that the state is free from all type of internal and external control. But in political system, there is no significance of the concept of sovereignty. The modern political thinkers believe that the political system gets influenced by intra-societal and extra-societal environment. Yet, they believe that the political system has legitimate physical coercive power with the use of which it gets its orders obeyed from others.

9. State is Permanent, Political System keeps on Changing: State is a permanent institution and continues to exist as long as it possesses the four elements. In the states only the governments change and the change of government in no way affects the state. But on the other side, the Political System keeps changing and with the change in social, economic, cultural, intellectual and political situations, the changes also take place in Political System.

10. State is an explanatory concept, Political System is an analytical Concept: State is an explanatory concept which can be explained away in detail, but cannot be analysed. On the contrary, political system is an analytical concept which can be tested.

11. Political Socialisation and Political Culture have special importance in Political System, not for the State: In the concept of political system, importance is attached to the concept of

political socialisation and Political Culture because these activities keep on influencing Political System regularly, as a result of which, there occur changes in Political System. On the other hand, no special importance is given to political socialisation as well as political culture in the state.

12. State includes only Formal and Legal Institutions, whereas Political System includes both Formal and Informal Organisations: In state, only formal legal institutions viz., legislature, executive and judiciary are included whereas in political system both, the formal and informal organisations are included. Whichever institution that is of political nature and influences the political system, falls in the sphere of political system.

13. State is an old concept, whereas Political System is a Modern Concept: The state is an old concept and according to the traditional thinkers of Political Science, it is central to the study of Political Science. According to famous thinker **Garner**, ‘Political Science begins and ends with the state.’ But with the passage of time, change took place in the nature and the functions of the state. In comparison to it, the concept of Political System is a modern concept and is the outcome of the behavioural revolution which came in the study of Political Science in the beginning of 20th century. With the purpose to make the subject of Political Science a living subject, the modern political thinkers developed the concept of political system and thus, have widened the scope of the study of Political Science.

10.12.1. CHECK YOUR PROGRESS II

1. State is an old concept, whereas Political System is a Modern Concept. Explain

.....
.....

2. Is sovereignty an essential element of political system?

.....
.....

10.13. SUMMARY:

After going through the views as described above, we arrive at the conclusion that state is a narrow concept whereas political system is comprehensive concept. Ever since its origin, a great change has taken place in the subject matter of political science and this concept of Political System is gaining popularity day-by-day. Sovereignty is an important characteristic of the state which distinguishes it from other associations and provides supremacy to the state whereas the chief characteristic of the political system is the use of legitimate physical coercive power with the use of which the political system gets its orders obeyed from the people and other associations.

10.14. QUESTIONS FOR PRACTICE

10.14.1. LONG ANSWERS TYPE QUESTIONS:

1. Describe in brief the meaning of Political System.
2. Define Political System. Explain its main characteristics.
3. Define Political system according to David Easton and discuss its functions.
4. Define Political system according to Almond and discuss its functions.
5. Describe the input and output functions of Political System.
6. Describe the differences between State and Political System.

10.14.2. SHORT ANSWERS TYPE QUESTIONS:

1. Define Political System.
2. Discuss three characteristics of Political System.
3. Discuss David Easton' model of Political System.
4. What are Inputs?
5. What are Outputs?
6. What do you know about the environment of Political System?

10.15. SUGGESTED READINGS

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PUNJAB STATE OPEN UNIVERSITY, PATIALA**

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)

**CORE COURSE (CC): SOCIOLOGY
SEMESTER II**

BLAB31205T: INDIAN SOCIETY

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**JAGAT GURU NANAK DEV PUNJAB STATE OPEN UNIVERSITY,
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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self- instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counseling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE (CC): SOCIOLOGY

SEMESTER-II

(BLAB31205T) INDIAN SOCIETY

MAX. MARKS: 100

EXTERNAL: 70

INTERNAL: 30

PASS: 35%

Total Credits: 6

Objectives:

This paper will introduce the students to the basic framework of Indian society with its complex structure. This complexity of Indian society also provides the framework through which a student will learn to appreciate the intricacies of Indian society and develop a holistic understanding of the society.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

Section-A

1. Unity and diversity in Indian society: Linguistic and Regional diversity
2. Demographic profile of Indian society: Urban, Rural, Gender, Sex ratio, literacy rate.
3. Scheduled Caste, OBC and Scheduled Tribes of India.
4. Religious Composition of Indian society.
5. Population growth in India since independence.

Section-B

6. Rural society in India: features and changing patterns
7. Urban society in India: features and changing patterns
8. Tribal Society in India: features and changing patterns
9. Caste in India: origin, features and changing patterns
10. Status of Women in Indian society: Historical overview, gender discrimination.

Suggested Readings:

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BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE (CC): SOCIOLOGY
COURSE (BLAB31205T): INDIAN SOCIETY
COURSE COORDINATOR- DR. ANITA GILL

SEMESTER - II

SECTION A

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Unit 2	Demographic profile of Indian society: Urban, Rural, Gender, Sex ratio, literacy rate.
Unit 3	Scheduled Caste, OBC and Scheduled Tribes of India.
Unit 4	Religious Composition of Indian society.
Unit 5	Population growth in India since independence.

SECTION B

Unit 6	Rural society in India: features and changing patterns
Unit 7	Urban society in India: features and changing patterns
Unit 8	Tribal Society in India: features and changing patterns
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Unit 10	Status of Women in Indian society: Historical overview, gender discrimination.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: INDIAN SOCIETY

UNIT 1 DEMOGRAPHIC PROFILE OF INDIAN SOCIETY: URBAN, RURAL, GENDER, SEX RATIO, LITERACY RATE

STRUCTURE

1.0 Learning Objectives

1.1 Introduction

1.2 Demographic Details of India

1.3. Growth Rate

1.4 Rural and Urban Population

1.5 Sex Ratio

1.6 Child Sex Ratio

1.7 Literacy Rate

1.8 Summary

1.9 Questions for Practice

1.0 LEARNING OBJECTIVES

After completion of this unit, we will be able:

- To understand and define key terms used in demographic profile of any population.
- To answer the total number of population of India.
- To acquaint the rural and urban population of India in numbers and in percentage.
- To know the male and female population of India in numbers and in percentage.
- To grasp the sex ratio of the country in general and rural and urban sex ratio in particular.
- To mark the literacy rate of India with the number and percentage of literates in rural and urban population.

1.1 INTRODUCTION

India is a multicultural society with the essence of unity in diversity. If we will begin to explore the plurality and the unifying factors of our country, we will come across various factors and features like territorial boundaries, geographical terrains, varying climate conditions, diversity of flora and fauna etc. In addition to them, we will be also interested to know the history, type of polity and governance, and the diversity of culture. However, the

study of our country will not be complete until and unless we will understand the people of India, in terms of their numbers and other categorisations. The preamble of the Constitution of India also uses the term and adopts the constitution with the words “we the people of India ...” Let us explore in this direction further and try to understand the major features of the people of India.

As soon as we attempt to make the profile of the people of any country, we are actually dealing with the demographic profile of the country. To understand more, we shall attempt to define demography. According to the Oxford Bibliography the study of human populations is called as demography. In such studies we focus on the size and composition of the population, and on the factors which bring change to the size and composition of the population under the study. The key causes which are responsible for changes in any population include fertility (births), migration, aging, and mortality (deaths). In addition to the above, the demographic studies also take account of the economic, social, environmental, and biological causes and consequences of population change. In this way, a demographic study becomes interdisciplinary in nature as it takes help from the other disciplines including biology, economics, epidemiology, geography, and sociology. However, we shall keep in mind that demographic study of any population uses the empirical methods to collect the information. Further, the information is mainly in the forms of data. Within the data collection the emphasis is always on the quality of data.

After understanding the nature and scope of demographic studies, let us now proceed to explore the demographic profile of our country. As soon as we will venture into such objective, the first question which arises in front of us is that where to seek the authentic and qualitative data of our country. The answer to this query is, we shall look into the official data of government of India in the form of Census of India. After every ten years the Census is conducted by the government of India which enumerates not only the population but also the socio-economic, demographic and cultural profile of the country. These valuable set of indicators relating to the human capital of India, becomes the empirical basis to evaluate the past, assess the present and take informed decisions for the future.

1.2. DEMOGRAPHIC DETAILS OF INDIA

Before we explore into the detailed demographic data of our country, let us glance through the administrative divisions and set up of India. To get the authentic answers for our queries we will use Census of India data which is published by the Government of India. According to Census of India 2011, we have 35 states and union territories (which is now 36 with 28 states and 8 union territories). The total number of districts in India is 640. The number of sub-districts is 5,924. Towns in India are of two types which includes 4041 Statutory Towns and 3892 Census Towns. The total number of villages are 6,40,930. If we compare the data with 2001 Census we will find that there is an increase of 47 districts, 461 Sub-districts, 2772 Towns and 2342 villages in the 2011 Census.

After understanding the major administrative divisions and units, let us now explore the demographic details of our country. Before we go into the details let us understand first the meaning of demography. According to the Merriam Webster Dictionary demography

means the statistical study of any human population. This includes the details regarding the size, density, distribution, and other vital statistical data of the concerned population. Let us now see these demographic details of India. To start with, the total population of India is 1210.6 million. The exact absolute number is 1,21,05,69,573. In the Indian number system, it means we have 1 Arab 21 Crores 5 lakhs 69 thousands 573. This huge number of population can also be understood conceptually as more than 120 Crores. It is an interesting fact to know here that we are the second largest country in the world with regard to the population of the different countries in the world. The only country which has more population than us is China. As per the latest data of 2021 by the United Nations Population Fund (UNFPA) the population of China is 1444.2 million and India ranks second with 1393.4 million.

1.2.1 CHECK YOUR PROGRESS

- What is the total number of states and Union Territories in India?
- The total number of districts in India is
- The total number of sub-districts in India is
- Towns in India are of two types, which includes Towns and Towns.
- There are Statutory Towns and Census Towns in India.
- The total number of villages in India is

ACTIVITY

- Prepare a list of the states, which have the highest and lowest number of districts.
- Try to find out your village/town/districts total population.

1.3 GROWTH RATE

Growth rate in terms of census is usually recorded in the decadal period. That means what has been the rate of growth of the population in the past 10 years. India recorded the growth rate of 17.7 percent between 2001 and 2011. In terms of rural urban divide of the growth rate, the decadal growth rate for rural population in India was 12.3 percent and 31.8 percent in case of urban population. Meghalaya has recorded the highest growth rate of 27.2 percent in terms of rural population. Daman & Diu recorded the highest decadal growth rate in urban population with 218.8 percent.

1.3.1 CHECK YOUR PROGRESS

- Growth rate in terms of census is usually recorded after every years.
- India recorded the growth rate ofpercent between the years 2001 and 2011.
- Between the years 2001 and 2011, the growth rate for rural population in India waspercent.
- Between the years 2001 and 2011, the growth rate for urban population in India waspercent.
- The state of has recorded the highest growth rate of 27.2 percent in terms of rural population between the years 2001 and 2011.

- The state ofhas recorded the highest growth rate of 27.2 percent in terms of rural population between the years 2001 and 2011.
- The Union Territoryhas recorded the highest growth rate of 218.8 percent in terms of urban population between the years 2001 and 2011.

1.4 RURAL AND URBAN POPULATION

Let us define the concepts of rural and urban before looking into the numbers of rural and urban population in India. The Census of India defines any area as urban when it fulfils the following criteria:

1. All places with a municipality, corporation, cantonment board or notified town area committee, etc.
2. All other places which satisfied the following criteria:
 - i) A minimum population of 5,000;
 - ii) At least 75 per cent of the male main working population engaged in non-agricultural pursuits; and
 - iii) A density of population of at least 400 persons per sq. km.

The urban areas which are categorised according to the first criteria are called as Statutory Towns. These towns are notified under law by the concerned State/UT Government and have local bodies like municipal corporations, municipalities, municipal committees, etc., irrespective of their demographic characteristics as reckoned on 31st December 2009. For example: Vadodara (Municipal Corporation), Shimla (Municipal Corporation) etc. The urban areas categorised on the basis of second criteria (including the sub-criteria) are termed as Census Town. Here it is important to note that the Census Towns enumerated in the 2011 Census were categorised on the basis of the data of Census 2001.

If we enquire into the proportion of rural and urban population, we will find that yet 68.8 percent of India's population reside in rural areas. The urban population proportion is 31.2 percent. In general and broader terms, it means that still out of every 100 citizen of India, 69 persons live in rural and 31 persons live in urban areas. In terms of state level population, Uttar Pradesh accounts for the largest rural population of 155.3 million which is 18.6 percent of the total rural population of India. On the other hand, Maharashtra accounts for the majority of urban population i.e. 13.5 percent of the total urban population of the country. The urban population of Maharashtra is 50.8 million. It will be important to mark the status of State level population in terms of their population residing in the rural and urban areas. Among the States and Union Territories, 90 percent population of Himachal Pradesh lives in rural areas. It means that within Himachal Pradesh, only 10 percent of the residents are living in urban areas. On the other hand, the 97.5 percent of population of Delhi resides in urban areas and rest 2.5 percent only live in rural areas of Delhi.

1.4.1 CHECK YOUR PROGRESS

- List criteria for determining Statutory Towns and Census Towns.
- According to the Census of India 2011.....percent of India's population reside in rural areas.
- Based on the previous question, calculate the percentage of urban population in India.
- In terms of number of people, which state accounts for the largest rural population in India?
- In terms of number of people, which state accounts for the largest urban population in India?
- Identify the State, where 90 percent of its population lives in rural areas.
- In Delhipercent of population resides in urban areas.

1.5 SEX RATIO

In any given population, we will naturally find the division of males and females. Now the next question which arises in front of us is that what we mean by sex ratio. According to the Census of India, the number of females per 1000 of males is defined as sex ratio. After understanding the definition of sex ratio, the second important question which arises in front of us is that why is it important to know and analyze sex ratio? It can be substantially argued that sex ratio is a scale among the other basic demographic parameters. But it is important, as it measures the relative status of birth and survival of males and females along with their future breeding potential. In view of the modern pattern establishing in the diverse social groups, there is a need for marital alliances between one male and one female. So, it is obvious that we cannot afford a sharp difference between the numbers of males and females in any particular social group in particular and society in general.

Let us now try to find out that, what is the status of India in terms of sex ratio? According to the Census of India 2001, the sex ratio in the country was 933. It increased to 943 in the 2011 census. The total number of male and female population in our country is 62, 31, 21,843 (males) and 58, 74, 47,730 (females). The composition of sex or, we can say, simple count of male and females reflects the socio-economic and cultural pattern of the society.

On a general note, it is believed that the number of males and females are almost equal. However, the above data reveals some significant facts pertaining to this issue. If we compare the sex ratios in urban and rural areas we will find that, there are 40, 58, 30,805 females in comparison to 42, 76, 32,643 males in rural India. In the urban category there are 18, 16, 16,925 females as compared to 19, 54, 89,200 males. If we look at the decadal change in the rural area with respect to sex ratio, we will find that in 2001 the sex ratio was 946. It increased to 949 in the year 2011. On the other hand, in the urban areas the sex ratio increased by 29 points between the ten years of 2001 to 2011. The sex ratio for urban India was 900 in the year 2001 and it rose to 929 in the year 2011. What we can notice here is that, the sex ratio is highlighting more gaps in the urban areas as compared to rural areas.

Moreover, in general it also reflects the socio-cultural patterns of preference of male child over female.

After examining the details of sex ratio at the national and rural and urban level, let us now look into the state wise situation. If we look among the different states of India, we will find the highest sex ratio in Kerala. Based upon Census of India 2011, Kerala has recorded 1084 females per 1000 males for total population. Kerala's urban population has 1091 females per thousand males and rural area has 1078 females per thousand males. On the contrary of it, rural areas of Chandigarh have recorded the lowest sex ratio with 690 females per thousand males. In the urban areas Daman and Diu has recorded the lowest urban sex ratio with 551 females per thousand males. According to the Census of India 2011, seven States of India namely Jammu and Kashmir, Himachal Pradesh, Uttarakhand, Bihar, Jharkhand, Chhattisgarh, Maharashtra and one Union Territory Lakshadweep show fall in the sex ratio in their rural regions. The similar trend has been recorded in the urban areas of two Union Territories, Daman & Diu and Dadra & Nagar Haveli.

We can state here, that a lesser gap in the sex ratio reflects the equity in the social conditions of a particular society. On the other hand, if the sex ratio is very low it may lead to the 'surplus males' which can cause different social problems including violence against both men and women. In India, there are some regions where the skewed sex ratio has led people to bring and marry the brides from other states. This also involves many a times the illegal purchase of brides and their subsequent exploitation by the male and their family members.

Let us now also attempt to know the causal reasons behind such gaps in the sex ratio. Here, we can utilize another concept termed as 'gender' to understand the difference and inequality between males and females. The categorization of male and female is based on the biological features. That is an individual is born as a male or a female. However, our society relates and also ascribes many other characteristics to males and females. These ascribed qualities are called as feminine and masculine. For example, the females and males both are continuously guided and socialized by the society to sit in particular ways, to talk in particular ways, to play with particular toys (gun for boy and doll for girl) etc. The basis behind such ascription of qualities and construction of in-equal status of males and females is a result of many direct and in-direct reasons. Some of the important reasons listed by a sociologist T.K. Oommen (2014) are as below:

1. The domination of patriarchy and hence the privilege to male child.
2. Physiological differences and differing roles in sexual reproduction including period of dependence of child on mother as compared to father.
3. Sexual division of labour and sex-typing of occupations.
4. Ascription of higher values to the works of males in comparison to the works of females, like not higher value is given to domestic works like cleaning, sweeping, sewing etc.
5. Acceptance and perpetuation of inequality between males and females in the areas of education, healthcare and employment.

6. Inequality in the realms of property ownership and political power.

The above given factors lead people to follow in-equal social conditions for maintaining their fictitious dignity. One of the prime reasons for the gap in sex ratio is due to the preference to male child by the patriarchal society. This many a times lead towards illegal prenatal sex determination and consequentially to female feticide. Even after the female birth they continue to face the neglect and in-equal treatment. The activities such as female infanticide, the abandonment of newborn girls, and the neglect of daughters is so common in the daily news items. But, it is an alarming fact which requires urgent multidimensional appropriate actions.

1.5.1 CHECK YOUR PROGRESS

- Define sex ratio.
- Differentiate between sex and gender.
- Why sex ratio is an important parameter for any population?
- According to the Census of India 2001, the sex ratio in the country wasand it increased toaccording to the 2011 census.
- The sex ratio for urban India was 900 in the year 2001 and it rose toin the year 2011.
- The state ofhas recorded 1084 females per 1000 males for total population as per the Census of India 2011.

ACTIVITY

- Count the total number of males and females in your class. Write a short note based upon your observation and findings.
- Try to find out, the total number of males and females in your college/university. Try to elaborate your findings.

1.6 CHILD SEX RATIO

Census of India 2011 has enumerated the child population in the age group of 0-6 years as 164.5 million. Out of this population 121.3 million are in rural areas and 43.2 million are in urban areas. There are total 16, 44, 78,150 children under the age of 6 years, among them there are 8, 57, 32,470 male children and 7, 87, 45,680 female children in India. The child sex ratio has witnessed a considerable fall between 2001 and 2011. According to the Census of India 2001, there were 927 female children per 1000 male children which reduced to 919 in the 2011 census. It is the lowest child sex ratio since 1961. Let us now see the child sex ratio in rural and urban context. For the urban areas it was 906 in 2001 and 905 in 2011. The rural regions in India have recorded a drastic fall in the child sex ratio. It was 934 in the year 2001 and it fell down to 923 in 2011.

If we will analyze the state level rural data we will find that, Delhi scored the lowest child sex ratio with 814 and Chhattisgarh recorded the highest with 977. In the urban regions, Haryana has recorded the lowest with 832 and Puducherry with 975 child sex ratio.

1.6.1 CHECK YOUR PROGRESS

- According to the Census of India 2001, there werefemale children per 1000 male children which reduced toin the 2011 census.
- For the urban areas of India, the sex ratio wasin 2011.
- For the rural areas of India, the sex ratio wasin 2011.

ACTIVITIES

1. Despite of legal restrictions, sex determination is still prevalent. In your opinion, what are the major reasons behind these illegal activities?
2. List the names of Chief Ministers of your state since independence. Identify the representation in the list in terms of male and female candidates.
3. According to you, why the females are under-represented in the structures of social control and authority.

1.7 LITERACY RATE

After the above details and discussion, let us now explore the literacy profile of our country. Before going into the details, let us define the term literacy. According to the dictionary meaning literacy means the ability to read and write coherently in order to comprehend the information and communicate effectively. Census of India also defines literate as a person aged seven and above who can both read and write with understanding in any language. A person, who can only read but cannot write, is not literate.

According to the census of India 2011, 763.5 million (76.35 Crores) people are literate in India. Out of this total number of literates, 482.7 million are in rural areas and 280.8 million are in urban areas. In terms of absolute numbers the total number of the literates in India is 76, 34, 98, 517. If we look in terms of percentage, this means that 73 percent of the population of India is literate. Out of this 48, 26, 53,540 (more than 48 Crores) literates belong to rural population. The percentage of rural population in terms of literacy is 67.8 percent. The other half includes 28, 08, 44,977 (more than 28 Crores) literate people in the urban areas. This makes the percentage of 84.1 percent literates in the urban India. If we will compare the Census of India 2001 and Census of India 2011 data, we will find that there is an increase of 202.8 million (20.28 Crores) literates in this decade. Out of which the rural areas comprise of 120.8 million (12.08 Crores) additions of literates and literates in urban population increased by 82 million (8.2 Crores). It is relevant to note here that, the highest number of rural literates is in Uttar Pradesh with 8.53 Crores. Maharashtra has recorded highest number of urban literates with 4.01 Crores.

In the case of males, 80.9 percent population is literate. In numbers the total count of male literates is 43, 46, 83,779. If we look in terms of number, we will find that Uttar Pradesh

has recorded the highest number of rural male literates with 5.18 Crores and Lakshadweep has registered the lowest with 5,949 rural male literates. In urban areas, Maharashtra got the highest number of male literates i.e. 2.19 Crores persons and Lakshadweep got the lowest number of urban male literates with only 22,074 persons. After looking at the numbers of literates, let us analyze literacy rate of different states. That is how much percentage of population of a particular state is literate. Census of India 2011 shows that, Kerala secured the highest male literacy rate in rural areas with 95.4 percent. In rural areas the lowest male literacy rate was registered in Arunachal Pradesh with 67.4 percent. In the case of urban male literacy rate; Mizoram ranked first with 98 percent and Uttar Pradesh registered the lowest with 80.4 percent.

The female category has 64.6 percent of literates. Out of this total, the rural female literate population accounts for 57.9 percent and urban consist of 79.1 percent. The total number of literate females in India is 32,88,14,738. Among them the highest number of rural female literate population has recorded in Uttar Pradesh with 3.35 Crores. On the other hand, Maharashtra has recorded the highest urban female literates with 1.82 Crores. In the category of least number of literate females Lakshadweep has recorded lowest with 5,339 and 19,191 female literates in both rural and urban areas respectively. In terms of literacy rate, Kerala recorded the highest female literacy rate with 90.8 percent in rural areas while lowest is positioned by Rajasthan with 45.8 percent only. In the case of urban female literacy rate Mizoram has recorded the highest literacy rate with 97.3 percent and Jammu & Kashmir recorded lowest with 69 percent.

Here it is important to know the method through which the literacy rate is calculated. The effective literacy rate is calculated by dividing the number of literate persons of a given age range with the corresponding age group population and then multiplying the result by 100. For example, to calculate the effective literacy rate of the population above the age 7, the formula is following:

$$(\text{Number of literate people aged 7 and above} \times 100) \div \text{Population aged 7 and above}$$

The literacy rate reflects many aspects of a particular group or population including the level of development, social change, equity in terms of opportunities to the members etc. For example, the female literacy rate has significantly increased by 10.9 percent between the years 2001 to 2011. Further, this increment has been 11.8 percent in rural female literacy rate and 6.2 percent in urban female literacy rate. In correlation to the increased female literacy rate, there is also a significant change in the gap between male and female literacy rate. In 2001, the literacy gap was 21.6 percent which has reduced to 16.3 in the year 2011. The rural literacy rate gap among males and females was 24.6 in 2001 which has reduced to 19.3 in 2011. The urban literacy rate gap has also reduced from 13.4 percent in 2001 to 9.7 percent in 2011.

These above mentioned changes indicate the transformation in educational opportunities for every member of the country in general and for females in particular. This transformation is witnessed due to the policy level inclusive measures adopted by the

government of India. The implementation of Right to Education Act which provisioned for free and compulsory education for every child between the age group of 6 to 14 years has resulted into significant improvements at the national and state levels. Due to such measures, the states like Kerala, Goa, Mizoram, Tripura, and Lakshadweep have recorded more than 80 percent of literacy rate. On the other hand, serious efforts have to be made in the case of Bihar, Arunachal Pradesh, Rajasthan, Jharkhand, and Andhra Pradesh which have recorded less than 70 percent literacy rate.

1.7.1 CHECK YOUR PROGRESS

- What is the definition of literate?
- According to the Census of India 2011.....percentage of the India's population is literate.
- The percentage of rural population in terms of literacy in the year 2011 ispercent.
- In 2011percentage of urban population of India is literate.
- The highest number of rural literates in 2011 is in Uttar Pradesh which is Crores.
- Maharashtra has recorded highest number of urban literates in 2011 with Crores.

ACTIVITY

1. Talk to your parents and grandparents and ask them about the composition of their classmates and the difficulties they faced during their schooling/education.
2. Try to find out the kids in your surrounding who dropped out of the school. Discuss with them and prepare a note on the key factors which led to their drop out.

1.8 SUMMARY

In this unit we have learned the demographic details of India. We have attempted to explore the size and composition of the population of India. To maintain the quality of the data, we have used primarily the Census of India data which is collected and published by the Government of India. To summarise this unit we may state that, we have 28 States and 8 Union Territories. The total number of districts in India is 640. The number of sub-districts is 5,924. There are 4041 Statutory Towns and 3892 Census Towns. The total number of villages are 6, 40,930. The total population of India is 1210.6 million. In simpler form, it means we have more than 121 Crore population as per the Census of India 2011. India is the second largest country in the world with regard to the population of the different countries in the world. The only country which has more population than us is China.

India recorded the growth rate of 17.7 percent between 2001 and 2011. In terms of rural urban divide of the growth rate, the decadal growth rate for rural population in India was 12.3 percent and 31.8 percent in case of urban population. 68.8 percent of India's population reside in rural areas and 31.2 percent in the urban areas. According to the Census of India 2011, the sex ratio in the country is 943. The sex ratio for rural areas is 949 and for urban areas it is 929. The total number of male and female population in our country is 62,

31, 21,843 (males) and 58, 74, 47,730 (females). One of the prime reasons for the gap in sex ratio is due to the preference to male child by the patriarchal society. This many a times lead towards illegal prenatal sex determination and consequentially to female feticide also. The child population of India in the age group of 0-6 years is 164.5 million. Out of this population 121.3 million live in rural areas and 43.2 million reside in urban areas. According to the Census of India 2001, there were 927 female children per 1000 male children which reduced to 919 in the 2011 census.

The total number of literates in India is 763.5 million (76.35 Crores). Out of this 482.7 million reside in the rural areas and 280.8 million live in the urban areas. 73 percent of the population of India is literate. In percentage 67.8 percent of rural population and 84.1 percent of urban population of India is literate. In the case of males, 80.9 percent population is literate while the female category has 64.6 percent of literates. India has witnessed a transformation in educational opportunities for all in general and for females in particular. This transformation is observed due to the policy level inclusive measures adopted by the Government of India at different time and intervals.

1.9 QUESTIONS FOR PRACTICE

- What do you understand by the term demography? List the key factors used in the preparing the demographic profile of any particular population.
- Any demographic study is interdisciplinary in nature. Analyse the statement.
- Based upon your readings and experiences, write a short note on the importance of recording of quality data in demographic studies.
- Give a detail of administrative set up of India.
- With the use of suitable examples, differentiate between 'sex' and 'gender'.
- The status of sex ratio in India is a social problem. Discuss in detail.
- In your opinion, what policy level changes shall be implemented in educational sphere of our country?

BACHELOR OF LIBERAL ARTS-

SEMESTER II

COURSE: INDIAN SOCIETY

UNIT 2 SCHEDULED CASTES, OBCs and SCHEDULED TRIBES OF INDIA

STRUCTURE

2.0 Learning Objectives

2.1. Introduction

2.2 Castes in India

2.3 The Scheduled Castes

2.4 The OBCs

2.5 The Scheduled Tribes

2.6 Summary

2.7 Questions for Practice

2.8 Suggested Readings

2.0 LEARNING OBJECTIVES

This Unit would enable you to understand:

- The social categories of caste and tribe in India
- The concept of Scheduled Castes.
- The concept of Scheduled Tribes.
- The concept of Other Backward Castes.

2.1 INTRODUCTION

India is a land of diversity. To map this diversity, the Anthropological Survey of India conducted one of the most comprehensive mappings of the communities in India. The project was named 'People of India' and the study spanned over almost seven years starting from 2

Oct 1985 to 31 March 1992. The project was able to identify 4635 communities in India and provide their details (<https://ansi.gov.in/people-of-india/>). India is one of the countries which has been successfully conducting census for its population every ten years. However, the Census of India does not provide rich ethnographic details of the population as has been achieved through the People of India project. The People of India project, which is rich in qualitative information about the land its people coupled with the Census of India data, provide rich information about India and its population.

2.2 CASTES IN INDIA

One of the features of Indian society that differentiates it from the rest of the societies is its caste based social organization. Caste system in Indian society is a product of Hindu social organization with a highly segregated elaborate scheme of hierarchy of individuals based on their caste identity which in turn is based on their birth. The whole system of caste as a system of classification and stratification of people is completely out of sync with the modern ethos of egalitarianism and achievement. One does not achieve one's caste, it is merely ascribed at the time of birth and one lives with it throughout one's life. The centrality of caste category for many people can be understood from the fact that many important events of one's life, from birth to marriage and even to one's death, the caste distinctions determine various ceremonies associated with these events.

How prevalent is it in Indian society? Given the fact that Hindus, with a population of 96.6 crores, constitute 79.8% of India's total population, it can be conveniently claimed that caste is a widely observed system throughout the country. Muslims, the next most populous religious community in India with a population of almost 17 crores forms 14.2% of India's total population followed by Christians and Sikhs consisting of 2.3% and 1.7% of the total population. Together these four religious communities form 98% of India's population.

The Indian experience has shown that even outside the domain of Hinduism, the caste as a system of social stratification has travelled to other religions too in the subcontinent. Since theoretically Islam, Christianity and Sikhism do not recognize any caste based hierarchy, its prevalence in these religious communities is seen as more of an aberration than a rule. However, the fact of caste based distinctions and inequalities even in these religions have become more visible and open over a period of time. Given the fact that majority of the Muslim, Christian and Sikh population of India consists of people who at some stage in history converted to these religions and co-existed with mainstream Hindu society, the metaphor of caste seem to provide a template of social distancing and segregation to these religious communities as well. The Indian experience, however, shows that converted caste Hindus distinguished themselves from converted Dalits and maintained their position of dominance by carrying caste prejudices into their new religion. Two instances of mass conversion of Dalits out of the fold of Hinduism in the last century are notable from the perspective of Dalit struggle. Conversion to Adi-Dharma in 1920s resulted in more than 4 lakhs people registering themselves under a new religion in the Census Reports of 1931. An

even more significant conversion by Dalits was engineered by Dr Ambedkar in 1956 at Nagpur when more than 55000 Dalits under the leadership of Ambedkar converted to Buddhism. The effect of this conversion can be gauged from the fact that number of Buddhists in Maharashtra in 1951 Census were reported to be merely 2,500 but in 1961 census reports the figure catapulted to 2.5 million (Jafferlot: 2005). (Kumar: 2017)

However, there is one important distinction between Hinduism and other religions vis-à-vis caste system. While Hinduism provide a very elaborate system of multiple caste distinctions with each jati or caste having its own social status and corresponding obligations and restrictions, the non-Hindu communities tend to be more conscious of the top and bottom hierarchy of caste. Invariably, the converts from the privileged caste categories tend to highlight their caste status in order to distance themselves from the low caste converts to these religions. The intermediate caste distinctions are not much pronounced in non-Hindu religions. Although non-Hindu religions have always officially distanced themselves from caste based categories and offered hope for a more egalitarian reformed social system, the reality of caste based format in these communities remain a point of consternation within these communities.

Despite caste identity being a crucial part of a major portion of Indian society, the Census of India does not enumerate caste based details from the respondents. The logic of caste is so much incongruent to modern societies that after independence it was consciously decided not to ask caste identity of Indians so that we may gradually move towards a caste less society.

The main problem of caste system has been its ascriptive basis and highly hierarchized rigid social order. However, the most repugnant aspect of the caste system had been the practice of untouchability which was formally and legally abolished from Indian society by the constitutional provision under Article 17.

During the process of freedom struggle when the Indian leaders were constantly struggling against the Britishers for an independent nation, they were simultaneously negotiating with them the means to address the issues of social inequality in society. The Government of India Act 1935 for the first times made special provisions for those who were never represented before in the corridors of power. It was agreed upon that the untouchable or the Depressed Classes as well as the tribal communities of India, were the most under-privileged segments of Indian society. The social organization of Indian society during that phase of history was totally inimical to the progress of these communities.

2.3 THE SCHEDULED CASTES

The Scheduled Castes is a cluster of castes identified by the Government of India that were the victims of the practice of untouchability in the traditional caste system. Due to this practice they were devoid of the basic human rights in the past and thus over the years they were marred by extreme social deprivation in all spheres of life. These castes were listed and

formed into a schedule so that the Government of India could initiate special measures to support these groups to come out of their state of deprivation.

Soon after Independence, the framers of Indian Constitution envisaged a society based on principles of freedom, equality and justice. In order to achieve this aim, the framers of the constitution felt the need to address the most underprivileged segments victimized by the deep rooted inequalities perpetuated by the caste system over the ages. It was felt that unless the most marginalized segments of the society are not given an extra protection and support by the state, they will fall back into the recesses of darkness.

“In 1931 Census reports the Untouchables were covered under the term ‘Depressed Classes’. “In 1928 the depressed Classes Association was formed which functioned up to 1942” (Louis: 2003). The term however was contested by Dr Ambedkar in 1932 on account of the fact that the term created an impression of these communities as helpless and lowly. In 1935, the term “...Scheduled Caste was coined by the Simon Commission and embodied in the Government of India Act, 1935. In 1936, for the first time Government of British India published a list of Scheduled Castes” (Louis: 2003). The social category of Scheduled Castes is today a common denominator for those whose earlier generations were once considered Untouchables by traditional caste order. Since 1970s, the preferred term used for the erstwhile Untouchables is ‘*Dalits*’ which gained currency in literature and social sciences. The term *Dalit* in Hindi implies ‘the oppressed’ and its adoption by the Scheduled Castes reflects the political aspirations and activist mode of the community. The term implies a conscious recognition by the oppressed community of its unnatural condition of deprivation and marginality created by the social, historical and political forces of dominant Hindu Social Order.” (Kumar: 2017)

One does wonder how could such an egregious social practice exist and survive in India. The reason one finds is the legitimacy drawn by the caste system from eth religious texts. At least one can say that those who benefitted from the practice always interpreted religious texts to support social segregation and social discrimination on the basis of caste.

The *Purush Sukta* hymn of Rig Veda explain how from the primeval being were created the four *Varnas*, namely, Brahmins from the mouth, *Kshatriyas* from the arms and shoulders, *Vaishyas* from the thighs and *Shudras* from the Feet. This scheme of origin of mankind laid the foundation of caste system in India where these four *Varnas* were not merely mentioned to have been born from different part of the primeval being but also segmented into hierarchical order on the basis of their mythical origin. The Brahmins having born from the mouth were regarded as the superior most and were delegated the task of reading, writing and other intellectual activities. The *shatriyas* having born out of arms and shoulders represented strength and therefore were believed to have been born to be warriors. Being just below the mouth in their location of origin, they were considered second in hierarchy after Brahmins. The third *varna* consisted of *Vaishyas* who were born out of the thighs of the primeval being and thus they were meant to engage in trade and production in society. Born just below the shoulders they automatically followed *Kshatriyas* in hierarchy. Born from the bottom most part of the primeval being, the feet, *Shudras* were accordingly considered the lowest in Varna hierarchy and were ordained to do nothing except serve the upper three *Varnas*. According to

the *Purush Sukta* hymn, it was the will of God that particular group of people be engaged in particular occupations. Being this the word of God for the Hindus, it was difficult for them to distance themselves from the discriminatory character of caste system where people born as *Shudras* were for once and all relegated to a subservient category and assigned servile position vis-à-vis other caste groups. The hymn only talks about the four *Varnas* which indicates that the fifth Varna became part of Hindu social order at some later stage. As mentioned earlier, it is believed to have emerged around second century AD out of the existing set of *Varnas*. (Kumar: 2017) Creation of an additional category of people outside the traditional fold of caste system where one's caste identity was one's passport to all privileges and duties, the fifth category so created was devoid of sharing any resources with anybody in a village. (Kumar: 2017)

The institution of caste system which formed the foundation and justificatory principle for untouchability was initially jolted by Buddhism and Jainism during 5th to 2nd century BC. Untouchability, which developed around 2nd century AD after the revival of Brahminism during the Gupta period was somewhat discouraged by Vaishnavism and Shaivism which encouraged dropping off the caste distinctions (Dahiwale: 2006). Bhakti movement starting around 6th century AD had a major role in developing the discourse of equality. It also challenged the hegemony of Brahmins and wielded people away from Brahmanic rites and rituals. The movement brought forth some famous saints from the backward as well as Dalit communities also, something that was otherwise not feasible in caste based Hindu social order. Saints like Namdev (14th century AD), Kabir (1440-1518 AD), Meerabai (15th century AD), Ravidas, Dhana Jat, Tukaram and Chokhamela etc., to name a few emerged as new symbols of spiritual enlightenment among the untouchables. Emergence of Sikhism as a movement in 16th century AD directly challenged caste system and started a new religion which advocated equality of all and dignity for all. The concept of free community meals (*langar*) served to people sitting together in a line (*pankat*) irrespective of the caste or creed of the follower was a revolutionary step towards weakening the effect of untouchability in North West India. (Kumar: 2017)

Historically the community was not permitted to own any resources at all, neither a house, a piece of land, nor cattle etc. To make things worse they were not permitted to enter the village limits without making an announcement. Their touch and even their presence in certain areas was considered to be impure. The idea of purity and pollution was so deep rooted in caste system that even their shadow was considered to be something that was to be avoided. They used to live on the borders of the village, outside the settlement region. Their dependence on other caste groups was complete. They were required to do all the impure tasks. Access to public places, wells, temples, market, festivals etc was completely prohibited to these people except when called especially to clean up these places for the use of others. Due to utter deprivation of cultural and material capital, these communities were in no position to achieve a respectable living and equality even if it has been so enunciated by the constitution. Hence, after independence, it was decided that due to the historical wrongs committed against these communities over the ages, the larger society has to show magnanimity and extend special privileges to these members in order to bring them at par with other members of society.

Table: 2.3.1**STATE/UT-WISE SCs POPULATION, 2011**

S No.	State/UT	Total Population	SC Population	% of SC Population
1	Andhra Pradesh	84580777	13878078	16.41
2	Arunachal Pradesh	1383727	0	0.00
3	Assam	31205576	2231321	7.15
4	Bihar	104099452	16567325	15.91
5	Chhattisgarh	25545198	3274269	12.82
6	Goa	1458545	25449	1.74
7	Gujarat	60439692	4074447	6.74
8	Haryana	25351462	5113615	20.17
9	Himachal Pradesh	6864602	1729252	25.19
10	Jammu & Kashmir	12541302	924991	7.38
11	Jharkhand	32988134	3985644	12.08
12	Karnataka	61095297	10474992	17.15
13	Kerala	33406061	3039573	9.10
14	Madhya Pradesh	72626809	11342320	15.62
15	Maharashtra	112374333	13275898	11.81
16	Manipur	2570390	97042	3.78
17	Meghalaya	2966889	17355	0.58
18	Mizoram	1097206	1218	0.11
19	Nagaland	1978502	0	0.00
20	Odisha	41974218	7188463	17.13
21	Punjab	27743338	8860179	31.94
22	Rajasthan	68548437	12221593	17.83
23	Sikkim	610577	28275	4.63
24	Tamil Nadu	72147030	14438445	20.01
25	Tripura	3673917	654918	17.83
26	Uttar Pradesh	199812341	41357608	20.70
27	Uttarakhand	10086292	1892516	18.76
28	West Bengal	91276115	21463270	23.51
29	A & N Islands	380581	0	0.00
30	Chandigarh	1055450	199086	18.86
31	D & N Haveli	343709	6186	1.80
32	Daman & Diu	243247	6124	2.52
33	NCT of Delhi	16787941	2812309	16.75
34	Lakshadweep	64473	0	0.00

35	Puducherry	1247953	196325	15.73
INDIA		1210569573	201378086	16.63

Source: <https://socialjustice.nic.in/UserView/index?mid=76663>

Hence, under Article 14, 15 (4) and 16 (4), along with Article 46 makes way for special provision of reservations for the Scheduled Castes in public jobs. Part XVI of the constitution provides for Part 16 of the Indian Constitution makes special provisions relating to certain classes. Article 330 provides reservation of seats for Schedule Castes in the House of the People. Article 332 provides for reservation of seats for schedule caste and schedule Tribes in the Legislative Assemblies of the states. Article 338 provides for the setting up of the national commission for schedule caste and schedule Tribes which shall work for the protection, welfare and development and advancement of the scheduled caste and scheduled Tribes in the country. Article 341 provides for the procedure for inclusion or exclusion of any caste from the scheduled list of caste.

2.4 THE OBCS

The OBC is an acronym for the Other Backward Classes. As mentioned earlier the Indian constitution provides for special measures in the form of reservations by the state for the promotion and welfare of the socially and educationally backward communities in the country. While the case of Scheduled Castes and the Scheduled Tribes had been a settled matter since independence, the idea of expanding the scope of reservation in employment to other communities besides the historically marginalized communities has been a debatable theme.

Article 340 of the constitution provides for setting up such a commission which has a mandate to investigate the conditions of backward classes and suggest ameliorative measures. The need to identify socially and educationally backward communities for the purposes of additional support by the government in the form of reservations was initially assigned to the First Backward Class Commission headed by Kaka Kalelkar in January 1953. The report was submitted in March 1955. Based on the criteria of

- (i) low status in traditional caste hierarchy
- (ii) lack of educational advancement
- (iii) inadequate or no representation in govt services
- (iv) inadequate representation in the field of trade, commerce and industry

The Commission identified 2399 backward castes or communities in India. The committee recommended among other things extensive land reforms, reorganization of village economy, development of rural and cottage industry, universal education and representation in government jobs. Backwardness was found to be linked with low caste status in Indian population. All women were treated as backward and caste based enumeration was recommended for 1961 census. In 1961 the Govt of India decided not to go by the recommendations to provide reservation to backward classes along the lines of

reservation for SCs and STs. The individual states were, however, given discretion to address the issue of backward classes at their own end.

The history of implementing special programmes for the advancement of backward communities goes back to Provincial Governments in India before independence in the first quarter of twentieth century. Madras government was the first one to extend some financial aid to educational institutions providing special facilities for the students of Depressed Classes. In 1921 the representation of non-Brahmins in government jobs was enhanced. Govt. of Mysore also issues special orders in 1921 providing special facilities to backward communities in education and state services. Bombay also set up a committee to determine the backwardness among its people and found Depressed Classes, Aboriginal Hill Tribes and OBCs as three categories of backward classes. First serious attempt at the welfare of Depressed Classes was made at national level through Montague-Chelmsford Reforms of 1919 when a separate representation in public bodies was made for these communities. It was only after independence that the govt tried to define OBCs, the Other Backward Classes besides the Scheduled Castes and the Scheduled Tribes.

Depending on the population of the Scheduled Castes and the Scheduled Tribes, the quantum of reservation for these communities has been fixed proportionate to their population size. Hence at all India level, the reservation of SCs is 15% and that of STs is 7.5%. While the SCs and STs have been regularly enumerated as separate categories since independence, the case of OBCs is very tricky as there is no caste based enumeration in the Census of India after 1931 except for the Scheduled Castes.

After the submission of Kaka Kalelkar Report, the attempt was made by various states to reach out to the backward communities in their respective states by setting up state level backward class committees in the decades of 1960s and 70s. However, the backward commission set up in 1979 headed by B P Mandal was the one that paved way for a national policy on OBCs. The Commission is popularly known as 'Mandal Commission'. Its mandate was once again to determine the criteria of backwardness and recommend steps for the advancement of backward classes. The commission submitted its report by the end of 1980 and found once again the backwardness of people associated with their caste status, especially among Hindus. It recommended special reservation for the other backward classes based on the provisions of Article 15 (4) and Article 16 (4).

Ten years later, Mr. V P Singh announced the decision to implement the recommendations of the Commission and implement reservation for OBCs in govt jobs. The decision was contested fiercely by many and led to nationwide strikes and protests, especially by the upper castes of northern and western India. Due to massive opposition the case was reservation for OBCs was taken to the Supreme Court of India in 1992. The case is popularly known as 'Indira Sawhney Judgment' case. The judgment upheld 27% reservation for the OBCs but also invoked the idea of 'creamy layer' by bringing in the criterion of economic status. The constitution, however, only speaks of social and educational backwardness as criteria for special provisions.

As of March 2018 there are 2479 communities listed as backward classes with the maximum (256) being listed for the state of Maharashtra followed by Karnataka (199),

Orissa (197), Tamil Nadu (182), Jharkhand (134) and Bihar (132). However, on the other hand there is no list of backward classes for the state of Arunachal Pradesh, Mizoram, Meghalaya and Nagaland. The OBCs are a cluster of castes which have been at the lower end of caste system but were not the victims of untouchability. They were primarily the Sudras who who could not improve their conditions of existence even after independence. The problem of other backward classes once again highlights the ills of caste society as these caste groups failed to make much progress on their own due to the prevailing caste discrimination in the system. Though they were much better placed in caste hierarchy than the untouchables, their social and educational condition has also been deplorable. One can understand the damage suffered by the victims of caste system when one analyses the special efforts which are still being made to bring different communities at par. The backward class commissions found the criteria of backwardness directly linked to the caste status of the communities and their findings were validated by the Supreme Court of India when it endorsed Mandal Commission report.

2.5 THE SCHEDULED TRIBES

The case of tribes in India has been somewhat peculiar. The term tribe in its conventional sense carries the traits of primitiveness, remoteness and isolation from modern civilizations. In case of India the tribes have been found to have a long history of cultural contact and intermingling with other communities without losing their tribal identity. In fact, it is more appropriate to look at tribes in India as having their own ethnic consciousness and a unique social organization which is in contrast to the peasant communities of India which are highly stratified and hierarchized. The widely prevalent caste based social organization in fact provides a good contrast to the tribal social organization. Unlike caste societies divided deeply and vertically, the tribal societies show immense degree of sharing and egalitarianism. The tribal communities have traditionally developed an organic relation with their natural environment and the idea of private wealth and ownership of land is somewhat alien to them. Land is considered a common resource and maintenance of harmonious and balanced relation with land its resources are central to their existence. The social organization is comparatively simple and lacks strong lines of division as witnessed in case of caste system. The tribes also claim to be the original inhabitants of the land who were driven into the forests and hilly regions when the peasant communities raided and plundered the fertile plains for extending their agrarian conquests. According to Andre Beteille, in context of India, tribes may be defined as “an ideal state, a self-contained unit. It constitutes a society in itself.” (Ahmad: 1999)

The advent of modernity problematized the status of tribal communities which were increasingly looked at as primitive, backward and devoid of knowledge. In addition to being devoid of their natural resources for their survival and growth, a negative attitude towards these communities worked against their progress and advancement.

After independence, in order to reach out to the hitherto marginalized communities of the newly formed nation, the makers of the constitution felt the need to identify the tribes of India along with the erstwhile untouchables in the caste system in order to make special arrangements for their progress. The social and historical injustice meted out to these communities demanded a more sensitive approach towards their upliftment. The government thus notified a list of tribes from various parts of the country and all the tribes included in that list are officially called the Scheduled Tribes of India. The Constitution of India makes special provisions for the Scheduled Tribes under Article 330, 332, 335, 338, 339 and 342. The provision has been made not only for their reservation in House of the People, Legislative Assemblies and govt jobs but also extends to special protection of Scheduled Areas which provide a certain degree of autonomy in managing the administrative affairs of the tribal community.

As per the Census of India 2011, the Scheduled Tribes with a population of 10.4 crores form 8.93% of the total population of the country. The table below provides an overview of the Scheduled tribes of India.

Table: 2.5.1

STATE / UT WISE OVERALL POPULATION, ST POPULATION, PERCENTAGE OF STs IN INDIA / STATE TO TOTAL POPULATION OF INDIA / STATE AND PERCENTAGE OF STs IN THE STATE TO TOTAL ST POPULATION (2011)

Sr. No	India / State	Total Population	ST Population	% STs in India/ State to total population of India/ State
		(in lakh)		
	India	12108.55	1045.46	8.6
1	Andhra Pradesh	493.87	26.31	5.3
2	Arunachal Pradesh	13.84	9.52	68.8
3	Assam	312.06	38.84	12.4
4	Bihar	1040.99	13.37	1.3
5	Chhattisgarh	255.45	78.23	30.6
6	Goa	14.59	1.49	10.2
7	Gujarat	604.40	89.17	14.8
8	Haryana	253.51	NST	NA
9	Himachal Pradesh	68.65	3.92	5.7

10	J&K	125.41	14.93	11.9
11	Jharkhand	329.88	86.45	26.2
12	Karnataka	610.95	42.49	7.0
13	Kerala	334.06	4.85	1.5
14	Madhya Pradesh	726.27	153.17	21.1
15	Maharashtra	1123.74	105.1	9.4
16	Manipur	28.56	11.67	40.9
17	Meghalaya	29.67	25.56	86.1
18	Mizoram	10.97	10.36	94.4
19	Nagaland	19.79	17.11	86.5
20	Orissa	419.74	95.91	22.8
21	Punjab	277.43	NST	NA
22	Rajasthan	685.48	92.39	13.5
23	Sikkim	6.11	2.06	33.8
24	Tamil Nadu	721.47	7.95	1.1
25	Telangana	351.94	32.87	9.3
26	Tripura	36.74	11.67	31.8
27	Uttarakhand	100.86	2.92	2.9
28	Uttar Pradesh	1998.12	11.34	0.6
29	West Bengal	912.76	52.97	5.8
30	A & N Islands	3.81	0.29	7.5
31	Chandigarh	10.55	NST	NA
32	D & N Haveli	3.44	1.79	52.0
33	Daman & Diu.	2.43	0.15	6.3
34	Delhi	167.88	NST	NA
35	Lakshadweep	0.64	0.61	94.8

36	Puducherry	12.48	NST	NA
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(Source: <https://tribal.nic.in/downloads/statistics/Statistics8518.pdf>)

Census 2011, Office of the Registrar General, India
NST: No notified Scheduled Tribes (as in 2011), NA: Not Applicable

As in case of SCs and OBCs, the list of STs also varies considerably across various states. Among all the states, the highest number of tribes enlisted under Scheduled Tribe category come from Orissa (62) followed by Karnataka (50) Maharashtra (47) and Madhya Pradesh (46). In terms of percentage share of STs in the state population, the states with highest percentage share are Lakshadweep (94.8%), Mizoram (94.4%), Nagaland (86.48%) and Meghalaya (86.15%). While North eastern states have very high percentage of ST population, the six states from central India namely, Madhya Pradesh, Maharashtra, Orissa, Rajasthan, Gujarat, Jharkhand and Chhattisgarh itself account for two third of the total Scheduled Tribe population of the country.

To name a few sizeable tribes from different parts of the country, the Gonds, Bhils and Santhals are the most numerous tribal groups of mid-India region while the Garos, Khasis, Nagas and Mizos are from the North-east India.

The National Commission for Scheduled Tribes along with the Ministry of Tribal Affairs periodically reviews the status of tribal communities in India and work towards their progress and development. The provision of reservation in government jobs has helped in increasing the participation of tribal communities in public sector.

2.6 SUMMARY

The chapter attempts to introduce students to the widely used social categories in Indian population. All the three social categories, the Scheduled Castes, the Scheduled Tribes and the OBCs have been discussed with special reference to the need for enumerating them and the historical context within which the exercise of creating these categories is to be understood. Soon after independence the framers of the constitution envisioned a society which will be modern in its import and egalitarian in spirit. The diversity of Indian society demanded a more nuanced approach towards building a new India where the most marginalized and deprived sections would also be supported with full vigour. The framers of the constitution realized that given the age old prejudices and practices of discrimination and inequality in Indian society, it is essential that special provisions are made for the betterment of socially and educationally backward communities of the country. The choice to include the most exploited society fell upon the erstwhile untouchables and the tribals to begin with. However, the efforts of the state in improving the conditions of these communities through reservation or affirmative policy were widely recognized. The need to expand its scope to include other communities which had not yet been covered under the umbrella of such provisions has been a burning theme in Indian socio-political arena. The Indian Constitution

has been remarkably flexible and receptive to the changing needs of the changing society. The three social categories mentioned above also indicate the problems posed by the prejudices of caste and tribe in society. The challenges of modern society have made it imperative to address the deep rooted inequalities prevalent in society to bring about the desired change at societal level.

2.7 QUESTIONS FOR PRACTICE

1. Who are the Scheduled castes?
2. What is the difference between the Scheduled Castes and the OBCs?
3. Who are the Scheduled Tribes?
4. What kind of special privileges are extended to the Scheduled Castes, Scheduled Tribes and the OBCs?
5. Name five states that have the highest percentage of Scheduled Caste population.
6. Which five states have the highest population of the Scheduled Tribes?

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BACHELOR IN LIBERAL ARTS

SEMESTER II

COURSE: INDIAN SOCIETY

UNIT 3: RELIGIOUS COMPOSITION OF INDIAN SOCIETY

STRUCTURE

3.0 Learning Objectives

3.1 Introduction

3.2 Understanding Religions of India

3.3 Theoretical Debates on Diverse Religions

3.4 Sects and Indian Religions

3.5 Summary

3.6 Questions for Practice

3.7 Suggested Readings

3.0 LEARNING OBJECTIVES

After completing this Unit, you will be able to:

- Defining Religion
- To know the Religions of India.
- To Explain Theoretical Debates on Diverse Religions
- To Discuss Sects and Indian Religions;

3.1 INTRODUCTION

In this Unit you will read about concept of religion and how it is changing in the world. It also discusses how different religions have different interpretation and meaning of faith, socio-cultural context etc. It also discusses theoretical debates related to the growth and sustenance of different religions. One of the central aspects of this unit is the modes of religions and sects.

3.2 UNDERSTANDING RELIGIONS OF INDIA

Religions are changing across the globe. There are different religions in India. According to T N Madan, coexistence of religion is very much part of the Indian society. Indic religions like Hinduism, Buddhism, Jainism and Sikhism are rooted in the

Indian social-cultural landscape. At the same time, Indic religions coexist with religions like Christianity, Islam, Judaism and Bahai faith. Non-Hindu communities are also integral to Indian social-cultural landscapes (Madan). Hinduism is one of the important religious traditions based on the sacred texts such as Vedas and Darshanas /schools of thought (Blackburn, 2004:173). Jainism, for Blackburn, is one among three heterodox branches of Hinduism. It “traces its origins to Vardhamana, a successor to twenty-three previous ‘ford makers’ or teachers who enabled the faithful to cross the stream leading to the release from the cycle of existence. Its practice demands a monastic life of extreme austerity; for example, one sect is like Digambara or sky-clad” (Blackburn, 2004:201).

Religions, for Madan, determine the culture and ethos of country. Secular and religious facets determine social-cultural realms of India. Religion is central in determining the moral environment of a country. Emile Durkheim described about the manner in which sacred things are distanced from the forbidden in the context of religion. Dharma is one of central categories in Indian religious sphere. Dharma stands for maintenance. It refers to sustenance and moral virtue. Islam is grounded in the submission to the will of God. Tribes have also distinct religious understandings and practices. It is called as animism. According to Madan, religious diversity is central facet of the Indian life worlds. Conflicts based on religion have also fragmented the diverse sections. It has unleashed politicized and communal forms of different religion. India is also known for its great traditions. It has also the genealogy of little traditions. Great traditions are the legitimate part of the hegemonic/dominant culture. Little traditions are categories as the dialects, rituals and traditions. It is further analyzed that there are forms of pluralism that exist above the vicious ideology of caste. However, it is challenged by caste and communal forms of interpretations and practices. Interestingly, India has been experiencing the *mélange* of Hinduism, Buddhism, Slams and other forms of religious practices. Nation-state also promotes pluralism in India in particular and across the globe in general. Religious fractions are also articulated in the backdrop of the anti-immigrant politics across the world. (Madan)

Buddhism, for Blackburn, emerged in India in the 5th century BC. It was founded by Siddhartha Gautama. The term ‘Buddha’ refers to the enlightened one. Buddhism is grounded in the salvation through the discarding of the *samsara*’s, the continuous chain of birth and rebirth. It emphasizes on four noble truth and eight-fold path. *Nibbhana* is considered as the liberation from the perils and pressures of the mundane lives. There are two important streams within Buddhism. One is Theravada Buddhism. It is practiced in Sri Lanka, Thailand, Laos and Cambodia. Theravada Buddhism is analysed as orthodox in nature. Mahayana Buddhism is found in Nepal and China. Mahayana Buddhism believes in rituals, picturesque representation of saints. Buddhism has string ethical core. There are diverse traditions within Buddhism (Blackburn, 2004:50-51).

CHECK YOUR PROGRESS: I

1. Define religion?

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2. Write your understanding about diverse religions.

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3.3 THEORETICAL DEBATES ON DIVERSE RELIGIONS

Every religion has its own conceptual world. Philosophy of religion, for Blackburn, needs to be understood via the concepts related to religion such as existence, fate, necessity, creation, justice, sin, redemption. God etc. Pagan, Jewish and Christian traditions created major impact in the western philosophy. It is further noted that the differences between religious and philosophical questions are not that much in Taoism, Buddhism and Hinduism. Blackburn analyzed that the “classic problem of conceiving of an appropriate object of religious belief is that of understanding whether any term can be predicated of it; does make it make sense to talk of it creating things, willing events, knowing things, or being good or caring or being one thing or many”.

Language and metaphors are central to the religion. Some of the dominant questions that perplexed the religion were the existence of God and related debates. It is further noted that there are popular manifestations of religions such as “theosophy (using transcendental conceptions that confuse reason), demonology (indulging an anthropomorphic mode of representing the supreme being), theurgy (a fanatical delusion that a feeling can be communicated to us from such a being or that one can make acceptable to the supreme being by other means than that of having the moral law at heart)”. Blackburn considers these debates as part of modern theology. Scholars have analyzed the anthropological dimensions of religion like religious belief and its expression in music, language game etc. Scholars have also analyzed religion as part of psychological urges. Religious experiences are considered as purely subjective in nature (Blackburn, 2004:327-328). Religious experience, for Blackburn, is also studied in multiple ways. Religious experience considers the divine and transcends elements related to religion. It is related to the dialogue between human being, God and religious institutions. It is considered as ‘timeless’ and ‘divine’ in a true. It is also part of the ‘wishful thinking’ of the religious people. It is also analyzed that experiences are not just spontaneous. But it is theory-laden in nature. There are also debates whether theoretical understanding of religion can be tested or beyond the parameters of objectivity or not (Blackburn, 2004:328).

Emile Durkheim’s perspectives are distinct due to its theoretical insights. It is analyzed that “For long time, it has been known that the first representation with which men have pictured to themselves the world and themselves were of religious origin. There is no religion that is not cosmology at the same time that is a speculation upon divine things. If

philosophy and science were born of religion, it is because of religion by taking the place of sciences and philosophy. But it has been frequently noticed that religion has not confined itself to enriching the human intellect, formed before hand, with a certain number of ideas; it has contributed to forming the intellect itself” (Durkheim,85:2004)

3.4 SECTS IN INDIA

One needs to understand some of the basic definitional and etymological debates that emerged over the term ‘sect’ before delving into the nuances of sects in Indian context. According to Lawrence Babb, there are European connotations related to the term, sect. Sect, for Ernest Troeltsch, sect is defined as ‘dissident movement that has split off from the church’ (Troeltsch, Cited in Babb). Church is understood as a compel institution. It is also institutionalized in nature. It operates as a way to arrive at the sacred realms of the membership. Affiliation is grounded in the birth. Sect therefore is interpreted as “an off shoot”. Sects are also analysed as groups affiliated with religions in the contemporary societies. Embedded nature in the sacred texts is considered as a fundamental feature of a sect. Worshipping deities are also central to sects. Every sect has its own field of philosophy. Sects depart from the larger frameworks and spaces of organised religions. At the same time, sects do believe in certain orders of asceticism. Ideological grounds in Hinduism are considered as the peculiar feature of the sects in India. It is important to understand the Durkhemian perspectives related to sects. Emile Durkheim observed that Hinduism possess religious rituals grounded in caste relations and its values and goals are that of people who denounce the world and material interests. Fundamental identity thus is determined by the membership. The membership is determined by sense of individuality and one who excludes oneself from the material world and caste. Sects thus are complex in nature. In the context of the sects, it is analyzed that the members in the sects dissociate themselves with the brahmanic, priestly outlook/practices.

It is observed that there are sects that are connected to Buddhism and Jainism Renouncers as central to these sects. It is also noted that sects are affiliated with caste. Sects also consider disciple descent or *Guru Parampara*. Broadly, they believe in the dominant-Indian religious culture and its aspects such as transmigration based on karma, destiny based on karma, question of liberation etc. Clans also determine the sects in India. Sants are very much part of such groups. Saivites, for instance, are integral to the complex, religious structures in India. It is observed that Lingayats, Nath yogis and Dasnamis are part of the Saivites. It is analysed that Vaishnavas are comparatively unorthodox and they are part of religious realms of northern India. There are Vaisnava ascetics. They are also called as Bairagis. They depart from the Shavites by not detaching themselves from the household. They detach themselves from total renunciation like that of Saivites. It is also relevant to understand the category of Santh while discussing the sect. The term ‘Sant’ stands for the one who has understood the truth. Santh is the one who realizes the truth. The culture of Nirgun bhakti is the core of the Sant tradition in northern India. Vaishnavism attracted the diverse Sants in India. Ravidas and Kabir discarded the premises and practices of organised religion. Ordinary people are the focus of these spiritual forms. Contribution of Nanak, Ravidas and Dadu enriched the rich, plural spiritual traditions in India. Radha soami movement has also

influenced the people in northern regions of India. Paradoxically, sects have also appropriated the ideology and practices of the caste. Sects also differ according to the diverse culture and regional variations. Question of caste becomes a problem while determining the leadership of the sect. Sect has gradually turned into caste. It is analyzed the sects like Lingayat have replaced brahmanism and transformed into a 'reference group' in Karnataka. Politicizations of the hegemonic/dominant religions have also affected the nature and practices of the sects.

3.5 SUMMARY

It is observed that there are sects that are connected to Buddhism and Jainism Renouncers as central to these sects. It is also noted that sects are affiliated with caste. Sects also consider disciple descent or *Guru Parampara*. Broadly, they believe in the dominant-Indian religious culture and its aspects such as transmigration based on karma, destiny based on karma, question of liberation etc. Question of caste becomes a problem while determining the leadership of the sect.

3.6 QUESTIONS FOR PRACTICE

1. Write a note of religious composition of Indian Society.
2. **What do you understand by the different sects?**
3. What is meant by Saivites?

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SEMESTER II

COURSE: COURSE: INDIAN SOCIETY

UNIT 4: UNITY AND DIVERSITY IN INDIAN SOCIETY: LINGUISTIC AND REGIONAL DIVERSITY

STRUCTURE

4.0. Learning Objectives

4.1. Introduction

4.2. Unity and Diversity in India

4.2.1. Defining the Concept of Diversity

4.2.2. Defining the Concept of Unity

4.2.3. Unity in Diversity in India

4.2.4. Implications of Unity in Diversity

4.3. Linguistic Diversity in India

4.4. Regional Diversity in India

4.5. Summary

4.6. Suggested Readings

4.7. Questions for Practice

4.0. LEARNING OBJECTIVES

After the completion of this Unit, you should be able to:

- Define the concept of unity, diversity and unity in diversity in India
- Explain the social, cultural, regional differences existing in Indian society
- Describe, how the unity exist in the diversity of Indian Society
- Elaborate regional and linguistic diversity

4.1. INTRODUCTION

India is a diverse society and its beauty lies in its multicultural characteristic and further the existence of unity among people belongs to diverse cultural setups. In Indian Society, people of different religions, races, regions, castes, sects etc. have been living together for many centuries (Gore, 2015). Hence, the Indian society is the best example ever, which perfectly demonstrates unity in diversity. Although, India has faced several invasions by Mughals, Britishers etc. however the national unity and its integrity have been maintained (Desai, 1991). Despite having differences in terms of caste, religion, culture, ideologies, India fought against the British Raj as one unified entity (Tharoor, 2006).

The existences of diverse languages, regions, religions etc., migration of people and communities from other nations have made India's culture more tolerant. This has made India a unique example in the world (Jayaram, 2011). Further, this characteristic has attracted many visitors and tourists from different parts of world. Herbert Risley was right when he observed: "Beneath the manifold diversity of physical and social type, language, custom and religion which strike the observer in India there can still be discerned, a certain underlying uniformity of life from the Himalayas to Cape Comorin" (Risley, 1969). There are bonds of unity underlying all this diversity. These bonds of unity may be located in a certain underlying uniformity of life as well as in certain mechanisms of integration. In the present unit, we will discuss and emphasis on the meaning of diversity and unity, the concept of unity in diversity and its implications, types of diversities and particularly regional and linguistic diversity.

4.2. UNITY AND DIVERSITY IN INDIA

4.2.1. DEFINING DIVERSITY

As per the Merriam-Webster dictionary, diversity is the condition of having or being composed of differing elements and ideologies. Other terms used in context of diversity are heterogeneity, heterogeneousness and differentiation etc. Diversity is a natural as well as social phenomenon that helps to bring different views, experiences and acceptance among people (Effendi, 1938). Overall diversity refers to collective differences. Different social sciences looked at diversity in a different way. In sociology, we largely emphasis of social diversities. In other words sociologists are more interested in sociological analysis of social diversities. They define social diversity broadly as differences in different categories such as religion, race, region, ethnicity, gender, caste, citizenship, language, culture etc. On the basis of these categories there is existence of different types of diversities such as religious diversity, racial diversity, ethnic diversity, caste diversity, linguistic diversity and cultural diversity etc.

The term diversity is opposite of term uniformity. Uniformity primarily stands for similarity of some sort that characterises a people. It consist two words. 'Uni' refers to 'one' and 'form' refers to the 'common ways'. When there is something common in different

societies, we say there is some uniformity existing in these societies. Similarly, when students of a school, members of the army wear the same type of dresses, we normally say they are 'uniform'. However, when we have groups of people belongs to different races, religions and cultures, they represent diversity. D.N. Majumdar in his book *Races and Cultures of India* elaborated the concept of diversity in terms of races, cultures and their amalgamation (Majumdar, 1965). Thus, social diversity means variety and differences in different social categories. In India, we have such a variety in abundance. We have here a variety of races, religions, languages, castes and cultures etc. For the same reason India is a country known for its socio-cultural diversity.

4.2.2. DEFINING UNITY

There is a sense of togetherness and integration in the concept of unity. It is the spirit that holds people together, despite multiple ideological and other differences. It connotes a sense of oneness, a sense of we-ness (Nyiri and Preece, 1977). Unity stands for relations between different groups that bind them into a single entity. It can also be defined as the absence of differences among people belongs to different regions, religions, castes, classes, races, ethnicity etc. In India, there are number of castes, clans, races, regions, religions exist with varying ideologies, however at the same time they have sense of togetherness as they all belongs to one nation. Unity is a state of being togetherness, while diversity is a state of being separate or different. For instance, in Indian family, there may have people with different views, interests or preferences who show their diversity in many aspects, but as a member of family, they demonstrate a sense of unity among them. There is a difference between the term unity and uniformity. As far as uniformity is concerned it presupposes similarity and whereas unity does not (Pandey, 2015). Hence, unity may or sometimes may not be based on uniformity. Unity can emerge out of uniformity. Emile Durkheim, one of the modern founding father of sociology, in his book *Division of Labour in society*, calls this type of unity a 'mechanical solidarity'. We find this type of unity mostly in tribal, village and traditional societies. However, unity can also be based on differences. It is such unity, which is described by Durkheim as organic solidarity (Jayaram, 2011). This type of unity characterises the contemporary modern societies where high interdependence exist among members of a larger society.

4.2.3. UNITY IN DIVERSITY IN INDIA

After discussing the meaning of term unity and diversity, it is very clear and also an accepted fact that India is a land of diversity. The nature of Indian culture is made of multi-layers of our existence. In India, we cannot think of or relish single system in anything pertaining to our social life. In fact, India's unity is based on our diversity, on our multi-lingual, racial, regional, religious and traditional co-existence (Gore, 2015). For instance, Indian nationalism is not based on language, geography, ethnicity but on an collective ideology to which we belong. The first prime minister of India, Pandit Jawaharlal Nehru expressed the concept of unity in diversity in his writings. He stated, 'Though outwardly there was diversity and infinite variety among our people everywhere there was that tremendous

impress of oneness, which had held all of us together for ages past, whatever political fate or misfortune had befallen us. The unity of India was no longer merely an intellectual conception but emotional experience' (Tharoor, 2006)

We had and have a tradition of interdependence, which has held us together throughout centuries. The one such example of interdependence and unity in diversity, which was existing in the earlier times in India, is *Jajmani system*. It is a system of functional interdependence of castes. The term “*jajman*” refers generally to the parson who is patron or recipient of specialised services. The other side, there were *Kammis*, whose primary duty was to provide services to *Jajmans*. The relations were traditionally between a food producing family and the families that supported them with goods and services. These came to be called the *jajmani* relations (Jayaram, 2011). *Jajmani* relations were conspicuous in village life, as they entailed ritual matters, social support as well as economic exchange. A patron had *jajmani* relations with members of a high caste. He also required the services of specialists from other *jati* to perform those necessary tasks like cutting of hair, cleaning the room, delivery of the child, work in farms, cultivation, etc. Those associated in these interdependent relations were expected to be and were broadly supportive of each other with qualities of ready help that generally close kinsmen were expected to show. There was also some negative outcome attached with this system because of which it does no longer exist in contemporary society. In such system, a particular task was attached with one caste people. The lower *jati* people were largely exploited in this system by the upper *jati* people of that time. In contemporary society we still have system of interdependence but it is different from the earlier one. For instance, in today's society, some crops are largely produced in one area and distributed in different parts of India. Punjab largely produce wheat and paddy and distribute to different parts. Similarly, coconut is largely produced in Kerala, Goa etc and distributed in others parts of India.

Thus, our unity is the unity of heart and mind which will inspire to work together. This experience is the real foundation of Indian culture. This foundation has ever remained intact here and over that foundation new additions and alterations have been made and still being made. This unity is also found other forms of diversities such as living patters, festivals, dance, food, eating pattern, language and other cultural components. This kind of unified outlook in diversity has given an image to Indian culture as the composite culture.

4.2.4. IMPLICATIONS OF UNITY IN DIVERSITY IN INDIA

Unity in diversity has certain outcomes and implications. They can vary from minor to major. The most primary implication is that it plays an important role in the development of the country because the country which is integrated despite having numbers of differences will always move on the path of development. The chances to face internal issues go lesser than a country that is socially unstable and divided on different terms (Avasthi, 1997). A country that carries multiple differences, but still united at national platform, not only adds value to the nation but is also respected by other nations on global platforms. In India, we have different religions, regions, languages, castes etc. therefore there is an existence of

different ideologies. But when it comes to national security, development of society, we see all religions, regions, castes, races stand together (Desai, 1973). Sociologically speaking, the idea of unity in diversity challenges ethnocentrism; thinking one's own customs superior to others and strengthen cultural relativism; no one has the right to judge and interfere in another community's customs. At individual level, the existence of unity in diversity also helps in expanding cordial relationship among people therefore increases the chances of improving performance, quality of work and ultimately organized the society. It sets an example by displaying the values and morals of the members of a society who respect and support each other despite being from different religions, regions, social groups and cultures etc.

Diversity on the other hand is a major reason of internal conflicts however, unity in diversity plays a very important role in maintaining peaceful co-existence with people with diverse culture and backgrounds (Mukerji, 1958). It helps them to stay united despite their disagreements on different ideologies and keep people far from social ills and manage conflicts more easily. Unity in diversity also helps people to protect their rights. Further, it provides a source of tourism for India. People from all walks of life, cultures, religions, and clothing are attracted to many visitors and tourists from all over the world. It strengthens and enhances the rich heritage of the country and moreover as a cultural heritage of India.

CHECK YOUR PROGRESS I

1. Write a short note on diversity? Also explain some examples of diversities in India.

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2. How unity in diversity enhances the feeling of togetherness among people?

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3. Do you think India is best example of unity in diversity in the whole world? Discuss in brief.

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4.3. LINGUISTIC DIVERSITY IN INDIA

Indian society is a multilingual society, whose parts are having particular dialect (Avasthi, 1997). The famous linguist Grierson noted that there are 179 languages and 544 dialects in India. The 1971 census on the other hand, reported 1652 languages in India which are spoken as mother tongue. Among these, 18 languages are listed in Schedule VIII of the Indian Constitution. These are Assamese, Bengali, Gujarati, Hindi, Kannada, Kashmiri, Konkani, Malayalam, Manipuri, Marathi, Nepali, Oriya, Punjabi, Sanskrit, Sindhi, Tamil,

Telugu and Urdu. Out of these 18 languages, Hindi is spoken as largely speaking language in India.

According to A. R. Desai, “India presents a spectacle of Museum of tongues” (Desai, 1973). Similarly, the tribal groups or ones which are more isolated from the world are likely to speak a different language. Linguistic diversity encompasses different types of qualities which comprise mainly language, grammar, and vocabulary of a person. Linguistic diversity helps in measuring the density or concentration of a certain language in different areas (Jayaram, 2011). When the linguistic traits and patterns of certain groups or communities are shared amongst one another, it results in the development of a language. Language is also a basis for other types of diversities in India. India is divided into different states and union territories. These all sub divisions consists multiple languages, grammar, dialects. Punjabi is the state language of Punjab and is also the 10th most widely spoken native language in the world. Telugu is the official language of Andhra Pradesh. However, there are many local dialects that are also spoken in different parts of the state. Some of these dialects include *Waddar*, *Chenchu*, *Savara*, *Golari*, *Kamanthi* etc. Telugu has a strong reflection of Sanskrit influence as it has absorbed *tatsamas* from Sanskrit. Arunachal Pradesh is believed to be one for the linguistically richest states in the country as it home to possibly at least 30 distinct languages and innumerable dialects thereof. Some of the common languages spoken in the state are *Tani*, *Bodic*, *Idu*, *Miju* etc. Hindi and English are the official languages used in Arunachal Pradesh. Hindi is the official language of Himachal Pradesh. However, in some parts of the state people still speak the *Pahari* language, which has many dialects and sub-dialects too.

The language commonly spoken in Haryana is Haryanvi. The language is an Indo-Aryan language and is quite similar to *Brāj Bhasha*. It is also considered to be a dialect of Hindi. Gujarati is the official language of the state. Gujarati is an Indo-Aryan language and according to studies it is the 26th most spoken native language in the world. The language owes its origin to old Gujarati which gave birth to the modern day Gujarati and Rajasthani languages. Language of Bihar includes, Some of the common dialects spoken in Bihar include Maithili, Bhojpuri, Magahi, Angika etc. Hindi is the official language and also the medium of instruction in many schools in Bihar. The official language of Goa and the Konkani region is Konkani. Portuguese is still spoken in these parts by the elderly population of Goa. Kannada is the official language of Karnataka. Other languages such as Tulu, Konkani, Kodava and Urdu are also spoken in the state. Bengali is the most common and widely spoken language in West Bengal. Other languages spoken are Hindi, Santali, Nepali, Urdu and Oriya. Thus, by looking at such language differences, we may say that language is one of the important bases for existence of diversity in India.

CHECK YOUR PROGRESS II

1. How language is a basis for diversity in India?

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2. Write down the languages and dialects spoken in Punjab, Haryana and Himachal Pradesh.

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4.4. REGIONAL DIVERSITY IN INDIA

Indian society has great regional diversity. In terms of geographical boundaries, India is divided into 28 states and 8 union territories. These all states and union territories are different from one another in terms of language, food, dress and other cultural aspects. Further, these all are also divided into sub regions. For instance, Punjab is divided into three sub regions namely *Malwa*, *Doaaba* and *Majha*. These all three regions have their own culture, language, communication patterns, crops, food, living and eating habits etc. Further, the similar nature of division can also be seen in form of rural and urban region. While diversity is the acceptance of all folks regardless of their ethnicity, age, sex, education etc., regional diversity constricts this acceptance to a group of people from a particular region or area. Being one of the important type of diversity, regional diversity is an indication of each community's and their member's uniqueness from a certain area and their members (Avasthi, 1997). For instance, as discussed above India has great regional diversity. The nation has plants, mountains, sea coasts, deserts, cultivation and plain areas etc. This is why it makes India a very regionally diverse country. While existence of multiple differences, these all regions are somehow connected and share their cultural capital and resources with one another. We call it unity in Diversity.

The basis for regional diversity in India is language, food, dance, dress, eating and living habits, communication, crops, vegetation, animals, plant life, dresses, climate conditions, culture, customs etc. Amongst, some of the basis and related examples are discussed as follows. Food is one of the important bases for regional diversity. Food culture is most influenced by the locality of its origin. As far as food is concerned, in Punjab, the most preferred dish in winters particularly in rural Punjab is *Makki Ki Roti* and *Sarso ka Saag*. Punjabi cuisine is one of the most delicious cuisines in the country. Other than this particular famous dish, the food in Punjab is characterised by strong flavours and aroma. Although the dishes include both vegetarian and non-vegetarian, the meat dishes are quite popular not just in Punjab but all throughout the country. The cuisine of Himachal Pradesh is quite similar to the rest of North India. However, some of the popular dishes of Himachal Pradesh such as *Madira*, *Pateer*, *Til Chutney*, *Ghuchi Ka Saag*, *sepu badi* etc. makes it different from rest of the country. The food of Haryana is true to its soil. The diet of the people of Haryana mostly consists of rotis and dairy products. Some of the popular items of the Haryanvi which makes them different from others are *Pethe ki subji*, *teet ka achar*, *churma*, *kheer*, *malpuas* etc. *Goan* cuisine is well known for its tangy and unique taste. Coconut milk, rice and seafood form the main parts of a *Goan* meal. Food cooked in goa is mostly sweet in taste as they mostly use coconut oil in preparation. Whereas Punjab Harayana, Himachal Pradesh etc. are concerned they cook the food in mustard oil to keep the taste of the food little sour or *chatpata*. Kokum is widely used in cooking *Goan* food. The *Goan* fish curry is also one of the popular dishes in the state.

The food in West Bengal has the finest blends of both vegetarian and non-vegetarian dishes. This state is famous for the variety of *Maach* (fishes), served with various flavours. *Hilsa* and *Chingri* fishes are the most loved fishes in the state. West Bengal is also known as the 'land of *Maach & Bhaat*'. West Bengal is also famous for the variety of sweets. '*Rasgulla*', is the most famous sweet of this state. Gujarati cuisine is predominantly vegetarian due to the influence of Jainism and traditional Hindu values. There are four main regions in Gujarat- North Gujarat, *Surti* Gujarat, Kutch and Kathiawar- which have their own distinctive styles of cooking. *Thepla*, *Fafda*, *dokhla* etc. are some of the famous dishes of Gujarat. Most of the dishes are a beautiful blend of sweetness, saltiness and hotness. Karnataka cuisine mainly includes *Bisi bele bhath*, *Holige*, *Vangi Bath*, *Uppittu* etc. Some of the traditional dishes of Andhra Pradesh include *pesarattu*, *pulusu*, *karapoosa*, *ariselu*, *pappucharu*, *rasam*, *vepudu*, *Pootha Rekulu* etc.

With the passage of time, the food habits belongs to one area are spreading to different parts of India and also abroad. We feel happy to observe that silently but very noticeably, Indian cuisine are cutting across the regions day by day. *Chaat* in different forms such as *gol gappas*, *aloo tikkies*, *samosas* and *chholey bhaturey*, a mainly north Indian phenomenon, is spreading to all parts and being devoured even in the deep south. And *dosas* and *idlis* with *sambar* and coconut chutney belong to south are now being enjoyed in the north at large. The northeast is also contributing to this phenomenon, as we can found that *Nepalis* from Sikkim and Darjeeling doing brisk sale of noodles and *momos*, vegetarian and chicken with chilli sauce, from small kiosks that have sprung up in every nook and corner of Delhi and other states. Although there is a bewildering variety of Indian sweets eaten from north to south, like milk cakes and *gulab jamuns* in Punjab and Haryana, *jalebis*, *laddoos*, *pedas* and *rabri* in Uttar Pradesh, *kulfis* all over the north, *rasogullas*, *sandesh*, *chamcham* and *rasomalais* in West Bengal; *mysorepak* in the south, *sooji ka halwa* and *kheer* (made of milk and rice) is the common dessert denominator being called *kesaribhath* and *payasam* in the South. Now these all deserts are available in all regions and also spreading in rural areas day by day. Other than variation in food, the pattern of food preparation and eating also vary region to region.

Although, now a day's most of the dishes are commonly prepared in all most all regions however the variation still exist in their preparation and names. For instance, the good old *kadhi* made with *besan* and *dahi*, and *khichdi* (rice and lentils), is popular from the Himalayan Mountains to the plains of Punjab and Haryana. The cow belt of Rajasthan, Madhya Pradesh, Uttar Pradesh and Bihar all savour *kadhi*. And migrants from the Sindh province of undivided Punjab, now settled mainly in and around Mumbai, love their Sindh *kadhi*. The *kadhi* is also made in Maharashtra and Gujarat. Another example is *Khichdi*. *Khichdi* in the north is eaten with *papad*, *dahi*, *ghee*, *chutney* and *achar*, and also in the south. In Tamil Nadu it is called *pongal* and in Karnataka, *besi beli bhath*. It is given religiously to the young and the old who have upset tummies. There are two other items that constitute our staple daily diet. The glass or *kulhar* of sweet *lassi* with *malai* (cream)/butter in Punjab, Haryana, the cow belt, is one. Then there is the good old butter milk, called *mathha/ chhach* in Gujarat and Maharashtra, and *rai* (black mustard) seeds, *curry patta* and chillies *tadka* in the deep south taken as an appetiser or digestive before and after lunch. *Dahi* is generally not consumed in the northeast.

Another important basis for regional diversity is the dress and dressing pattern in different parts of India. Dressing pattern in India is dependent upon the different ethnicity, geography, climate, and cultural traditions of the people of each region of India. The traditional dresses for Punjabi men is *kurta* along with *pajama*, or even a dhoti styled with different types of *pagri* or turban. Most of the women wear salwar kameez suit. Patiala suit with *paranda*, *fulkari*, *punjabi jutti* as traditional dress belongs to one sub region of Punjab. Most popular traditional dresses of Haryana are *Dhoti-Kurta* paired with *Juttis and Paghari* (turban) for men and women prefer to wear *Ghagra-Choli* along with *Odni* (a headcover). The traditional dresses of Himachal Pradesh, Men wear *dhoti-kurta* or *pajama-kurta* with *Pagri* (turban), whereas women wear *Ghagra*, *Lehenga-choli*, and *Kurtis*. Most popular Gujarati traditional dresses for women is *Chaniya choli*, *salwar kameez*, and *sarees* whereas men prefer wearing dhotis, *kurtas*, or *bandis and Kedia* along with a turban. In Karnataka Women prefer to wear *Ilakal*, *silk sarees*, and *dhavani*, whereas men prefer to wear shirt and *Panche* (a dhoti). The traditional dresses of Goa, women wear *Saree*, also called *Nav Vari* and men wear Dhoti and Shirt. The most traditional dresses among Bengali women is *Saree* in Bengali style, whereas men wear *Dhoti-Kurta*.

Dance is another basis for understanding regional diversity. The common folk dances of Punjab include –*Bhangra and gidda*. *Bhangra* and *gidda* is one of the most popular traditional dances in Punjab. It is usually performed during the harvest season and is noted for the colourful costumes and peppy music. The common folk dance of Haryana include –*Saang Dance, Chhathi Dance etc.* *Saang* dance is performed in groups. Usually comprising of a group of 12, men dress up as women in this dance to play the roles of female characters. The dance is based on folk tales or religious stories. The dance forms of Andhra Pradesh reflect the cultural heritage of the state. They differ in costumes, types and the musical instruments used. *Kuchipudi* is one of the most famous traditional dance forms of Andhra Pradesh. It gets its name from the name of the village where resident Brahmins practiced this art form. The dancers sway to the music and tune of a singer who is accompanied by musicians playing *mridangam*, violin, flute and *tambura*. The common folk dance of Himachal Pradesh includes *Kinnauri Nati*, A beautiful folk dance which is usually a mime and depicts the sowing of crops and the ensuing festivities. Another dance is *Namagen*. This is usually performed to welcome the autumn season. The costumes of the dances of this folk dance are particularly interesting because of the variety of colours and women dancers were extremely beautiful silver jewellery.

Dance of Gujarat includes *Garba, Dandiya Raas etc.* *Garba* is a popular form of dance that is performed during the nine-day festival of *Navratri*. A picture or idol of Goddess *Shakti* or a lamp is placed in the centre and dancers stand in concentric circles for the performance. *Dandiya Raas* on the other hand was traditionally performed by men to the tune of traditional instruments. However, these days the dance form has evolved and men and women are seen dancing to foot-tapping numbers during the *Navratri* festival. The common folk dances of Bihar include *Jhijian Dance, Jat Jatin Dance, Kajari Dance*. Dance of Goa includes *Dekni, Kunbi, Gofftoo etc.* Dances of Karnataka include *Kunitha, Komb-aat etc.*

Other than these important bases, there are many other cultural components on the basis of which the diversity existing among different regions can be described. These are songs, language, stories, living patterns, housing, cultivation, festivals, crops, domestication of different animals etc.

CHECK YOUR PROGRESS III

1. Explain dance as a basis of regional diversity in India.

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2. Write down the meaning of diversity.

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4.5. SUMMARY

In this unit, we have studied the meaning of diversity, unity and unity in diversity. We have also discussed how unity in diversity is important element of Indian society. There are number of implication of unity in diversity in India that vary from minor to major. In this unit, we have elaborated the important implications of unity and diversity. Further, we have also elaborated and studied that there are major forms of diversity in India such as racial diversity, religious diversity, cultural diversity, linguistic diversity and regional diversity etc. All these diversities are important to understand the concept of unity in diversity, however we have emphasised only on linguistic and regional diversity. Further, we have also discussed the difference between earlier form of unity in diversity and the contemporary one. Overall, we have noted that India has opted for a composite culture model of unity in diversity.

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4.7. QUESTIONS FOR PRACTICE

4.7.1. LONG ANSWER QUESTIONS

1. Elaborate the concept of regional diversity in India. Also discuss how sociologists look at diversity in India.
2. Elaborate the meaning and definitions of unity, diversity and unity in diversity in India.

4.7.2. SHORT ANSWER QUESTIONS

1. Write down the difference between unity and uniformity.
2. Explain any two examples of linguistic diversity in India.
3. Describe any three implications of unity in diversity in India.

BACHELORS IN ARTS (LIBERAL ARTS)

SEMESTER: II

COURSE: INDIAN SOCIETY

UNIT 5: POPULATION GROWTH IN INDIA SINCE INDEPENDENCE

STRUCTURE

- 5.0 Learning Objectives**
- 5.1 Introduction**
- 5.2 Population Growth**
- 5.3 Causes of Over Population**
- 5.4 Effects of Population Explosion**
- 5.5 Theoretical Perspective of Population Growth and Control**
- 5.6 National Population Policy (NPP 2000)**
- 5.7 Family Planning**
- 5.8 Programmes/ Measures Suggested to Control Population**
- 5.9 Summary**
- 5.10 Questions for Practice**
- 5.11 Suggested Readings**

5.0 LEARNING OBJECTIVES

This unit will enable the students to understand:

- The concept of population
- Population growth in India
- Population explosion and reasons
- Family planning and policies
- Measures to control population

5.1 INTRODUCTION

Population explosion is causing great concern not only in India, but all over the world, to all the countries. The world is having a period of population explosion. India's population has already crossed the alarming number of one billion. Before 1921, the population growth in India was insignificant between 1921-1951, it was rapid and after 1951, it has become explosive. Population of manageable size is strength of a nation but unmanageable population give rise to many problems. It becomes a hindrance to economic system as well as creates challenges to the social system. Unfortunately, India is facing such conditions. Such a serious problem requires skilful and efficient immediate solutions. A strong political will and general social awareness can provide a long last solution. This chapter highlights the demographic situation in India.

5.2 POPULATION GROWTH

The size and growth of population are two important components of the demographic phenomena in a developing country like India. These have severe implications on the social and economic spheres of our life. India's population has more than doubled since Independence. India is the second most populous country in the world, ranking only, after China and is expected to overtake China by 2024. It is high time that India should start working to improve its economy. The population of India will be on top for the entire 21st century if the current trends continue. Over the years after independence in 1947, India has experienced growth 4x times, reaching 1.34 billion today. The population of India is increasing at the rate of 15 million per year and is the highest growth rate in the world.

The history of growth in India's population can be divided into four distinct phases – the points of division being 1921, 1951 and 1981. Prior to 1921, India's population was characterized by a chequered growth. Decades of substantial growth regularly alternated with decades of small increase or even negative growth. The Census Commissioner for the 1951 census, therefore, rightly called 1921 as the year of Great Divide, which differentiated the earlier period of fluctuating growth rates from a period of moderately increasing growth rates. The second point of division was 1951, which differentiated the period of earlier moderate growth from a period of rapid growth in the post-independence period. This phase of rapid growth in population continued up to 1981. Thereafter, though population continues to grow, the rate of growth shows a definite deceleration. The first twenty years of the twentieth century, thus, witnessed a growth rate of only 5.42 per cent in India's population. It may be recalled here that the decade 1901-11 was struck by several local famines.

India's population is increasing at mind blowing scale. In 1941 it was 31.86 crores, it increased to 36.10 crore in 1951, 43.92 crore in 1961, 54.81 crore in 1971, 68.33 crore in 1981, 84.64 crore in 1991, 102 crore in 2001 and 121 crore in 2011.

If the population growth is sub-divided into three distinct periods, (a) from 1901-1931, (b) 1931-1961, (c) 1961-1999, it is found that the first period of 30 years witnessed an addition

of 17 per cent, the next thirty years observed an increase of 57.4 per cent and in the following 38 years (about four decades), country experienced an explosive growth of 127.4 per cent.

According to the National Population Policy draft prepared in 1997 by the Ministry of Health and Family Welfare, the goal of total fertility rate (TFR) of 2.1 will be achieved by the year 2010. But according to the projections made by the Registrar General, the TFR of 2.1 would not be reached by the year 2026, if the existing demographic trends continued. The current fertility rate of India is 2.3 births per woman and has remained constant for the past two decades. At this rate, the population of India is expected to grow up to 1.8 billion by 2050. Despite the attempts to reduce the fertility rate to 2.1, the expected population growth is expected to reach 1.9 billion by the end of the century. In any case, there is no stopping for India to become the most populous nation in the world. Even if the fertility rate is decreased in the coming years India is expected to reach 2 billion by 2100.

The disastrous population growth in India can be recognized from the following facts:

- A little more than one out of every six persons in the world is from India.
- India adds 46, 500 persons to its population every day.
- India accounts for a meagre of 2.4 per cent of the world's surface area of 135.79 millions square kms, whereas it supports and sustains 17.5 per cent of world's population.
- It is estimated that by 2035, India would overtake China as the world's most populous nation.
- Around 49 per cent of the increase in population in one decade is in five states of Bihar, Madhya Pradesh, Assam, Rajasthan and Uttar Pradesh known as (*BIMARU* states).
- More than three times as many couples enter the reproductive span than those leaving it, with the fertility rate of younger group becoming three times higher than that of those passing out of the reproductive age.
- At the present rate of growth, life for most Indians would be unbearable, medical facilities would be difficult to provide, expenses on education, housing would be excessive, technical and professional education would become the exclusive privilege of the elite and the scarcity of food once again stab more than half of the nation below the poverty line.

Thus, there is immediate need to focus on population explosion in the country. A steep population growth not only reverses the development process but also put tremendous pressure on already overloaded system.

5.3 CAUSES OF OVER POPULATION

After 1951, the growth of population is explained by a decline in mortality due to availability of curative and preventive medicines, control of famines and epidemics, reduction of wars and a large base population. Following are important causes for population explosion:

- **Child marriage/ Low age at marriage-** Child marriages are very common in our country. Seventy two per cent marriages in India were performed before 15 years of age and 34 per cent before ten years of age. Since then, there has been a continuous increase in the mean age of marriage among both the males and females. The infant mortality rate is directly related to the age of women at the time of marriage, as the age group increase, the fertility rate decreases. If population growth is to be controlled, marriage of girls (in rural and urban areas) is to be preferred in 21-23 or 23-25 age group rather than in 15-18 or 18-21 age groups.
- **High illiteracy-** Family planning has a direct link with female education, and female education is directly related with age at marriage, general status of women, their fertility and infant mortality rate and so forth. According to census 2011, literacy rate is 74 percent in India as compared to 64.83 per cent ten years ago. Male literacy rate is 84 percent while female literacy percentage is 65. If both men and women are educated, they will understand the logic of family planning, but if either of them or both of them are illiterate, they would be more rigid and orthodox. This is evident from the fact that Kerala (overall literacy rate 92% and female literacy rate 91 %) that has lowest birth rate (14.70 per thousand), while the low female literacy rate gives rise to high birth rate in the states of Rajasthan (34.6 per thousand), Uttar Pradesh (36 per thousand), Madhya Pradesh (34.7 per one thousand).
- **Religious attitude towards family planning-** Religiously orthodox and conservative people are against the use of family planning measures. There are women who believed that they cannot go against the wishes of God, they argue that the purpose of a women's life is to bear children. Indian Muslims have a higher birth and fertility rate. Muslim women having fertility rate of 4.4 as compared to 3.3 among Hindu women and they are more conservative towards family planning than the Hindus.
- **Peaceful conditions-** For nearly a century (1860-1960) India enjoyed comparative peace without involving in major conflicts or wars especially after the establishment of British rule. Peaceful conditions stimulate population growth in the country.
- **Excessive birth rate over death-** Population growth depends on the excess birth over deaths. Death rate has been declining rapidly and birth rate is still high. The statistic shows the death rate was 16.99 in 1971 which decrease to 7.30 in 2020 per 1,000 inhabitants in India. Number of births of India increased from 22,106.22 thousands in 1971 to 24,067.83 thousands in 2020, growing at an average annual rate of 0.18%. Widening gap between birth and death rate lead to population explosion.

- **Medical advancement-** Medical knowledge and its application has considerably reduced the death rate. It has helped to control the diseases like Malaria, TB, Cholera, Plague, Influenza, Smallpox etc, and protected the lives from these deadly diseases. Positively, contributed to more population, because saved persons from death also produced children and add to the existing number.
- **Improved transport facility-**It has helped people to avail medical and health facilities without much difficulty. These have saved lives and added to the size of population.
- **Improvement in agriculture and industry-**Uncertainties in agriculture have largely been removed with the help of science and technology. During green revolution food production has considerably increased. Industries have been providing employment opportunities to thousands of people. These developments have given people the confidence that they can afford to feed more people if they beget.
- **Social attitude of Indians-** This also favours an increase in population. Poverty, illiteracy, ignorance, absence of recreational facilities, attitudes of conservatism, orthodoxy, feeling of dependence on God, a sense of resignation towards life, looking upon children as old age pension etc. are all responsible for rapid growth of population.
- **Lack of conscious family planning-** Married couples is not conscious about family planning. Use of contraceptives unknown to the illiterate masses. They feel that more children are wanted for economic prosperity.
- **Climatic conditions of the Country-** In India, climatic conditions are very conducive to the population growth. Montesquieu said that people of warm lands are more sex indulgent. Girls become physically mature at an early age between 11-15 years. Child bearing capacity of women lasts in the tropical regions.
- **Lack of entertainment facilities-** It has been observed that people especially in the rural area, have been forced to find entertainment in the sex paly in the absence of other entertainment facilities. This has further enhanced the problem.
- **Other causes**
 - Joint family system and lack of responsibility of Young couples in these families to bring up their children.
 - Lack of recreational activities.
 - Lack of information or wrong information about the adverse effects of vasectomy, tubectomy and the loop.

- Poor parents produce children so that they can get help from them. This is evident from the fact that there are some 35 million child workers in the country.
- Poverty is both the cause and effect of the population growth. A huge family size is the poor man's only way to combat poverty caused by the population boom.

5.4 EFFECTS OF POPULATION EXPLOSION

Population growth has direct effect on the living standard of people. If the growth exceeds the reasonable limits, problems will increase and has happened in India. This is one of the reasons, despite tremendous progress in agriculture and industry since independence, per capita income has not increase significantly. The extraordinary population growth during the recent years has brought about a series of serious consequences. Some of the major effects of population are described as:

- **Population and poverty:** Poverty and population often go together. Poverty is both cause and effect of rapid population growth. India has not counted its poor since 2011. But the United Nations estimated the number of poor in the country to be 364 million in 2019, or 28 per cent of the population. They do not have proper food, shelter and clothing.
- **Unemployment and underemployment:** It is the duty of nation to provide food and shelter to its population, besides they are also to be provided with jobs. But it is not easy to create jobs, there is already unemployment coupled with underemployment. Job opportunities created during the five year plans are not enough to meet the demand.
- **Low per capita income:** During the past 50 years of planning, the national income of the country has increased by about 3.6% per annum. But the per capita income has increased only by 1.5% per annum. This low per capita income of the people in India is attributed to the rapid growth of population.
- **Shortage of food:** Rapid population growth has led to the problem of shortage of food supply. In spite of the fact that more than two third of its population engaged in agriculture. Population is unable to have minimum necessary amount of food, even though we have attained self-sufficiency in food production. As a result one out of every four is suffering from malnutrition and two out of every four get only half of the daily required quantity of food.
- **Increased burden of social overheads:** When there is rapid population growth in the country, government is required to provide the minimum facilities for the people for their living. Hence, it has increase educational, housing, sanitation, public health, medical, transportation, communication and other facilities. This

will increase the cost of the social overheads. Government finds it difficult to find enough funds to meet the unproductive expenses.

- **Population and labour efficiency:** Increase in population reduces per capita income, thus resulting in low standard of living. This affects badly the health and efficiency of workers. Labour inefficiency reduces productivity and nation loses heavily.
- **Population and the standard of living:** Standard of living reflects the quantity and quality of the consumption of the people. Due to rapid population growth, standard of living of the people has been adversely affected.
- **Pressure on land:** Over population inevitably leads to heavy pressure on land. Land is limited and fixed in supply; increase in population can only bring more pressure on it. Hence the born people will have to share the land with the existing people.
- **Increased unproductive consumer:** With the rapid population growth, there will be large proportion of unproductive consumers. In fact, today about 51% of the total population of India is unproductive. Rapid increase in the population contributes to an increase in the dependency ratio.
- **Slow economic development:** Economic development will be slower in highly populated countries. Absence of savings results in low capital formation, thus restrict investments and contributed to the slow economic growth of the country.
- **Political unrest:** Unmanageable population size may contribute to political instability and unrest. The failure of the government to provide basic amenities to the people contributes in agitation and unrest among the masses.

5.5 THEORETICAL PERSPECTIVE OF POPULATION GROWTH AND CONTROL

- **Development and control over population**

The relationship between population and development was explained by the Population Research Office of the Princeton University in the 1940s on the basis that development reduces fertility rate. It is said that development lowers the death rate faster than the birth rate resulting in population growth. The theory does not answer the crucial question as to when decline in birth rates would set in as development progresses. It also does not tell us the level to which fertility would decline and the time span over which the decline would occur. The question of threshold and speed of fertility declines inevitably bring up the questions if identification of factors which cause fertility declines.

- **Theory of economy of households**

According to this theory, a household weighs the cost of a large family with its benefits. As long as the cost of rearing children remains low, compared to the benefits they bring in terms of additional income, birth rate would remain high. The transition would occur when as a result of socio-economic changes like urbanization, compulsory schooling, market penetration, etc., the cost of bringing up children becomes higher than the benefits.

- **Theory of diffusion of ideas regarding access to contraception**

Ansley Coale (1973) supported this theory through his study of fall in fertility rate in Europe between 1850 and 1930. Availability of contraceptive reduces fertility rate and vice versa.

Studies in India have supported all these theories and pointed out other factors too which affects the course of fertility, like higher age at marriage, or what act as hindrance in the use of contraception like female literacy, importance of sons, poverty, female participation in economic activities, and so on. Some empirical studies in this context have also been conducted with Indian data by K G Jolly, Anirudh Jain etc.

5.6 NATIONAL POPULATION POLICY

It cannot be denied that India is over populated country. So to tackle this problem India must make planned efforts and a well thought population policy. A policy is a “plan of action, statement of aims and ideals, especially one made by a government, political party, a business company, etc.” it guides the present and the future decisions.

Population policy refers to the policy intended to decrease the birth rate or growth rate. Statement of goals, objectives and targets are inherent in the population policy. According to UNEP it is “an effort to affect the size, structure and distribution or characteristics of population. In broader term, it includes, “efforts to regulate economic and social conditions which are likely to have demographic consequences”. Two types of population policies have been suggested: (a) the ante-natal policy which aims at discouraging the growth of population and (b) the distributional policy which deals with distributional imbalances of population.

The population policy of a developing country like India has to aim at:

- i. Decreasing birth rate
- ii. Limiting the number of children in family
- iii. Decreasing mortality
- iv. Creating awareness among the masses regarding consequences of speeding population

- v. Procuring necessary contraceptives
- vi. Enacting laws like legalising abortion
- vii. Giving incentives as well as disincentives

India formed its first “National Population Policy” in April 1976. It called for an increase in the legal minimum age of marriage from 15 to 18 for females and from 18 to 21 years for males. The policy was modified in 1977. The new policy statements emphasised the importance of the small family norm without compulsion and changed the programme title to “Family Welfare Programme”.

National Population Policy 2020 (NPP-2020) is the latest in the series. it was announced on 15 February, 2020. It states the commitment of the government towards target free approach in administering family planning services. The NPP-2000 is not just a matter of fertility and mortality rates. It deals with women education, empowering women for improved health and nutrition, child survival and health, the unmet needs for family welfare services, healthcare for the under-served population groups like urban slums, tribal community, hill area population and displaced and migrant population, adolescent’s health and education, increased participation of men in Planned Parenthood and collaboration with non-governmental organizations.

The object of NPP-2000 is to bring the total fertility rate (TFR) to replacement levels by 2010. The goals and target to be achieved by 2010 are:

1. Giving rewards to panchayats and Zila Parishads for promoting small family norm.
2. Reduce infant mortality rate to below 20 per 100 live births.
3. Reduce maternal mortality ratio to below 100 per 1 lakh live births.
4. Achieve universal immunisation of children against all preventable diseases.
5. Achieve 80% institutional deliveries and 100 %deliveries by trained persons.
6. Achieve 100% registration of births, deaths, marriages and pregnancy.
7. Prevent and control communicable diseases.
8. Promote vigorously the small family norms to achieve TFR.
9. Strict enforcement of “Child Marriage Restraint Act”.
10. Contain the spread of AIDS.
11. Make school education up to age of 14 free and compulsory and to reduce drop-out rates at primary and secondary school levels to below 20% to boys and girls.

12. Health insurance covers of Rs.5000 for couple below the poverty line with two living children, who undergo sterilization.
13. Achieve universal access to information/ counselling and services for fertility regulation and contraception.
14. To take appropriate steps to make family welfare programme a people centred programme.
15. Setting up of a National Commission on Population headed by the Prime Minister.

5.7 FAMILY PLANNING

Family planning means planning the number of children in the family. It is limiting the size of family by conscious efforts. The motto of family planning is, child by choice and not by chance. It seeks to inject social responsibility into married life.

Family planning is described by an Expert Committee of the WHO in the following manner. It refers to practices that help individuals or couples to attain certain objectives:

- a) to avoid unwanted births
- b) to bring about wanted births
- c) to regulate the intervals between pregnancies
- d) to control the time at which births occur in relation to the ages of the parent
- e) to determine the number of children in the family

India was the first country to evolve a government-backed family planning programme in the 1950s. Developing countries like Indonesia, Thailand and South Korea that followed suit have successfully stabilized their population growth, but India even after half century is trailing behind. A separate Department of Family Planning was created in 1966 under the union Ministry of Health. Between 1975-1977 Indira Gandhi government at the Centre implemented a forced sterilization programme against populations' wishes and even used such harsh and force methods that today one is reluctant to talk about family planning in public. The program is still criticized, and is blamed for creating a public disgust to family planning, which obstructed government programmes for decades.

In 1977, the Janta Party government formulated a new population policy. The acceptance of the programme was made purely voluntary. The Family Planning Department was renamed as the Family Welfare Department, and took all aspects of family welfare. Government of India adopted the UNEP guidelines of delaying the first child and spacing the subsequent birth.

The methods adopted in family planning are: sterilization, loop, pill, withdrawal, rhythm, sheath, and diaphragm. Condom and the pill seem most popular among the high socio-economic groups. Sterilization is preferred by low social strata people. A good number of women use more than one method, depending on the circumstances and availability. In 1951, only 147 family planning clinics were established during the first five year plan period (1951-56). Since then, a network of Community Health Centres (CHCs), Primary Health Centres (PHCs) and sub centres has been created for implementing family planning programme through state governments with a hindered per cent central assistance. About 50,000 centres and sub-centres are created in rural areas in each five year plan. There were 1,47,069 sub-centres, 23,673 PHCs and 4535 CHCs in the country (March, 2010). The PHCs perform two specific functions; providing services to the people and disseminating information about these services in an effective manner in order to motivate masses to accept family planning. Nearly half million medical and Para medical persons were engaged in the programme.

A New Approach

A social policy with a new integrated approach to population stabilization has now been adopted. Following are the components of this approach:

Target-free Programme

A significant shift has been made from April 1996 in the family planning programme by the introduction of target-free programme. Targets were a major obstacle in the programme in which village *patwaris*, school teachers and government functionaries had to achieve the minimum targets of sterilization and other measures. Postings, promotions and transfers depended on the fulfilment of targets. To achieve the success rate without setting targets is indeed a welcome change.

Bottom-up Approach or Decentralized Participatory Planning

The programme is chalked out at the village level in consultation with health workers and PHC, i.e., male and female workers (ANMs), Panchayat members and active individuals. Planning for the district will be the aggregation of PHC plans and the requirements of district hospitals. These district plans will together make the State Plan and State Plans will contribute to the national Plan.

State-specific Reproductive and Child Health (RCH) Strategy

States display a wide variation in health parameters, such as infant mortality, maternal mortality, birth rates etc., area specific RCH approach has been worked out separately for different states and the special category states where considerable infrastructure inputs flow from state health system projects.

Integrated RCH Package

It provides a minimum model framework for reproductive health services at different levels in the district, sub-centres, PHCs and district hospitals. These services are related to prevention and management of unwanted pregnancy, maternal care, services for new-born and infants and management of STDs.

Comprehensive Integrated Training

Emphasis will be laid on the training of personnel to improve efficiency of intervention, interpersonal communication and management. District would be responsible to provide training. Central and state governments will support the district in training, training material and periodic evaluation.

Increased Involvement of NGOs

More NGOs will be involved in clinic based interventions, in strengthening community participation in implementing project activities and in the training for technical skills. Private rural practitioners including those of indigenous systems of medicines will also be involved in plans.

Independent Evaluation of Programme

The programme will be monitored and evaluated for qualitative performance. Eighteen Population Resource Centres (PRCs) have been established which are engaged in working out formats for annual surveys. Eight regional teams have also been formulated by the government for cross checking of activities.

5.8 PROGRAMMES/ MEASURES SUGGESTED TO CONTROL POPULATION

Overpopulation has adversely affected the progress of the economy and the standard of living. It brings down per capita and national income, it becomes difficult to face the challenges of poverty, unemployment and underemployment. Problem is an urgent and needs immediate solution. The following programmes may be suggested to check population growth:

Incentives vs. Disincentives

There are some scholars who support cooperation while others support coercion. Nobel laureate Professor Amartya Sen, in a lecture in Delhi in August 1995 on “Population Stabilization Programme” favoured ‘cooperation’ approach and condemned the use of coercion. Sen described Condorcet’s approach of cooperation as well defined and Malthus’ a path of coercion as undesirable and even counter-productive in checking population growth. He gave the example of Kerala in support of his viewpoint and developed a hypothesis called “Kerala hypothesis of demographic transition.” In this hypothesis, increase in literacy and primary health care is described as two important factors in population control. ‘Chinese

model' is opposite to 'Kerala model' which supports coercion as an effective solution to the problem. Some thinkers however suggested the combination of both cooperation and coercion or incentives and disincentives to check the population growth.

Division into Zones and Regions

A study conducted in 1990 by two population experts of the Operation Research Group at Baroda has shown how the problem could be tackled. On the basis of the fertility pattern, they have divided the country's 350 districts into 16 zones and four regions. They have identified districts and zones which reflect the impact of family planning on the fertility, the areas where fertility rates have remained low despite hardly any family planning efforts, and those regions which are the hard core areas where the maximum effort is needed. The region wise approach is expected to help in correcting the lacuna in the implementation of the family planning programme.

Search for New Contraceptives

The search for a new, inexpensive, easy to use and harmless contraceptive has not met so far. It is necessary that Indian herbs be thoroughly investigated for their effects. Pursuing vigorous investigation of the health status and dietary habits of some of the tribal in Andaman and Nicobar Islands, among some of whom the fertility rate is found to be extremely low, might provide the needed solution.

Increase in Marriage Age

There is direct relationship between age of marriage, size of family and attitude towards family planning. We can take the example of Kerala, during 1950s population growth in the state was one of the highest in the country. By, 1970 it began to fall significantly and subsequently became the lowest among the Indian states. During 1981-91, the growth rate dropped to 14.3 per cent and in the next decade it further came down to 9.4 per cent. This is all happened due to the rise in age at marriage and higher level of contraception. Rising the marriage age is, thus, bound to reduce the family size in other states too. This needs a necessary public awareness.

Economic Development

Economic development can be the best contraceptive. There is need for quick population control to meet the economic principle of demand and supply. To balance any economic situation, we can either increase the supply which depends on both financial and material resources or reduce the demand which depends on the number of people demanding for various services and commodities. Population problem should not be viewed out of social context. Development which aims at distribution and equality alone can remove poverty and contain population growth.

Role of NGOs

A programme is fully successful when it is accepted by the people. Unless the community is fully involved in the programme and is consider it to be its own programme, it may not be possible to achieve the desired results. This can be achieved in a better way by the non-government organizations (NGOs) as these have very close relation with the people. Their role in removing the deep-rooted beliefs cavorting large families and male children, improving female literacy, raising age at marriage of girls, essential new born care, birth spacing etc., can be very significant. Such organizations not only have the capacity to reach the remote areas but their activities are cost effective also.

Other Measures:

Family planning measures

The motto of family planning is-‘child by choice and not by chance’ or ‘child by desire not by accident’. The size of the family must be limited voluntarily and can be done by birth control measures and other family planning methods.

Providing education facility to the people

Spread of education among illiterate masses is a significant step in reducing the birth rate. People must be educated regarding the benefits of small family and late marriage. Education helps to increase the earning capacity of males and females, improves the status of women and creates awareness regarding family planning.

Improving status of women

High status of women is closely associated with a low birth rate. The desire to rise in the social scale develops a strong feeling for a smaller family. The educated, employed urban women exhibits a desire for small family. Efforts must be made to attract rural women to go in the direction of a small family.

Propaganda in favour of small family

More publicity is to be given regarding the benefits of a small family to the general masses. Mass media of communication like press, radio, TV, movies, internet are of great help for this.

Provision of incentives

Incentives such as cash payments and promotions in jobs, free education, preference in admission etc. could be given to the people who accept and adopt family planning.

Increasing the standard of living of people

People with higher standard of living normally opt for small family. So it is necessary to increase the standard of living.

Providing enough recreational facilities

Lack of sufficient recreational facilities has often contributed to the problem of overpopulation. People must be provided with sufficient facilities to relax and refresh. This will prevent them from resorting to sex play whenever they feel like refreshing themselves.

Internal migration

Unequal distribution of population in different parts of the country can be dealt with internal migration. It means people must be encouraged to move from the densely populated areas towards the thinly populated areas.

Provision of social security

In the absence of social security especially in old age, sickness, unemployment and accident people have tended to depend on large families for security. Poor, consider children as their wealth. It is necessary to introduce various social insurance and social security schemes to help the poor.

Reduction in infant mortality

By taking the suitable medical steps the rate of infant mortality can be reduced. If it is reduced, then parents will feel that their children will survive and live long.

5.9 SUMMARY

After independence it was believed that rising population was an asset and now we are thinking that India's rapid population growth will be checked through the process of development i.e., literacy, healthcare, employment etc. if the country wants to get rid of this problem, the only way is to administer the bitter dose of disincentives and compulsory family planning. This requires a suitable population policy. The population should aim not only at controlling the unregulated human growth but also at checking the unregulated movement of population and the increasing concentration of people in the urbanised areas, providing adequate living space and healthy environment to heterogeneous group. Family planning programme has to look inwards and treat itself as a development input in its own right. A variety of measures will have to be introduced to put the family campaign back on its feet. Legal awareness may help but more important is public awareness and responsible parenthood. Family planning will help to improve the general status of women and their health too. The goal of population control has to be jointly linked with the formulation and implementation of policies aimed at population regulation and planning for preserving natural

and human resources. Thus, only population growth may not be perceived as a problem but its relation with the availability of resources may be viewed with great concern.

5.10 QUESTIONS FOR PRACTICE

- i. Evaluate the population growth since independence.
- ii. What do you think about the reasons of population explosion?
- iii. How overpopulation impact the social fabric of society?
- iv. Discuss the benefits of family planning on masses.
- v. What can be done to control the problem of overpopulation in India?

5.11 SUGGESTED READINGS

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BACHELORS IN ARTS (LIBERAL ARTS)

SEMESTER: II

COURSE: INDIAN SOCIETY

UNIT 6: INDIAN RURAL SOCIETY: FEATURES AND CHANGING TRENDS

STRUCTURE

- 6.0 Learning objectives**
- 6.1 Introduction**
- 6.2 Meaning of Rural Society**
- 6.3 Features of Indian Rural Society**
- 6.4 Folk Urban Continuum & culture of Poverty**
- 6.5 Emerging trends/changes occurring in rural society**
- 6.6 Summary**
- 6.7 Key words**
- 6.8 Questions for Practice**
- 6.9.1 Suggested Reading**

6.0 LEARNING OBJECTIVES

The aim of present unit is to explain the meaning of rural society and highlighting the major features of Indian rural society along with changes occurring in it. After reading this unit you should be able to

- State the meaning of rural society.
- Explain what the salient features of rural society are.
- Explain what the changes are emerging in rural society.

6.1 INTRODUCTION

Indian society is predominantly a rural society having about 65% total population of nation residing in countryside. Thus, anybody who wishes to understand Indian society will have to understand the rural social structure indispensably. Though rural social structure varies from region to region, yet there are wide similarities among the ruralities like caste and family system. In this unit we shall try to know the meaning of rural society and its major characteristics specifically in the context of Indian rural society.

6.2 MEANING OF SOCIETY

Some of sociologists have attempted to define rural society based on their works, though universality of such issue is not accepted due to geographical, economic, social and cultural factors. The term 'rural society' is defined by interchangeable terms like 'villages', countryside or folk society.

According to Robert Redfield rural or folk society is 'such a society which is small, isolated, non literate and homogenous with a strong sense of group solidarity. The ways of living are conventionalized into that coherent system which we call 'a culture.' Behaviour is traditional, spontaneous, uncritical person; there is no legislation and habit of experiment and reflection for intellectual ends. Kinship, its relationship and institutions are the type of categories of experience and the familial group is the unit of action. The sacred prevails over the secular: the economy is one of status rather than the market.'

According to Dahama and Bhatnagar 'rural society comprises of all persons residing in an administrative unit of village. It is characterized by isolation, and hence the economic features develop around its regional self-sufficiency. The unit of production is the family, which tries to produce much of its required goods.

According to Long 'rural society is that where most people are engaged in agriculture and allied activities and they also constitute a big part of poor'

Generally rural society is characterized as a clusters of human population inhabited on scattered open natural space primarily engaged in agriculture, with homogeneous patterns of behavior, language and customs of social life.

6.3 SALIENT FEATURES/ CHARACTERISTICS OF RURAL SOCIETY

Rural society bears specific characteristics which make it different than that of urban one. Here we shall discuss some of the important characteristics of rural society.

1. Occupation:

One of the prime and foremost characters of rural society lies in the occupational structure. Main occupation of the rural people is agriculture and allied activities. Peasants and their families are the base of rural economy due to their total engagement in cultivation. Generally, it is concluded that 75% of the people in countryside are engaged in agricultural occupation. According to Desai 'rural society is based predominantly on agriculture. Village agriculture is sharply distinguished from urban industry by the fact that it is based on direct extraction from nature by man.' In Indian rural society prime crops grown by the peasants /farmers are wheat, paddy, sugarcane, cotton, jute, tea, chilly and various types of vegetables etc. Land is the basic means of production on which the peasants and their family members put their labour with the help of domesticated animals like, oxen, cows, buffaloes (now machines). Unlike now most of the agricultural production, in the typical rural setting, was at a subsistence level. Grazing of animals in open space was also a part of traditional rural society.

2. General Environment And Orientation Towards Nature:

Rural society is close to nature. The rural people have direct relationship with natural flora and fauna. By virtue of their work rural inhabitants usually experience sun, rain, heat, frost, drought over which they have no control. A strong belief prevails that only nature has strong role in their life hence natural phenomenon are taken with sacredness and people usually propitiate the various natural forces.

3. Isolated:

An important characteristic of the rural society is that it is usually away from the urban centers and is considered as an isolated setting having its own territory and having different social, cultural characteristics. Physical mobility of the rural people is usually restricted to a narrow area.

4. Size of community:

Rural society is small as compare to the urban one. Usually few hundred people reside in an ordinary village with almost direct link with each other. As there is wide size of land and population is scattered. In urban area size of community is comparatively quite large due to concentration on some specific places.

5. Residential Patterns:

Different rural societies in the world have peculiar residence patterns or physical structure of the housing due to geographical and other reasons. In case of Indian rural society, except the hilly terrain, most people of countryside reside in the concentrated dwellings. In the traditional rural society most of the houses were muddy and roofs were connected. The most streets in the villages were congested one. Adjacent to house there used to be some place known, as *Warha*, *haveli etc*, for the animals. By and large all the family members used to take care of animals.

6. Density of Population:

The density of population per square kilometre /mile is less in the rural areas. According to Desai 'generally density and rurality are negatively correlated.' In urban areas where big clusters of population come into being due to variety of work available to the different people hence the density of population is quite high.

7. Homogeneity Vs Heterogeneity:

Another important feature of rural society is the homogeneous nature of rural people. According to Chitambar homogeneity or similarity of such social and psychological characteristics in the population as language, beliefs, mores and patterns of behavior is found much more in rural than in urban areas.

8. Joint Family System:

In the typical rural society, particularly in our country, most rural population used to live in joint family system. In many houses four generations living together could be found. As land was the prime means of production and more muscle power used to be required, most ruralities lived together. Another fact associated with this phenomenon was that rural people used to feel more secure in big families due to tribal elements in the countryside.

9. Social Stratification and differentiation:

Stratification is a hierarchical division of people in different societies. In rural society the people are less stratified or differentiated. In urban areas stratification is quite sharp as one industrialist may earn lakhs of rupees per day with more social status whereas a worker may earn a few hundred rupees and have low status also. In village most people have not much sharp economic differentiation due to limitation of crops production and profits to the people. So in a typical rural society social differentiation and stratification is less as compared to urban areas. Stratification based on caste is comparatively more intense in the rural society. In many villages different castes were having caste wise concentration. Sir Risely a noted scholar writes that caste is a collection of family or group of families bearing a common name, claiming a common descend from a mythical ancestors, human or divine ; professing to follow the same hereditary..... and regarded by those who are competent to give an opinion as forming single homogeneous community. Caste system in Indian society plays an important role in economic, social and cultural aspects of life of the people.

10. Social Mobility:

Social mobility means change from one social group to another, adoption of new occupation from the old one, movement from one territory to another etc. In the rural society mobility or changes in grouping and occupations is very less. In the context of Indian rural society it was little more difficult to move due to orthodoxy of caste and religion.

11. Prevalence of fatalism and traditional value:

According to A. R Desai the mind of rural people is usually gripped with fatalism and even crude form of religion. Animism, magic polytheism, ghost beliefs and other forms of primitive religion are rampant among the rural people. Traditional value system also plays a strong role among the rural people.

12. Social Interaction:

In rural society social interaction is quite intensive. As there is small community size and area of interaction is quite narrow, people have usually face to face and direct or primary relations. Simplicity, sincerity and transparency in behavior are largely found in the rural setting.

13. Social Control:

There are more informal means of social control in rural society. As role of social values, religion, families, mores and pressure of community is intensively followed hence human behavior is controlled largely with these means than formal laws as found in urban areas. Even role of village panchayat is very intense in rural society. Many petty issues are settled at village level by the panchayat.

14. Religious Orientation:

Rural society, particularly Indian, is also characterized as a religious society. In this regards Desai writes that the religious outlook of the rural people dominate the intellectual, emotional and practical life. It is difficult to locate any aspect of their life which is not permeated with and coloured by religion. Even different deities were designated for different purposes, like of rain, fire etc. Role of magic and shamanism was quite popular in traditional rural society.

15. Leadership patterns:

Leadership patterns in rural society are more traditional. Role of land is also very important in the village life because most of the state officials and institutions interacted with land owning peasants/farmers. Choice of leadership is also based on personal contacts and informal means.

16. Standard of Living:

Infrastructural facilities, such as metalled (*pucca*) roads, lack of transport means, markets, recreational facilities, health and education facilities which determine the status of living, are less in comparison to urban setting hence low standard of living in countryside.

17. Social solidarity:

Social solidarity is more profound in rural society than urban society. Due to homogeneity in living patterns, social cohesiveness, strong kinship bonding, preference for intense social knitting, social solidarity among the rural people is an important characteristics of rural society.

18. Position of Women:

In the traditional rural society the position or status of women was very low as compared to urban ones. Even the religious and cultural texts depicted women in lower esteem. Hindi

poet Tulsi Das wrote, “*Dhol Ganwaar Shuder Pasu Nari, Sakal Tarhana ke Adhikari*” meaning that Drum, lunatic, Sudra, animal, women, all deserve continuous suppression).

6.4 FOLK URBAN CONTINUUM & CULTURE OF POVERTY

Based on his empirical research work Robert Redfield’s study, ‘The Folk Culture of Yucatan’ propounded this concept. He concludes that in folk-urban-continuum, folk society comes in contact with urban civilization and inherits certain characteristics. Thus the folk society has certain characteristics of folk and certain characteristic of urban. It is between literate and illiterate, between developed and undeveloped societies. Folk society is losing its characteristics because of urban contact. Isolation, kinship system, group feeling and homogeneity is no more there.

6.5 EMERGING TRENDS/CHANGES IN THE RURAL SOCIETY

As we know that nothing is static in this world and so is with rural society. Due to a variety of factors such as economic, demographic, technological, etc rural societies across the world are experiencing perceptible changes in their structure. According to A.R. Desai in the medieval age, the town and the village lived almost independent of social, economic and cultural existence. This separatism was increasingly undermined as a result of the extension and wider and wider ramification of modern means of transport and communication all over the country and resultant closer and closer contact with urban population.

1. Reducing rural isolation: One of the visible changes in rural society is the reduction in isolation. Gone are the days when rural people rarely visited the urban areas due to *kucha* roads and lack of transport facilities. Now most villagers, particularly in north India, can visit daily to cities and go back. This has happened due to road connectivity and availability of transport means. Now most of the villagers have even their own vehicles and the travel easily to various places. Horton & Hunt writes two generations ago isolation of rural life could be measured by the contrast between the styles shown in the Sears, Roebuck catalog and those on the pages of a metropolitan newspaper. Today the styles are similar. The automobile and good roads have wrought a transformation of rural and village life which is difficult for the present generation of students to appreciate. Thousands of small villages are no longer self-contained communities, as good roads have come up with their trade, their store keepers, professionals, and their recreation to nearby city.

2. Commercialization of Agriculture: About half a century ago most of agricultural activities and production was at the subsistence level. Peasants used to produce for self consumption or at the most barter at local levels the different crops to run their life smooth. Farming used to be a way of life which called for no special knowledge beyond that which farm youth absorbed unavoidably as they grew up. Today farming is a highly complex operation demanding substantial capital and specialized knowledge. The most successful farmers today not only use the latest farm technology but also study market trends and trade in commodities futures more actively. Now even big corporate are entering in the rural society for commercial ventures. Further folk beliefs are being replaced by the use of scientific knowledge.

3. Decreasing proportion of population in rural areas: Due to the penetration of technology in rural society, good education facilities, mass media and commercialization of agriculture, sub division of land holding, lot of people are shifting from rural to urban areas or even abroad. In 1901 about 98% Indian population was in the villages but now about 65% is left in countryside. And if this trend continues, it is estimated by 2050 about half of total Indian population will be found in the urban areas. In this process old arts and skills found with ruralities are also vanishing.

3. Rise in standard of living: Due to economic development, political ideology, changes in the occupational structure rural people achieving higher standard of living, means having a good house, availing good educational and health facilities, good roads machinery, household gadgets, vehicle for transport etc which were not available in the primitive rural society.

4. Decline in importance of primary associations: Old social institutions in rural society are changing fast. Joint family system is being replaced by nuclear families. Empirical studies showed that now about 60% rural families are nuclear. Role of religion is also declining in the rural areas. The new generation, particularly, is going away from religious practices and rituals. Old long ritualized practices of marriages, deaths are now quite short. Old political set up is being replaced by elected Panchayats.

5. Change in position of women: Due to a variety of reasons rural women are getting higher status in the rural society. They are now becoming equal partners' in political structures through Panchayati Raj Institutions, (village Panchayat, Panchayat Samitis, Zila Parishads), state assemblies and even in Parliament

6. Changes in Social relations. *Jajmani* system: In Indian rural society role of caste and untouchability was quite immense. Now social relations based on caste and untouchability are changing very fast. Untouchability is an offence now and any one found practicing it shall be punished. **Jajmani** system, in which contractual relationships were rigidly defined for different castes, has strongly been changed.

7. Changed education system: In the traditional rural society, education used to be given largely by religious institutions. Now the scenario has changed. The spread of schooling structure in rural areas all people of rural society are getting education whereas in the past some sections, particularly downtrodden, were prohibited from getting education.

6.6 SUMMARY

Rural society is characterized by isolation, having prime occupation as agriculture, with low density of population, possessing strong solidarity, coupled with fatalism, religious orientation and women were put on lower rung of social structure. Now rural society is under perceptible changes. According to Horton and Hunt the farming has become the part of market economy, the attitudes appropriate to a subsistence economy died out. Farm people today appear to have as avid an appetite for new cars and color television set as urbanites. In other words rural people are being exposed to new technology, hence perceptible changes in all spheres of rural society and hope with more technological penetration changes in the rural society are expected more and at higher speed.

6.7 KEY WORDS: Rural Society, Agriculture, subsistence economy, solidarity, market economy, changes

6.8 QUESTIONS FOR PRACTICE

1. What do you mean by rural society?
2. Highlight the features of rural Society.
3. Discuss the changes emerging in the rural society.
4. What do you mean by folk –urban continuum and culture of poverty?

6.9 SUGGESTED READINGS

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BACHELOR IN LIBERAL ARTS

SEMESTER: II

COURSE: INDIAN SOCIETY

UNIT 7: URBAN SOCIETY IN INDIA: FEATURES AND CHANGING PATTERNS

STRUCTURE

7.0 Learning Objectives

7.1 Introduction

7.2 What is an urban and urbanization?

7.2.1 Urban-Rural Divides

7.3 The Urban society in India

7.3.1 Features of urban society in India

7.4 Changing urban scenario of India:

7.5 Summary

7.6 Questions for Practice

7.7 References and Suggested readings

7.0 LEARNING OBJECTIVES:

In this unit we are introduced to a very complex social phenomena i.e. urban society, especially in India. In this chapter, you will learn about what is the meaning of being urban and when any area becomes an urban. We also will understand the meaning of related terms like Urbanism, Urbanization, and Slums etc. And main differences between urban and rural society will be discussed. Definitely you will know about some prevalent features of urban society in India and we will discuss some prominent changing patterns at the end.

In short we will take following objectives for discussion as learning objectives:

- What is an urban?
- What is the meaning of urbanization and its present situation in India?
- What are the main features of urban society in general and in India particularly?
- What are the problems of urbanization?
- What are the changing patterns of urban society in India?

7.1 INTRODUCTION:

Urbanization is a complex socio-economic process, intimately shifting the spatial distribution of a population from rural to urban areas with push and pull factors. It affects the demographic and social structure of both urban and rural areas. The contemporary world in the wake of globalization is passing through dramatic changes. The uneven economic development of urban and rural areas combined with a large pool of surplus labour has pushed the large number of rural workforce to the urban areas. A prime feature of industrial societies today is that a majority of the employed population works in factories, offices or shops rather than involved in agriculture. And majority of the people live in towns and cities, where most of the jobs are to be found and new job opportunities are created. The rampant urbanization is the phenomenon of the 21st century. For the first time in history, more than 50 percent of the world's population will live in urban areas. According to UN projections, if the current rate of urbanization continues, the urban share of the global population would reach 60 percent by 2030. The urbanization has brought unprecedented change by its unique nature and created highly populated urban areas in every part of the world. So this massive increase of population in the urban areas caused deterioration in the physical environment and quality of life (Sandhu, 1995).

This was the Industrial Revolution (began in Britain in the late eighteenth century) the broad spectrum of social and economic transformations that surrounded the development of new technological innovations such as steam power and machinery. The rise of industry led to an enormous migration of peasants from the land to factories and industrial work, causing a rapid expansion of urban areas and ushering in new forms of social relationships.

The development of Western Capitalism created new systems of inequality marked by the displacement of the poor from rural areas and the concentration of wealth in the hands of the few people.

The related development of urbanization and industrialization also planted the seeds of the social problems that continue to confront us in the late twentieth century urban crowding and the development of slums, pollution and waste, poverty, crime and new tension in family life.

Activity 1

- You may define the relationship between Urbanization and Industrialization.
- How unplanned and uneven industrialization leads migration and urbanization of poverty?
- How urbanization responsible for economic growth?

Urbanization is responsible for the overall development of a nation in general and the economic development in particular (Sandhu et.al. 2003) A close relationship is said to exist between the level of urbanization and economic development. Urbanization is also associated with modernization. However, benefits of urbanization need not be uniform over time, space and different socio-economic groups of people (Neog, 1995). According to the Global Report on Human Settlement (UNCHS, 1996) the countries in the south that urbanized most rapidly in the last two decades are generally also those with most rapid urban economic growth and most of the world's largest cities are in the world's largest economies, which is further

evidence of this link between economic wealth and cities. In India, cities account for over 55 percent of the country's GDP and more than 90 percent of total government revenues. Delhi, Mumbai and Kolkata contribute around 60 percent of the total value added in manufacturing (Hindustan Times, September 6, 2005).

7.2 WHAT IS AN URBAN AND URBANIZATION?

The city and the town are grouped under the category of urban and the rest are named as rural. As we all know that an urban area has a high density of population, but a city cannot be defined in terms of density of population only. It must be taken of absolute population and absolute area. But there is verity of definitions to define an urban area. In general, urban life is the product of complex social forces. They may produced by population momentum, immigration of rural people, availability of modern means of transportation and communication, markets, trade centers, and influences of industrialization.

Taking up the social aspect of an urban area, the city is a way of life. The word 'urbane' suggests this way of life; it indicates fashionable living, wide acquaintance with things and people and political manner of speech. Louis Wirth's concept 'urbanism' also denoted to that process by which inhabitants of urban areas interact with the built environment.

Activity-2

As you know there are causal connection between the demographic features and social features of an urban community. An area can be demographically urban but socially more rural than the one which is demographically rural and socially more urban. Can a rural area be designated as 'Urban'?

Secondly, urbanization is a worldwide phenomenon and it is irreversible. The term 'urbanization' denotes an increase in the urban population. It may be happen by natural increase in population in urban areas or by migration of people from rural to urban areas. Urbanization exercises an influence on all aspects of society, affecting the nature of economic development, and demographic, ethnic, and all other social processes. In the other words, urbanization means a breakdown of traditional social institutions and values. According to Rao (1974), under the influence of urbanization in India, caste system has been shaken and transformed into class system, nuclear family system has also been emerged and religion may became highly secularized.

In India, urban centers are notified by government by using different methods. These towns are known as statutory towns and always have distinct administrative bodies like municipality, corporation etc. In addition to statutory towns, there are census towns also. The census accepts all statutory towns notified by the government. The census has developed criteria to define urban centers and cities. According to census an urban center must contain;

- Must have a local authority like municipality, corporation etc.

- A minimum population of 5000 or above
- At least 75 percent of all adult male members must be engaged in non-agricultural pursuits
- A density of population of at least four hundred (400) persons per square kilometer.

The census of India distinguishes three categories of human settlements based on size and density of population; city, town and village.

<p>Further cities can be classified as follows, Class I Cities whose population is 100,000 and above, Class II has 50,000 to 99,999, Class III 20,000 to 49,999, Class IV 10,000 to 19,999, Class V 5,000 to 9,999, Class VI less than 5000.</p>
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- A human settlement with a population of 1, 00,000 or more is called a city.
- A town should have at least a population of 5,000 or more.
- A village has a population of less than 5,000.
- The local self-government system of a city is called corporation, at the town level municipality, and a village has a panchayat.

7.2.1 URBAN-RURAL DIVIDES:

It is difficult to frame a universal definition of the term 'urban' but we may understand the concept by discussing the distinction between 'rural' and 'urban' areas. Sorokin and Zimmermann used occupational point of view to distinguish the 'rural' from 'urban'. Before discussing these points we may recognize that the perception of a village in Asian continent may be entirely different from that in Western regions. It is not easy to demark clear cut line between urban and rural areas. We cannot demarcate where a village ends and a city begins. And the difference between village and city is one of degree rather than of kind. We may see the following points given by Sorokin and Zimmerman for the understanding of rural-urban divides:

- Occupation: In the rural community usually a few representatives of other non-agricultural pursuits. But people from urban centers always engage in non-agricultural pursuits.
- Environment: People in rural areas lives in direct relationship to nature and predominance of nature over anthro-social environment is the main characteristic of the rural world. But people from urban areas lives in great isolation from nature. Predominance of man-made environment over nature is prevalence in the urban world.
- Density of Population: Generally density at rural areas is less than urban communities. Population density is always high at urban centers than rural areas because due to urban pull and rural puss people are tending to migrate towards urban areas.
- Size of community: Size of community is always small at rural centers than urban areas.

- Homogeneity of the population: Compared with urban population, rural communities are more homogeneous in racial and psychological traits.
- Social stratification: in the rural communities social stratification and differentiation are mainly based upon caste and other social aspects but in urban centers it is based upon class and other economic aspects.
- Mobility: Rural communities usually do their traditional occupations, because of that there are very less scope of upward mobility, at the same time in urban world, territorial, occupational and other forms of social mobility of the population are comparatively more intensive.
- System of interaction: Urban area is usually predominating by impersonal, casual and short-lived relations. But in the rural centers system of interaction is always based upon personal and relatively durable relations. Comparative simplicity and sincerity of relations are present over there.

Activity-3

With the above discussion, we may draw some features of rural-urban divides in Indian context.

David Pocock rightly pointed out that in India there is no dichotomy between the village and the traditional city. But there is a great difference between traditional Indian cities and the colonial Indian cities. He said that in the Indian context, urbanization is not equal to western world.

However, there are differences, in terms of property relations and interpersonal behavior patterns within the joint families in the urban contexts. There are different types and degrees of interactions between towns and villages.

7.3 URBAN SOCIETY IN INDIA

7.3.1 FEATURES OF URBAN SOCIETY IN INDIA

The following features are prevalent in contemporary urban society in India.

- Social Heterogeneity: When a large population concentrated in a small area social heterogeneity might be there. High density leads to competition for space and other advantages and further it forced people for specialization. The cities always have variety of people from different professions and cultures. Due to their different concerns and area of belonging social heterogeneity can be consider the feature of urban India.
- Social Control: In cities informal agencies of social control are not very effective like villages. The city usually promotes the feeling of alienation and loneliness. Social control became a big issue in cities. Formal agencies might be helpful to control the people but not fully effective.
- Voluntary Association: unlike its rural counterparts urban India is a representative of voluntary associations. The size, close proximity, diversity and easy contact, makes it the perfect setting for voluntary associations. In such associations membership does not depend on kinship or other ascribed identities. There are a variety of clubs, and other different associations.

- Individualism: The feeling of individualism might be necessary because cities are known for professionalism and very less scope for recreation. The competitiveness of the city life gives very less time for the family care and commitments that are found in traditional communities. As a result, competition for all advantages, professionalism, self-interest and individualism tends to grow in urban people.
- Social Mobility: Urban areas are known for its multidimensional nature and variety of opportunities is there. It promotes great economic and social mobility. In the city person can raise or lower her or his status by their efforts. Because all status are open to achieve. It promotes an open stratification system characterized by inequality.
- Greater Inequality: In urban centers there is existence of both extreme poverty and inequality. Due to unplanned economic growth and industrialization unskilled people tends to migrate to the cities. They are not welcomed by the very professional nature of cities. On the other hand monopoly over business and sources of production creates high level of inequality. Urban slums and elite clubs are notable examples of greater inequality in cities.
- Spatial Segregation: Indian cities are characterized by its traditional spatial segregation. The centre of the city is monopolized by functions of basic importance to the whole city. Centre of a traditional city might be occupied by any religious place.

7.4 CHANGING URBAN SCENARIO OF INDIA

Urban India has increased by more than ten times in size of population in 10 decades from 25 million in 1901 to 285 million in 2001, which is 28 per cent of the total population. By 2020, urban population will be 40 per cent of the total population and by 2050 the figure will be 50 per cent. India's cities are growing at a rate which is much faster than the rest of the world, including China's. Mumbai for instance had a population of 28 lakh in 1951 and was the 17th largest city in the world. Today it is the world's sixth largest with 18.3 million people and in the next ten years it is expected to become the second largest, next to Tokyo. Also by 2015, three more Indian cities Kolkata, New Delhi and Hyderabad will be among the 15 most populated cities in the world. What these numbers say is that even though India's urbanization process has been slow, the absolute figures are impressive, and problematic. Urban India is coming apart at seams.

An analysis of the distribution of urban population across size categories reveals that the process of urbanization in India has been large city- oriented (Kundu, 2003). This is manifested in a high percentage of urban population being concentrated in class 1 cities which have gone up systematically over the decades in the last century. The massive increase in the percentage share of class 1 cities from 26.0 in 1901 to 68.7 in 2001 has often been attributed to faster growth of large cities, without taking into consideration the increase in the number of these cities.

7.5 SUMMARY

Though, the relationship between urbanization and economic growth is visible in all over the world. Large urban centers are always big economies. But the ultimate aim of economic growth must be for the betterment of living conditions of the poor. Economic growth that does not lead to sharp and sustained reduction in poverty may create more problems than it solves (Jha, 2000). Urbanization is however, a positive sign of economic development in any country and important for socio-economic development of the people and is to be encouraged but we require more of urban planning to do that. Due to the concentration of industries near the existing cities, unplanned urbanization and unabated migration and concentration of poor population from the rural areas to the urban settlement, numerous problems of very complex nature have emerged. It has created social and economic imbalances. The migration has strained infrastructure facilities in the cities to the breaking point. The intermixing of various land uses has created confusion and chaotic conditions. Urbanization of poverty is a dominant trend in the developing world and it has become the most challenging problem of the world in the 21st century (Sandhu, 2001). Half of the poor lives in the urban areas. Urban poverty leads to proliferation of slums. According to estimates half of the urban poor lives in slums. Under the assumptions made, the reduction in poverty will be higher in rural areas than in urban areas due to the fact that relative inequalities are more pronounced in urban areas.

In India, Rapid urbanization has put tremendous pressure on existing infrastructure and public services; population too is on rise and most strikingly, the population of the urban poor is increasing in many developing counties/cities (Kumar, et. al., 2003) There has been acute housing shortage in the urban areas with the result that the cities face very grim situation with increasing number of shanty dwellers, squatters, pavement dwellers, and slums in all metropolitan and other cities throughout India. There are areas which are full of confusion and their problems are negative in character. Such areas of extreme negative character are called slums. Having migrated to the city in hope of better livelihoods, most end up living in poor under serviced settlements because of high land prices and lack of affordable/better quality shelter in cities.

7.6 QUESTIONS FOR PRACTICE

1. Write a note on the relationship between Urbanization and Industrialization.
2. How unplanned and uneven industrialization leads migration and urbanization of poverty?
3. How urbanization responsible for economic growth?
4. What do you mean by urbanization?
5. Write about Urban-Rural divides.
6. Write a note on urbanization in India.

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BACHELOR IN LIBERAL ARTS

SEMESTER: II

COURSE: INDIAN SOCIETY

UNIT 8: TRIBAL SOCIETY IN INDIA: MEANING, TYPES, FUNCTIONS AND CHANGING PATTERNS

STRUCTURE

- 8.0 Learning Objectives
- 8.1 Introduction
- 8.2 Historical Context
- 8.3 Definitions
- 8.4 Demographic Structure
- 8.5 Theories regarding Tribals
- 8.6 Social Formation of Tribals
- 8.7 Constitutional Provisions for Tribals
- 8.8 Modern Changes in Tribal Society
- 8.9 Summary
- 8.10 Key Words
- 8.11 Suggested Readings

7.0 LEARNING OBJECTIVES

After the completion of this unit, you will be able to learn:

- Meaning of Tribal Society.
- Understand the types and functions of Tribal Society.
- Evaluate the changing patterns.

8.1 INTRODUCTION

Tribals were originating from one of the oldest ethnological sections of population, usually known as aboriginal people or 'indigenous inhabitants' of a region. They are generally socially, educationally and economically deprived groups for centuries, living in geographical isolation all over world hence called son of soil. Tribe is a group of people who share common patterns of communication, territory, cultural characteristics, and religious belief. Since time immemorial, the different groups and sub groups of tribals live in the forests, hills, deserts, naturally isolated; in varying environmental and ecological conditions in different parts of the country. The word used for the tribe is *Adivasi* which comprise of two

words *Adi* means aboriginal and *vasi* means inhabitants. The other popular names of tribals are vanyajati, vanvasi, pahari, adimjati, janjati, and anusuchit janjati or schedule tribe (*Constitutional Name*).

If we see the historical context, we would find that Tribals were an integral part of the Indian civilization. It is believed that they were the earliest among the present inhabitants of the country. The ancient and epic literature, the Vedas, the Purans, the Ramayana and the Mahabharata, presents good accounts about the tribal people. During the British period and post independent period tribals faced lots of problem regarding their land, forest ownership, conversion and tribal identity.

In India tribal population do not constitute a homogenous entity. There are around 705 Tribals (with about 170 sub-groups/ segments), inhabiting in 26 states and 4 union territories. The tribal population of India has been found to speak 105 different languages and 225 subsidiary languages.

Tribals in general a unified society, an insignificant population and are found in isolation, within hills and forests. The social life of tribals is very specific in nature and has their own ways of life. The four main qualities of tribals are distinctiveness; smallness; homogeneity; and self-sufficiency.

The process of identification of tribals is based on the procedures and provisions made in the constitution of India. The criteria followed for specification of communities, as schedule tribals are indications of primitive traits, distinctive culture, geographical isolation, shyness of contact with the community at large, and backwardness. There is no religious criterion for this purpose and a tribal can belong to any religion.

8.2 HISTORICAL CONTEXT

- ***Tribals in ancient India:*** The tribals in the early historical period appeared to have lived in a state of internal movement cutting across the country and their movements were generally guided by the rivers, valleys and destinations were the hills and the forest regions of the country. Tribals were an integral part of the Indian civilization. It is believed that they were the earliest among the present inhabitants of the country. The ancient and epic literature, the Vedas, the Purans, the Ramayana and the Mahabharata, presents good accounts about the tribal people. During the long Hindu period of Indian history only a few scattered references of tribals were there. Their history cannot be traced exactly because of the unrecorded past. There has been continuous migration during the historic period; therefore, it is not possible to locate their original place in the absence of records.
- ***Tribals in medieval India:*** Before the medieval period tribals enjoyed sovereignty, but during the medieval period, the tribal people all over India, were harassed and disturbed by Muslim rulers or by the regional rulers. Those tribals who came into

direct conflict were destroyed. Some tribals gradually lost their status and were converted into Islam.

- ***Tribals in modern India:*** Prior to the intervention of the outside agencies i.e., Britishers, tribal people had free access into the land owned by their respective communities; individual ownership of land was unknown in their customary rule. During the British period several tribal groups faced the problem of conversion into Christianity, they created factions into two sections, i.e., tribals and Christian tribals. The conversion as well as the excluded area policy gave rise to a somewhat separate identity in the minds of the tribals of the region.
- ***Tribals in Independent India:*** The situation of tribals in the country after the independence also was not very satisfactory. They were worse than the agrarian folk. The plight of the tribals was poor because of the exploitation made by the non-tribals. The colonial and the triumvirate of trader, money lender and revenue farmer in sum disrupted the tribal identity to a lesser or greater degree. Unbridled exploitation was the root cause of their too loss of land, backwardness, illiteracy and above all a poverty-stricken life. The intensity of tribal exploitation was not similar all over the country; it differed from region to region. Even today, since the tribal people live within the forest coverage and or near the forest and hills, their dependence on forest still prevails. Forest and hills influence their livelihood, personality, world-views and ideology.

8.3 DEFINITIONS

- The term tribe/tribal originated around the time of the Greek city-states and the early formation of the Roman Empire. The Latin term Tribus has since been transformed to mean “A group of persons forming a community and claiming descent from a common ancestor” (Oxford English Dictionary, IX, 1933, pg-339).
- Tribe is a group of persons with a common occupation, interest, or habit, and a large family. (Morris, 1980, pg-1369)
- The term tribe has assumed different meaning in different historical contexts. For the first time Ghurye (1943) brought forward a wealth of evidences from classical, medieval and modern sources to demonstrate the interpretation of tribal cultural practices and social organized.
- According to dictionary of Anthropology “A tribe is a social group usually with a definite area, dialect, cultured homogeneity and unifying social organized. It may include social sub-groups, such as sib or villages”. (Vidhyarthi & Rai)
- Piddington (1956) says that “A tribe is a group of people speaking a common dialect, in habiting a common territory and displaying a certain homogeneity in their culture”. (Vidhyarthi & Rai)
- Hoebel (1949) opines that “A tribe is a social group speaking a distinctive language or dialect and possessing a distinctive culture that marks it off from other tribe it is not necessarily organized politically”. (Vidhyarthi & Rai)

- Lucy Mair defined a Tribe as an independent political division of a population with a common culture. (*Upreti*)
- The meaning of tribals shifts uneasily with changing world views. Its earliest usage refers to a group of people who live in primitive or even barbaric conditions under a chief or head man. Tribe came to mean a group connected through descent from a common ancestor, organized around an ascribed status structure'. (*Macmillan Encyclopedia*)

8.4 DEMOGRAPHIC STRUCTURE

In India tribal population do not constitute a homogenous entity. There are around 705 Tribals (with about 170 sub-groups/ segments), inhabiting in 26 states and 4 union territories. The tribal population of India has been found to speak 105 different languages and 225 subsidiary languages.

According to the 2011 Census Total population in the country is 1,21,05,69,573, out of these 10,42,81,034 are classified as Schedule Tribals with 5,24,09,823 males and 5,18,71,211 females. The tribal population of India constitutes 8.6% of total population of the country and majority of them reside in the rural areas (90%).

If we distribute the tribal population state-wise than we will find that the highest proportion of tribal population resides in north eastern states namely; Mizoram (94.4%), Nagaland (86.5%), Meghalaya (86.1%), Arunachal Pradesh (68.8%), Manipur (35.1%), Sikkim (33.8%) and Tripura (31.8%). Apart from north eastern states tribal population in Lakshadweep islands comprises of 94.8%.

Numerically the major share (67%) of the tribal population of the country is in the central belt which includes seven states viz. Madhya Pradesh, Chhattisgarh, Jharkhand, Maharashtra, Odisha, Rajasthan and Gujarat. The highest tribal concentration is in Madhya Pradesh, which is 14.7% of the total tribal population of India followed by Maharashtra (10.1%) and Odisha (9.2%). These three states together comprise 19.3% tribal population to the country.

8.5 THEORIES REGARDING TRIBALS

▪ THEORY OF ISOLATION-

Varrier Elwin after his research on tribals gave the isolationist theory also known as 'National Park Theory'. According to him the tribals living in the interior parts of the country had a happy life and they are away from the evils of civilized society. He also argued that if tribals were allowed to break their isolation and began to mix with the non-tribal society, they would suffer and acquire all bad habits from them. He also suggested that tribals should be encouraged to retain their isolation in the hills and forests.

▪ **THEORY OF ASSIMILATION-**

A.V. Thakkar and G.S. Ghurye advocated this theory. According to Ghurye, a large section of tribals has assimilated in the Hindu/Christian society. These tribal groups had accepted Hindu gods, goddesses, festivals, ceremonies, rituals, customs and traditions etc. He coined the word 'backward Hindus' for tribals.

▪ **THEORY OF INTEGRATION-**

D.N. Majumdar gave third approach. He argued that there was nothing substantial in the argument of keeping the people in isolation from the main currents of society. He also said that it is not justified that one segment of the society should be deprived from the benefits of modern technology in the name of keeping away from the civilization evils. He pleaded for the integration of tribals in the mainline civilization.

▪ **NEHRU'S APPROACH-**

Jawaharlal Lal Nehru was very conscious of the poor conditions in which the tribals lived. He had observed the evil impact of British Raj on the tribals of the country. He was aware that The British government challenged the authority of tribals on forests and usurped the forest lands and restrictions them to access forest products, cultivation of forest and village common lands. Nehru disapproved the assimilation theory and argued that the tribals were not Hindus. They were inhabitants of forest and hills and need more safety and security. He explicitly made his tribal policy very clear and propounded the theory of *Panchsheel*, i.e., five principals for approach to tribal society. His major contention in his theory was that the state should not impose anything on the tribals. They have their own traditions, customs, rituals, religion and culture; therefore, any social change or cultured change should not be imposed on them.

8.6 SOCIAL FORMATION OF TRIBALS-

Tribals in general a unified society, an insignificant population and are found in isolation, within hills and forests. The social life of tribals is very specific in nature and has their own ways of life. The four main qualities of tribals are distinctiveness; smallness; homogeneity; and self-sufficiency. The Tribals have all intermingled organizations i.e., socio-economic, socio-political, religio-economic and so on. Tribals have their own structure and organization, a common name, dialect, culture, behavior, tattoos, full faith in their deities; leaders; and priests. They form a small community of their own in a particular territory and their relations are direct and intimate. They have retained their customs, traditions, practices and regulations and are guided by their own elders or chiefs in their internal and external affairs. Almost all the tribal communities have more or less similarities found in the composition and functioning of their family. They neither have joint family like traditional Hindus, nor do they have modern nuclear family. The institution of succession and inheritance with a little variation is more or less common in all the tribals. Family is regarded

as the first agency of socialization. Family imparts the knowledge of culture; traditions; knowledge of forests, agro-economic activities, and indigenous skills to new generation.

Tribal political associations are of various kinds and incorporate individuals, elders, families, a clan group, a village and a tribal territory. The political institutions are mainly of five kinds, viz. the council of elders; the village headman; the village Panchayat; the union of villages; and the tribal chief. Political-oriented activities were also very important and powerful among tribals. Tribal chiefs were among the most respected persons among them. For all the disputes the decisions of tribal chiefs were final and nobody could challenge their decisions. In the post-independence period, with the inauguration of formal Panchayati raj institution gave a set back to the traditional panchayat. Due to increasing interference of police and courts, the powers of tribal leaders are now totally reduced or they become powerless.

The socio-economic structure of tribals is distinctly different from that of the non-tribals. They have a very simple technology which fits well with their ecological surroundings and conservative outlook. The structure of the tribal economy is generally based on forest products. The simple technology and absence of technological aids is the other structural feature of the tribal economy. The family is a unit of both production and consumption. The communities itself works like a co-operative unit. The distribution is generally based on gifts and ceremonial exchange. The other features of tribal economy are the absence of profit in economic dealing and presence of periodical markets. The tribals obtain their numerous requirements from the area they inhabit with the help of most simple implements and without any technological aid from outside.

Religion of tribals in India is very unique and different from non-tribals. They live in their own religious world, practicing some distinct and typical religious rituals and are considered as having a separate religious identity. Several religious agencies tried to assimilate the tribals into their religious culture to help in breaking their isolation. Several Christian missionary, Bodhand Hindu religious bodies have attempted to assimilate (convert) tribals into their religious structure. The conversion of tribals by different religious agencies generates a crisis of their identity and ethnicity, and it has often disrupted the tribal cultural fabric or social solidarity. As per the census of India 2011 about 90% of the tribals in India were considered Hindus, 6 percent were Christians, and rest 4 percent were others.

Cultural Practices of tribals is also very different and uncommon in comparison to so called developed world. They have their unique tradition, customs, leisure and lifestyles. The group-oriented activities were the most important leisure in the tribal region. The most important group-oriented activity of village was *chaupal*. *Chaupal* was the lifeline of male villagers and all the major discussions from local to international, gossiping and smoking *hukka* for hours there. Daily debates as well as village decisions were the main attraction of *Chaupal*. Aged villagers were the given respect at the time of discussions. Village wells were also very important for females, not only to fetch the water but also to chat, gossip and discuss the daily family life. The other leisure activities were village *melas* /fair in tribal area. *Melas* were very popular and attended by large crowds due to various reasons. These *melas*

serves multiple purposes but one of the most important aspects of it relates to the leisure activity and recreational life of the tribal people. During *melas*, tribals (both male and female) dress good and clean clothes, wear ornaments and enjoy shopping (new artificial ornaments, bangles, fashionable items, local weapons, toys and other essential items), selling their products, watching circus, dances, puppet shows and *swaang* etc.

Majority of tribals are considered to be a part of Hindus, therefore influence of Hindu cultural and religious practices can be seen in the tribal areas. The celebration and feasting during religious occasion were also the important core activities, and group participation was an essential ingredient. *Ramleela* was enjoyed by the tribals with great enthusiasm. During *holi*, *gangaur*, *teej*, and other festivals as well as marriage and child birth ceremony, tribal females sing traditional songs. Besides these major celebrations many other activities and local festivals take place which have been celebrated for hundreds of years past. The occasion may be the day of a particular god or local deity. Bathing during particular days and months in the reservoir also has traditional and religious significance. Many people (male and female) do fast during these occasions. During fast and festivals, preparations of special dishes were dedicated to god as well as distribution to Brahmins, cows, dogs, and crows were a unique feature of leisure. Religious activities also include occasional as well as daily *Bhajan* and *kirtan* in temples during morning and evening hours.

Traditional games like *kho-kho*, *kabbadi*, *hocky*, *kusti*, *gilli-danda*, *mardadhi*, *sitolia*, *kanchae*, rounder, playing cards, *shatranj* and *chaupad* etc. which were main leisure pursuit of tribals. The other traditional ways of employing leisure were activities like road side games of dice and *pawns*, *lattu*, acrobatics and jugglery, idolatry etc. Swimming in *kund* / *johad* and Listening radio was the most common means of leisure activities among tribals.

Family-oriented activities like folk songs, dances, music, during festivals and marriages were the main leisure activities for the tribal people. During the festivals females decorate their houses with *maandna* and *rangoli*; group songs and dances during nights, visit their relative's house and prepare delicious food. The arrival of guests and relatives were also the occasion of celebration. During marriages celebration was started fortnight before. A marriage or child birth in any family was celebrated by whole community. Marriage is also very important institution of society. In the past the rituals or the religious activities in the marriage were of very little significance and full of simplicity. It was more of a contract based on cooperation and reciprocal needs. Generally, marriage takes place at a late age and full liberty were given to the couples to understand each other.

8.7 CONSTITUTIONAL PROVISIONS FOR THE TRIBALS

While framing the Indian Constitution, members of constituent assembly considering the difference on the qualitative and quantitative bases, preferred to make different footings for Schedule tribals, which are known as Constitutional safeguards. Therefore, they laid responsibility on the shoulders of both the Central as well as State government for the tribal development.

SOME IMPORTANT ARTICLES FOR THE TRIBAL DEVELOPMENT

- Article 16(4) and 16(4A) empowers the state to make provision for reservation in the appointments for post in favour of schedule tribals along with other special categories, both in direct recruitments and in promotions.
- Article 46 states that the state shall promote with special care the educational and economic interests of the people and in particular of the scheduled castes and scheduled tribals and shall protect them from social injustice and all other forms of exploitation.
- Article 244(1) and 244(2) provides that the provisions of fifth and sixth schedule shall apply to the administration and control of schedule areas and schedule tribals.
- Article 275(1) provides that grant in aid would be provided out of consolidated fund of India to the states to meet the cost of such schemes of development as may be undertaken by them with the approval of government of India for the purpose of promoting the welfare of schedule tribals or raising the level of administration of the schedule areas.
- Article 330 and 332 provides reservation for the schedule tribals in lok sabha and state legislative assemblies respectively.
- Article 335 provides reservation in the services of the union and states.
- Article 338 provides the appointment of special officer to assess the tribal welfare activity.

8.8 MODERN CHANGES IN TRIBAL SOCIETY

Societies throughout the world are experiencing profound transformations in each and every field, and tribal society is not an exception. Growing affluence and prosperity, influence of Mass media has dominated and acquired an important place in modern society and is reflected in the life of tribal people. The framers of the constitution while taking note of the centuries old injustice perpetrated against the tribal communities, have adopted two-prolonged strategy of tribal development which seeks to provide them protection from exploitation and assist them in their economic development. Protective discrimination has been provided for in favour of scheduled tribals in the constitution, particularly under the fifth and sixth schedule.

Over a long period of history the tribals had lived on bare subsistence economy therefore, for the development of tribal economy, high priority was given to agriculture, land reforms, irrigation, improved methods of cultivation and completion of land records, as well as special attention to vulnerable groups like shifting cultivators and forest villages; generation of employment opportunities for better utilisation of available manpower through programmes in the fields of horticulture, animal husbandry and allied occupations; development of cottage and small scale industries based on the local raw materials etc.

The economic protection to tribals results in their economic integration. Integration implies that tribals have shown their acceptance to the broader economic policies of the

nation-state. In the sphere of economic enhancement, the tribals are gradually giving on the jajmani system and are being drawn into the market economy. The forces of modernization released at the hands of community development blocks, tribal blocks, and communication links have created a congenial situation in which the tribals are confidently and positively responding to improved and advanced agriculture. Educated tribals have chosen to go to the white-collar jobs whereas less educated become manual labourer.

Tribals were traditionally hunters, fisherman and food gatherers. All over the country they have not been agriculturists in any period of their development. The tribal cultivation is generally a shifting affair. Their agriculture is a recent development and they have now become semi peasants. The tribals of central zone have taken to agriculture as a main source of livelihood and the method of cultivation and irrigation is similar to that practiced in the non-tribal villages of India.

The need to improve literacy and education levels has been identified by various governmental and private fore analysts, as the priority area for action to improve the overall status of the tribals. In framing the seventh five-year plan, stress was put on the education of tribals. The tribals are being brought under increasing educational programmes. The tribals have been given scholarships and other benefit by government for pursuing higher education. Tribal students are in large numbers getting admitted to technical and professional courses of education. The ministry of social justice and empowerment give award of post-metric scholarships, coaching and allied facilities like pre-examination training, educational facilities like book banks, hostels (Boys and Girls), research and training centres etc.

Due to this encouragement the literacy rate of tribals has increased. As per statistics of School Education-2010-2011 the literacy rate of tribals in India is 63.1% (Male-71.7% and Female- 54.4%) out of which 80.4% (male 88.0% and female-72.0%) are urban and 61.5% (Male70.1% and Female- 52.6%) are rural.

Since the attainment of independence, the tribals have become part and parcel of the general political system of the country. The tribals have taken to political life, the opportunities for which are amply available with the reservation in the parliament, legislative assemblies and Panchayati raj. This has created a political awakening among the tribals.

The tribal councils which used to be all powerful in direction the behaviour of its members is now weakening and new generation leaders are emerging. The 73rd and 74th amendment Act have offered greater opportunity for an increased involvement of tribals (both man and women) in the political activities.

The tribal social life is very specific in nature, and has their own way of life. They are a unified society, a negative size and are found in isolation, within hills and forests. Even at the village habitation level, they are found to practice isolation i.e., scattered layout of villages. Due to introduction with other people, the life of tribal people was also affected. Due to efforts of government as well as NGOs and Christian missionary the education level increased. Now tribal people are going out for higher and technical education, white collar

jobs, and business. Previously the tribal family pattern is polygamous, but the process of modernization has tended to make them monogamous. They have changed their dress pattern, diet, worship pattern, language and dialects, and other social practices of various kinds. Now tribals are using mobile, vehicles, televisions, cables, modern sports etc for their leisure and entertainment.

In fact, the process of development itself presupposes the availability of some community infrastructure. It is the responsibility of the government to provide the basic community infrastructure to the tribal community and the general population as a whole. The provision of electricity, transport, drinking water, irrigation facilities, schools and dispensaries is made by the government. One of the important strategies which adopted by the government to construct the road transport in the hill and forest areas so that other basic requirements can be fulfilled. To provide medical and health facilities, the norms for setting up sub-centres, primary health centres and CHCs have been relaxed for the tribal areas. Due to infrastructural development the living standard of tribals has increased.

8.9 SUMMARY

Tribals usually known as aboriginals or indigenous inhabitants of region, and they are socio-economic deprived groups live in isolation all over the world. In India several tribals live in the forests, hills, deserts, outskirts of the village or in naturally isolated environment. In India as per Article 342 of the constitution, the tribals were notified as schedule tribals. In 2011 there are 705 ethnic groups in 30 States / UT have been notified as schedule tribals i.e. 8.6% of total population. Tribals in past enjoyed an autonomous status but during the medieval and modern period their status and identity was destructed. Even after independence the condition of tribals was not satisfactory and till today tribals are the most backward section of the population in India. Social transformation and change are an ongoing process and all the societies of the world are undergoing change since time immemorial and tribal groups are no exception to this process. Schedule tribals constitute one of the socially excluded sections of Indian society for centuries. For a long span of time, they have saved their cultural identities and uniqueness due to adoption of global culture, now they are losing their ethnic culture and identities. Modernization, globalization, liberalization, commercialization of economy and urbanization, improvement in the education are some forces that had transformed the life of tribals and make their life hectic and busy.

A sharp decline in group- oriented activities, family-oriented activities, traditional sports, religious activities, martial activities, sexual oriented activities and adoption of new leisure and lifestyle, increased mobility, economic prosperity, adoption of new education and employment are some changes that can be seen among the tribals.

8.10 KEYWORDS

Ethnological sections, Indigenous inhabitants, Adivasi, Anusuchit Janjati, Homogenous entity, isolation, assimilation, integration, indigenous

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BACHELOR OF ARTS LIBERAL ARTS

SEMESTER II

COURES: INDIAN SOCIETY

UNIT 9 CASTE IN INDIA: ORIGIN, FEATURES AND CHANGING PATTERNS

STRUCTURE

9.0 Learning Objectives

9.1. Introduction

9.2 The Caste System in India

9.3 Origin of Caste

9.4 Features of Caste System

9.5 Changing Patterns of Caste in India

9.6 Summary

9.7 Questions for Practice

9.8 Suggested Readings

9.0 LEARNING OBJECTIVES

This Unit would enable you to understand:

- The concept of caste
- Prevalence of caste system in India
- Origin of caste system
- Feature of caste system
- Changing patterns of caste in India

9.1 INTRODUCTION

While studying Indian society, one comes across the phenomenon of caste that makes the case of Indian society peculiar and distinct. It is something that works as a marker of identity for an average person but a marker that also creates a condition of social inequality that does not go well with the modern principles of equality and fraternity. It is so much part

and parcel of Indian society that its mention and usage does not raise any concern among most of Indians. For example, each weekend one comes across matrimonial advertisements classified along caste lines. Many of the advertisements very clearly mention that they are looking for a bride or a bridegroom belonging to a particular caste. If one visits any market one will invariably come across shops carrying caste names or caste identifiers. Despite its widespread prevalence caste remains a sensitive topic of discussions in public. Caste continues to be a symbol of backwardness, inequality and anti-modern character of Indian society. It remains one of the most contentious issues in Indian society and social scientists have tried to understand the phenomenon in depth.

The term caste is derived from the Portuguese word '*casta*' which literally means race or lineage. The Portuguese '*casta*' in itself is further derived from the Latin word '*castus*' which means pure or chaste. According to Merriam-Webster's Dictionary, the term was first used in English in early seventeenth century. The current usage of the term owes its origin to the advent of Portuguese observers who tried to understand the social groups within Hindu social order that were set apart from each other on the basis of their birth, lineage etc with much more elaborate rules of segregation. Over a period of time the term has come to specifically refer to a specific form of social category within Hindu social order. Social category in Hindu society best depicted by the English term caste is called '*jati*' in Hindi. Some authors have found the term 'caste' somewhat incomplete to capture the complexity of '*jati*' in Hindu community. Over a period of time the term has evolved to depict the main elements of '*jati*' as prevalent in Hindu society and has therefore acquired a specific meaning restricted to a form of social division prevalent in India especially among the Hindus.

Caste therefore can be said to be a social group in which a person is born into and remains associated with all through his/her life. The caste therefore is acquired by birth. One cannot choose one's caste, it is given to one by birth. To understand the concept better it is important to know the whole system of caste within which particular castes make sense.

9.2 THE CASTE SYSTEM IN INDIA

Caste system is a system of social stratification prevalent in Indian society. Like all systems of social stratification caste system also divides society into various segments and places them in a hierarchy. However, what differentiates caste system from other types of social stratification is its rigidity, the practice of untouchability and its enduring nature.

Once born into a caste, one lives and dies in that caste only. No amount of effort on the part of an individual can alter his or her caste. The idea and practice of caste gets reinforced by the religious texts of Hinduism. The fact that caste system finds expression in some religious texts of Hindus makes it a formidable institution to deal with. The caste system is one of the oldest systems of social stratification. The earliest reference to caste system in ancient Indian society is found in Rigveda, one of the oldest sacred texts of the Hindus.

As an institution caste system also shows immense recalcitrance and refuses to vanish with changing times due to ideological strength that it draws from traditional religious texts

of Hinduism. The traditional caste system divides all members of society into four hierarchical categories called *Varnas*, namely, *Brahmins*, *Kshatriyas*, *Vaishyas* and *Shudras* with Brahmins at the top and *Shudras* at the bottom. All castes can be classified into one of these four *Varnas*. The membership of one's caste is ascribed by birth and one's progeny also by default falls into the same caste category. These groups are classified into the twice borns '*Dvijas*' and the *Shudras* who are '*non-Dvijas*'. The twice borns are the ones who have special privilege to adorn the sacred thread after a few years of birth. The ceremonial adorning of sacred thread is called *Upnayana* and is metaphorically referred to as the second birth through which a child gets initiated into the caste group. *Shudras* being *non-Dvijas* are not allowed to wear that thread and therefore remain identified as separate and underprivileged vis-à-vis *Dvijas*.

There is another social group which falls outside the Varna system and is called *Avarnas*. They are different from the *Savarnas* who belong to the *Chaturvarna* (four Varnas) scheme mentioned above. *Shudras* despite being a lower caste belong to the *Savarnas* and are therefore considered better than *Avarnas*. Being outside the Varna scheme *Avarnas* do not enjoy any privileges in society which are otherwise available to rest of the members. In caste hierarchy they are considered lower even to *Shudras* who otherwise form the bottom of the caste hierarchy. *Avarnas* were considered outcaste people and traditionally they were not permitted to have any social ties with members of the mainstream society and were also not allowed to own any resources. They used to live on the outskirts of the village and with no means of production or employment; they used to depend completely on *Savarnas* for their survival. This was the group that was traditionally called the Untouchables.

Untouchables that we are discussing here refer to a group of people in Indian society who belong to the lowest rung of hierarchical division of caste society and as per caste system are considered so impure and polluted that their mere touch is assumed to pollute others. In the opening lines of his essay Charsley writes that "If there were one person whom responsibility for initiating the twentieth century career of the concept of "**untouchability**" might be ascribed it would be Sir Herbert Risley" (Charsley: 1996). It was in his "grand experiment in classifying and ranking castes in the sub-continent" that Risley, after becoming Commissioner for the 1901 Census of India, ended up institutionalizing the term Untouchables for certain communities.

Though the history of the term in English is recent, the concept had many terms in Hindi like '*Achut*', '*Ati-Shudra*' etc. The term was reserved for the *Avarnas* who were ranked below *Shudras* and had no social, cultural or political rights as they were considered outcastes. They were the most deprived segment of society that was hardly recognized as part of it and lived on its margins, both spatially and socially. Deprived of social ties with larger society, devoid of right to own houses, land, or any other sources of subsistence they were virtually isolated and lived a miserable existence. Due to their extreme poverty and helplessness they were the most exploited segment of society which was made to perform all kind of menial labour for the rest of society in order to survive. They were assigned critical socially and economically critical tasks which were otherwise 'polluting' like sweeping, tanning leather (Joshi: 1986), carrying night soil, cremating the dead etc., and therefore over a period of time they were

identified with these menial occupation categories. Untouchables are described as “people considered too impure, too polluted, to rank as worthy beings” (O’Neill: 2003). An Untouchable was considered so polluting and impure that his mere touch or even shadow would defile the upper castes and evoke severe sanctions against him.

In earlier times they were supposed not to venture near village settlements during early sunrise or during evenings when the shadows would be longer and therefore a threat to others. They were supposed to make noise while moving into public areas to warn others of their movement and drag brooms on their back to clean their footmarks (Anand: 1981). There was an elaborate set of rules regarding the kind of punishment imposed on them in case they happen to touch someone from the *Savarana* castes who had to undergo certain rituals and ablution to ward off the impurity imposed upon them by an Untouchable. Hence, all public places and facilities like well or any other water reservoir, places of worship, cultural events etc., were out of bounds for Untouchables and the stigma of being Untouchable was imposed upon them by virtue of being born into that community. It appalls one’s senses to know how a segment of human population was kept at such inhuman level of existence over centuries. One wonders how a society could legitimize existence of such a social category over such a long period of time and one finds the justification in *Karma* theory of Hindu religion whereby the Untouchables are blamed for their pitiable condition owing to the sins of their past lives.

The castes considered Untouchables were kept in their deplorable condition by a set of social, cultural, political and economic practices and beliefs which can be referred to as Untouchability. These set of beliefs and practices which were discriminatory against Untouchables tended to maintain social distance with them on account of their caste status.

While the caste system is very old, the institution of Untouchability is estimated to have emerged around second century AD and had completely rooted itself during Gupta Period (Gupta: 1999). Afterwards, the institution was somewhat challenged by the Bhakti movement, Islam and the Sufi movements in India. However, it was the advent of British rule in India that saw the practice being challenged legally, though only in the later phase of British period. The British officials brought up in modernized intellectual tradition found the practice of Untouchability a sign of a backward society. To an extent the notion of Indian society as essentially pre-enlightened and superstitious and therefore inherently inferior and different to modern European societies suited the British establishment (Mendelsohn & M Vicziany: 2000). Early British period did not offer much legal support for the Untouchables (Galanter: 1969). “Until the 1920s British and wider European interest in the Untouchables was for the most part left to Christian missionaries” (Mendelsohn & M Vicziany: 2000). This resulted in serious effort by social reformers within Hinduism to check conversion of Untouchables to Christianity or other religions. The political necessity of national movement also demanded that the Untouchables are embraced by their own society to forge a more powerful alliance against British rulers. Gandhi realized how the institution of untouchability weakened moral force of the nationalist movement. He acknowledged Untouchability as a grave social wrong (Gandhi: 1929) and the need to get Hindu society rid of this practice. He preferred to use the term ‘*Harijans*’ for the Untouchable castes and pleaded for more humane treatment towards them. ‘*Harijan*’ means ‘the people of God’. The term, however, was not

widely accepted by the untouchables who found it too patronizing. During this period the Untouchables were already using another term for themselves through which they claimed their status as original inhabitants of the land. The term is popular with many Untouchable leaders since 1917 was 'Adi-' as prefix of Dravidians, hence *Adi-Dravidians*, *Adi- Andhras*, *Adi-Dharmi* etc. The prefix 'Adi-' conveyed the sense of untouchables as original inhabitants of India in contrast to non-dalit 'Aryans' who were seen as aggressors who had forcibly extended their control over the land of Untouchables.

In 1931 Census reports the Untouchables were covered under the term '**Depressed Classes**'. "In 1928 the depressed Classes Association was formed which functioned upto 1942" (Louis: 2003). The term however was contested by Dr Ambedkar in 1932 on account of the fact that the term created an impression of these communities as helpless and lowly. In 1935, the term "...Scheduled Caste was coined by the Simon Commission and embodied in the Government of India Act, 1935. In 1936, for the first time Government of British India published a list of Scheduled Castes" (Louis: 2003).

Soon after independence, India became a republic in 1950 and adopted a constitution that envisions a kind of society which will be egalitarian and democratic in character. The modern principles of equality, fraternity and justice enshrine in the constitution made the caste system incongruent to the avowed vision. Any kind of caste

9.3 ORIGIN OF CASTE IN INDIA

The origin of caste has been a matter of debate among scholars and there are a few theories of its origin. The dominant theories of origin of caste system have been discussed as under.

The theory of divine origin emerges from the story of the origin of mankind explained in the religious texts of Hinduism. The *Purush Sukta* hymn of Rig Veda explain how from the primeval being were created the four *Varnas*, namely, Brahmins from the mouth, Kshatriyas from the arms and shoulders, Vaishyas from the thighs and Shudras from the Feet. This scheme of origin of mankind laid the foundation of caste system in India where these four Varnas were not merely mentioned to have been born from different part of the primeval being but also segmented into hierarchical order on the basis of their mythical origin. The Brahmins having born from the mouth were regarded as the superior most and were delegated the task of reading, writing and other intellectual activities. The shatriyas having born out of arms and shoulders represented strength and therefore were believed to have been born to be warriors. Being just below the mouth in their location of origin, they were considered second in hierarchy after Brahmins. The third varna consisted of Vaishyas who were born out of the thighs of the primeval being and thus they were meant to engage in trade and production in society. Born just below the shoulders they automatically followed Khaatriyas in hierarchy. Born from the bottom most part of the primeval being, the feet, Shudras were accordingly considered the lowest in Varna hierarchy and were ordained to do nothing except serve the upper three Varnas. According to the *Purush Sukta* hymn, it was the will of God that particular group of people be engaged in particular occupations. Being this the word of God

for the Hindus, it was difficult for them to distance themselves from the discriminatory character of caste system where people born as *Shudras* were for once and all relegated to a subservient category and assigned servile position vis-à-vis other caste groups. The hymn only talks about the four *Varnas* which indicates that the fifth Varna became part of Hindu social order at some later stage. As mentioned earlier, it is believed to have emerged around second century AD out of the existing set of *Varnas*.

Another major text of Hinduism, *Manusmriti*, gives a detailed account of the laws governing Hindu social order. The text provides elaborate set of prescriptions and prohibitions for the Hindus. It highlights the religious significance of natural social order of a segmented society and elaborates upon the kind of punishment for those who did not abide by the principles of caste society. The *Smriti* does not treat all individuals at par and prescribes different set of norms for different caste groups. The Brahmins being the highest group were to be given special treatment in all walks of life while *Shudras* being the lowest in hierarchy were refrained from seeking any privileges at all. Given the kind of treatment meted out to the *Shudras* in these texts one can imagine the situation of untouchables who later on became part of the scheme as outcaste people and were considered even lower to the *Shudras*. The religious sanctions behind the caste based hierarchy made sure that the institution of caste persisted. The status of one's life was believed to be the result of one's past Karmas. The religious texts ordained it as the moral duty of each one to live one's life according to the caste in which one is born. By following the injunctions of caste society the most deprived had a chance of a better future.

Another theory that explains origin of caste is based on race. According to this theory Indian subcontinent was raided and invaded by a tribe from central Europe called Aryans. During the invasion they subjugated the autochthonous communities called Dravidians or *Dasyus*. Once invaded, they enslaved local community and exploited it by assigning them the most menial tasks. Their contempt for *Dasyus* ensured that there was no inter-mixing and no social intercourse with them. Having been subjugated by Aryans, all their resources were taken away from them and they were treated like slaves by the Aryans. Another version of the race theory by Prabhati Mukherjee suggests that initially, till about 800 BC, the Aryans had an 'amicable relationship' with the local communities. However, some indigenous communities that refused to get assimilated into the culture of ruling Aryans, they had to face extreme hostility of the rulers. Most of them "were constantly being driven out of their homes and hearth" (Sha et al.: 2006). The aboriginals ousted from mainstream society and relegated to extreme levels of subjugation were reduced to the status of Untouchables. The racial theory, however, was questioned by Ambedkar who believed that there was no racial difference between Brahmins and Dravidians in India and also there is no mention in Vedic sources of any invasion of India by the Aryans.

There is an occupational theory of origin of caste system propounded by Nesfield who believed that earlier there was simple division of labour in society and as per the significance of these occupations people were considered superior or inferior. People in society could take up any occupation as per their liking or ability. However, after some time the priestly class of Brahmins gained immense importance due to nature of their assignment. A small and

specialized group of priests gradually restricted entry of other members into their fold and made their occupation hereditary to ensure their dominance in the profession. Likewise society was segregated into four main divisions over a period of time making these divisions permanent.

The economic theory is primarily proposed by Marxian thinkers who look at caste system “rooted in the mode of production” (Shah et al.: 2006) As per this perspective *Varna* scheme was merely class social division of labour which became more rigid over a period of time and transformed into caste. The surplus labour due to overpopulation made easy labour available for small and menial jobs. With changing modes of production the caste based relations will also undergo change. They believe that forces of modernization and industrialization will on its own change the caste dynamics and pave way for a casteless society. This perspective, however, fails to explain deep rooted caste based biases of many even in this age of globalization and modernization. Though it can be said that Indian society has hardly been modernization and industrialized it is also true that pockets of society where sufficient degree of modernization and urbanization has occurred the caste based discrimination is not completely absent.

9.3.1 CHECK YOUR PROGRESS

7. What is the difference between *Savarnas* and *Avarnas*?
8. What is untouchability?
9. What is the racial theory of caste system?
10. How does Karma theory say about caste?

9.4 FEATURES OF CASTE SYSTEM

Caste system has developed into an elaborate set of sanctions and privileges regulating the nature of social, political and economic relations among different caste groups. Ghurye has identified six most significant feature of caste system which has been widely accepted as central to caste system. These features are:

- 1) **Segmental Division of Society:** The caste system divides society into various segments which are clearly set apart from each other. The caste society therefore is essentially a divided society. Each of the caste remain comfortably separated from other caste categories and is governed by its own set of rules and practices. The customs of each caste could be different and the caste-councils of each caste had the responsibility of managing the affairs of that caste. All disputes within the caste group were traditionally resolved within the caste-panchayats. Each caste therefore has a complete social world to offer to its members. In a completely traditional system of one could easily spend one’s life without depending on the members of other caste

groups. The primary allegiance of caste members is thus to their caste groups rather than to the larger society within which they operate. The segmented caste groups as per caste system are allowed to intermingle as per prescribed norms in which the hierarchy of the concerned castes is the central principle in determining the nature of interaction, if possible.

- 2) **Hierarchy:** All castes are vertically segregated and placed in hierarchy vis-à-vis other castes. All castes can be broadly classified under five main categories of *Brahmin*, *Kshatriya*, *Vaishya*, *Sudras* and the Scheduled Castes. The Brahmins are at the top of the hierarchy followed by *Kshatriya*, *Vaishya*, *Sudras* and the Scheduled Castes who form the bottom of the caste hierarchy. The hierarchy is claimed to be on the basis of their ritual status within Hindu society.
- 3) **Commensal Restrictions:** One of the significant features of the caste system is that it imposes certain kind of restrictions on the food habits of the individuals. The members of a caste are strictly governed by these restrictions. According to caste system all food can be divided into two categories, *Kucha* and *Pakka* food. *Kucha* food is that food which is uncooked or cooked in water whereas *Pakka* food is one that is cooked in Ghee alone and does not use water in its cooking. The members of different castes cannot dine together. Even accepting food from lower castes is prohibited as per caste rules. However, in case there is exchange of food among castes, the caste hierarchy determines who can accept food from whom. Generally the caste system restricts upper castes from taking food from the lower castes. If at all food is to be exchanged with other castes, the upper caste members will not accept *kucha* food from the lower caste while the lower castes can accept food from the higher castes.
- 4) **Civil and religious Disabilities and Privileges of the different sections:** Caste system also imposes selective restrictions on members of society. While the upper castes are extended many privileges, the lower castes are generally imposed with disabilities. The caste system hence ensures that the caste hierarchy is maintained through an elaborate set of limitations imposed upon the lower castes vis-à-vis the upper castes which get more and more privileges in all walks of life. Traditionally the scheduled castes were not permitted to own any property at all, be it agricultural land or a home. The Brahmins on the other extreme had the privilege of receiving gifts and donations from rest of the castes as it was considered auspicious to offer them money, cattle, food or other prized assets in society. The Sudras and the untouchables were not permitted to enter the premises of temples. The lower castes, Sudras and untouchables were not permitted to have food in the same stall where members of higher caste would be having their food. The untouchables were not permitted to draw water from the common well in the village. The untouchables were not permitted to wear respectable piece of cloth on their body.
- 5) **Hereditary occupations/ Lack of unrestricted choice of occupations:** Members of a particular caste were considered to follow the same occupation as of their parents.

One's occupation was considered to be one's vocation ordained by God and therefore anyone trying to change his occupation was neither permitted nor tolerated. The Brahmins therefore had the sole privilege of receiving education and becoming a priest. Any other caste member trying to do so was severely punished and reprimanded as per caste rules. Similarly, the Kshatriyas alone can take up arms and fight as warriors, Vasihyas alone can engage in business activities and it is the duty of the Sudras to provide manual labour and service to the higher caste groups. Any violation of such rules invoked string sanctions against the person who committed the mistake of not following the caste rules.

- 6) Endogamy Restrictions on marriage:** The last but perhaps the most potent instrument used by the caste system to maintain caste boundaries is the rule of endogamy. As per this rule members of a particular caste can marry only within their caste category. The rule of endogamy is one of the strictest rules of the caste system. The racial sense of superiority and inferiority entwined in caste system ensures that intermixing of castes is never permitted. The only exception outside caste is when a girl from lower caste is marrying a boy from upper caste. However, if the boy from the lower caste marries the girl from an upper caste, it is not accepted.

The above mentioned features of the caste system in India are some of the most significant ones. Violation of caste principles has often invoked worst kind of sanctions from the society. From excommunication to imposition of monetary penalties, the range of sanctions is wide. The basic principles of caste system, even today, remain the same. However, the institution of caste in itself has undergone tremendous changes

9.5 CHANGING PATTERNS OF CASTE IN INDIA

After independence, the Constitution of India declared Untouchability as a legal offence under Article 17. To further weaken the institution of Untouchability, the Untouchable castes were identified and clubbed together under the category of Scheduled Castes and special provisions were made for their upliftment and participation in larger society through policy of reservation in parliament, education and jobs. Through reservation and various democratic processes *Dalits* continue to struggle for a dignified life.

Constitution of India aims to achieve through legislation in independent India what it could not do in ages. After independence from British rule Indian leadership envisaged a society which would remove all forms of inequality and generate new forces of nationalism and togetherness in a society that is otherwise marked with diversity of religion, caste, language, region etc. From the perspective of Scheduled Castes, it was a historic opportunity to break away from the tradition of subjugation and humiliation and look forward to a free society where they will enjoy equal status with other citizens.

Untouchability is a strange notion in contemporary times and many people believe that it is a thing of past that does not exist anymore. Though there has been some remarkable progress in the condition of *Dalits* since independence the weight of centuries old tradition is still too heavy to be lifted within a span of seven decades. Untouchability continues to manifest itself in newer forms and different shades in many places. In their study Shah et al found untouchability to be a “pan-Indian phenomenon” whose “specific forms and intensity vary considerably across regions and socio-historical contexts” (Shah et al: 2006). That Untouchability is still exercised in contemporary Indian society has been sufficiently reported by various studies (Mendelsohn: 2000; Louis: 2003; Kumar 2001; O’Neill: 2003; Shah et al: 2006; Sarukkai: 2009). There have been efforts in the past also to fight against practice of untouchability but most rapid progress has been achieved only after India’s independence in 1947.

The constitution remains one of the strangest defenders of the rights of all marginalized segments of society today. It is true that through legislation and political mobilization Indian society tried to seize a historic opportunity to undo the inequities of the past but it is also true that there has been major resistance by dominant social groups to concede space to historically deprived groups.

The Scheduled Castes still face stiff resistance from the caste Hindus and their achievements are often denigrated. According to a study by O’Neill featured in National Geographic magazine in 2003, Untouchability remains in practice in India despite being abolished by the Constitution. He describes how prejudice against untouchables remains deeply entrenched in rural areas where majority of the Indian population resides. “Untouchables are shunned, insulted, banned from temples and higher caste homes, made to eat and drink from separate utensils in public places, and, in extreme but not common cases, are raped, burned, lynched, and gunned down” (O’Neill: 2003). Study by Ghanshyam Shah et al also found rural areas to be the main sites where untouchability is more openly practiced. Their study found that “over 70 percent of villages deny *Dalits* entry into non-*Dalit* houses, over 60 percent deny entry into places of worship [...] *Dalit* marriage processions were banned in almost 50 percent of villages” (Zelliot: 2007). An important finding of the study was that in interpersonal relationships untouchability is experienced much more frequently but in the public sphere its prevalence has decreased somewhat. Villages remain more entrenched in practice of untouchability while urban areas provide more anonymity and therefore weaker observance of caste principles in public spheres.

The forces of modernization, urbanization and marketization have somewhat diluted the rigid caste structure. Modern secular education has also played a significant role in weakening the old institution and producing better awareness among *Dalits* about their basic rights. *Dalits* have also developed newer strategies like “dissociation, distancing and autonomy” (Jodhka: 2002) to check practice of untouchability. These strategies however work more effectively where *Dalits* have some alternative opportunities available to them. For example in case of Punjab most of *Dalits* have moved away from their traditional caste based occupations and have constructed their own *Gurudwaras* in order to distance themselves from the relations of dependence over dominant castes and to have their

autonomous religious activities. Interestingly religion still remains a dominant arena within which *Dalits* vie for a respectable place by either converting into new religions or by gaining more access to religious symbols within Hinduism. Education remains one of the most powerful tools of emancipation among *Dalits* as almost all other resources are controlled by non-*Dalits* (Oommen: 1968). Though study by Shah et al revealed that almost 40 percent of village schools act as sites “reproducing the hierarchies of caste and untouchability” (Shah et al.: 2006). Ambedkar had called upon *Dalits* to ‘educate, organize and agitate’. The central role of education for *Dalits* was not merely emphasized by Ambedkar but he also showed way by example. Ambedkar continues to be one of the most formidable symbols of emancipatory zeal among *Dalits*. He has emerged as an all India icon among *Dalits* who constantly inspires them to yearn for a free and equal society.

9.6 SUMMARY

The caste system in India is one of the oldest institutions of social stratification. It has drawn attention of scholars from across the globe due to its enduring capacity to maintain deep rooted social divisions in modern society. The institution of caste goes against the grain of modern values yet it has been able to survive and adapt to changed social conditions. After independence Indians adopted a constitution which envisioned a society free from the ills of caste based society. The most opprobrious aspect of caste system, the practice of untouchability has been squarely under attack in the last two centuries. However, despite abolition of untouchability by the Constitution, the practice of untouchability remains an extant reality. In rural areas Untouchables are more oppressed compared to urban centres. The caste continues to be a significant factor in determining many a political processes, matrimonial alliances and cultural organizations etc. The forces of liberalization, privatization and globalization coupled with rise in education, growth of information technologies etc. were supposed to dilute the effects of caste system. Though caste system has been weakened over the years due to various factors as mentioned above, it cannot be denied that the system has refused to die. However, the incongruent nature of caste in contemporary times makes it difficult to sustain the logic of caste.

9.7 QUESTIONS FOR PRACTICE

1. What is the difference between *Kacha* and *Pakka* food?
2. What is meant by caste endogamy?
3. What is meant by commensal restrictions?
4. Is untouchability still practiced in contemporary Indian society? Explain.
11. What changes can be observed in caste system in contemporary Indian society?

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER II

COURSE: INDIAN SOCIETY

UNIT 10: STATUS OF WOMEN IN INDIAN SOCIETY: HISTORICAL OVERVIEW, GENDER DISCRIMINATION

STRUCTURE

10.0 Learning Objectives

10.1 Introduction

10.2 Position of women in Rig Vedic Era

10.3 Status of women during the Epic period

10.4 Status of women in the Medieval India

10.5 Women Role in the Religious Field

10.6 Women in the Buddhist Period

10.7 Restriction on Women Marriage

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10.9 Better status of women in Southern India in comparison to Northern India

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10.13 Subordinate Role of Women and Religious Rituals

10.14 Religion as a Tool for Oppressing Women

10.15 Changing Status of Women in Indian Society: Pre-Colonial, Colonial and Independence Period

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10.17.4 Gender Discrimination in Employment

10.18 Summary

10.19 Key Concepts/Words

10.20 Questions for Practice

10.22 Suggested Readings

10.0 LEARNING OBJECTIVES

By the end of this chapter, the student shall be able to:

- To understand historically the status of women in Indian society; and
- To understand the concept, causes and factors of gender discrimination.

10.1 INTRODUCTION

Status and role are interlinked with the concepts of power and position. A role confers social, economic, political and cultural power on the individual. In other words, status is determined to a great extent by the power enjoyed by men and women in the domestic and social spheres. Five key aspects have been identified over which women's control has to be assessed to understand status of women in society: (a) women's labour (b) control over resources i.e. economic, health, education and political (c) sexuality (their physical integrity and freedom from all types of physical and mental violence); (d) on their reproduction and (e) mobility. These are the most important parameters to measure and compare women's position in society vis-à-vis men and to define her status. Two other terms like "access" and "control" are important indices for women's autonomy and status in society. These two terms are of significance for comparing women's position in society with men and its changing nature in course of historical phases. The status of women correlates with the social space occupied by them in a particular society at a particular time.

"Status" of women is correlated to the participatory rights and obligations of women in the managing of society. The term refers to the position of women vis-à-vis men in the social structure in terms of rights and obligations. Status of women in society is explained in terms of "role" which is assigned to them by tradition, religion, ideology and the state of economic development. The enhancement of status essentially means the enlargement of the scope of participatory rights in society. The more balanced the opportunity structure for men and women, the larger the role women have in society and consequently higher their status. The idea of status also connotes the notion of equality (Krishnaraj 1986). If we want to study the status of women in any society, we must study the complexity of roles which women perform in society in the socio-economic, cultural, religious and political fields. It is also important to find out such factors as how they face the problems and situations that are connected with their sex roles from birth to death and how they adjust themselves to these role situations. The role of women has differed from society to society and from time to time. Within one society itself, it has changed over time. There were societies where women

performed important economic roles. In these societies' women had complete, or at least major, control over the economic activity. However, the model pattern has been the societies where the status of women is inferior to men. It is important to note that the inferior status of women in societies also coincides with the denial of property rights and education, as well as denial of certain occupations to them.

There are certain constraints, historical, traditional and constitutional, which are responsible for lowering of women's status in society. The (low) status of women constitutes a problem in almost all societies and it has emerged today as a fundamental issue in human development. Studying women's status means a sensitive diagnosis of the nature of gender subordination through an understanding of gender relations in a specific context. Gender based role differentiation is basic to the understanding of the status of women in society. A gender-based concept of status denotes women's social, legal and ideological position and rights and privileges in a given social set up. It is very often conditioned by the prevalent ideas and functions in that society, the attitudes and behaviours of men towards women and their acceptance and rejection of women's role in society. Women's status, which encompasses their traditional as well as changing position in a society, is a dynamic concept where both their present and emerging status is based on the prevalent ideas, functions, norms and traditions. The corresponding changes in the status of women are directly linked with social and cultural traditions, stages of economic development, level of education and political participation. Sociologists while doing women's studies often refer the term "changing status of women" rather than the term status of women in society. However, in a complex and stratified social structure and cultural plurality two other dimensions have been introduced in recent times to facilitate status assessment, particularly in a period of change (Mazumdar 1978).

10.2 POSITION OF WOMEN IN RIG VEDIC ERA

Women constituted the key role in the arch of Indian society. No doubt the Rig Vedic Women in India enjoyed high status in society and their condition was good. Even the women were provided opportunity to attain high intellectual and spiritual standard. But from enjoying free and esteemed positions in the Rig-Vedic society, women started being discriminated since the Later-Vedic period in education and other rights and facilities (Saravana kumar, 2016) Indian society doubts that we are in the midst of a great revolution in the history of women. The voice of women is increasingly heard in Parliament, courts and in the streets. While women in the West had to fight for over a century to get some of their basic rights, (Altekar,1983) like the right to vote, the Constitution of India has given women equal rights with men from the beginning (Devandra,Kiran,1985). The ancient and medieval status of women in modern Indian society regarding equality, education, marriage and family life, race and gender, religion and culture is maintained or deteriorated.

The Rig Vedic Women in India enjoyed high status in society. During the Vedic Age wife was put in an esteemed position. She was considered as half of the man, his trust friend, companion in solitude, father in advice and the rest in passing the wilderness of life. The

women were provided opportunity to attain high intellectual and spiritual standard. There were many women Rishis during this period. Though monogamy was mostly common, the richer section of the society indulged in polygamy. There was no sati system or early marriage. But from enjoying free and esteemed positions in the Rig-Vedic society, women started being discriminated since the Later-Vedic period in education and other rights and facilities. Child marriage, widow burning or sati, the purdah and polygamy further worsened the women's position. The Indian cultural tradition begins with the Vedas. It is generally believed that the Vedic period is spread over from 2000 BC to 500 B.C. (Altekar, 1983). Vedic women had economic freedom. Some women were engaged in teaching work. Home was the place of production. Spinning and weaving of clothes were done at home. Women also helped their husbands in agricultural pursuits.

10.3 STATUS OF WOMEN DURING THE EPIC PERIOD

The women of Epic India enjoyed an honourable position at home. Both Ramayana and Mahabharata Epics had given a respectable place for women; women had been called the root of Dharma, prosperity in the epics. We find vast references of the expression of courage, strong will power and valour of women like Kaikeye, Sita, Rukmani, Satyabhama, Savitri, Draupadi and others. The Ramayana is a glorious illustration for the Hindu ideal womanhood, it glorifies the value of "Pativrata" and idealises womanhood as one of the most venerable aspects of our heritage (Chaturvedi, Geeta 1985). The Mahabharata also outlines the attitude of the wife to husband. The Women during the Period of Dharmashastras and Puranas the status of women gradually declined and underwent a major change. The girls were deprived of formal education. Daughters were regarded as second class citizens. Freedom of women was curtailed. The women were prevented from learning the Vedas and becoming Brahma charinis. The law giver of Indian society gave the statement that women have to be under father during childhood, under her husband during youth and under her son during old age. Shall she deserve freedom? (Saravanakumar, 2017).

10.4 STATUS OF WOMEN IN THE MEDIEVAL INDIA

The Medieval period (Period between 500 A.D-1500 A.D) proved to be highly disappointing for the Indian women, for their status further deteriorated during this period. Medieval India was not women's age it is supposed to be the 'dark age' for them. When foreign conquerors, the Muslims invaded India they brought with them their own culture. For them women were the sole property of her father, brother or husband and she does not have any will of her own. This type of thinking also crept into the minds of Indian people and they also began to treat their own women like this. One more reason for the decline in women's status and freedom was that original Indians wanted to shield their women folk from the barbarous Muslim invaders. As polygamy was a norm for these invaders, they picked up any women they wanted and kept her in their "harems". In order to protect those Indian women started using 'Purdah', (a veil) (Dutt, 1937). They were not allowed to move freely and this led to the further deterioration of their status. These problems related with women, resulted in changed mindset of people. Now, they began to consider a girl as misery and a burden, which

has to be shielded from the eyes of intruders. Thus, a vicious circle started in which women was at the receiving end. All this gave rise to some new evils such as Child Marriage, Sati, *Jauhar* and restriction on girl education.

10.5 WOMEN ROLE IN THE RELIGIOUS FIELD

In the religious field, wife enjoyed full rights and regularly participated in religious ceremonies with her husband. Religious ceremonies and sacrifices were performed jointly by the husband and wife. Women even participated actively in religious discourses. The role of women in public life could shine as debaters in public assemblies (Krishnaraj, Maithveyi, 1986) 5. They usually occupied a prominent place in social gatherings but they were denied entry, into the “*Sabhas*” because these places besides being used for taking political decisions were also used for gambling, drinking and such others purposes. Women’s participation in public meetings and debates, however, became less and less common in later Vedic period.

10.6 WOMEN IN THE BUDDHIST PERIOD

The status of women improved a little during the Buddhist period though there was not tremendous change. Some of the rigidities and restrictions imposed by the caste system were relaxed. Buddha preached equality and he tried to improve the cultural, educational and religious statuses of women. During the benevolent rule of the famous Jain and Buddhist kings such as Chandragupta Maurya, Ashoka, Kanishka, Sri Harsha and others, women regained a part of their lost freedom and status due to the relatively broad-minded Buddhist and Jain philosophy (Sen, 1988)8. Women were not only confined to domestic work but also, they could resort to an educational career if they so desired. In the religious field women came to occupy a distinctly superior place. Women were permitted to become “*Sanyasis*”. Many women took a leading role in Buddhist monastic-life, women had their *sangha* called the *Bhikshuni Sangha*, which was guided by the same rules and regulations as these of the monks. The *sangha* opened to them avenues of cultural activities and social service and ample opportunities for public life. Their political and economic status however remained unchanged.

10.7 RESTRICTION ON WOMEN MARRIAGE

It was a norm in medieval India. Girls were married off at the age of 8-10. They were not allowed access to education and were treated as the material being. The plight of women can be imagined by one of the *shlokas* of *Tulsidas* where he writes “*Dhol, gawar, shudra, pashu, nari, and sabtadan keadhikari*” meaning that animals, illiterates, lower castes and women should be subjected to beating. Thus, women were compared with animals and were married off at an early age. The child marriage along with it brought some more problems such as increased birth rate, poor health of women due to repeated child bearing and high mortality rate of women and children. The veil or the ‘*Purdah*’ system was widely prevalent in medieval Indian society (Menon Indu, 1989). It was used to protect the women folk from the eyes of foreign rulers who invaded India in medieval period. But this system curtailed the

freedom of women. It is also more or less similar to Sati but it is a mass suicide. *Jauhar* was prevalent in the *Rajput* societies. In this custom wife immolated themselves while their husband was still alive (Nanda, 1976). When people of *Rajput* clan became sure that they were going to die at the hands of their enemy then all the women arrange a large pyre and set themselves afire, while their husband used to fight the last decisive battle known as "Shaka", with the enemy. Thus, protecting the sanctity of the women and the whole clan, the ritual of dying at the funeral pyre of the husband is known as "Sati" or "*Sahagaman*". According to some of the Hindu scriptures women dying at the funeral pyre of her husband go straight to heaven so it's well to practice this ritual. Initially it was not obligatory for the women but if she practiced such a custom she was highly respected by the society. Sati was considered to be the better option than living as a widow as the plight of widows in Hindu society was even worse.

The condition of widows in medieval India was very bad. They were not treated as human beings and were subjected to a lot of restrictions. They were supposed to live pious life after their husband died and were not allowed entry in any celebration. Their presence in any good work was considered to be a bad omen. Sometimes heads of widows were also shaved down. They were not allowed to remarry. Any woman remarrying was looked down by the society. This cruelty on widows was one of the main reasons for the large number of women committing Sati (Cormak, 1953). In medieval India living as a Hindu widow was a sort of a curse. It's a serious issue. Courts are flooded with cases related to death due to dowry harassment by husband and in laws. In ancient times women were given '*Stridhan*' when they departed from the house of their parents. This amount of money was given to her as a gift which she can use on her and her children but her in-laws did not have any right on that amount. This amount was supposed to help the girl in time of need. Slowly this tradition became obligatory and took the form of dowry. Nowadays, parents have to give hefty amount in dowry, the in laws of their girl are not concerned whether they can afford it or not. If a girl brings large amount of dowry she is given respect and is treated well in her new home and if she does not bring dowry according to expectations of her in laws then she has to suffer harassment. Due to this evil practice many newly wedded women of India have to lose their lives.

10.8 PROPERTY RIGHTS IN INHERITANCE

Women rights were very much limited in inheriting property. A married daughter had no share in her father's property but each spinster was entitled to one-fourth share of patrimony received by her brothers. Women had control over gifts and property etc. Received by a woman at the time of marriage but the bulk of the family property was under the control and management of the patriarch. As a wife, a woman had no direct share in her husband's property. However, for second wife was entitled to 1/3rd of her husband's wealth. A widow was expected to lead an ascetic life and had no share in her husband's property (Sharma Rathakrishna, 1981). Thus it could be generalized that the social situation was not in favour of women possessing property and yet protection was given to them as daughters and wives.

10.9 BETTER STATUS OF WOMEN IN SOUTHERN INDIA IN COMPARISON TO NORTHERN INDIA

The status of women in Southern India was better than in the North India. While in Northern India there were not many women administrators, in Southern India we can find some names that made women of that time proud. Priyaketala devi, queen of Chalukyas Vikrama ditya ruled three villages. Another woman named Jakkiabbe used to rule seventy villages. In South Indian women had representation in each and every field. Domingo Paes, famous Portuguese traveler testifies to it. He has written in his account that in *Vijayanagara* kingdom women were present in each and every field. Nunez, another famous traveller to the South also agrees to it and says that women were employed in writing accounts of expenses, recording the affairs of kingdom, which shows that they were educated. There is no evidence of any public school in northern India but according to famous historian IbnBatuta there were 13 schools for girls and 24 for boys in Honavar. There was one major evil present in South India of medieval time. But it was the custom of Devadasis (Clark, Alice, 1987). *Devadasis* was a custom prevalent in Southern India. In this system girls were dedicated to temples in the name of Gods and Goddesses. The girls were then onwards known as '*Devadasis*' meaning servant or slave of God. These *Devadasis* were supposed to live the life of celibacy. All the requirements of *Devadasis* were fulfilled by the grants given to the temples. In temples they used to spend their time in the worship of God and by singing and dancing for the God. Some kings to invite temple dancers to perform at their court for the pleasure thus some *Devadasis* converted to *Rajadasis* prevalent in some tribes of South India.

10.10 WOMEN IN PRE-INDUSTRIAL SOCIETIES

A number of scholars addressed the issue of male domination and low status of women as a historical phenomenon, grounded in a particular set of circumstances rather than flowing from some universal aspect of human nature of culture. Many of the Marxist and socialist feminists claim that it is necessary to examine history to find out how and why inequality between the sexes came about. The most important factor in the transition to a society with gender stratification was the development of a form of communal property to a group of kin who had exclusive rights over property (Kin corporate property). The senior members of kinship group gained control over property. Women as gatherers were continued to act as producer and gradually lost control over their products. In the course of history there developed of patrilocal, matrilocal and polygamous societies. Thus, the position of women and gender inequalities vary from society to society in different pre-industrial societies and has altered in many ways after industrialization. The pre-industrial era saw a greater degree of sharing of work and emotional roles by men and women than the industrial era which followed (Bell 1981: 307). In colonial America, there was more equality of men and women in pre-industrial society; women worked to provide for the family, and men played a greater part in raising the children. The trend changed with industrialization, women often stayed home to take care of the children and men went to work in factories. Gender roles became

more distinct with industrialization than they were before. (Rothaman, 1978; Lerner, 1979; Bell, 1981)

10.11 INDUSTRIALIZATION AND CHANGING STATUS OF WOMEN

In modern industrial societies we find significant differences in gender roles. For example, in socialist societies there tends to be more equality between men and women than capitalist societies. In fact, even within a single society we often find important differences in gender roles for various classes and ethnic groups (Conklin 1984: 223). In Western European societies the consequence of industrialization was the modern role of housewife as the dominant mature feminine role. During the early stages of industrialization after the Industrial Revolution in England (dates from 1750 to 1841) the factory system steadily replaced the family as the unit of production. The women were employed in factories where they often continued their traditional work in textiles. From 1841 until the outbreak of the First World War in 1914 a combination of pressure from male workers and reformers in Europe restricted female employment in industry and gradual withdrawal of all female labour from the factory. Ann Oakley (1974) states that from 1914 to 1950, there was a “tendency towards the growing employment of women coupled with retention of housewifery role.

During these years women received many legal and political rights in England but all these had little effect on the mother housewife role, which was central to their lives. Industrialization has had many effects on the role of women. There was a “separation of men from the daily routines of domestic life” and emergence of the “economic dependence of women and children on men and “the isolation of housework and child care from other work. Thus, in the twentieth-century British society housewife mother role became institutionalized as “the primary role for all women”. These generalizations became less valid as the twentieth century progressed. In contemporary societies “patriarchy” is the most important and dominant concept for explaining gender inequalities, low status of women and sexual exploitation against women. Kate Millet (1970) gave the concept of relationship of domination and subordination based on sex and inherent politics based on male-centric power-structured relationships where males controlled females in society. According to her such relationships are organized on the basis of “patriarchy” — a system in which “male dominate female. Patriarchy is the most pervasive ideology and basis of power and more rigorous, more uniform and more enduring system existing in human society. Gender is the primary source of identity for all individuals in modern societies. Eight factors for explaining the existence of patriarchy in human society: a) biological b) ideological c) sociological d) relationship between class and subordination e) educational factors; f) myth and religion g) psychological h) physical force. She attributes some importance to superior male strength and importance to socialization of male (aggressive) and female (passive) characteristics for the formation of patriarchal ideology.

10.12 STATUS OF WOMEN IN DIFFERENT RELIGIONS

A number of writers noted that historically women were not always been subordinate within world's most religions. Armstrong (1993) for example, argues that in early history women were considered central to the spiritual quest. In the Middle East, Asia and Europe archaeologists have uncovered numerous symbols of great mother goddess. With the development of societies there were many gods and goddesses but Mother Goddess still played a crucial role. Armstrong noted, "Mother Goddess was absorbed into the pantheon of deities and remained as a powerful figure. She was called Inanna in Sumer, in ancient Mesopotamia; Ishtar in Babylon; Anat or Asherah in Canaan; Isis in Egypt and Aphrodite in Greece. In all culture people told about the importance of Mother Goddess in their spiritual lives. Everywhere she was revered as the source of fertility (Armstrong 1993: 21). There was gradually the eventual decline of the Mother Goddesses. In Babylon, goddess Tiamot, the goddess of the sea was replaced by the male god Marduk. The final death knell of female goddesses came with the acceptance of monotheism – belief in single god rather than many. This originated with Yahweh, the god of Abraham. Furthermore, this Hebrew "God of Israel" would later become the god of the Christians and the Muslims, who all regarded themselves as the spiritual offspring of Abraham, the father of all believers. Thus, historically with the development of religion impertinence was attributed to the masculine characteristics of the God. Christianity, Islam and Hinduism all have constituted through the important stages in the evolution of humanity. But when the cause of women was concerned, they all added a new load on them in different historical phases. Therefore, for determining status of women in society, religion plays a key role and the problems faced by women of a particular religion are not only peculiar to that religion. They are problems of women in general and that should be addressed and redressed as problems of gender bias, male domination, patriarchy and age-old prejudice against women.

10.13 SUBORDINATE ROLE OF WOMEN AND RELIGIOUS RITUALS

In the classical teachings of many religions there was stress on equality between men and women, but in practice women have usually been far from equal. Women do, of course, have a part to play in many religions, but it is almost always subordinate to the role of men, and it is likely to be in the "private" rather than "public" sphere. Thus, women are devalued by different religious beliefs. There is always a tendency of "patriarchal misinterpretation of religion". Holm (1994) gives a number of examples in this regard. In Buddhism, both men and women can have a religious role as monks and nuns respectively but all monks are seen as senior to all nuns. In Hinduism only men can become Brahminic priests. In Islam, in some regions women are not allowed to enter mosques for worship and men have made all the legal ruling. Orthodox Judaism only allows men to take a full part in ceremonies. In Japanese folk religions women can take part only in organizing public rituals, while only men can take part in public performances. In Chinese popular religion women are associated with less important spirits (Yin) whereas men are associated with more important and powerful spirits (Yang). Christianity has also been male dominated. Many of the most influential ideas were worked out by celibate men in the first five centuries of the church's history and the

significant developments of the medieval church and reformation were also shaped by men (Holm 1994: pxiii). Sikhism is perhaps the most egalitarian of the major religions of the world since all offices are equally open to men and women although in practice only a small minority of women have significant positions within the religion. The second-class status of women in different religion is often related to her sexuality. Menstruation and childbirth are often regarded as polluting. In many religions women are forbidden to enter the sacred places and to touch the sacred objects during the menstrual period. For example, Hindu women are forbidden to touch sacred objects and prohibited from entering family shrines when she is pregnant or menstruating. Muslim women are not allowed to touch a Koran, go to a mosque and to offer prayer during this period.

10.14 RELIGIONS AS A TOOL FOR OPPRESSING WOMEN

According to Simone de Beauvoir (1949) Religion is used by the oppressors (men) to control the oppressed group (women) and it also serves as a weapon for the second class status of women in society. Men have generally exercised control over religious beliefs. He enjoys the great advantage of having a God endorse code he writes to support his dominance. Beauvoir writes from the perspective of a Western, Christian women. For all major religions, man is master by divine right and thus repress the downtrodden female. However, modern societies show evidence of changes in which the inequality between men and women in religion is gradually reduced. Nawal El Saadwi (1980) considers the importance of religion in creating and perpetuating female oppression under Islam. According to her Christianity is much more rigid and orthodox and the oppression of women is caused by the patriarchal system which came into being when society had reached a certain stage of development. Nevertheless, she does see religion as a crucial instrument in women's oppression. "Men do distort religion to serve their own interests, to help justify or legitimate the oppression of women." She also believes that religion became oppressive to women since the development of monotheistic religions. Such religions drew inspiration and guidance from the values of patriarchy and class societies prevalent at that time. For example, the Jewish religion drew upon the patriarchal power of Abraham (Mythological father of all religions). Islamic society is also developed in a patriarchal way through the dominance of male "patriarch" under the authority of male head of the family, the supreme ruler, or the *Khalifa* (political ruler) or Imam (religious leader). Even today, in countries like Egypt women are subject to extremely restricted marriage laws under religious dictum. El Saadwi describes Christ as a revolutionary leader who opposed female oppression. Early Christianity had stricter moral codes than other religious and codes which treated the sexes fairly equally. "Despite the limitations placed by Christianity on man's sexual freedom, women were maintained in her inferior underprivileged status as compared with man. The patriarchal system still reigned supreme and grew even more ferocious with the gradual shift to a feudal system" (El Saadwi 1980: 119).

The Quran and other religious books of Islam evidenced that women are not badly treated in Islam. El. Saadawi believes that the recent enhancement of the status of Arab women has been due to a combination of social, economic and political changes of the

country and the women's own struggles. The socialist revolution has a positive impact. Revolutions will further the cause of women even more if the positive aspects of Quran can be emphasized and the patriarchal misinterpretations abandoned. According to many non-Muslim writers' veil is variously depicted as a tangible symbol of women's oppression, a form of social control, religiously sanctioning women's invisibility and subordinate socio-political status. However, there is another view point: *Idijale*, or religious modesty maintained through veil, actually has advantage for women, which can reduce or allow them to cope with male oppression.

10.15 CHANGING STATUS OF WOMEN IN INDIAN SOCIETY: PRE-COLONIAL, COLONIAL AND INDEPENDENCE PERIOD

Many important changes have taken place in India in the last two hundred years. Some of these are more apparent than real. This is particularly so in relation to the status of women. During the last two hundred years a large number of women have marched out of their segregated households into the public life. However, the position of contemporary Hindu women in India is full of familiar contradictions. There are women politicians who hold high positions, yet men control politics both at the grass roots and at the top. There are some important women intellectuals and professionals in India who occupy top position while the vast majority are still ignorant and illiterate. A large number of women are in the workforce and are landless labourers in the remote villages. There are female deities like Durga, Kali, Chandika, Manasa, etc. who are worshipped and feared by most yet the majority of women at home have low ritual status and live in depressed conditions. Women are revered as mothers at the same time they suffer from brutal violence like rape and physical molestation. They are also worshipped as pure beings, but in order to elevate the status of their men folk rather than themselves. Thus, there are seeming paradoxes in the social life of women in India. The historians argue that despite of many legislations and other changes that have occurred in favour of women over the past two hundred years there has been little significant alteration to the traditional structure of male dominance and authority because still there are some deep ideological and structural roots through which this domination has been perpetuated (Allen and Mukherjee 1982).

Women in India constitute nearly fifty percent of the total population. Yet they do not seem to have enjoyed equal status with men. Women's status, by and large, has been one of general subordination to men in societies known for the perpetuation of cultural heritage and tradition. It has been observed that women in India seem to have experienced various problems, particularly those that are socio-cultural over a period of time.

India is a multicultural society with a great diversity and various forms of social hierarchy and inequality like caste and class. Women's role, rights, norms, values, customs, etc. are greatly influenced by religion, institutions of family, marriage, kinship, descent, inheritance, caste hierarchy, and other cultural traditions. Hindu society is a complex phenomenon, developed by the integration of a system of theology with a system of social organization. It is often said that Hinduism is not just a religion but a way of life. As a way of

life, Hindu society cannot be regarded as being homogenous, for the religious influences have varied through the ages and among peoples at different levels of the social hierarchy (Ponniah 1989).

10.15.1 WOMEN IN PRE-COLONIAL INDIA

The status of women in Indian society has changed from time to time. Their status has been variously estimated and there are many views regarding her place in civilization. There is so much variability in the relation of women to society during different time period that it is difficult to make a general statement. Categorically, her utility, resourcefulness in domestic life, refreshing company and affectionate care for children have always proved a great asset to her partner in life and have to a considerable extent determined her status at different stages of civilization. Throughout the Vedic period, women in India especially of the upper caste were given equal status with men. In view of this equality of status, women participated in sacrificial rites and had to be men's equals in upholding "*Dharma*". Women had been able to hear and learn the Vedas, during 600 B.C. In Rig-Veda, the husband and wife appear to have occupied equal status – both of them were designated as "*Dampati*".

In Indian culture, since the post Vedic period the overall status of women in family and society has been low. This low status of Indian women were mainly emerged from overpowering patriarchy and male domination, economic dependence of women over men, various caste restrictions, religious prohibitions and prejudices, illiteracy, lack of leadership quality, low self-esteem and apathetic and indifferent attitude of men. It was the age of *Sutras* and *Epics* (500 BC to A.D. 500) that the status of women changed considerably. Procreation of a son became a religious necessity for he alone could discharge certain ritual obligations to the ancestors. A wife was expected to provide all services needed by her husband and to keep him satisfied. The religious dictum (Manu's) was that a wife ought to respect her husband as a "god" even if he was a drunkard or dumb headed or lunatic was accepted and applying to all women. Practice of *Sati* was gradually established by A.D. 700. The women were socialized and were expected to play the completely dependent role on men with no opportunity to take decisions of her own.

The status of women continued to deteriorate during the age of *Smriti* (A.D. 500 – A.D. 1800) and Muslim rule till they almost lost all status in society. Scholars like Matson Everett (1981) have identified five specific factors responsible for low status of women in India, both in the family and society and also for seclusion of women. There are Hindu religion, caste system, joint family system, Islamic rule and British colonialism. The values of Hinduism support the male supremacy over female, women's "mother-housewife" role in private domain and men's "public" role in economic and political spheres. Hindu religious scripture prescribed inferior positions of women in ritual activities and a dependent position of woman on man throughout her lifetime. For the first time in Indian history, Indian women were subjected to cruelty during the Mughal period. In view of the Muslim invasion, the indigenous culture had been subjected to acculturation. The customs and traditions of Islam had made in-roads into the native culture. For example, the "purdah" system was widely

practiced among the middle classes. According to Altekar (1956) for nearly 2000 years from B.C. to 1800 AD, the status of women steadily deteriorated. The revival of Sati, the prohibition of remarriage, spread of *pardah* system, and the greater prevalence of polygamy made the position of women worst. Generally speaking, before the advent of Muslims, the status of Hindu women was certainly better. There were many factors directly or indirectly responsible for the continuous deterioration of the status of Indian women in medieval times. Early marriage became a rule – to safeguard the honour and chastity of girls. The Hindu laws gave unequal and discriminated treatment to women. They were discriminated in marriage, marital status, divorce, widowhood and inheritance. Very few women received education even in the 1850s. Literacy reached such low ebb after 1857 that there was hardly one woman in a hundred who could read and write. This was so because of the evil socio-religious practices, sinister customs, irrational religious rites and inhuman superstitions and ceremonies unknown in ancient periods, which had crept into Hinduism such as child marriage, enforced widowhood, sati temple prostitution (*devadasi*), *pardah*, dowry, female infanticides, polygamy, etc. All these made Hindu society a huge, static and immobile one where women had practically no positive role. In this period Hindu women were in a perpetual depressive state. The social structure allowed men greater freedom and liberty and greater access and control over resources, from which women were excluded. Different standards were adapted to judge the individual and social conduct of man and women. The laws did not recognize equality of sexes and equal rights for men and women. Thus there was perpetual decline of status of women for several centuries, had reached its lowest ebb in the nineteenth century.

10.15.2 COLONIAL PERIOD

There was much unrest among women in India during colonial period; a general desire to change the existing state of things. This had become possible because the 1920's were a period of social and political awakening in India, followed by intense reformist efforts made by social reformers with or without organized support. Thus, the issue of women's status, which had long become the focus of social reform, was also reflected in a series of legal enactments relating to or affecting women. To mention only a few, the Sati Abolition Act was passed in 1829 and the Widow Remarriage Act in 1854. By 1929, Indian Women had been granted the right to vote. The Sarda Act, which fixed the minimum age at marriage for girls at 14 was enacted in 1929. Mahatma Gandhi stressed the need for educating women. Women's education and amelioration of their status had received a great deal of impetus by the third decade of nineteenth century (Chanana, 1996: 116-121). One of the outstanding features of modern India has been the unprecedented awakening of Indian women during nineteenth and twentieth century. A number of movements, both religious and social like *Brahmo samaj*, *Aryasamaj* and *Prarthana samaj* were launched in the middle of nineteenth century, reforming Hinduism and Indian society. These movements have had a deep impact on the women's identity and women's life in India. The social reformers like Raja Rammohan Roy, Pandit Iswar Chandra Vidyasagar in Bengal, Malabari, Ranade in Bombay and Dayananda Saraswati in Punjab and many others and their ideas changed the total atmosphere in India and brought about a near revolution through laws which started the new era of emancipation for women in India.

The political upheaval under Mahatma Gandhi marked the climax when women participated in the independence movement. In the 1930s and 1940s the outlook of leaders of the nationalist movement became more egalitarian and less hierarchical. The nationalist leaders' commitment to equality influenced the Indian women's movement to turn to liberal egalitarian values. Some women's organizations were formed to promote modern ideals to women on a nationalist basis. Of these Bharat Stri Mahamandal (BSM) was founded in 1910, Women's India Association (WIA) founded in 1917 by Madame Annie Besant, National Council for Women in India (NCWI) founded in 1925 by Lady Aberdeen, Lady Tata and others and All India women's Conference (AIWC) founded in 1927 by the efforts of Margaret Cousins and others. These organizations took up various issues like women's education; abolition of social evils, Hindu law reform; moral and material progress of women, equality of rights and opportunities and women's suffrage. According to Ahuja (1992) the Indian Women's movement worked for two goals: 1) uplift the status of women in India, that is, reforming social practices so as to enable women to play a more important and constructive role in society and ii) equal rights for men and women, that is, extension of civil rights enjoyed by men in the political, economic and familial spheres to women also.

10.15.3 INDIAN GOVERNMENT AND WOMEN'S EQUALITY

What Indian women achieved after independence of India and the provisions for gender equality in the Indian Constitution was a consequence of their participation in the freedom struggle. The Constitution of India brought Indian women at par with men. Article 326 gave them the right to vote. Articles 14, 15 and 16 ensure equality of opportunity and equality before the law. The state can make special provisions for women. Thus, the Constitution gives equality to Indian women through its fundamental rights and Directive Principles of State Policy. The adult franchise brought Indian women on an equal footing with men. The Constitution of India guarantees all those rights to women which are given to men. The Central Social Welfare Board (CSWB) was established by the Government of India 1953 to promote and strengthen voluntary efforts for the welfare of women. The Five Years Plans also laid emphasis on women's rights and stressed on the welfare activities, education, health and family planning for women.

After Independence in 1947, there was an acceptance of professional life for women although they were not encouraged in scientific and technological vocations. It has been observed that women of the upper classes have better educational and job opportunities whereas the rural and lower-middle class women do not enjoy such wide perspectives because they unfortunately still believe in traditional social taboos. Many of them are still confined to the four walls of domesticity and strict patriarchy. The appointment of the National Committee on the status of women in India 1972, and the publication of its report in 1975 marked the first comprehensive official attempt in contemporary times to study the status of Indian women and recommend changes to improve their position.

The report highlighted that despite constitutional guarantees the roles, rights and participation of women in all spheres of life were limited. The literacy rate of Indian women

in still half of the literacy rate of men; sex ratio is still very low and life expectancy at birth for females is still lower than males and the economic participation rate of women is still very low when compared to men. The National Commission for Women (NCW) was set up on January 31, 1992 to look into women related issues, to probe into the status of women, to study various legislations and point out the gaps, to look into the discrimination and violence against women and analyse possible remedies. Still the status of Indian women is not up to the mark or to the desired level. The question looks large that even in the twenty first century are Indian women belong to the category of second sex? It is true that one set of disabilities of women like – Sati, child marriage, female infanticide, widowhood, denial of property rights, *devadasi* system, etc. have been removed by social reforms and legislations but others have taken their place in some new forms and practices such as bride-price, female foeticide, girl trafficking, divorce, etc. A series of laws have been passed in last five decades since independence for the upliftment of status of women in India but it is really pity for Indian women that all these are far from reality. A handful of womenfolk only enjoy the benefits from the state who belongs to a small section of privileged educated women of urban upper economic strata. We cannot deny that various opportunities for women have considerably widened certain levels and enabled them to achieve numerous advances/gains in various spheres. But the process of modernization, westernization and of latest globalization further complicated the situation.

A large section of the population of India lives in rural areas with traditional mentality and it is difficult for them to accept modern role of women in India based on equality, rationality and progressive mind. Society's attitude in general is changing slowly towards women's due role and status, but the pattern of male superiority is still dominating. Although legally and theoretically women are now recognized as the social equal of men, the patriarchal family, the caste system, religious mores and prevailing value system are still surcharged with the spirit of male domination. The attitude, which determines behaviour and the ideology, is the crucial variable affecting the changing process of status of women. People act on the values or beliefs of the society. Hence a change in status of women can come about only through persuading the public that a given set of values is wrong and must be modified. The attitudes related to women's low position and inequality is very difficult to change except under compulsion. Nevertheless, higher education and employment operated as an effective engine of change in the lives of women. Holding a job has involved women in a role — that of bread earner — which by all accounts is most salient in defining the differences between the sexes.

The change in women's economic role has provided a necessary precondition for the revival of the drive for equality. As more and more women become educated and join in the labour force they will gain personal knowledge of discrimination and the need to correct it. The present unit examines the status of women from a historical perspective. At the outset the unit discusses the different parameters through which one can understand the very concept of status of women and against which the status of women can be analyzed. Then it goes on discussing the status of women in earlier societies. Earlier societies are said to be egalitarian in terms of gender. But with the economic development of the society the status of women

deteriorated. An array of factors collectively contributed to this process. The patriarchal system found a stronghold with industrialization pushing women to secondary position in all areas of social life.

10.16 WOMEN'S STRUGGLE AND REFORMS

Though women of India are not at par with her counterpart in Western world but she is struggling hard to make her mark in men's world (Desai, Neera, 1977). There have been social reformers like Raja Ram Mohan Roy, Ishwar Chandra Vidyasagar, Swami Vivekananda, and Swami Dayananda Saraswati who have helped women gain their previous status in society.

Raja Ram Mohan Roy was strictly against the evils prevalent in society in his time. He is the one who has done women a great favour by abolishing Sati lawfully. He himself married a widow thus setting the example for the whole society. Along with 'Dwarkanath Tagore' he founded "Brahma Samaj" for the reform of Indian society and emancipation of women.

Ishwar Chandra Vidyasagar was popularly known as Vidyasagar, which means sea of Knowledge. He was a pillar of social reform movement of Bengal in the 19th century. He strongly supported women education in Bengal and went door to door to persuade people to send their girl child to school. He also did a lot in the field of widow remarriage (Forbes, Geraldine, 1998). He opened many schools for girls.

Jyotirao Govindrao Phule was a real philanthropist. He was the one to open first girl school in India. He is also credited with opening first home for widows of the upper caste and a home for new born girl children so that they can be saved from female infanticide.

Swami Dayananda Saraswati was the founder of Arya Samaj and gave a cry, "back to Vedas". He translated Vedas from Sanskrit to Hindi so that a common man can read it and understand the Vedic Hindu scriptures gave utmost importance to women (Sharma, Radakrishna, 1981). He emphasized for the equal rights for women in every field. He tried to change the mind-set of people with his Vedic teachings.

10.17 GENDER DISCRIMINATION

10.17.1 INTRODUCTION

Gender disparity still exists in India. Being born as women in Indian society, one has to face gender discrimination at all levels. At the household level, females are confined to their household chores, raising children and looking after families, irrespective of their education degrees or job profile. At her workplace: women have limited access to job opportunities and are paid less for the same work. In India, discrimination was deep rooted and it is being exist since ages. In spite of the provision of equal rights to both the sexes,

inappropriately sexual category still exists in the country. Time and again studies conducted and results shows gender discrimination is mostly in favour of men in many fields, including the workplace.

Gender discrimination is uneven or detrimental conduct of an individual or group of individuals based on gender. Gender discrimination is the unequal or disadvantageous treatment inflicted on someone because they belong to a specific gender. It is usually the women who usually have to face such gender discrimination.

Education and learning opportunities: gender-wise literacy rates in India showcase the wide gap between men and women. As per 2011 census data, effective literacy rates (age 7 and above) were 82.14% for men and 65.46% for women. Parents are unwilling to spend on girls' education because educating women is of no value as they will only serve their husbands and the in-laws in the future.

The Indian constitution provides equal rights and privileges for both men and women, but most women across India don't enjoy these rights and opportunities guaranteed to them. This is because of a number of reasons.

10.17.2 CAUSES OF GENDER INEQUALITY

1. **Poverty** – This is the root cause of gender discrimination in the patriarchal Indian society, as the economic dependence on the male counterpart is itself a cause of gender disparity. A total of 30% of people live below the poverty line, and out of this 70% are women.
2. **Illiteracy** – Gender discrimination In India had led to educational backwardness for girls. It's a sad reality that despite educational reforms in the country, girls in India are still denied a chance at learning. The mind-set needs to be changed, and people need to understand the benefits of educating girls. An educated, well-read woman ensures that other members, especially the children of the house, get a quality education.
3. **Setup in our Indian society** – Men dominate societal and family life in India. This has been the case in the past ages and continues to be practised in the majority of households. Though this mind-set is changing with urbanization and education, there is still a long way to permanently change the scenario.
4. **Social Customs, Beliefs and Practices** – To date, a lot of families have a preference for a male child and disfavour towards the daughter. Sons, especially in the business communities, are considered economic, political, and ritual assets where daughters are considered liabilities.

5. **Lack of Awareness among Women** – Most of the women are unaware of their fundamental rights and capabilities. They lack a basic understanding of how the socio-economic and political forces affect them. They accept all discriminatory practices that persist in families from generation in the name of tradition and societal norms primarily due to their ignorance and unawareness.

Gender-based discrimination across India can only be checked when girls are not denied their chance to learn and grow in life. Girls like boys should get a great start in life in terms of educational opportunities. This will help them attain economic independence and help them be rightly equipped to contribute towards their upliftment and that of the society they are part of.

10.17.3 FACTORS OF GENDER DISCRIMINATION

While there are many factors that explain sex differentials in mortality and morbidity, a key factor is gender inequality. Gender inequalities are obvious in different ways, such as unequal access to resources, power, education and discriminatory socio-cultural practices. The Indian laws on rape, dowry and adultery have women's safety in the forefront, these highly discriminatory practices are still taking place at an alarming rate, affecting the lives of many today.

It is said that 'education starts from home and mother is our first teacher'. But what if the mother herself is denied education? The daughters of our country are reportedly denied even the basic education. They are even disadvantaged of the basic needs of a human being, just because of their gender! Most of the women unfortunately are not even aware of their fundamental rights.

Gender inequality is a major menace that we face in our country. It remains complex to make change in the family front. It pervades in all levels of the society and in the background of social institutions. Some of the major causes are biology, sex roles, illiteracy, so called custom and gender; these are also being applied to the family.

In India as soon as a baby is born, their sex determines how they should be treated, how should they be groomed, what opportunities they should be provided with and how they should behave according to the leading gender maxims in their society, besides how far they should be sent for higher education.

Due to inequality in the society, daughters and womenfolk experience discrimination, arrogance, vehemence, harassment, and struggle even to get equal remuneration and opportunities. In order to get equal wages, they had to fight tooth and nail and to get a law enacted in their favour. However, the status quo and scenario is yet to change positively and regrettably, ensuring the right till date remains a myth.

10.17.4 GENDER DISCRIMINATION IN EMPLOYMENT

Men undoubtedly get paid higher and riskier jobs as compared to women. It is generally thought that the job areas where females are dominant over lower wages. As a woman enters an occupation, the glamour of the occupation associated with the job diminishes and men consequently switch over jobs. People also think that women entering specific occupations like nursing, teaching are less competent and are unskilled. Forgetting the past, that it is the bounded duty of the so-called fair sex to feed the weaker sex, they let women to work, and then belittle the jobs they prefer to do.

Gender inequality in relationships has been increasing over the years. It is highlighted when a couple makes a decision about who will resolve the family matters or issues or who will shoulder the responsibility of the family affairs.

Till recent times women are seen as machines producing successor for their families putting their scholastic and career goals in shelves and to raise their children while their husband's work. Regrettably, gender discrimination is considered as a normal factor and not at all considered as violence against women. In a way poverty can be quoted as the prime issue of gender discrimination in the patriarchal Indian society as women economically depend solely on their male counterpart. However, if women happen to be the breadwinners of the family also the status is not going to change for obvious reasons of domination and claim of supremacy.

The Constitution of India which generously extends rights to all citizens talks mainly about equality, dignity, education and freedom from discrimination. In addition to that India has various rulings prevailing the rights of women which runs parallel with the UN convention. Article 14, 15, 16, 21, 23, 39, 243 and many more, connected with the rights of women comes handy.

CHECK YOUR PROGRESS

1. Discuss the status of women in Indian society in different periods.

.....
.....
.....

2. Explain different causes and factors involved in gender discrimination?

.....
.....
.....

10.18 SUMMARY

Woman constitutes the key role in the Indian society. Women in ancient India enjoyed high status in society and their condition was good. The ancient and medieval status of women in modern Indian society regarding equality, education, marriage and family life, race and gender, religion and culture is maintained or deteriorated. The Vedic women had economic freedom. Some women were engaged in teaching work. Home was the place of production. Spinning and weaving of clothes were done at home. Women also helped their husbands in agricultural pursuit. In the religious field, wife enjoyed full rights and regularly participated in religious ceremonies with her husband. Religious ceremonies and sacrifices were performed jointly by the husband and wife. Women even participated actively in religious discourses. The status of women improved a little during the Buddhist period though there was no tremendous change. The role of women in Ancient Indian Literature is immense. Ancient India had many learned ladies. The Medieval period (Period between 500 A.D-1500 A.D) proved to be highly disappointing for the Indian women, for their status further deteriorated during this period. Women are not treated with respect as in the Ancient Indian society. Lot of crime against women is seen in the modern society. The Constitutional provisions are not sufficient to get the respectable position in society.

The Rig Vedic Women in India enjoyed high status in society. The women were provided opportunity to attain high intellectual and spiritual standard. In Vedic India, women did not enjoy an inferior status rather they occupied an honorable place. They had ample rights in the social and the religious fields and limited rights in the economic and the political fields. They were not treated as inferior or subordinate but equal to men. We have honored our country as our Motherland “Bharat Mata” and our nationalism has grown up from the seed Mantra “Vande Mataram”. Positions of women in society are the index to the standard of social organization. Through this study we come to the conclusion that the women have equal participation in human development. She is half of the human race. But she lacks in society. Women are not treated with respect as in the Ancient Indian society. Lot of crime against women is seen in modern society. Constitutional provisions are not sufficient to get the respectable position in society. Some certain changes inside mind-set of women as well as man are required.

In the gender blind society, the crusade towards equality began in the late 19th century with the longing for aping the western culture. This sought to allow women to vote and hold elected office. If the human beings are in existence, mere gender cannot make one inferior to the other on a few scores or not supposed to overrule the other gender or dominate another, christening them the weaker sex. It is a serious abuse of human rights semblance of chauvinism, possessiveness or be it protection. To an extent, the justified self-esteem be given with the thought in mind that women are not doormats but fellow beings; And especially before the eyes of law, all are equal.

In spite of various protective legislations mentioned herein have been passed by the Parliament to remove mistreatment of women and to give them equal status in society,

regrettably the discrimination prevails unabated. Though the government of India has passed various acts to ensure gender equality in the country, the quantum of awareness is little that the steps to ensure the implementation of laws have to be zoomed up.

10.19 KEY CONCEPTS/WORDS

Gender Discrimination: Gender disparity still exists in India. Being born as women in Indian society, one has to face gender discrimination at all levels. At the household level, females are confined to their household chores, raising children and looking after families, irrespective of their education degrees or job profile. At her workplace: women have limited access to job opportunities and are paid less for the same work. In India, discrimination was deep rooted and it is being exist since ages. In spite of the provision of equal rights to both the sexes, inappropriately sexual category still exists in the country. Time and again studies conducted and results shows gender discrimination is mostly in favour of men in many fields, including the workplace. Gender discrimination is uneven or detrimental conduct of an individual or group of individuals based on gender. Gender discrimination is the unequal or disadvantageous treatment inflicted on someone because they belong to a specific gender. It is usually the women who usually have to face such gender discrimination.

10.20 QUESTIONS FOR PRACTICE

1. What do you understand by gender discrimination?
2. Elaborate the status of women in Indian society historically.

10.21 SHORT ANSWER QUESTIONS

1. Gender Discrimination
2. Status of women in Rig Vedic era
3. Status of women in Buddhist period

10.22 SUGGESTED READING

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The Motto of Our University
(SEWA)

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JAGAT GURU NANAK DEV
PUNJAB STATE OPEN UNIVERSITY, PATIALA

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)
Core Course (CC): ENGLISH COMPULSORY-1

SEMESTER-II

EC1B31206T
ENGLISH COMPULSORY-1

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JAGAT GURU NANAK DEV PUNJAB STATE OPEN UNIVERSITY, PATIALA
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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counselling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



B.A (Liberal Arts)
Core Course (CC): ENGLISH COMPULSORY

Semester-II
EC1B31206T: ENGLISH COMPULSORY-1

MAX.MARKS: 100

EXTERNAL: 70

INTERNAL: 30

PASS: 35%

Objective:

Total

Credits: 6

The course, giving glimpses from diverse literary forms such as poetry, fictional and non-fictional prose, is designed to equip the learners with critical thinking, to help impart the contextualised acquisition of new vocabulary and to promote creative writing. The grammatical concepts are also introduced to facilitate learners' understanding of the functional value of grammar in real-life communicative situations.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A and B of the question paper and any ten short questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

Section A

Unit 1: Poetry: All the World's a Stage by William Shakespeare
Ring Out Wild Bells by Alfred Lord Tennyson

Unit II: Poetry: The Soul's Prayer by Sarojini Naidu
The Road Not Taken by Robert Frost

Unit III: Prose: The Last Leaf by O. Henry
The Doctor's Word by R.K. Narayan

Unit IV: Prose: Why I want a Wife by Judy Brady
My Financial Career by Stephen Leacock

Section B

Grammar and Composition

Unit V: Sentence structures

Unit VI: Word Classes-I: Nouns, Pronouns, Adjectives

Unit VII: Word Classes-II: Verbs, Adverbs

Unit VIII: Word Classes-III: Prepositions and Linking Words.

Unit IX: Functional English: Thanking Someone and Responding to Thanks, Apologising and Responding to Apology, Making Requests and Responding to Requests.

Unit X: Development of Story: This is a piece of guided composition. Candidates shall develop a story from a given outline of 3-4 lines. The outline shall consist of brief hints regarding the beginning, middle and end of the story. The length of the story shall be of 150- 200 words. The following may be regarded as a sample outline:

Son falls into bad company..... disobeys his parents loses interest in studies father decides to bring the son back to the right path gives him a few apples places a rotten apple among the good ones after a few days the good apples also become rotten son understands that one rotten apple spoils all the apples tries to mend his ways gets transformed..... moral.

Suggested Readings:

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- Rani, D Sudha, TVS Reddy, D Ravi, and AS Jyotsna. A Workbook on English Grammar and Composition. Delhi: McGraw, 2016.



JAGAT GURU NANAK DEV PUNJAB STATE OPEN UNIVERSITY, PATIALA
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BACHELOR OF ARTS (LIBERAL ARTS)

Semester-II

EC1B31206T: ENGLISH COMPULSORY-1

COURSE COORDINATOR AND EDITOR: DR. GURLEEN AHLUWALIA

SECTION A

UNIT NO:	UNIT NAME
UNIT 1	POETRY: ALL THE WORLD'S A STAGE BY WILLIAM SHAKESPEARE; RING OUT WILD BELLS BY ALFRED LORD TENNYSON
UNIT 2	POETRY: THE SOUL'S PRAYER BY SAROJINI NAIDU; THE ROAD NOT TAKEN BY ROBERT FROST
UNIT 3	PROSE: THE LAST LEAF BY O. HENRY; THE DOCTOR'S WORD BY R.K. NARAYAN
UNIT 4	PROSE: WHY I WANT A WIFE BY JUDY BRADY ; MY FINANCIAL CAREER BY STEPHEN LEACOCK

SECTION B

UNIT NO:	UNIT NAME
UNIT 5	GRAMMAR: SENTENCE STRUCTURES
UNIT 6	WORD CLASSES-I: NOUNS, PRONOUNS AND ADJECTIVES
UNIT 7	WORD CLASSES-II: VERBS AND ADVERBS
UNIT 8	WORD CLASSES-III: LINKING WORDS AND PREPOSITIONS
UNIT 9	FUNCTIONAL ENGLISH: THANKING, APOLOGISING AND REQUESTING
UNIT 10	WRITING SKILLS: DEVELOPMENT OF STORY

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENGLISH COMPULSORY-1

UNIT-1: ALL THE WORLD'S A STAGE RING OUT WILD BELLS

STRUCTURE

1.1 Objectives

1.2 Introduction

1.3 Meet William Shakespeare

1.3.1 Shakespeare's Early Life

1.3.2 Shakespeare Seeks His Fortune

1.3.3 Success in the Theatre

1.4 Reading Focus

1.5 Building Background

1.5.1 Sonnet Subjects

1.5.2 Shakespeare's Songs

1.6 Prescribed Text 'All the World's a Stage'

1.7 Brief about the Poem

1.8 Glossary

1.9 Explanation

1.10 Summary

1.11 Analyzing Poetry

1.12 Reading Further

1.13 Meet Alfred Lord Tennyson

1.14 Reading Focus

1.15 Building Background In Memoriam

1.16 Prescribed Text 'Ring Out, Wild Bells'

1.17 Glossary

1.18 Explanation

1.19 Summary

1.20 Analyzing Poetry

1.21 Reading Further

1.1 OBJECTIVES

After reading this lesson you will be able to

- Differentiate between both the literary ages of the poets
- Review the biography of the poets
- Appraise both the poems
- Revise the prescribed poetry
- Choose the right answers from the text
- Develop your own understanding in terms of reading poetry
- Plan your intertextual or mix-media readings

1.2 INTRODUCTION

Dear Learners, this lesson will introduce you to the two masterpieces in poetry written by William Shakespeare and Alfred Lord Tennyson respectively. With the study of ‘All’s the World a Stage’ from As You Like It and, ‘Ring Out, Wild Bells’ from In Memoriam, we bridge the two different eras in the History of English Literature, one that marks the beginning of the exuberant era of Renaissance and the other 19th century that brings in the Victorian poise and morality.

1.3 MEET WILLIAM SHAKESPEARE

Nearly four centuries after his death, the works of William Shakespeare continue to delight readers and audiences around the world. In fact, Shakespeare’s writings are more widely read and more often quoted than any other work ever written, aside from the Bible. Yet, while Shakespeare’s literature endures, we know very little about the man himself—the most celebrated and talented English poet and dramatist of all time. The little information we do have about Shakespeare’s life has been pieced together from anecdotes, gossip, clues found in his poems and plays, legal documents, entries in the public record, and the memorials and reminiscences of his fellow writers. Unfortunately, there are no biographical portraits of Shakespeare from his own era.

1.3.1 Shakespeare’s Early Life

So, what do we know of Shakespeare, the man? He was born on April 23, 1564, in the small town of Stratford-upon-Avon, which is about one hundred miles from London. His father, John Shakespeare, was a prosperous glovemaker, butcher, and tradesman who also filled several local government positions, including high bailiff (the equivalent of mayor). His mother, Mary Arden, was the daughter of a wealthy landowner. William was the third of at least eight children born to

this prosperous couple. He was their first boy and the first child to survive past childhood. He likely attended the local grammar school, studying Latin and classical literature. When Shakespeare was about thirteen, however, his father started to lose his social standing and to have serious financial problems. Shakespeare had to leave school, perhaps to help support the family. The different types of work he did remain unknown, but according to the accounts of John Aubrey, at some point Shakespeare worked as a butcher and, “when he killed a calf, he would do it in high style and make a speech.” At the age of eighteen, Shakespeare married a twenty-six-year-old local woman named Anne Hathaway and began a family of his own. The couple had a daughter, Susanna, and twins, Hamnet and Judith. Sadly, Hamnet died at the age of eleven.

1.3.2 Shakespeare Seeks His Fortune

Sometime between the birth of his twins in 1585 and his first notably successful play in 1592, Shakespeare moved to London to pursue a career in the theatre. He did not move his family with him, however. According to poet William Davenant, Shakespeare arrived without friends or money. What’s more, his first “theatre job” actually consisted of simply holding the horses of theatre-goers—which would be like parking cars at a theatre today. Nevertheless, his competence at this job, and at making clever conversation with the people coming and going, attracted the attention of the theatre’s actors. Thinking him witty enough to improve a few of their plays (revising plays to add scenes or bring them up to date was a common practice at the time), the actors recommended him for the job. If Davenant’s tale is true, this is how Shakespeare got his chance to write for the stage—and to act small parts as well.

1.3.3 Success in the Theatre

The production of *Henry VI* in 1592 appears to have been Shakespeare’s first theatrical success. After this, he wrote and published two long narrative poems, which became immediate favourites: *Venus and Adonis* and *The Rape of Lucrece*. These works he dedicated to a newfound patron and friend, the young Earl of Southampton. When, in 1594, this young earl reached the age of maturity—and thus gained access to his fortune—he expressed his thanks for these dedications and his devotion to Shakespeare by giving the author the gift of a large sum of money. This money enabled Shakespeare to become a partial owner of a theatre company, the Lord Chamberlain’s Men. As part-owner, Shakespeare became the main playwright for the troupe. By 1598 the group had performed twelve of Shakespeare’s plays, earning him enough of a profit to enable him to purchase several theatre buildings and a large estate for his family in Stratford—although he continued to live primarily in London.

By 1599 the thirty-five-year-old playwright was producing two plays a year—and drawing tremendous audiences as well as critical acclaim. A literary handbook of the time calls Shakespeare “most excellent” in both comedy and tragedy and “the most passionate among us to bewail and bemoan the perplexities of love.” Shakespeare’s greatest creative period had just

begun at this point. Between 1601 and 1607, he wrote the tragic masterpieces Hamlet, Othello, Macbeth, and King Lear. He also wrote comedies that were darker and more complex than his previous works. Yet even Shakespeare's finest plays, though much admired by his contemporaries, had less literary status than his narrative and lyrical poems. During Shakespeare's lifetime, his reputation as a great writer was based mainly on his nondramatic poems and on his sonnets. Shakespeare published his sonnets in 1609—although he had written and circulated the bulk of them in handwritten form in the 1590s (probably at about the same time he wrote his two long poems). Then, in 1610, Shakespeare moved back to Stratford, where he lived comfortably as a semi-retired gentleman, writing fewer plays than before. Among these was a supreme romance, The Tempest, in which the main character's farewell speech is generally looked upon as also being Shakespeare's good-bye to writing and perhaps even to life. He died on his fifty-second birthday in 1616.

1.4 READING FOCUS

What do you already know about Shakespeare's songs and sonnets?

Record the information in your notebook as to what have you read on Shakespeare from the lesson and other books, write any lines you remember, themes covered, or facts you recall about the sonnet form.

Setting a Purpose: Read on to discover more about Shakespeare's song and his philosophy of theatre and life.

1.5 BUILDING BACKGROUND

1.5.1 Sonnet Subjects

Shakespeare popularized the English sonnet (a poem of 14 lines) which made significant changes to Petrarch's model of writing sonnet **poetry**. In 1609 his collection of 154 sonnets was published. The sonnet was introduced into English by Italian sonneteers Thomas Wyatt and Surrey in the early 16th century. Shakespeare's poems explored more than the typical theme of a young man pining for love. For example, Sonnet 116 describes true love as a permanent feeling that does not lessen when the physical beauty of one's beloved begins to fade. Shakespeare's sonnets fall into three groups. Sonnets 1-126 concern a handsome young man whom the speaker urges to marry and have children. Sonnets 127-152 concern a "dark lady," a woman who attracted both the poet and the young man. The final two sonnets are English versions of Greek poems and have no real connection to the rest of the sequence. No one knows for certain who the handsome youth and dark lady were, but it is believed that the man was W.H. Shakespeare's patron. In reality, the characters might simply have been figments of Shakespeare's fertile imagination.

1.5.2 Shakespeare's Songs

Shakespeare's plays contain some of the finest songs ever written. Music was important to Elizabethan audiences, so Shakespeare used songs to help heighten the mood in his plays. "Fear

No More the Heat o' the Sun" is a song from the play Cymbeline (act 4, scene 2). Two princes recite the dirge over the body of their sister Imogen, whom they believe to be dead. "Blow, Blow, Thou Winter Wind" is from the comedy As You Like It (act 2, scene 7). It is sung by Amiens, an exiled courtier. As You Like It contains more songs than any of Shakespeare's other plays. The most famous one 'All the World's a Stage' is prescribed in our syllabus.

1.6 PRESCRIBED TEXT 'ALL THE WORLD'S A STAGE'

Speech: All the World's a Stage

(from As You Like It, spoken by melancholic Jaques in act 2, scene 7 ('Seven Ages of Man' speech) to Duke Senior and his companions in the Forest of Arden)

All the world's a stage,
And all the men and women merely players;
They have their exits and their entrances;
And one man in his time plays many parts,
His acts being seven ages. At first the infant,
Mewling and puking in the nurse's arms;
And then the whining school-boy, with his satchel
And shining morning face, creeping like snail
Unwillingly to school. And then the lover,
Sighing like furnace, with a woeful ballad
Made to his mistress' eyebrow. Then a soldier,
Full of strange oaths, and bearded like the pard,
Jealous in honour, sudden and quick in quarrel,
Seeking the bubble reputation
Even in the cannon's mouth. And then the justice,
In fair round belly with good capon lin'd,
With eyes severe and beard of formal cut,
Full of wise saws and modern instances;
And so he plays his part. The sixth age shifts
Into the lean and slipper'd pantaloon,
With spectacles on nose and pouch on side;
His youthful hose, well sav'd, a world too wide
For his shrunk shank; and his big manly voice,
Turning again toward childish treble, pipes
And whistles in his sound. Last scene of all,
That ends this strange eventful history,
Is second childishness and mere oblivion;
Sans teeth, sans eyes, sans taste, sans everything.

1.7 BRIEF ABOUT THE POEM

This poem is an excerpt from his play *As You Like It*. The poem compares the world to a stage and life to a play, and catalogues seven stages in a man's life: infant, schoolboy, lover, soldier, justice, aging man, and finally facing imminent death. The poem suggests that each stage in a man's life calls upon him to play another role. The opening line, "All the world's a stage" was said to adorn the Globe Theatre.

1.8 GLOSSARY

- merely = just, only
- time = here, a life or lifetime
- part = here, a character in a play or drama
- ages = here, periods of time
- infant = a young child
- mewling = a small weak noise that a cat makes (in modern English, 'to mew')
- puking = being sick, vomiting
- satchel = a shoulder bag that children sometimes use to carry books to school
- sighing = here, sighing with sexual pleasure
- furnace = an object which contains a fire, used for heating
- woeful = unhappy (old-fashioned English)
- ballad = a slow love song
- mistress = means female lover but it can also mean a woman in charge
- eyebrow = the row of small hairs above someone's eye
- oaths = promises
- pard = a large cat, such as a leopard (old-fashioned English)
- jealous in honour = here, jealous means that someone takes care of something very carefully- so the young man takes great care of his honour, his reputation as a good man
- sudden and quick in quarrel = 'quarrel' is a slightly old-fashioned word for an argument; 'sudden' here means unpredictable - so in an argument this young man might suddenly and become violent
- Seeking the bubble reputation = a bubble is empty, so by 'seeking the bubble reputation,' Shakespeare means that the man does things that make him look good even if they are pointless
- Even in the cannon's mouth = a 'cannon' was a large gun, and it's 'mouth' was at the front -so the man seeks his reputation even if it means standing in front of guns, i.e. going to war or getting in fights
- justice = here, a judge or magistrate - so someone very respected
- round belly = belly means 'stomach' - so a 'round belly' is a large or fat man's stomach!

- good capon lin'd = 'to line' means to fill something at the edges (e.g. 'line a tin for baking a cake') and 'capon' was chicken to eat - so the man was fat from eating good chicken
- wise saws = wise sayings or phrases (old-fashioned English)
- instances = examples (as in 'for instance')
- lean and slipper'd pantaloen = 'lean' meant 'thin;' a slipper is what people wear indoors; a 'pantaloen' meant an old man - so this describes a thin old man who stays inside
- pouch = a small bag for carrying money
- hose = tights, thin trousers that men wore in Shakespeare's time
- well sav'd = kept carefully
- a world too wide = much too big
- shrunk shank = 'to shrink' means to grow smaller, and a 'shank' is a piece of meat cut from a leg of an animal - so the man's legs have grown narrower with age
- manly = if someone is 'manly' they have characteristics people traditionally admire in men, e.g. being strong and brave
- Turning again toward = becoming again
- treble = a treble is the higher part of a piece of music - so Shakespeare is referring to a boy's high voice
- pipes = a musical instrument that makes a high sound
- eventful = full of activity, containing lots of events
- history = here, a kind of play that talks about events in the past
- second childishness = being like a child again (in modern English, we sometimes talk about a 'second childhood')
- mere = here, absolute or complete (old-fashioned use)
- oblivion = if someone is 'oblivious' they don't know what is happening around them, and if they live in 'oblivion' they are completely forgotten by other people
- Sans = without (this is French for 'without')

1.9 EXPLANATION

All the World's a Stage opens with comparing the world to a stage and all the men and women to merely its players (Actors and Actresses). All these people have different routes and timings to enter this stage and have different exits to go out. They enter this stage when they are born and leave this stage when they die. Similarly, every person, during his lifetime plays many parts. These parts are called seven ages. Every player plays seven roles during his life. In fact, human beings play their parts in life as characters play their role on stage. Shakespeare says that each human being performs seven parts in this small drama on the stage of the world.

The first stage is that of an infant when he is helpless in his mother's arms. He merely pukes in the nurse's arms. He makes his entry as a baby who is fully dependent upon others. The first stage ends when the infant grows into a school child.

In the second role, he is a child who goes "creeping like a snail unwillingly to school." He is innocent. He is not willing to learn. He wants freedom. For learning, he must lose his childish liberty.

The third stage brings before us the lover who sings woeful ballads for his beloved. In the youthful age when man is full of energy and might, he does everything to please his beloved. Even this shift of life, filled with merrymaking and joyous songs, passes so quickly as well.

The fourth stage is soldier, and this stage portrays the man as a soldier or a fighter fighting for the nation. His beard depicts all those strange oaths that he takes to protect his country and all the men and women living in it. No doubt he quarrels, but he also maintains his dignity to create and develop his reputation in front of others around him. Here man seeks fame though it is temporary and short lived. He endangers his life for it. It alludes how man goes to every extreme for temporary success, as success is always temporary. This is perhaps the toughest stage in his life.

Then comes the fifth stage, where he turns into justice, the one who knows what is good and what is right. At this stage, he is perhaps the best person to approach to find out who is correct and who is wrong. He has round belly. He cites modern instances.

In sixth age, man becomes very weak. He keeps pouch with him. He wears warm hoses. Man's shank (ankle) has shrunk. "His big manly voice is turning again towards childish treble." His voice is not clear due to loss of teeth.

In the last stage, the condition of man becomes very miserable. Now he has grown very old and weak. The last stage comes for him to go through oblivion, that is forgetfulness. No matter how hard he tries to remember things, he is just not able to. When he enters in this stage, he changes from his old age to the oldest one. This is a strange stage of life. In this period all the life which has been previously full of strange events, comes to an end. Man becomes child once again. This is like his second childhood. In this stage he is childish as well as childlike. At this stage he forgets almost everything. His memory becomes very weak. He loses teeth, eyesight and taste. He is without everything. This is the stage in which he completes the drama of his life and leaves the stage of this world for the next. Thus, Shakespeare pictures the seven stages of a man's life in the poem 'All the World's a Stage.'

The speech is rich in detail and imagery. Jaques paints miniature portraits of each of the stages of man's life highlighting the ridiculous, helpless, or ineffectual aspects of each stage. The baby is "mewling and puking," while the schoolboy whines as he is forced to attend school against his will. The lover's sentiments are made to seem absurd and extreme, as he sadly sings of "his mistress' eyebrow." The soldier seems to live in isolation from society and friendship, "full of strange oaths" as if belonging to a secret guild, and he is guided by negative, aggressive emotions like jealousy and anger; even when faced with the prospect of death, "in the cannon's mouth" he still gives priority to his reputation. The justice's belly is understood to be lined with capon—a castrated rooster, which serves as another symbol of the impotence of living

creatures—because judges were often bribed with capons. As a judge, meanwhile, both his physical appearance and his intellectual state—he is “full of wise saws and modern instances” that is, he does not truly think independently—show him to be fulfilling his function in society without much thought or ability. Jaques’s closing descriptions of the pantaloone and of the senile old man offer a vivid picture of every man’s descent into obscurity: the pantaloone finds his body and his voice alike shrinking, while the final stage “is second childishness and mere oblivion.” Thus, in Jaques’s view, not only does man pass through a number of predictable stages but also within each stage the depth of his person is no greater than that of a stock character in a play, meriting a psychological description of a few lines at most.

The “Seven Ages of Man” speech is left to numerous interpretations, but its insistence that all men are simply following the scripts of their lives—as co-written by Fortune and Nature—is thought provoking. The references to acting, roles, and theatre in *As You Like It* may best be interpreted in the context of the play as contrasted with the pastoral life. The characters of *As You Like It*, coming from the upper echelons of the court, would have been accustomed to civilization’s comforts; while speaking with Corin, Touchstone regrets the absence of certain aspects of that courtly life, namely the abundances of society and food. Other characters function better than Touchstone in the forest milieu in that they are more willing or more able to “play the roles” of forest dwellers. In making frequent reference to the conventions of dramaturgy, Shakespeare assists his urban crowds to lose themselves in the ethereal theatre of the Forest of Arden.

1.10 SUMMARY

All the World’s a Stage compares the world to a stage and all the men and women have their roles to play. People enter this stage when they are born and leave this stage when they die. The various roles that every person during his lifetime plays are called as seven ages. The seven ages consist of infant, then school going child, lover, soldier, judge, old person, and nearing death extreme old age which is also called as a second childhood. All the stages have their own strengths and weaknesses, but second childhood is the most weak stage/role in the life of a human being.

1.11 ANALYZING POETRY

*** Recall and Interpret**

1. What is the world compared to?
2. What are the seven stages of man’s life?
3. What do ‘exits’ and ‘entrances’ refer to?

*** Evaluate and Connect**

4. How is life similar to the theatre according to Shakespeare?
5. What characteristics would you associate with the stage of a soldier?
6. Explain the line ‘the lean and slippered pantaloone.’

7. Compare and contrast the first and the seventh stage of life in a human being's life.

1.12 READING FURTHER

To learn more about Shakespeare, try these resources:

1. Collection: An Oxford Anthology of Shakespeare, edited by Stanley Wells, is divided into chapters such as "Love," "Friendship," and "Politics."

2. Biography: How Shakespeare Spent the Day, by Ivor Brown, contains interesting information about the London theatre of Shakespeare's day.

3. Listening: Ages of Man: Readings from Shakespeare is a memorable collection of speeches and sonnets delivered by actor Sir John Gielgud.

1.13 MEET ALFRED, LORD TENNYSON

Tennyson was born in 1809. Not an average child, he produced a six-thousand-line epic poem by the age of twelve. He also wrote poems in the styles of Alexander Pope, Sir Walter Scott, and John Milton before his teen years. Throughout his life, Tennyson would turn to poetry whenever he felt troubled. As he said in one of his poems, "for the unquiet heart and brain, / A use in measured language lies." Tennyson had great need of such solace. His father, a clergyman, had a long history of mental instability. When Tennyson's grandfather considered the clergyman unfit to take over the family dynasty—thereby virtually disinheriting him—Tennyson's father turned to drugs and alcohol. He often took out his bitter disappointment on the family. On more than one occasion, he threatened to kill Tennyson's older brother Frederick.

At age eighteen, Tennyson joined his older brothers at Cambridge University. Although he was painfully shy, his poetry brought him to the attention of an elite group of students known as "The Apostles." Thriving on their affection and support, Tennyson gained confidence in his abilities. His closest friend was Arthur Henry Hallam, a brilliant and popular student who later became engaged to Tennyson's sister. While Tennyson was at Cambridge, he published *Poems, Chiefly Lyrical*, and he went to Spain with Hallam and other Apostles to aid in the unsuccessful revolt against Ferdinand VII.

In 1831 Tennyson left Cambridge to be with his father, whose health was failing. After his father's death, Tennyson decided to pursue a career in poetry rather than return to school. His early volumes of poetry drew mixed reviews, however, and Tennyson was hurt by some of the harsher criticism. Then, in 1833, he learned that Arthur Hallam had died suddenly of a stroke. Tennyson fell into a deep depression, saying, "I suffered what seemed to me to shatter all my life so that I desired to die rather than live." Although he continued to write poetry, he did not publish anything for nearly a decade; however, he wrote some of his most significant poems during this period.

When he was thirty-two, Tennyson brought out a new book of poems. This time, almost all of the reviews were positive. Fame came in 1850 with the publication of *In Memoriam A. H. H.*, a long cycle of poems about his grief over the loss of Hallam. That same year, Queen Victoria appointed Tennyson to succeed William Wordsworth as poet laureate. Finally confident about his future, Tennyson married Emily Sellwood, a woman whom he had met and become engaged to fourteen years earlier.

For the rest of his life, Tennyson enjoyed remarkable prestige. His books could be found in the home of nearly every English reader, and many people considered him a spokesman for the Victorian age. His gruff manner and striking appearance added to his mystique. In 1883 Tennyson accepted the title of baron, becoming the first poet ever to be ennobled for his work. Upon his death in 1892, he was buried near Browning and Chaucer in the Poet's Corner at Westminster Abbey.

1.14 Reading Focus

Journal your response to the question how do memories of the past affect your present life?

Write down your symbolical wish full of hope for the New Year wishing for a new beginning.

Setting a Purpose Read the following poem to find out how the speaker draws upon experiences from the past.

1.15 BUILDING BACKGROUND 'IN MEMORIAM'

In Memoriam A. H. H. Tennyson was deeply shaken by the news of Arthur Hallam's death in 1833, who was his friend and his sister's fiancé. He died suddenly at the age of twenty-two. Within a few days he wrote an elegy (a poem of mourning or lament) about this loss. He continued writing elegies over the next seventeen years, exploring not only his personal grief but also the larger issues of life and death. Eventually he collected these poems under the title *In Memoriam A. H. H.* Tennyson once described the work as a series of "short swallow-flights of song." He wrote: "It must be remembered that this is a poem, not an actual biography. The different moods of sorrow as in a drama are dramatically given, and my conviction that fear, doubt, and suffering will find answer and relief only through faith in a God of Love." According to legend, the inspiration for the poem came when Tennyson, staying in the vicinity of Waltham Abbey, heard the Abbey Church bells clanging in the wind on a stormy night. As a child in the large family of an impoverished country Church rector, Tennyson would have seen and perhaps experienced many of the features of society that he wrote about in *Ring Out, Wild Bells*.

1.16 PRESCRIBED TEXT 'RING OUT, WILD BELLS'

Ring out, wild bells, to the wild sky,

The flying cloud, the frosty light:

The year is dying in the night;

Ring out, wild bells, and let him die.

Ring out the old, ring in the new,
Ring, happy bells, across the snow:
The year is going, let him go;
Ring out the false, ring in the true.

Ring out the grief that saps the mind
For those that here we see no more;
Ring out the feud of rich and poor,
Ring in redress to all mankind.

Ring out a slowly dying cause,
And ancient forms of party strife;
Ring in the nobler modes of life,
With sweeter manners, purer laws.

Ring out the want, the care, the sin,
The faithless coldness of the times;
Ring out, ring out my mournful rhymes
But ring the fuller minstrel in.

Ring out false pride in place and blood,
The civic slander and the spite;
Ring in the love of truth and right,
Ring in the common love of good.

Ring out old shapes of foul disease;
Ring out the narrowing lust of gold;
Ring out the thousand wars of old,
Ring in the thousand years of peace.

Ring in the valiant man and free,
The larger heart, the kindlier hand;
Ring out the darkness of the land,
Ring in the Christ that is to be.

1.17 GLOSSARY

- Feud= fight
- Redress= means “remedy” or “relief”
- Party strife= means antagonism or a dispute between sides or factions.

1.18 EXPLANATION

For centuries, shortly before midnight on New Year's Eve many of England's parish churches on the stroke of midnight, begin the ancient ritual of ringing out the old year and ringing in the new. The sentiments expressed in Tennyson's poem *Ring Out, Wild Bells* still resonate almost two hundred years after it was first published. The poem speaks of bringing relief from grief, about casting aside everything that was sad and bad about the year that has passed and makes fervent wish that the better aspects of human nature will emerge in the future. This poem is canto 106 from *In Memoriam*.

The imagery of the ringing of the Church bells on New Year's Eve is an evocation of Tennyson's view of what needs to be wrung out of society and what needs to be ushered in with the New Year. The continuous rhythm and repetition reflect the rhythmic sound of church bells when tolled both for the dead and to call people to prayer. This rhythm is not suggestive of the joyful peals that ring out on celebratory occasions, but the poem drives in a passionate message. This frequent repetition suggests the fervency of the wishes expressed by the poet.

It is a stormy night when the poem was penned. According to local legend, the nearby church bells were swinging wildly in the wind when Tennyson was inspired to write this poem. The year is dying (it is New Year's Eve) and the poet is ready to put the year and the grief that he has experienced at the death of a friend behind him.

In the first ten lines of the poem Tennyson alludes to the death of his friend Arthur Henry Hallam. The suggestion is that the time has come to put an end to grieving and move on the stage of acceptance of death - to let him go because grief saps the mind. The suggestion is that with the end of the year comes the time for a new beginning.

The Lines 11-20 seem to be Tennyson's expression of his political philosophy, written in the context of Britain's socio-economic and political situation in the mid-nineteenth century. The Kingdom is divided along sharp class boundaries into those who are rich and those who are poor. This is the cause of much conflict. It is time to redress the ills of society, for it to become kinder, more equal, and just.

The times are faithless and harsh, and Tennyson is hoping that his lines, expressing his hopes for the future will be echoed in the chiming of the New Year bells. He hopes that more powerful voices than his own - the fuller minstrel, will bring about positive social change.

Lines 21-24 are an exposition of the theme of equality and justice. Class divisions in society are exemplified in "false pride in place and blood." Both those who have inherited high social positions and those who occupy civic positions are at fault. Tennyson's New Year wish, emphasised by the repetition of the words *Ring in* at the beginning of both lines 23 and 24, is that nobler characteristics will emerge in the future.

Lines 25-28 express a wish that the bells will usher out greed and war and bring a thousand years of peace. The final stanza, number eight, summarizes what has gone before. Everything bad about the past must be discarded and the poet hopes for a future in which life is lived in

accordance with true Christian values. He wishes the tolling bells ring out all abuses and evils, and ring in all good, and the various blessings which he enumerates on the land of England.

1.19 SUMMARY

The poem by Tennyson was written after the death of his friend Arthur Hallam. It is an elegy and speaks of ringing in relief from grief, about casting aside everything that was sad and bad about the year that has passed and makes fervent wish that the better aspects of human nature will emerge in the future. The poem not is a sad remembrance of poet's beloved friend who was a good human being but also brings about the class divisions of the English society of the Age. It also speaks about positive social change in the light of following and uplifting Christian values.

1.20 ANALYZING POETRY

*** Recall and Interpret**

1. During what time of year does canto 106 of In Memoriam take place? What does this time symbolize, or represent, to the speaker?
2. How is 'Ring Out, Wild Bells' elegiac?
3. What is the historical context of the poem 'Ring Out, Wild Bells'?

*** Evaluate and Connect**

4. What is the main theme of 'Ring Out, Wild Bells'?
5. What do you learn about the society of England after reading 'Ring Out, Wild Bells'?
6. 'Ring out the old, ring in the new.' What does 'old' and 'new' refer to in the poem?
7. Why do you think the poet is asking the happy bells to ring?

1.21 SUGGESTED READING

If you want to read more by or about Tennyson, you might enjoy the following works:

1. Poetry: Tennyson's Poetry, edited by Robert W. Hill Jr., contains an annotated selection of Tennyson's poems as well as early responses and critical essays about his work.
2. Biography: Tennyson, by Peter Levi, gives a detailed and insightful account of Tennyson's life.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENGLISH COMPULSORY-1

UNIT-2: THE SOUL'S PRAYER; THE ROAD NOT TAKEN

STRUCTURE

- 2.1 Objectives**
- 2.2 Introduction to Sarojini Naidu**
- 2.2 The Soul's Prayer**
 - 2.2.1 "The Soul's Prayer": Text**
 - 2.2.2 Theme or central idea of the poem**
 - 2.2.3 Summary of the poem**
 - 2.2.4 Explanation with reference to the context**
 - 2.2.5 Glossary**
 - 2.2.6 Important questions**
- 2.3 Introduction to Robert Frost**
- 2.4 The Road Not Taken**
 - 2.4.1 "The Road Not Taken": Text**
 - 2.4.2 Central idea of the poem**
 - 2.4.3 Summary**
 - 2.4.4 Explanation with reference to the context**
 - 2.4.5 Glossary and Notes**
 - 2.4.6 Important questions**
- 2.5 Check your Progress**
- 2.6 Suggested Readings**

2.1 OBJECTIVES:

- To learn about the life and important works of Sarojini Naidu and to enable the students to understand the poem "The Soul's Prayer"
- To introduce the students to Robert Frost and his poetry and to discuss in detail the poem "The Road Not Taken".

2.2 INTRODUCTION TO SAROJINI NAIDU:

Sarojini Naidu was born on February 13, 1879 in Hyderabad. She was the eldest daughter of a Bengali Brahmin, Dr. Aghorenath Chattopadhyay, a scientist and a philosopher, who was the first Principal of Nizam College, Hyderabad. Her mother Varada Sundari Devi was also a Bengali poetess. Sarojini Naidu was brought up in a refined atmosphere and she received her formal education at King's College, London and Girton College, Cambridge on a scholarship awarded to her by the Nizam of Hyderabad. After her return to India at the age of nineteen, she married a South Indian, Dr. Muthyala Govindarajulu Naidu.

She participated actively in the Indian Nationalist Movement. Her contribution to the Freedom Movement led her to become the first Indian woman President of the Indian National Congress. In addition to being an Indian Independence activist and a well known poet, she also became the first woman governor of an Indian state (Uttar Pradesh) in free India. She was a notable English poet and her well known collections of poetry are *The Golden Threshold* (1905), *The Bird of Time* (1912), *The Broken Wing* (1917), *The Sceptred Flute* (1943) and *The Feather of the Dawn* (1961). In 1914, she was elected a fellow of the Royal Society of Literature. Her first anthology, *The Golden Threshold* (1905) won her the title of "Bulbul-e-Hind" or "Bharat Kokila". Thus she is also known as the Nightingale of India. She died of a heart attack on March 2, 1949 at Lucknow, Uttar Pradesh.

2.3 THE SOUL'S PRAYER:

"The Soul's Prayer" by Sarojini Naidu first appeared in her collection of poems, *The Bird of Time* published in 1912. The poem represents the metaphysical ruminations of Sarojini Naidu as her soul endeavours to communicate with God. The invocation begins with all the innocence of a child's pride as the poetess pleads to God to enlighten her on the innermost laws of Life and Death. She wants to learn about the twin-sided aspects of Life.

2.3.1 "The Soul's Prayer: Text

In childhood's pride I said to Thee:
'O Thou, who mad'st me of Thy breath,
Speak, Master, and reveal to me
Thine inmost laws of life and death.

'Give me to drink each joy and pain
Which Thine eternal hand can mete,
For my insatiate soul would drain
Earth's utmost bitter, utmost sweet.

'Spare me no bliss, no pang of strife,
Withhold no gift or grief I crave,

The intricate lore of love and life
And mystic knowledge of the grave.'

Lord, Thou didst answer stern and low:
'Child, I will hearken to thy prayer,
And thy unconquered soul shall know
All passionate rapture and despair.

'Thou shalt drink deep of joy and fame,
And love shall burn thee like a fire,
And pain shall cleanse thee like a flame,
To purge the dross from thy desire.

'So shall thy chastened spirit yearn
To seek from its blind prayer release,
And spent and pardoned, sue to learn
The simple secret of My peace.

'I, bending from my sevenfold height,
Will teach thee of My quickening grace,
Life is a prism of My light,
And Death the shadow of My face.'

2.3.2 Central idea of the poem:

"The Soul's Prayer" by Sarojini Naidu is a lyrical poem with autobiographical overtones. It presents the poet's mystic vision dealing with problems of life and death. It is written in the form of dialogue between the poet and God. The poet is eager to learn about the laws of life and death. She prays to God to satisfy her insatiate soul. In response to her prayer, God discloses to her that pleasure and pain, life and death are both a part of His creation and are delivered by His will. Spirituality is one of the dominant themes in Sarojini Naidu's poetry. She got her spiritual inspiration from the Persian Sufis and Hindu Philosophy.

2.3.3 Summary of the poem:

The poem "The Soul's Prayer" deals with the poet's mystic vision as she tries to disentangle the questions of life and death. In childlike innocence, the poet pleads to God to unravel the secret of life and death. The poem is in the form of an imaginary conversation between the poet and God. It reflects Sarojini Naidu's faith in God as she prays to the Almighty to reveal to her the metaphysical aspect of life and existence and explain to her "the inmost laws of life and death". The poet regards herself as an innocent child of God and takes pride in having born from His "breath". She expresses her deep desire to know about the mysteries of life and death. The poet

urges God to speak to her. She requests God to make her acquainted with the inmost laws of Life and Death.

In her prayer, she asks not just for the joys of life but also pleads to God to grant her strength to bear the pain and grief which life may bring to her. She wants to experience both happiness and sorrow as welcome blessings from above. She wants to feed her hungry soul with the utmost joys and utmost sorrows. She craves for the “mystic knowledge of the grave” that still remains unexplored.

In response to her prayer, God assures her that He would listen to her prayers. He ascertains that her soul would experience all passionate rapture and unmatched despair. She feels God’s response to be stern but down-to-earth. She acknowledges a sense of security and protectiveness in the intricate and intimate bond that she shares with God.

He assures her that she will immensely experience happiness and fame. She will be consumed by the passion of love. At the same time, her soul would be cleansed by the fire of pain. Just like a flame performs the act of purgation of the environment in which it burns, pain will cleanse the poet’s soul. It will remove the worthlessness from her desire and purify her spirit. Her “chastened spirit” will long for salvation and peace. After her soul has been satiated by both these extremes, it will now seek release from its blind prayer. At that moment, the soul will surrender to God and place its infinite faith in Him. In that state, the “simple secret” of God’s peace will be mastered by the soul. God, bending from his “sevenfold height” will acquaint the poet with His grace and glory.

The soul will finally know that life is but a prism of His light. Here light symbolizes purity. Just like a prism refracts light and scatters it by causing a spectrum of colours, similarly, God’s white light enters into the realm of the earth and fills our life with different hues. Another truth that is revealed is that death is inevitable. It is the shadow of His face and is unavoidable in order to bring about meaningful change and creation.

2.3.4 Explanation with reference to the context:

*In childhood’s pride I said to Thee:
‘O Thou, who mad’st me of Thy breath,
Speak, Master, and reveal to me
Thine inmost laws of life and death.*

Reference to the Context:

These are the opening lines of the poem “The Soul’s Prayer” by ‘the Nightingale of India’, Sarojini Naidu. In this lyrical poem, the poet indulges in an imaginary conversation with God. She prays to God to answer the intricate questions related to life and death.

Explanation:

In these lines, the poet prays to God in childlike innocence. She takes pride in the fact that she has been created by God Himself and He is her master. She urges God to answer her

mystic questions related to life and death. She wants to know about the laws of life and death which God has hidden from humanity.

*'Give me to drink each joy and pain
Which Thine eternal hand can mete,
For my insatiate soul would drain
Earth's utmost bitter, utmost sweet.*

Reference to the Context:

These lines have been taken from Sarojini Naidu's poem, "The Soul's Prayer". The poet in her prayer is in an imaginary conversation with God. She wants to know about the complex laws of life and death.

Explanation:

In the above lines, the poet says that she though she wants to experience each joy of life, she does not want to be deprived of pain. She wants to taste everything bitter and sweet in order to satisfy her soul. She prays to God to give her every joy and pain that He can give her. She is eager to experience the varied joys and pains of life.

*'Spare me no bliss, no pang of strife,
Withhold no gift or grief I crave,
The intricate lore of love and life
And mystic knowledge of the grave.'*

Reference to the Context:

These lines have been culled from the poem "The Soul's Prayer" by Sarojini Naidu. It is a spiritual poem in which the poet is praying to God to satisfy her hunger to know about the secrets of life and death.

Explanation:

In these lines, Naidu pleads to God that He should not hide any blessing or any pain from her. She strongly desires to taste every bliss and strife. She does not want God to hold back any gift or grief. She wants God to reveal to her the complex ideas of life and the unknown knowledge of the grave.

*Lord, thou didst answer stern and low:
'Child, I will hearken to thy prayer,
And thy unconquered soul shall know
All passionate rapture and despair.*

Reference to the context:

These lines occur in Sarojini Naidu's poem, "The Soul's Prayer". It is a lyrical poem in which Naidu is in conversation with Almighty. She prays for the awakening of her soul to the complex issues of life and death.

Explanation:

In the above mentioned lines, God responds to the prayer of the poet. He answers her prayer in a low but strict voice. He assures her that He would listen to her prayer. He promises her that her unvanquished soul shall experience all ecstasy and sadness.

*'Thou shalt drink deep of joy and fame,
And love shall burn thee like a fire,
And pain shall cleanse thee like a flame,
To purge the dross from thy desire.*

Reference to the context:

These lines occur in Sarojini Naidu's poem "The Soul's Prayer". In this poem, the poet in conversation with God prays to Him to unravel the intricate lore of life and death. Interestingly, God answers her prayer and promises to satisfy her desires.

Explanation:

In response to Naidu's prayer, God assures her that she will enjoy every joy and fame to the utmost. At the same time, love shall consume her like a fire. Her soul will be cleansed by the pain she will experience just like a flame which purges its surroundings. It will purify her and remove the worthless desires. Thus pain will perform the act of purification. The rituals of fire represent purity and peace.

*'So shall thy chastened spirit yearn
To seek from its blind prayer release,
And spent and pardoned, sue to learn
The simple secret of My peace.*

Reference to the context:

These lines are a part of the poem "The Soul's Prayer" written by Sarojini Naidu. It is a lyrical poem which presents the conversation between the poet and God. God's response to the poet's prayer leads her to the answers she seeks from Him.

Explanation:

God answers the poet's prayer and tells her that her purified soul would yearn to be rid of the blind prayer. She would seek to be released from that state. In other words, the soul would desire to be delivered after it is spent and excused. Thus it would begin to learn the simple secrets of God's peace.

'I, bending from my sevenfold height,

*Will teach thee of My quickening grace,
Life is a prism of My light,
And Death the shadow of My face.'*

Reference to the context:

These are the closing lines of Sarojini Naidu's lyrical and autobiographical poem, "The Soul's Prayer". In this poem, the poet reflects the spiritual aspects of her own life. She prays to God to guide her to understand the intricacies of life and death. God answers her prayer and satisfies her soul.

Explanation:

The lines under reference are a part of God's response to Naidu's prayer. He assures her that He will show the poet His grandeur and glory by bending from His seven fold height. In the end, He reveals to her that life is a prism of His light through which various colours can be seen. Likewise, death is the shadow of His face and is inevitable.

2.3.5 Glossary

- **mads't:** made
- **thee:** you
- **childhood's pride:** innocence of childhood
- **reveal:** disclose
- **thine:** your
- **mete:** give
- **inmost laws...death:** most secret rules of life and death
- **eternal:** immortal, forever
- **insatiate:** hungry, not satisfied
- **bliss:** blessing
- **pang:** a sudden sharp pain
- **strife:** conflict
- **withhold:** hold back
- **intricate:** complex
- **mystic:** spiritual apprehensions of truth beyond human intellect
- **stern:** strict
- **hearken:** listen
- **rapture:** a feeling of intense pleasure or joy
- **despair:** hopelessness, anguish
- **purge:** purify
- **dross:** worthless
- **chastened:** purified, cleansed

- **sue:** plead, implore

2.3.6 Important questions

- 1) Reflect on the theme of the poem ‘The Soul’s Prayer’ by Sarojini Naidu.
- 2) Summarize the ideas contained in the poem ‘The Soul’s Prayer’.
- 3) Discuss the treatment of life and death in the poem “The Soul’s Prayer”.

2.4 INTRODUCTION TO ROBERT FROST:

Robert Lee Frost was born on March 26, 1874 in San Francisco, California, U.S. He is a widely celebrated American poet of the twentieth century, well known for his depictions of rural life of New England, colloquial speech and realistic poetry. Some of his famous poems are “The Road Not Taken”, “Stopping by the Woods on a snowy evening”, “Mending Wall”, “After Apple Picking”, etc. He published many books of poetry which include *A Boy’s Will* (1912), *North of Boston* (1914), *Mountain Interval* (1919) and *New Hampshire* (1938). He attended several schools but never got a degree, though sixteen honorary degrees were conferred upon him. During his life, he won four Pulitzer prizes for poetry, the only person so far to achieve this honour. Frost’s poetry is deeply rooted in American life and idiom. He died on January 26, 1963.

2.5 THE ROAD NOT TAKEN:

The poem “The Road not Taken” was first published in Frost’s collection *Mountain Interval and Later Collections*. It is one of the most popular poems of Robert Frost. It is a beautiful lyric which combines “inner lyric vision and the outer contemplative narration”. The problem of decision-making or making choices is a significant theme in Frost’s poetry, and it is also the theme of this poem. It reflects on those situations in a man’s life when he has to choose only one out of the two options available to him.

2.5.1 The Road Not Taken: Text

Two roads diverged in a yellow wood,
 And sorry I could not travel both
 And be one traveler, long I stood
 And looked down one as far as I could
 To where it bent in the undergrowth;
 Then took the other, as just as fair,
 And having perhaps the better claim,
 Because it was grassy and wanted wear;
 Though as for that the passing there
 Had worn them really about the same,

And both that morning equally lay
 In leaves no step had trodden black.

Oh, I kept the first for another day!
Yet knowing how way leads on to way,
I doubted if I should ever come back.

I shall be telling this with a sigh
Somewhere ages and ages hence:
Two roads diverged in a wood, and I—
I took the one less traveled by,
And that has made all the difference.

2.5.2 Central Idea of the poem:

The poem describes the predicament of a traveller who at one point of his journey has to choose a single path at the diversion of the road. While he wants to travel both the paths, he is unable to do so as he can choose only one of them. That fact that there is no coming back makes the decision even more difficult. This situation is symbolic of the choices a human being has to make in his life. The choices we make are ultimately responsible for our future.

2.5.3 Summary:

The poem begins with a traveller, probably the poet himself, standing at a point where two roads diverged into a yellow wood. He found himself in a difficult situation as he was unable to decide which path to take. He felt sorry that he could not travel both the roads at the same time. He stood there in order to decide which road to take. He stared at one of the roads as far as he could see and saw it bend under the bushes. Then he decided to take the other one which he thought had a better claim because it was grassy and not many people had travelled on it. The former had been worn out by many travellers.

That morning, when the traveller stood there, both the roads seemed to be equally untrodden. Both of them were covered with leaves and it was difficult to tell one from the other. He kept the first road for another day knowing well how one road led on to the other. Somewhere deep in his mind, he also acknowledged the fact that he might never return to travel on the first road.

The last stanza of the poem suggests the idea that many years later when the traveller would look back in retrospect to see whether he had made the right choice, he would regret that he had not chosen the other path. Had he chosen the other road, his life would have been different. Hence, the poem conveys the message that it is the choices we make in our life that make all the difference.

2.5.4 Explanation with reference to the Context:

*Two roads diverged in a yellow wood,
And sorry I could not travel both
And be one traveler, long I stood*

*And looked down one as far as I could
To where it bent in the undergrowth;*

Reference to the context: These are the opening lines of the poem, “The Road Not Taken” by the renowned American poet, Robert Frost. It is a lyrical poem in which the poet talks about the difficulty of making choices in life. He suggests that this problem is universal as every human being encounters this predicament at some point in his life.

Explanation:

In these lines, the poet describes a traveller who is unable to decide which road to take as he stands at a diversion on a road on which he has been travelling. He is regretful that he cannot travel both the roads. He observed the roads and found that one of them bent in the bushes far away.

*Then took the other, as just as fair,
And having perhaps the better claim,
Because it was grassy and wanted wear;
Though as for that the passing there
Had worn them really about the same,*

Reference to the context:

These lines have been taken from Robert Frost’s poem “The Road Not Taken”. The poem is suggestive of the human limitation of making choices in life. Everyone is a traveller and has to make a difficult choice when he has similar options.

Explanation:

In these lines, the poet reveals that after a lot of contemplation, he decided to travel on the road which was less trodden. This road had a better claim to be chosen. It was overgrown with grass and needed more travellers. So he decided to choose that road.

*And both that morning equally lay
In leaves no step had trodden black.
Oh, I kept the first for another day!
Yet knowing how way leads on to way,
I doubted if I should ever come back.*

Reference to the context:

These lines occur in the poem “The Road Not Taken” written by the American poet, Robert Frost. The poet discusses the problem of choosing one option over the other. It is a difficult task and there is no turning back once the decision is made.

Explanation:

In these lines, the poet expresses his difficulty of choosing between the two roads that diverged into the forest. That morning, both the roads looked the same to the poet as they were covered

with leaves, although after clear examination the poet had observed that one of them was less trodden. He chose the one overgrown with grass and left the other one for another day. He knew well that once he had made a choice, he will never be able to return. He realized how the choice of one road would lead him to further choices. He was not sure that he he would ever come back.

*I shall be telling this with a sigh
Somewhere ages and ages hence:
Two roads diverged in a wood, and I—
I took the one less traveled by,
And that has made all the difference.*

Reference to the context:

These are the concluding lines of the poem, “The Road Not Taken” by Robert Frost. The poem suggests that the act of making a choice leaves one nostalgic and regretful about what has been left behind. A human being is made by the choices he makes.

Explanation:

These lines reflect the state of mind of the poet years after he had chosen the less trodden road. He sighs at the decision he had made. He regrets having taken the road he took. He still longs for the other road and feels that had he made the other choice, his life would have been different. The choices we make in our present decide our future.

2.5.5 Glossary and notes

diverged: separated, divided

just as fair: equally good or attractive

yellow wood: represents the autumn season in which the poem is set

wanted wear: not much used (here travelled)

trodden: walked on

sigh: a deep audible breath expressing regret

2.5.6 Important Questions:

1. Discuss the significance of title of the poem, “The Road Not Taken”.
2. Summarize in your words the ideas contained in the poem, “The Road Not Taken”. 3. Discuss the theme of the poem, “The Road Not Taken”.
4. Write a note on the dilemma of choice in the poem, “The Road Not taken”.

2.6 CHECK YOUR PROGRESS:

- 1) What is the speaker's wish in the poem "The Soul's Prayer" and what is the response she receives?
- 2) Who is the poet speaking to in the poem "The Soul's Prayer"?
- 3) Does God listen to the poet's prayer in "The Soul's Prayer"?
- 4) According to the poem "The Soul's Prayer", how will the poet's spirit be chastened?
- 5) Explain the lines, "Life is a prism of My Light,
And Death the shadow of My face"
- 6) How are the two roads different as described in the poem "The Road Not Taken"?
- 7) Why does the traveller choose the less travelled road?
- 8) What is the message conveyed by the poem "The Road Not Taken"?
- 9) Why is there a feeling of regret in the speaker's mind in the poem "The Road Not Taken"?

2.7 SUGGESTED READINGS:

- Faggen, Robert. Ed. *The Cambridge Companion to Robert Frost*. U.S: Cambridge University Press, 2006. Print.
- Souza, De Eunice. *Early Indian Poetry in English: An Anthology: 1829-1947*. Oxford University Press, 2005. Print.
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**BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER-II**

COURSE: ENGLISH COMPULSORY-1

**UNIT-3: THE LAST LEAF;
THE DOCTOR'S WORD**

STRUCTURE

- 3.1 Objectives**
- 3.2 Life and Works of O. Henry**
- 3.3 The Last Leaf**
 - 3.3.1 Detailed Summary**
 - 3.3.2 Major Themes**
 - 3.3.3 Character Analysis**
 - 3.3.4 Situational irony in the story “The Last Leaf”**
 - 3.3.5 Title of the story “The Last Leaf” by O Henry**
 - 3.3.6 Glossary and Notes**
 - 3.3.7 Questions for Practice**
- 3.4 Life and Works of R. K. Narayan**
- 3.5 The Doctor's Word**
 - 3.5.1 Detailed Summary**
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 - 3.5.3 Character Sketch of Dr. Raman**
 - 3.5.4 Friendship of Dr. Raman and Gopal**
 - 3.5.5 Ending of the story “The Doctor's Word”**
 - 3.5.6 Glossary**
 - 3.5.7 Questions for Practice**
- 3.6 Check your Progress**
- 3.7 Suggested Readings**

3.1 OBJECTIVES:

- To make the students acquainted with the life and important works of O. Henry and understand in detail the various aspects of the story “The Last Leaf”.

- To develop an understanding about the life and works of R.K. Narayan and attempt a summary and analysis of the story, “The Doctor’s Word”.

3.2 LIFE AND WORKS OF O. HENRY

O. Henry was the pen name of the widely celebrated American short story writer, William Sydney Porter. He used a number of other pen names like S.H. Peters, James L. Bliss, T.B. Dowd, and Howard Clark but O. Henry became most popular. He was born in North Carolina in United States in 1862. He was a prolific writer who wrote many short stories. His stories are known for their surprise endings. Most of his stories are set in the early twentieth century and many of them are set in New York, though some of them are set in villages as well. They usually feature characters with blue-collar jobs, such as policemen and waitresses. Some of his well known stories are “The Gift of the Magi”, “The Ransom of Red Chief”, “The Cop and the Anthem”, “A Retrieved Reformation”, etc. The prestigious annual award, the O. Henry Award is named after him. This award is given to outstanding short stories. The O. Henry House and O. Henry Hall (now owned by Texas State University System), both in Austin, Texas, are named for him. Many schools in Texas have also been named after him. He has several collections of short stories to his credit. The most famous among them are *The Four Million* (1906), *Roads of Destiny* (1909) and *Waifs and Strays* (1917). In addition to this, he also wrote a novel titled *Cabbages and Kings* (1904), and many works of non-fiction.

3.3 THE LAST LEAF:

The story “The Last Leaf” was first published in 1907 in O. Henry’s collection of short stories, *The Trimmed Lamp and other Stories*. It is set in a village named Greenwich where the pneumonia epidemic had spread. The story “The Last Leaf” was one among the many stories of O. Henry that were adapted by the 1986 Indian anthology television series, *Katha Sagar*. The famous Bollywood film *Lootera* (2013) is also based on this story. “The Last Leaf” narrates the story of an old artist who saves the life of his neighbour, a young girl, dying of pneumonia. He induced in her the will to live which made the girl pull through.

3.3.1 Detailed Summary:

The story opens with a description of the mazy streets of Greenwich village to the west of Washington Square. The place was preferred by artists who often found it suitable for their lodging as it offered rooms with good light at a low cost. Two young artists, Sue and Johnsy lived at the top of a building with three floors. Sue belonged to Maine and Johnsy came from California. Both of them had similar likings and tastes in art, food and fashion, so they became good friends.

They had met in spring. By winter, an epidemic hit New York. Pneumonia caught a large population in its grip. Johnsy also became grievously ill with pneumonia. All day, Johnsy lay in her bed staring through the window at the wall of the house next to hers. The doctor told Sue that Johnsy had bleak chances of survival as she had lost the will to live. He explained to her that his

medicines do no good to patients who have no desire to live. He inquired about the reason of her hopelessness. Sue told the doctor about Johnsy's unfulfilled wish to go to Italy and paint a picture of the Bay of Naples.

The doctor advised Sue to give hope to Johnsy.

Johnsy, though disheartened, sat beside Johnsy and tried to liven her up. She learnt about Johnsy's obsession with the leaves falling from a vine outside Johnsy's window. An increasingly fatalistic Johnsy had started believing that as the last leaf on the vine falls, she will also die.

Sue asked Johnsy not to be superstitious and commands her to go to sleep. She goes down to discuss her friend's condition with an old artist who lived in the same building. Behrman, who was a sixty year old painter had never found success in life. He always spoke of creating a masterpiece, but never found inspiration to create one. He was a drunkard but always had a sense of responsibility towards the two young women living upstairs. Sue discusses Johnsy's superstitious belief with Behrman who denounces Johnsy's foolishness. When Sue came back upstairs that night, she found that Johnsy was fast asleep. She lowers the window shade so that Johnsy would not have a look at the leaves that were falling fast.

In the morning, Johnsy requested Sue to lift up the window shade in order to see if all the leaves were gone. Miraculously, one leaf still remained attached to the vine in spite of the night's storm. Johnsy expressed her belief that the leaf will surely fall by night and then she too will die. She kept staring at the leaf but it doesn't fall. Surprisingly, she asked Sue for some broth. She had now come to believe that the leaf was there to remind her that it was a sin to wish to die.

At the doctor's next visit, he announced that Johnsy's chances of living had now improved. He also told Sue that she must visit Behrman whose condition was critical due to pneumonia.

However, the next day, the old painter passed away but Johnsy was now out of danger. That afternoon, Sue went to Johnsy's room and comforting her told her that Behrman had died. The janitor had told her that two days ago, Behrman stayed out in the rain all night with a lantern, a ladder, and a palette with green and yellow paints on it.

Sue inquired of Johnsy if she ever wondered why the last leaf never moved despite all the wind. It was because the other night Behrman had painted it after the actual last leaf fell. He fell sick that night and subsequently died of pneumonia. He had finally made his masterpiece.

3.3.2 Major Themes

- a) **Willpower:** Willpower emerges as a major theme in the story, "The Last Leaf". The doctor announces that in spite of his treatment, there were hardly any chances of Johnsy's survival as she had lost her willpower. He tells Sue that he can never save a patient who has no willingness to live. The loss of this will made her decide that she too would go with the last leaf of the creeper. But the last leaf painted by the old painter exploited Johnsy's superstitious belief and made her live.
- b) **Art:** All the major characters of the story aspire to become great artists. Johnsy and Sue have come to New York to pursue their careers in art. Even old Behrman, who considers

himself a failure, aims to create a masterpiece before he dies. His artistic intervention extends Johnsy's life. In painting the last leaf, Behrman fulfils his wish of making a masterpiece.

- c) **Superstition:** Johnsy's superstition is also an important theme in the story. She believes her fate to be tied to the ivy leaves. She hopes to die with the falling of the last leaf on the vine outside her window. Superstitious thoughts pervade her mind because she is weakened by illness. Though her mind is soon changed by the steadiness of the painted last leaf, the falling of the actual last leaf did cause a death (of Behrman).

3.3.3 Character analysis

- a) **Johnsy:** Johnsy is the protagonist of the story. The story revolves around her. She had come to New York with the dream of becoming a great artist and painting the Bay of Naples one day. With the onset of pneumonia epidemic in California, she also contracts the disease and becomes so weak that she loses all hope of recovery. With sickness and pain, she became so hopeless that she started believing that she would die when the last leaf from the ivy vine outside her window drops. But she is saved by the art of Behrman, an old painter and a drunkard, who paints his masterpiece which appears to be a real leaf to Johnsy. As the leaf stays on the vine in spite of the storm, Johnsy comes to believe that she will also live and her health starts improving.
- b) **Sue:** Sue is the housemate and a friend of Johnsy. She had also come to New York to make a career. She is an artist and earns a living by drawing illustrations for magazines. She is a good human being. Just as she cares for her friend in her sickness, she is pained at the death of Behrman. As she discusses Johnsy's condition with Behrman, she provides him with a source of inspiration to create his masterpiece.
- c) **Behrman:** Behrman is an old painter who lives in the basement apartment of the building in which Sue and Johnsy live. He is above sixty years of age, is weak and has a long, grey beard. All his life, he kept speaking about making a masterpiece, but never actually made it. He feels a sense of responsibility towards Sue and Johnsy. When he comes to know about Johnsy's state of despair, he paints an ivy leaf on the wall on which Johnsy's life depended and she believed that she would die when the last leaf falls. He saves Johnsy's life by creating his masterpiece but himself got the disease and died two days later.
- d) **The doctor:** The doctor appears in the story to indicate the health of Johnsy. He feels helpless in treating Johnsy when she lost the desire to live. He later becomes hopeful when Johnsy starts recovering because the last leaf never fell. He is an important character because he reveals the truth about Behrman's last leaf by informing about his sickness to Sue.

3.3.4 Situational irony in the story “The Last Leaf”

Situational irony is a literary technique in which an expected outcome does not happen, but its opposite happens. Situational irony requires one's expectations to be thwarted. It is also sometimes called an irony of events. The outcome can be tragic or humorous, but it is always unexpected. The first instance of situational irony in the present story is that contrary to Johnsy and Sue's expectations, when they raise the window shade, they discover that one ivy leaf had survived the stormy night. The characters' and the readers' expectations are undermined by the miraculous persistence of the leaf.

Another case is when the story opens, we see the imminent death of Johnsy, but by the end of the story, Johnsy lives and Behrman, who saved her life by painting the last leaf died.

In yet another instance of situational irony, Behrman was finally able to produce his masterpiece before his death. Ironically, the great work of art that he always talked about was created by him when no one had expected.

3.3.5 Title of the story “The Last Leaf” by O Henry

There cannot be perhaps more appropriate title of the story than “The Last Leaf”. The word “last” reflects the main idea of the story. The last leaf holds significance from the very beginning till the end. Initially, it seemed to be the symbol of death for Johnsy as she had assumed to die with the fall of the last leaf. But the same “last leaf” became her saviour. The leaf painted by Behrman never fell, so Johnsy never died in the story. It emerged as the hope of survival and remained the central point in the story.

From being associated with ailment and depression in the beginning, it conveys the message of hope, courage and optimism in the later part of the story. The last leaf saves the life of the protagonist, Johnsy and fulfils Behrman's lifelong dream to paint a masterpiece. However, the last leaf on the ivy vine saves one person's life but results in the death of the other as Behrman contracts pneumonia because of staying out in the rain and storm all night, painting the last leaf.

3.3.6 Glossary and Notes

- ◆ **Quaint:** attractive and unusual, belonging to the past
- ◆ **Greenwich village:** a place lying on the west side of Manhattan in New York City, an attraction for artists
- ◆ **Prowl:** move around restlessly as if in search of something
- ◆ **Chicory:** a flowering plant of the dandelion family used for making salads. It is also used for making medicines.
- ◆ **Pneumonia:** lung inflammation caused by bacterial infection.
- ◆ **Serrated:** having a jagged edge, saw like
- ◆ **Fancy:** whim, notion

3.3.7 Important questions :

- 1) Compare and contrast the characters of Sue and Johnsy.
- 2) Draw a character sketch of Behrman.
- 3) Discuss the aptness of the title of the story “The Last Leaf”.
- 4) Comment on the surprise ending of the story, “The Last Leaf”.
- 5) Behrman has a dream. What is it? Does it come true?
- 6) Discuss the major themes of the story, “The Last Leaf”.
- 7) What is the significance of willpower in the story?
- 8) Critically analyse the story, “The Last Leaf”.

3.4 LIFE AND WORKS OF R. K. NARAYAN:

R. K. Narayan (full name: Rasipuram Krishnaswami Iyer Narayanaswami) is a well known Indian writer. He is widely known for his literary works set in the fictional South Indian town of Malgudi. He wrote 29 novels and a number of short stories set in Malgudi. He was among the pioneers of Indian English literature along with Mulk Raj Anand and Raja Rao. His fiction has the authenticity of lived experience and is illuminated by flashes of irony and humour. His autobiographical books like Swami and Friends, The Bachelor of Arts and The English Teacher are among some of his best works. His novel The Guide won him the Sahitya Academy Award and was also made into a successful film. Narayan was nominated to the upper house of the Indian Parliament for a six-year term starting in 1989, for his contributions to Indian literature. In 2001, he was awarded the Padma Vibhushan, India's second-highest civilian honour.

R.K. Narayan was born on October 10, 1906 in Madras and died at the age of 94 on May 13, 2001. His brother R. K. Laxman (1920-2005) was a well known cartoonist.

3.5 THE DOCTOR’S WORD :

“The Doctor's Word” is a short story from the collection of “Malgudi Days” by R K Narayan published in 1943.

(All of you might have visited a doctor at some point in your life. What qualities do you expect in a doctor? Should he be stern and curt or polite and friendly?

Think about it.)

“The Doctor’s Word” by R. K. Narayan is also a story about a doctor who was much respected by his patients. He had a strict countenance and didn’t speak much. He was very straightforward in his verdict about whether the patient would live or not. However, when it came to his childhood friend, Gopal, he could not speak the truth about his bleak chances of living. Contrary to his expectation, his friend survived and how his word saved his friend’s life remained an enigma to the doctor for the rest of his life.

3.5.1 Detailed Summary:

The story “The Doctor’s Word” by R. K. Narayan opens with the description of the protagonist of the story, Dr. Raman. He was a very able doctor, respected near and far. People valued his opinion and paid a heavy visiting fee of twenty five rupees for his advice and prescription. There

was one problem though, that they went to him only when the patient was on his last legs. His opinion about the patient's chances of survival was compared to a judge's verdict. The patient's life depended on his words. He was of the opinion that agreeable words could never save a patient, so he never told lies. At the same time, if he felt that the patient's life could be saved, he would not rest till he had done so.

Gopal was a childhood friend of Dr. Raman. Despite the busy schedule, Dr. Raman never failed to spare some time for his friend whenever he came to meet him. One day, when he saw Gopal's son waiting for him outside his room at his clinic, it occurred to him that it had been months that Gopal had visited him. Gopal's son told him that his father had been very ill and needed the attention of Dr. Raman. He had been on bed for more than one and a half month now.

Dr. Raman rushed to his friend's house and observed that his friend's condition was beyond recovery. He got anxious. He started Gopal's treatment but he was not sure that he would be able to save him. He performed a surgery but his heart was very weak. Gopal's wife wanted to know if he would live. The suspense was unbearable. Dr. Raman advised Gopal's wife to go to the neighbour's house leaving her eldest son behind as the patient needed rest.

The feeble, bed-ridden Gopal asked Dr. Raman in a weak, low voice whether he was going to be alright or not. He was keen to know his condition because he wanted to sign his will before he died, in order to avoid any disputes regarding property. If he died without signing the will, it would ensue a lot of trouble. The doctor was in a fix. In case he shared the fact about the meagre chances of his survival, it would mean pronouncing Gopal's death as his word was deemed to be final. He was afraid that Gopal would die if he came to know about it. So he decided to hide the truth. For the first time in his life, he had lied to a patient and done "a piece of acting before the patient, simulated a feeling and concealed his judgement". It was not in his nature to whitewash but he assured Gopal that he was going to live. Since Dr. Raman was believed to be honest and truthful, so Gopal was relieved. He instructed Gopal's wife to give him a few spoons of glucose and brandy every few minutes.

He left Gopal's house with a heavy heart. On his way home, he stopped at the hospital to tell his assistant that Gopal might collapse anytime. However, next morning, when he went to Gopal's house, he found his pulse satisfactory. He was surprised that Gopal had survived the attack and now he would live to be ninety. He had turned the corner. But how his word proved to be true remained a mystery to him throughout his life.

3.5.2 Theme:

"The Doctor's Word" captures the dilemma that a doctor faces when he is treating his patients. In addition to the treatment prescribed by the doctor, a patient's well being depends much on the hope that the doctor provides. In most cases, the patient's life and death depend upon the doctor's word. In this story, R.K.Narayan shows how a doctor's word saves the life of a patient. A little hope given by a doctor to even a very critical patient can make his will power strong. Dr. Raman believed that sweet words and consolation can never save a patient's life who was sure to die. However, he could not help telling a lie when it came to his childhood friend, Gopal. His

false hope strengthened his willpower and made him survive. Thus, the doctor's word saved his life.

In addition to this, the themes of honesty and friendship can also be found in this story.

3.5.3 Character Sketch of Dr. Raman:

Dr. Raman is a major character in R.K. Narayan's *Malgudi Days*. In the story, "The Doctor's Word", Dr. Raman is a very experienced and competent doctor. He is known for his "curt truthfulness" and honesty in treating his patients. His visiting fee was very high because of which the people visited him when the patient was on his last legs. Dr. Raman did not believe in whitewashing. His opinion was really valued. The patient's life depended on his words. He never gave false assurance to the patient because he never believed that a patient could be saved with "comforting lies" and "agreeable words". However, if he saw the slightest sign of hope, he would leave no stone unturned to save him.

However, when it came to treating his childhood friend, Gopal, Dr. Raman was caught in a fix. He wanted his friend to live but could hardly see any chances of his survival. Dr. Raman was a devoted and sincere friend. In spite of his busy schedule, he never failed to spare time for his friend. Today, he could not see him dying. Gopal's family looked up to him for positive response, but even after performing an operation, he didn't expect Gopal to live beyond a few hours. He lacked courage to tell the truth to his family.

When Gopal himself asked him about his chances of survival, he had to tell a lie in order to keep up his spirits. He gave him false assurance that his heart was "absolutely fine" and he was going to live. Gopal believed him as Dr. Raman had never told a lie. In the end, his words worked wonders as Gopal was saved and was sure to live for the next forty years.

3.5.4 Friendship of Dr. Raman and Gopal:

Gopal and Raman were childhood friends. As kids, they spent most of their time together. Their friendship stood for more than forty years. After getting married, they got busy with their families and professions. Still, they found time for each other and would occasionally dine together, and talk about each other's life. It was a classic friendship which was untouched by time and circumstances. When Dr. Raman got to know about Gopal's illness, he was pained to see his dearest friend in bed. For the first time in his life, he went against his principles and did a bit of acting to keep Gopal hopeful of his survival. Gopal trusted his friend and was able to recover.

3.5.5 Ending of the story "The Doctor's Word":

There is a sting in the tail at the end of the story. It is very interesting as Dr. Raman expects Gopal to be dead when he visits his house in the morning. However, when he discovers that Gopal is still alive and recovering, he can't figure things out. The night before, he had lied to his friend to keep Gopal's mind relaxed. Gopal's life hung on his words. He trusted his friend's

opinion. In the end, Dr. Raman is still a man of his word though he does remain puzzled as to how Gopal survived through the night.

3.5.6 Glossary:

- **ominous:** threateningly inauspicious
- **wavering:** flickering
- **verdict:** an official judgement made in court
- **glimpsed:** to look at something or someone for a very short times
- **wrested:** forcibly pull from a person's grasp
- **curt:** short and rude
- **soothing:** comforting
- **arena:** field
- **Mopped:** wiped (with a cloth)
- **wrapped:** covered
- **sizzled:** made a sound
- **apologetic:** being sorry
- **whimpered:** made soft crying noises
- **gleamed:** shone brightly
- **perspiration:** sweat
- **giddy:** dizzy
- **ruminated:** thought about
- **sternly:** strictly
- **evasive:** trying to avoid something
- **implored:** requested
- **wailing:** sobbing
- **bewilderment:** uneasiness
- **agitated:** troubled
- **beckoned:** called
- **collapse:** to lose consciousness
- **simulate:** imitate, fake (v)

3.5.7 Important questions:

- 1) Why did the patients visit Dr. Raman only when they were hopeless?
- 2) Draw a character sketch of Dr. Raman?
- 3) Justify the title of the story, "The Doctor's Word".
- 4) Write a note on the friendship of Dr. Raman and Gopal.
- 5) How was Gopal saved?

3.6 CHECK YOUR PROGRESS:

- 1) Who is the author of the story, “The Last Leaf”?
- 2) What was the doctor’s initial prognosis for Johnsy’s survival?
- 3) Why is the doctor so pessimistic when he assesses Johnsy?
- 4) According to the doctor, what was the cure of Johnsy’s illness?
- 5) What is Behrman’s masterpiece?
- 6) How did Sue try to revive Johnsy’s interest in things around her?
- 7) What does Johnsy hope to paint one day?
- 8) Who is the narrator of the story “The Last Leaf”?
- 9) Why was Dr. Raman’s judgement valued by people in the story “The Doctor’s Word”?
- 10) How long had Gopal been in bed?
- 11) Who went to call Dr. Raman to attend on Gopal?
- 12) What did the doctor advise Gopal’s wife?
- 13) What important task did Gopal want to do before his death?
- 14) Do you think it is right for a doctor to give false hope to his patients?
- 15) Compare and contrast the theme of will power in the two stories, “The Last Leaf” and “The Doctor’s Word”.

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENGLISH COMPULSORY-1

UNIT-4: WHY I WANT A WIFE?;

MY FINANCIAL CAREER

STRUCTURE

4.1 Objectives

4.2 Introduction

4.3 Meet Judy Brady

4.4 Reading Focus

4.5 Building Background

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4.13 Meet Stephen Leacock

4.14 Reading Focus

4.15 Building Background

4.16 Prescribed Text ‘My Financial Career’

4.17 Explanation

4.18 Analyzing Prose

4.19 Summary

4.20 Reading Further

4.1 OBJECTIVES

After reading this lesson you will be able to

- Appraise both the prose

- Revise the prescribed prose
- Choose the right answers from the text
- Develop your own understanding in terms of themes discussed
- Plan your intertextual or mix-media readings

4.2 INTRODUCTION

Dear Learners, this lesson aims to introduce you to prose in form of a manifesto and an anecdote. ‘I Want a Wife’ is a 70s Feminist Manifesto by Judy Brady and ‘My Financial Career’ is a humorous anecdote by Stephen Leacock.

4.3 MEET JUDY BRADY

Judith (Judy) Brady was born in San Francisco in 1937 to parents Mildred Edie and Robert Alexander Brady. She was a well-known feminist and activist, who passed away in San Francisco on May 14th, 2017. She graduated from the University of Iowa with a B.F.A. in 1962. It was in Iowa she met her husband, James Syfers, and they moved to San Francisco in 1963. As a full-time housewife and mother of two young daughters, Judy became a prominent figure in the West Coast Women's Liberation Movement.

She wrote the iconic piece ‘Why I Want A Wife,’ which was published in the first edition of MS magazine in 1972 and has been republished countless times in books and textbooks across the country. She was also active in the movement to legalize abortion.

In the early seventies she went to Cuba with the Venceremos Brigade, a deeply meaningful experience for her and she returned to Cuba in later years. In the early 80s she was one of thousands of Americans who travelled to Nicaragua to see its revolution in process. Her experience in both countries expanded her vision and deepened her commitment to social and economic justice.

Judy eventually divorced and took full time work as a secretary to support her family. She developed breast cancer in her forties and subsequently expanded her activism to the political context and environmental causes of cancer. Her book “1 in 3: Women Confront An Epidemic,” published in 1991, emphasized the root environmental causes of cancer in modern industrial capitalism, rather than blaming the victim as an individual.

4.4 READING FOCUS

What do you know about matrimony?

Read about husband-and-wife roles from any sociology book and observe the same in your surroundings.

Make a list of the things that an Indian wife is expected to do.

Setting the purpose Read on feminist movements and find jokes and memes on husband wife relationship.

4.5 BUILDING BACKGROUND

The second wave of the feminist movement in the United States began during early 1960's and lasted throughout late 1970's. The purpose of the feminist movement was to have a right to vote and have the same equal rights as male citizens. Judy Brady's essay 'I Want A Wife' first appeared in the Ms. Magazine's inaugural issue in 1971. The genre of the article is a classic piece of feminist humour and is depicted as satirical prose. The table of contents read "Ms. is devoted to today's women considered as full human beings." This was one of the shortest pieces in the magazine and still turned out to be one of the most durable. She had written it as a speech for a rally in San Francisco the previous year. Brady read the piece at a rally celebrating the 50th anniversary of women's right to vote in the U.S., obtained in 1920.

This prose very well relates to an anecdote in an office during lunch hours two men were having a rich splurge of lunch. One of them suddenly looks at the next table at her woman colleague who was eating biscuits with tea; and asks, "Ma'am haven't you got your lunch today?" And the woman answers with tongue in her cheek "No, Because I don't have a wife like you two." This anecdote not only builds whole background but sums up the prose; rather also leads to a debate that will set your mind thinking.

4.6 PRESCRIBED TEXT 'I WANT A WIFE'

'I Want a Wife,' the Timeless '70s Feminist Manifesto

By Judy Brady

I belong to that classification of people known as wives. I am A Wife. And, not altogether incidentally, I am a mother.

Not too long ago a male friend of mine appeared on the scene fresh from a recent divorce. He had one child, who is, of course, with his ex-wife. He is obviously looking for another wife. As I thought about him while I was ironing one evening, it suddenly occurred to me that I, too, would like to have a wife. Why do I want a wife?

I would like to go back to school so that I can become economically independent, support myself, and, if need be, support those dependent upon me. I want a wife who will work and send me to school. And while I am going to school I want a wife to take care of my children. I want a wife to keep track of the children's doctor and dentist appointments. And to keep track of mine, too. I want a wife to make sure my children eat properly and are kept clean. I want a wife who will wash the children's clothes and keep them mended. I want a wife who is a good nurturant attendant to my children, who arranges for their schooling, makes sure that they have an adequate social life with their peers, takes them to the park, the zoo, etc. I want a wife who takes care of the children when they are sick, a wife who arranges to be around when the children need special care, because, of course, I cannot miss classes at school. My wife must arrange to lose time at work and not lose the job. It may mean a small cut in my wife's income from time to

time, but I guess I can tolerate that. Needless to say, my wife will arrange and pay for the care of the children while my wife is working.

I want a wife who will take care of my physical needs. I want a wife who will keep my house clean. A wife who will pick up after me. I want a wife who will keep my clothes clean, ironed, mended, replaced when need be, and who will see to it that my personal things are kept in their proper place so that I can find what I need the minute I need it. I want a wife who cooks the meals, a wife who is a good cook. I want a wife who will plan the menus, do the necessary grocery shopping, prepare the meals, serve them pleasantly, and then do the cleaning up while I do my studying. I want a wife who will care for me when I am sick and sympathize with my pain and loss of time from school. I want a wife to go along when our family takes a vacation so that someone can continue to care for me and my children when I need a rest and change of scene.

I want a wife who will not bother me with rambling complaints about a wife's duties. But I want a wife who will listen to me when I feel the need to explain a rather difficult point I have come across in my course of studies. And I want a wife who will type my papers for me when I have written them.

I want a wife who will take care of the details of my social life.

When my wife and I are invited out by my friends, I want a wife who will take care of the babysitting arrangements. When I meet people at school that I like and want to entertain, I want a wife who will have the house clean, will prepare a special meal, serve it to me and my friends, and not interrupt when I talk about things that interest me and my friends. I want a wife who will have arranged that the children are fed and ready for bed before my guests arrive so that the children do not bother us.

And I want a wife who knows that sometimes I need a night out by myself.

I want a wife who is sensitive to my sexual needs, a wife who makes love passionately and eagerly when I feel like it, a wife who makes sure that I am satisfied. And, of course, I want a wife who will not demand sexual attention when I am not in the mood for it. I want a wife who assumes the complete responsibility for birth control, because I do not want more children. I want a wife who will remain sexually faithful to me so that I do not have to clutter up my intellectual life with jealousies. And I want a wife who understands that my sexual needs may entail more than strict adherence to monogamy. I must, after all, be able to relate to people as fully as possible.

If, by chance, I find another person more suitable as a wife than the wife I already have, I want the liberty to replace my present wife with another one. Naturally, I will expect a fresh, new life; my wife will take the children and be solely responsible for them so that I am left free.

When I am through with school and have a job, I want my wife to quit working and remain at home so that my wife can more fully and completely take care of a wife's duties.

My God, who wouldn't want a wife?

4.7 BRIEF ABOUT THE PROSE

Judy Brady in 70s wrote her tongue-in-cheek essay, 'I Want a Wife,' using irony to address the issue of gender inequality. Laced with irony and humour it grabs the readers' attention and projects the judgment of a man's perspective on gender roles. In this essay Brady aims to convince her readers to look objectively at a man's viewpoints and expectations of what he thinks a wife is and what she should be. Brady skilfully uses clear arguments, repetition of key words and stylish language to make her essay strong and convincing. Looking at the social construct and the advantages at the hands of husbands she declares as a wife that she too needs a wife.

4.8 EXPLANATION

The prose illustrates a male's perspective of women in the 70s that is very much the norm today even. It also brings about the irony that existed between a man's expectations of women and what was expected of him. Through ironical statements she projects the lack of empathy men had towards their wives in regard to needs and desires. She indicates the irony of the social conditioning that a wife has to contribute more to a marriage as if the whole onus to run the relationship is on her. Highlighting the real picture, the prose showcases low value or lack of importance of a woman in a marriage.

There is no second thought that the portrayal is accurate of the attitudes toward gender roles at that time and even in the contemporary times; now there has been lot of change now inclusive of women voting rights, right to education and financial independence. Judy says in the beginning paragraphs that she is a wife and mother and establishes her credibility and also reveals her own subjection to the discrimination and exploitation within a marriage "I belong to that classification of people known as wives. I am A Wife, not altogether incidentally, I am a mother."

Brady's essay shows how hegemonically women are almost treated and made to believe as superhuman in the sheer magnitude of responsibilities required to be a wife and mother, yet as implied in the essay that is very much reflection of the real world that through the dictatorship of the gender roles, women are considered the inferior sex and also exploited on the account of labelled as a superwoman!

Judy points out that the roles of wife are unfair to the role of husband, and that there is an obvious difference, inequality, between the roles of husband and wife. She feels agonized by the disparities in the household work and by the fact that the work done by wife goes unnoticed. Brady demonstrates her point by giving examples of some household chores that are commonly performed by wife "I want a wife who will have the house clean, keep my clothes clean, ironed, mended, replaced when need be, and who will see to it that my personal things are kept in their proper place so that I can find what I need the minute I need it." After listing all the numerous outrageous tasks, she concludes the article with tongue in cheek emotional statement, "My God, who wouldn't want a wife?"

Judy through her essay is trying to suggest to the readers that these expectations and these stereotypes of roles of women, should stop. She develops her argument and brings out the unfairness of roles of women. Her constant phrase "I want a wife to..." stimulates the emotions

within readers, which in turn, might encourage people to introspect and then act. The reason she wrote it as a manifesto for the people to read it was because she wanted people to understand that the role of women is demoralizing to them. Brady classifies in this prose what a wife is through husband's eyes. Through this she wittily brings out the husband's selfishness and laziness, and his wish to be "left free" from any responsibility or accountability. She wants women to stop immediately acting as 'slaves.' It is only women who can save themselves against stereotypes and gender bias in our society. Women need to step up, say no, and not be privy of the activities that are distributed in terms of compartmentalized gender roles.

Brady uses rhetoric which involves three audience appeals: Ethos, Pathos, and Logos. In the very beginning of the prose her credibility as a wife and a mother is established. It is her personal experience that shows that she really knows about her subject and was herself into the role of being a wife. She in a fed-up tone enlists numerous 'jobs' that are expected of a wife. She believes people will introspect will feel the need to bring about a change or will get agitated. She bring about the routine stresses of everyday life in a woman's life and the exaggerated expectations of husbands from their wives. The concluding line "My God, who wouldn't want a wife?" says it all and is quite emotional and poignant. With this her aim also is to discourage men from taking advantage of their wives. She logically argues that more is expected out of a woman in almost all the marriages. She is not against women contributing to making of a home but argues against the inequality of men and women. She also brings about inequality in gender roles. It is thus a satire that men can never be seen capable of un-biological tasks that women are obliged, expected, conditioned, and even forced to perform.

4.9 WHAT DOES A WIFE DO?

Women play the role of "wife" by doing many helpful things for husbands as well as children born out of marriage without making anyone realize.

The desired wife tasks included:

- Work to support us so I can go back to school
- Take care of the children, including feeding them and nurturing them, keeping them clean, taking care of their clothes, taking care of their schooling and social life
- Keep track of doctor and dentist appointments
- Keep my house clean and pick up after me
- See to it that my personal things are where I can find them when I need them
- Take care of the babysitting arrangements
- Be sensitive to my sexual needs
- But do not demand attention when I am not in the mood
- Do not bother me with complaints about a wife's duties

4.10 SUMMARY

The prose opines satirically on the male's perspective of women in the 70s. The very same notion is present in the Indian society till date. It also brings about the irony that existed between a man's expectations of women and what was expected of him. A woman has a long list of roles and tasks delineated for her including home chores, accountability and responsibility on the home front, role of a doting sane wife and a caring multitasking mother; whereas a man is just responsible for the money he earns and can get an excuse if he is unable to fulfill his other roles as he is under great pressure to earn bread and all his roles are taken care of by his wife.

4.11 ANALYZING PROSE

*** Recall and Interpret**

1. What is 'I want a wife all about'?
2. What do you feel for Judy after reading the prose?
3. What is the reason to think that Judy is a creditable author?

*** Evaluate and Connect**

4. What is the role of a wife?
5. Why does Judy want a wife?
6. What is the difference between a wife and a husband's role as per the prose?
7. What makes 'I want a wife' prose persuasive and convincing for the readers?

4.12 READING FURTHER

For more understanding on the prose section:

1. Check out Milan Kunc's painting Cupid And Psyche, 1995, Oil on Canvas available online and brainstorm.
2. Read Rebecca Solnit's essay 'Men Explain Things to Me.'
3. Pick up few readings from Nivedita Menon's 'Seeing like a Feminist.'

4.13 MEET STEPHEN LEACOCK

Stephen P. H. Butler Leacock was a Canadian teacher, writer and humourist born in 1869 in England. He was also a writer, political scientist, and humourist. He is known for his light humour along with criticisms of people's follies. He was the most widely read English speaking world between 1915 and 1925. My Financial Career is a humorous story by Stephen Leacock with a humorous content. The story My Financial Career is an interesting story catching the humour. It accounts Leacock's painfully embarrassing experience of the bank.

4.14 READING FOCUS

What do you know about satire, farce, burlesque, comedy?

Read about character writings emerging as satire in 18th century England.

Make a list of the things that can embarrass you.

Setting the purpose Try and remember your own personal or someone else's awkward moment, that may have brought out humour, uneasiness, or drama.

4.15 BUILDING BACKGROUND

My Financial Career humorously presents a person's first experience in the bank. The narrative focuses on the tension and stupid actions that happened in the bank. There is much fun and laughter when the narrator makes a clown of himself through his words and behaviour. The way he describes people working in the bank is not only exaggerated but interesting as well.

4.16 PRESCRIBED TEXT 'MY FINANCIAL CAREER'

When I go into a bank I get rattled. The clerks rattle me; the wickets rattle me; the sight of the money rattles me; everything rattles me.

The moment I cross the threshold of a bank and attempt to transact business there, I become an irresponsible idiot.

I knew this beforehand, but my salary had been raised to fifty dollars a month and I felt that the bank was the only place for it.

So I shambled in and looked timidly round at the clerks. I had an idea that a person about to open an account must needs consult the manager.

I went up to a wicket marked "Accountant." The accountant was a tall, cool devil. The very sight of him rattled me. My voice was sepulchral.

"Can I see the manager?" I said, and added solemnly, "alone." I don't know why I said "alone."

"Certainly," said the accountant, and fetched him.

The manager was a grave, calm man. I held my fifty-six dollars clutched in a crumpled ball in my pocket.

"Are you the manager?" I said. God knows I didn't doubt it.

"Yes," he said.

"Can I see you," I asked, "alone?" I didn't want to say "alone" again, but without it the thing seemed self-evident.

The manager looked at me in some alarm. He felt that I had an awful secret to reveal.

"Come in here," he said, and led the way to a private room. He turned the key in the lock.

"We are safe from interruption here," he said; "sit down."

We both sat down and looked at each other. I found no voice to speak.

"You are one of Pinkerton's men, I presume," he said.

He had gathered from my mysterious manner that I was a detective. I knew what he was thinking, and it made me worse.

"No, not from Pinkerton's," I said, seeming to imply that I came from a rival agency. "To tell the truth," I went on, as if I had been prompted to lie about it, "I am not a detective at all. I have come to open an account. I intend to keep all my money in this bank."

The manager looked relieved but still serious; he concluded now that I was a son of Baron Rothschild or a young Gould.

"A large account, I suppose," he said.

"Fairly large," I whispered. "I propose to deposit fifty-six dollars now and fifty dollars a month regularly."

The manager got up and opened the door. He called to the accountant.

"Mr. Montgomery," he said unkindly loud, "this gentleman is opening an account, he will deposit fifty-six dollars. Good morning."

I rose.

A big iron door stood open at the side of the room.

"Good morning," I said, and stepped into the safe.

"Come out," said the manager coldly, and showed me the other way.

I went up to the accountant's wicket and poked the ball of money at him with a quick convulsive movement as if I were doing a conjuring trick.

My face was ghastly pale.

"Here," I said, "deposit it." The tone of the words seemed to mean, "Let us do this painful thing while the fit is on us."

He took the money and gave it to another clerk.

He made me write the sum on a slip and sign my name in a book. I no longer knew what I was doing. The bank swam before my eyes.

"Is it deposited?" I asked in a hollow, vibrating voice.

"It is," said the accountant.

"Then I want to draw a cheque."

My idea was to draw out six dollars of it for present use. Someone gave me a chequebook through a wicket and someone else began telling me how to write it out. The people in the bank had the impression that I was an invalid millionaire. I wrote something on the cheque and thrust it in at the clerk. He looked at it.

"What! are you drawing it all out again?" he asked in surprise. Then I realized that I had written fifty-six instead of six. I was too far gone to reason now. I had a feeling that it was impossible to explain the thing. All the clerks had stopped writing to look at me.

Reckless with misery, I made a plunge.

"Yes, the whole thing."

"You withdraw your money from the bank?"

"Every cent of it."

"Are you not going to deposit any more?" said the clerk, astonished.

"Never."

An idiot hope struck me that they might think something had insulted me while I was writing the cheque and that I had changed my mind. I made a wretched attempt to look like a man with a fearfully quick temper.

The clerk prepared to pay the money.

"How will you have it?" he said.

"What?"

"How will you have it?"

"Oh"—I caught his meaning and answered without even trying to think—"in fifties."

He gave me a fifty-dollar bill.

"And the six?" he asked dryly.

"In sixes," I said.

He gave it me and I rushed out.

As the big door swung behind me I caught the echo of a roar of laughter that went up to the ceiling of the bank. Since then I bank no more. I keep my money in cash in my trousers pocket and my savings in silver dollars in a sock.

4.17 EXPLANATION

Once the narrator of the passage visits the bank, and he informs us that whenever he goes to the bank, he feels nervous. The bank, the clerks, the wickets, and the sight of the money everything creates horror in the mind of the narrator. As soon as he enters the bank, he becomes an irresponsible idiot as he cannot control his nerves. The narrator is physically 'rattling' as he enters the bank. It is as though he is afraid of what he has to do (lodge/deposit money). We can suspect that the fear is driven by the narrator's lack of trust in the bank.

The narrator wanted to open a bank account because his salary had been raised to fifty dollars a month. So, he thought that the bank was the right place for it. He does not wish to part with his money but knows that he has to as for him the sum of money he has is too large to keep. The narrator is shown quite naive as well as nervous who believes that for opening a bank account one must meet manager rather than meeting the accountants. No one in the bank eschews his confusion. The narrator met the accountant and asked him if he could see the manager alone. He did not know why he said alone, and murmurs to himself that 'alone' was not to be used. But he eventually ends up using the word 'alone' twice which creates suspicion.

Leacock exaggerates not only his own behaviour inside the bank but also the description of the accountant in the bank by describing him as a 'tall, cool, devil.' The accountant led him to the manager. The narrator asked him whether he was the manager and if he could see him alone. The manager looked at him in some alarm. He felt that the narrator had an awful secret to reveal. So, he took him in a private room so that they were away from the public view.

The manager looking at the narrator's mysterious manner, thought that he might be a detective. So, he asked the narrator whether he was one of Pinkerton's men. The narrator replied that he was not from Pinkerton's; he came from a rival agency. He said that he was not a detective at all.

He had come to open an account. He intended to keep all his money in that bank. The manager looked relieved but still serious. He concluded that he must be a very rich man, a son of Baron Rothschild or a young Gould. The manager asked the narrator if he wanted to deposit a large amount. But when he learnt that the narrator wanted to deposit only fifty-six dollars, his behaviour changed and he instructed the accountant to open the account. The manager expected that the narrator was quite rich contrary to the reality and gets cold in his approach. After realising that the narrator is a man of no importance the bank manager ignores him and directs him elsewhere and bids him goodbye.

After leaving the manager's room Leacock accidentally stepped out into the safe instead of going out of the manager's room. Then he rolled his fifty-six dollars in the shape of a ball and pushed it at the accountant without realizing that he required some money for his routine stuff. The irony is that Leacock at that very moment wanted to withdraw six dollars for the present use out of the whole sum deposited. Instead of writing six, he foggy headed wrote fifty-six and gave the cheque to the clerk. The clerk asked him if he was withdrawing the entire amount and not going to deposit any more. The narrator agreed with him and said never. Narrator's actions might look ridiculous but afterwards he has full command over himself when he is about to withdraw the whole amount. He is completely disappointed with the ruthless and non-cooperative behaviour of the bank people. The clerk prepares to pay him. He asked him how he would have it. The narrator replied that he wanted in fifties. He took the money and rushed out. Thereafter, he kept his cash in trouser pockets and silver dollars in a sock. Since then, the narrator never visited the bank. When the narrator left the bank the people in the bank laugh at him which suggests that they may consider themselves better than the narrator. Rather than accepting that the narrator is afraid. Those in the bank lack the ability to empathize with the narrator.

Thus, the financial career of the narrator came to a premature end because of the lack of care from the people in the bank and his own shyness, pride. At no stage in the story there is a personal touch being administered by any of the people employed by the bank. It is as though all concerned look at the narrator as being a problem rather than being an asset to the bank. The bank does after all need the narrator's money in order to make a profit but doesn't treat him with the respect one would expect a new customer to receive. Thus, the narrator also projects the discrimination at the end of banks on account of rich and poor. He is pitting the individual against the institutions as for the bank narrator's money is a meagre sum, but for the narrator his whole richness is his monthly salary. Leacock brings out the theme of anxiety, fear, trust, confusion, identity and conflict.

4.18 SUMMARY

The prose is about the narrator's nervous visit to the bank. All the people and the dynamics of the banking system creates horror in the mind of the narrator. As soon as he enters the bank, he becomes an irresponsible idiot as he cannot control his nerves. He witnesses the change in the

treatment of the banker's towards people who bring bank the business in terms of huge deposits vis-a-vis a person who has no money or is low on deposits. He is completely disappointed with the ruthless and non-cooperative behaviour of the bank people. Finally rather than making the full deposit he withdraws the complete amount and carries it back home stealthily by putting the same in his trouser pocket and his socks as he has no trust on the people around.

4.19 ANALYZING PROSE

*** Recall and Interpret**

1. What light do the following expression throw on Leacock's state of mind when he entered the bank; looked timidly round, shambled in?
2. Why did the manager come to think that Leacock had an awful secret to reveal?
3. What was the attitude of the manager towards Leacock on hearing that he wished to deposit only 56 dollars in the bank?

*** Evaluate and Connect**

4. Write at least two blunders Leacock committed after leaving the manager's office? What do you get to know about his character from his behaviour?
5. After the misadventure in the bank where did Leacock keep his money?
6. Give as many examples as you can to show that Leacock was feeling completely lost in the bank all the time he was there.
7. Do you think that the prose 'My Financial Career' highlights the rift between the poor and the rich?

4.20 READING FURTHER

For more understanding on the prose section:

1. Go through 'The Oxford Book of Humorous Prose: From William Caxton to P. G. Wodehouse: A Conducted Tour.'
2. Explore the book 'If Life Is A Bowl Of Cherries What Am I Doing In The Pits' by Erma Bombeck.
3. Read Scaachi Koul's 'One Day We'll All Be Dead And None Of This Will Matter.'

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENGLISH COMPULSORY-1

UNIT-5: SENTENCE STRUCTURES

STRUCTURE

5.1 Objectives

5.2 Introduction

5.3 What is a Sentence?

5.4 Types of Sentences (on the Basis of Function)

5.5 Types of Sentences (on the Basis of Structure)

5.6 Basic Pattern of Sentences

5.7 Let Us Sum Up

5.8 Unit End Exercises

5.9 Answers to Exercises

5.10 References and Suggested Readings

5.1 OBJECTIVES

After a careful reading of the unit, you will be able to

- identify and explain different parts of a sentence;
- identify and explain different types of sentences;
- construct different types of sentences;
- identify the basic sentence patterns.

5.2 INTRODUCTION

In this unit, first of all, we will learn about different types of sentences on the basis of their functions and structures. We will touch on simple, complex, compound and compound-complex sentences. Our focus will be on the basic sentence patterns to help you see the skeleton behind the body of written statements. We hope that this unit will provide you with the framework for the clear written expression of your ideas. Please note that we have explained key grammar concepts in plain English for your convenience. We are sure that you will find this unit very interesting and easy.

We have prepared some exercises for you. Please complete these before moving on to the answers provided by us at the end of the unit.

We think that you should buy a good dictionary. A good dictionary is a lifelong friend. The author of this lesson personally uses *Oxford Advanced Learner's Dictionary* (English to English) and *Cambridge Advanced Learner's Dictionary* (English to English). Many English-English, English-Hindi and English-Punjabi dictionaries are easily available in bookstores. With a good dictionary you can do the following:

- look up the meaning of an English word
- check the spelling of a word
- find out grammatical information about a word
- find the synonym or antonym of a word
- look up the collocations of a word
- check the part of speech of a word
- learn how to pronounce a word
- find examples of the use of a word

5.3 WHAT IS A SENTENCE?

‘Sentence’ is a set of words arranged in a proper order to express a meaningful statement, question, thought or command. A typical sentence has a verb. For example:

- What **is** your name?
- You **are** a good boy.
- **Do** not **walk** on the table.
- **May** you live long!

You can see that the above-mentioned sentences are different from one another as far as their functions are concerned. The first sentence is interrogative; the second sentence is declarative; the third sentence is imperative; the fourth sentence is exclamatory.

5.4 TYPES OF SENTENCES (ON THE BASIS OF FUNCTION)

- Declarative
- Imperative
- Interrogative
- Exclamatory

Declarative sentences state, affirm or declare something. They end with a period. For example:

- The principal will check on the students who are said to be involved in unlawful activities.
- I have stood first in the class.
- It is one of the best movies I have ever seen.

Imperative sentences are used to order, direct, advise or request. They end with a period or an exclamation mark. For example:

- Get out!
- Leave the room when she comes.

We use interrogative sentences to ask questions. Such sentences end with a question mark. For example:

- Have you visited Patiala?
- Am I speaking to Ashu?
- Had they been punished?

Exclamatory sentences show strong emotions of joy or sorrow, or they express wishes. They end with an exclamation mark. For example:

- What a beautiful vase it is!
- Hurrah! We have won the match!
- May you get good marks!

Check Your Progress

Question: Read the sentences given below and write what type of sentences they are (on the basis of their function):

- Please give me a glass of water.
- You should not speak loudly.
- I have won the competition.
- She has won the competition!
- Have you ever been to Delhi?
- Where do you live?
- Keep silence.

Answer:

- Please give me a glass of water. (Imperative Sentence)
- You should not speak loudly. (Imperative Sentence)
- I have won the competition. (Declarative Sentence)
- She has won the competition! (Exclamatory Sentence)

- | | |
|------|---|
| v. | Have you ever been to Delhi? (Interrogative Sentence) |
| vi. | Where do you live? (Interrogative Sentence) |
| vii. | Keep silence. (Imperative Sentence) |

5.5 TYPES OF SENTENCES (ON THE BASIS OF STRUCTURE)

This is not the only way to look at sentences. Sentences can be analysed on the basis of their structure. There are four types of sentences on the basis of their structure:

1. Simple Sentences
2. Compound Sentences
3. Complex Sentences
4. Compound-Complex Sentences

- Simple Sentence

A simple sentence has an **independent clause**; it comprises a **subject** and a **predicate**.

- Compound Sentence

A compound sentence includes two or more independent clauses that are joined by a coordinating conjunction. There is no dependent clause.

- Complex Sentence

In a complex sentence, there is one **main clause (independent clause)** and at least one **subordinate clause (dependent clause)**. Irrespective of the fact that the subordinate clause has its subject and predicate, it remains dependent on the main clause for its complete meaning.

- Compound-Complex Sentence

A compound-complex sentence has two or more independent clauses and one or more dependent clauses.

Before we proceed, it is important to understand some new terms that have been highlighted in the brief explanations given above.

Knowledge Capsule

Clause: A clause has a subject and a verb. It may or may not stand on its own. If it stands on its own, it means it is also a sentence. If it does not, it is a part of another sentence.

There are two types of clauses: independent clause and dependent clause. An independent clause is a complete thought. It can stand alone as a complete sentence. On the other hand, a dependent clause cannot stand alone as a complete sentence (despite that it may have a subject and a verb). It begins with a subordinating conjunction (when, while, after, because, where... and many more). Pay attention to the following sentence:

- This is the university *where I teach*.

Here, 'where I teach' has the subject 'I' and the verb 'teach'. Since it has a subject and a predicate of its own, it resembles a complete sentence. Nevertheless, it is not a complete sentence, as it forms a part of the above-mentioned sentence. 'Where I teach' is an example of a dependent clause, which depends upon the main clause 'This is the university'. Let us take another example:

- I work with a prestigious university.

This sentence has the subject 'I' and the verb 'work'. This clause is not dependent on any other clause (which has a subject and a verb). So this clause is an independent clause. An independent clause is a sentence with a subject and a verb; it expresses a complete thought.

Subject and Predicate: A sentence can be divided into two parts: subject and predicate. The subject comes at the beginning of a sentence; it is the focus of the sentence as it is something which is referred to. In other words, the subject indicates the person or thing about which something is said. It may comprise one or more than one word. And, the predicate is what is said about the subject. Look at the following sentences:

Sentence	
Subject	Predicate
I	work hard.
You	cannot go there.
They	do not complete their work.

In imperative sentences and exclamatory sentences, the subject is understood when it is not given. For example,

- Go away! [The subject 'you' is clear.]
- Thank you. [The subject 'I' is clear.]

In interrogative sentences, the subject comes after a part of the predicate. For example:

- Did *you* meet Ram?
- Am *I* not making any sense to you?

A simple sentence is an independent clause, which has a subject and a verb. It does not have any other sentence or clause dependent on it. For example:

- I play.
- He goes to school.
- They believe in God.

A compound sentence is formed by combining two independent clauses. For example:

- I am working hard, **and** I am going to win this competition.

It is notable that when independent clauses are joined, they require a coordinating conjunction between them. In the above-mentioned example, ‘and’ is a coordinating conjunction. Conjunctions are linking words (Refer to the unit titled ‘Linking Words and Prepositions’ for more information.).

A complex sentence is formed when a dependent clause is joined to an independent clause. The dependent clause can come either at the beginning or the end of the sentence. For example:

- I will eat food when I reach home.
- When I reach home, I will eat food.

A compound-complex sentence contains at least two independent clauses (like a compound sentence) and at least one dependent clause (like a complex sentence). For example:

- **Since I am a language teacher**, my friends expect me to speak perfectly, and my students expect me to write perfectly.

(**NB** This part of the lesson gives an introduction to different types of sentences on the basis of their structure. You will read about the same in detail in another term. Do not worry if you have any questions. We are always there to help you.)

5.6 Basic Pattern of Sentences

In the English language, sentences follow specific grammar patterns. If you learn these patterns, you will be able to improve your writing skills. In fact, these patterns will help you improve your basic understanding of the language. Try to identify the patterns in a variety of sentences in your day-to-day communication. It will enhance your ability to use those patterns. Let us now learn about the basic sentence patterns:

1) SV (Subject + Verb)

Example: I play.

2) SVA (Subject + Verb + Adjunct)

Example: He slept peacefully.

3) SVC (Subject + Verb + Complement)

Example: Her eyes are beautiful.

4) SVO (Subject + Verb + Object)

Example: I have cooked food.

5) SVOA (Subject + Verb + Object + Adjunct)

Example: I played football at university.

6) SVOC (Subject + Verb + Object + Complement)

Example: The food made her sleepy.

7) SVOO (Subject + Verb + Object + Object)

Example: He sent me a gift.

It's time to learn about three new terms: Adjunct, Object and Complement.

Knowledge Capsule

Adjunct

Adjuncts are marginal elements in a sentence. They can be removed without any damage to the basic sentence structure. In other words, even when an adjunct is omitted, the sentence still remains grammatically acceptable. For example:

- a. I love him.
- b. I love him immensely.
- c. I love him a great deal.

In sentences b and c, 'immensely' and 'a great deal' are adjuncts. If these words are dropped, the basic sentence pattern/structure remains unaffected. Adjuncts are expressions of place, time, direction, etc. Most common adjuncts are adverbs or adverbial phrases, particularly adverbs of place, time and manner. Find below some examples of adjuncts:

Time Adjuncts (Adverbs of Time)

- I met him **yesterday**.
- I slept **in the morning**.

Manner Adjuncts (Adverbs of Manner)

- I completed the task **carefully**.
- He walks **like a ghost**.

Place Adjuncts (Adverbs of Place)

- I saw him **there**.
- I slept **on the floor**.

Frequency Adjuncts (Adverbs of Frequency)

- I **often** go to Delhi.
- **Usually**, she goes to a temple.

Reason Adjuncts (Adverbs of Reason)

- **As it is my birthday**, I will throw a party.
- Expect the tent to leak **because it has been in my garage for 30 years**.

Object

‘Subject’ and ‘object’ are very easy concepts. You have already learnt about the subject. Let us take a few examples to revise it. “I eat food.” In this sentence, ‘I’ is a subject and ‘food’ is an object (Notably, ‘food’ is the name of something. So, it is also a noun.). Pay attention to the following sentence: “He met me.” In this sentence, ‘He’ is a subject, and ‘me’ is an object (‘He’ and ‘me’ are also pronouns.). The word(s) denoting the person or thing about which something is said is (are) called the subject of the sentence. Can you identify subjects in the following sentences?

- We work hard.
- Ram goes to school.
- The woman will prosper.

‘We’, ‘Ram’ and ‘the woman’ are the subjects of their respective sentences. Now, let us consider some examples of objects.

- I eat food.
- I write a letter.
- He met me.

‘Food’, ‘letter’ and ‘me’ are the objects in the above-mentioned sentences. On the basis of these examples, some of you may tend to think that

- objects come after verbs. For example, ‘food’ follows ‘eat’; ‘letter’ follows ‘write’; ‘me’ follows ‘met’. **You are right!**

- every word that comes after a verb in a sentence is an object. **No. It is not true.** Let us take one example to clarify it.

I live in Jalandhar.

You may think that ‘Jalandhar’ is an object, as it comes after ‘live’ (Verb). To know whether a word following a verb is an object or not, we ask two questions: “What” and “Who/Whom”.

If my answer is “I live in Jalandhar”, what will be your question? Your question will be:

“Where do you live?” So, ‘Jalandhar’ in “I live in Jalandhar” responds to “Where” (But not “What” and “Who/Whom”!). So, it is not an object. Let us take one more example: He runs slowly.

If my answer is “He runs slowly.” What will be your question?

Your question will be: “How does he run?” Here, ‘slowly’ responds to “How” (But not “What” and “Who/Whom”!). So, ‘slowly’ in this sentence is not an object.

I am quite sure that you have understood the concept of ‘object’. Can you make questions to see whether there are any objects in the following sentences:

- I eat food. (What do you eat?)
- I write a letter. (What do you write?)
- He met me. (Whom did you meet?)

As you can see, ‘food’ responds to ‘what’; ‘letter’ responds to ‘what’; ‘me’ responds to ‘whom’. The object is the thing that is directly or indirectly receiving the action that was performed by the subject.

Direct and Indirect Objects: There are two types of objects in the English language: direct and indirect. A direct object takes or receives the action of the verb. In other words, the direct object is acted upon by the subject of the sentence.

For example:

- He sent me a letter.

(‘Sent’ [verb] is used for ‘letter’. In other words, ‘letter’ receives the action of the verb ‘sent’. So, the direct object in this sentence is ‘letter’ and the indirect object is ‘me’.)

Complement

Complement refers to a word or words that are required to complete the meaning of an expression/clause. Complements are one of the five major elements of clause structures. The other four are subject, verb, object and adjunct. Complement is the part of a sentence which is regulated by the verb. It usually comes in the second half of the sentence. Unlike adjuncts, complements are not optional. They are essential to convey the complete meaning of the sentence. For example:

- *Maths* (Subject) is **difficult**. (Subject complement)
- Practice makes *Maths* (object) **easy**. (Object complement)

A complement is normally a noun or an adjective. The verb is usually 'be' or 'become'-type (like become, turn, seem, look, etc.) in sentences with complements.

According to *Cambridge Advanced Learning Dictionary*, "In clauses with linking verbs (be, seem, become), complements which follow the verb and which add information about the subject are called subject complements:

Sheila is a nurse. (adding information about Sheila)

All of them seemed surprised.

Complements which add more information about an object are called object complements:

He makes me very angry. (adding information about me).

Complements and adjuncts are different. A complement is necessary in order to complete the meaning. An adjunct is not necessary, and adds extra information."

(Source: <https://dictionary.cambridge.org/grammar/british-grammar/complements>)

Now, let us read the patterns of sentences again in the light of our understanding of adjuncts, complements and objects.

1) SV (Subject + Verb)

SV is the most basic sentence structure. All the other structures have this basic structure in them.

Examples:

- I/ play.
- He/ studies.
- They/ walk.
- You/ laugh.
- We/ sleep.
- The child/ runs.
- The mother/ is working.
- He/ cried.
- They/ were weeping.

2) SVA (Subject + Verb + Adjunct)

An adjunct, which supplies further detail about actions, events and states, can be added to the basic SV structure. Adjuncts are most often optional elements that provide information related to manner, time, location or cause. Consider the following examples:

- He/ ran/ very fast. [Adjunct of manner]
- I/ came/ in the morning. [Adjunct of time]
- They/ live/ in Patiala. [Adjunct of location/place]
- She/ died/ since you left her. [Adjunct of cause]

Some More Examples:

- He/ slept/ peacefully.
- They/ came/ to the wedding.
- The Principal/ comes/ suddenly.
- She/ is going/ away.
- The inspection team/ came/ late.
- He/ slept/ last night.
- You/ wept/ in a second-hand bookshop.
- Ram/ went/ to temple.

3) SVC (Subject + Verb + Complement)

You have read about Subject and Complement. There is a fundamental difference between an object and a complement. The difference is that the subject and the object refer to different things, whereas the subject and the complement (**in a SVC clause**) refer to the same thing. Consider the following example:

Subject/ Verb/ Object

I/ play/ cricket.

In this clause, the subject is a person (“I”) and the object is a game (“cricket”), i.e. they are not the same. In contrast, the subject and the complement refer to the same thing. For example:

Subject/ Verb/ Complement

Raj/ looks/ sad.

In this clause, the complement (“sad”) makes a reference to the same person as the subject (Raj), i.e. it is Raj who is sad. Pay attention to some other random examples:

- Her eyes/ are /beautiful.
- They/ are/ intelligent.
- I/ am/ a doctor.
- He/ became/ a policeman.
- She/ is/ a player.
- Ram’s mother/ is/ a nurse.
- She/ is/ an Indian.
- He/ turned/ pale.
- The tea/ is getting/ cold.
- It/ was/ a very pleasant talk.

4) SVO (Subject + Verb + Object)

The basic sentence structure SV may become SVO with the addition of an object. Some verbs may take objects and some verbs do not take objects. For example: There is no object in the following sentence: “I sleep.” (SV). However, there is one object (‘cricket’) in the following sentence: “I play cricket.” (SVO).

In the English language, SVO is a common structure. Pay attention to the following example:

“I write a lesson.” The subject of the clause (the thing or person performing the action) is “I”; the verb, which describes the particular action, is “write”, and the object (the thing undergoing the action) is “a lesson”.

Always remember that all verbs are not capable of taking objects. Only transitive verbs can have objects. ‘Transitive’ means ‘passing over’. In the case of transitive verbs, an object is needed. Intransitive verbs do express actions but without any specific object on which the action is being done. If there is no object, the sentence is intransitive.

For example:

Ram sleeps.

This sentence tells us about the action (sleep) of the subject (Ram), but there is no specific object for the action. On the other hand, a transitive verb requires an object to receive the action.

Check Your Progress

Question: Can you think of some verbs which act as:

- i. Transitive verbs
- ii. Intransitive verbs
- iii. Both transitive and intransitive verbs

Answer:

Examples of Sentences with Transitive Verbs (SVO)

- I **bought** a cake.
- He **loves** children.
- They **annoyed** me.
- Roy **threw** a stone.
- I **caught** the ball.
- They **invited** me.
- He **cuts** vegetables.
- She **likes** me.
- The **boy** stole a bike.

Examples of Sentences with Transitive Verbs (SV)

- She **laughs**.
- They **go**.
- He **walked**.
- The child **will sleep**.
- He **complains**.
- The sparrows **chirruped**.
- He **fainted**.
- They **have arrived**.
- The old man **died**.

Examples of Verbs that Act as Transitive Verbs as well as Intransitive Verbs in Sentences

- I will **play**. (intransitive)
- I will **play** the guitar. (transitive)
- He **sings**. (intransitive)
- He **sings** a song. (transitive)
- They **can speak**. (intransitive)
- They **speak** English. (transitive)
- We **won**! (intransitive)
- We **won** the match. (transitive)

5) SVOA (Subject + Verb + Object + Adjunct)

Sometimes, we can add an adjunct to the SVO structure. Adjuncts, as you know, are discretionary elements that supply extra information related to manner, time, location and so on. Consider the following examples:

Subject/Verb/Object/Adjunct

They/ have written/ an essay/ neatly.

In this utterance the adjunct function is represented by the adverb “neatly”. This adjunct provides additional information regarding the manner in which the subject “they” carry out an action on the object “an essay”. Pay attention to the following random examples:

- My sister/ wrote/ the poem/ quickly. [Adjunct of manner]
- I/ met/ him/ yesterday. [Adjunct of time]
- I/ cleaned/ the car/ in the parking. [Adjunct of location/place]

Check Your Progress

Question: Can you identify the type of adjuncts in the following sentences:

- The CEO stated his policy clearly.
- We attended the meeting yesterday.
- The company organized a function in the ground.
- People throw a lot of garbage on the road.
- I met him regularly. ?

Answer:

- The CEO stated his policy **clearly**. [Adjunct of manner]
- We attend the meeting **yesterday**. [Adjunct of time]
- The company organized a function **in the ground**. [Adjunct of location]
- People throw a lot of garbage **on the road**. [Adjunct of location/place]
- I met him **regularly**. [Adjunct of frequency]

6) SVOC (Subject + Verb + Object + Complement)

We can add a complement to the SVO structure. In grammar, a complement is a word, phrase or clause that is necessary to complete the meaning of a given expression. If the complement is removed from a sentence, the sentence cannot convey a complete sense. When a complement fills the same position as the object in the SVO structure, then the complement refers to the same thing as the subject (We have already discussed it.). However, the complement refers to the same thing as the object when it follows the object. For example:

Subject/Verb/Object/Complement

The news/ made/ her/ sad.

It is clear in this example that the complement (“sad”) refers to the same thing/person as the object (her), i.e. it is “her” who is “sad” and not “the news” that is “sad”. Other examples include:

- The parents/ named/ the child/ Shabd.
- The committee/ elected/ Dr. Deepti/ their leader.
- They/ made/ me/ captain.
- They/ elected/ me/ president.

- The news/ made/ his name/ popular.
- She/ made/ him/ happy.
- She/ got/ her shoes/ wet.
- England/ declared/ me/ a jew.
- He/ made/ his son/ a doctor.

7) SVOO (Subject + Verb + Object + Object)

You have already learnt about direct and indirect objects. When two objects are included in a clause, a distinction is made between the direct object and the indirect object. The direct object is the thing or person undergoing an action, being talked about and so on, and the indirect object is the thing/person which/who is the recipient or beneficiary of the action. In this structure, direct and indirect objects are added to the SVO structure.

Check Your Progress

Question: Can you identify direct and indirect objects in the following sentences:

- I hit the ball.
- My mother bought me a necklace.
- I told him a story.

Answer:

- I hit the ball (direct object).
- My mother bought me (indirect object) a necklace (direct object).
- I told him (indirect object) a story (direct object).

Consider the following example: “He sent me a gift.” In this sentence, the verb “sent” is for “the gift”. It means “the gift” was sent and not “me” was sent. “Me” is the beneficiary of the action. So, “the gift” is the direct object and “me” is the indirect object in the sentence. Pay attention to the following examples:

- I/ wish/ you/ a very happy birthday.
- She/ gave/ him/ a book.
- I/ sent/ her/ a gift.
- He/ sold/ me/ his car.
- I/ gave/ my wife/ a car.
- My father/ showed/ me/ his collection.
- My mother/ gave/ me/ some money.
- The doctor/ prescribed/ her/ medicine.
- The CEO/ offered/ me/ a job.

5.7 LET US SUM UP

Words combine in a proper order to make a meaningful sentence. It is important to understand sentence structures to communicate effectively.

On the basis of their functions, sentences can be declarative, interrogative, imperative and exclamatory. A sentence that states, affirms or declares something is called a declarative sentence. A sentence that asks a question is called an interrogative sentence. A sentence that expresses some command, advice, request or entreaty is called an imperative sentence. An exclamatory sentence makes a statement that conveys strong emotions or excitement.

On the basis of their structures, sentences can be categorized as simple, compound, complex and compound-complex sentences. A simple sentence has a subject and a predicate. A compound sentence contains two or more independent clauses. A complex sentence contains one main clause and one or more dependent clauses. A compound-complex sentence has two or more independent clauses and at least one dependent clause.

Most sentences in English are constructed using the following basic sentence patterns:

- 1) SV (Subject + Verb)
- 2) SVA (Subject + Verb + Adjunct)
- 3) SVC (Subject + Verb + Complement)
- 4) SVO (Subject + Verb + Object)
- 5) SVOA (Subject + Verb + Object + Adjunct)
- 6) SVOC (Subject + Verb + Object + Complement)
- 7) SVOO (Subject + Verb + Object + Object)

5.8 UNIT END EXERCISES

I. Identify the following sentences on the basis of their functions:

- a. The teacher has distributed the question papers.
- b. Did you come to my home yesterday?
- c. I stood first in the class.
- d. Do you like Accounts and English?
- e. Hurrah! We have won the match.
- f. Always work hard.
- g. Do not argue with your elders.

II. Give two examples of each of the following types of sentences:

- a. Simple Sentences
- b. Compound Sentences

- c. Complex Sentences
- d. Compound-Complex Sentences

III. Identify the following sentences on the basis of their structures:

- a. Ram works hard.
- b. Ram works hard, and he makes a lot of money.
- c. Ram will make a lot of money if he works hard.
- d. If Ram works hard, he will make a lot of money, and he will build his house.

IV. Identify the sentence structures of the following sentences:

- a. I finished the work.
- b. I gave him a bat.
- c. I met him yesterday.
- d. This made me happy.
- e. He laughed.
- f. He speaks loudly.
- g. He is tall.

5.9 ANSWERS TO EXERCISES I.

- a. Declarative Sentence
- b. Interrogative Sentence
- c. Declarative Sentence
- d. Interrogative Sentence
- e. Exclamatory Sentence
- f. Imperative Sentence
- g. Imperative Sentence

II.

- a. Simple Sentences
 - i. I love coffee.
 - ii. He slept on the couch.
- b. Compound Sentences
 - i. She won the prize, and she celebrated her victory.
 - ii. He is very rich, but he is very stingy.
- c. Complex Sentences
 - i. Although he was wealthy, he was unhappy.
 - ii. She left the house when he insulted her.
- d. Compound-Complex Sentences
 - i. I left my wallet at home, so I used my ATM card when I went to the shopping mall.

- ii. My boss yelled at me, so I quit because I was hurt.

III.

Simple Sentence

Compound Sentence

Complex Sentence

Compound-Complex Sentence

IV.

- a. I finished the work. (SVO)
- b. I gave him a bat. (SV indirect O direct O)
- c. I met him yesterday. (SVOA)
- d. This made me happy. (SVOC)
- e. He laughed. (SV)
- f. He speaks loudly. (SVA)
- g. He is tall. (SVC)

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BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER-II
COURSE: ENGLISH COMPULSORY-1

UNIT-6: WORD CLASSES-1: NOUNS, PRONOUNS AND ADJECTIVES

STRUCTURE

6.1 Objectives

6.2 Introduction

6.3 Nouns

6.4 Pronouns

6.5 Adjectives

6.5.1 Position of Adjectives

6.5.2 Order of Adjectives

6.5.3 Types of Adjectives

6.5.4 Comparison of Adjectives

6.6 Let Us Sum Up

6.7 Unit End Exercises

6.8 Answers to Exercises

6.9 References and Suggested Readings

6.1 OBJECTIVES

After a careful reading of the unit, you will be able to

- define and provide examples of nouns, pronouns and adjectives;
- identify and explain different types of nouns, pronouns and adjectives;
- use nouns, pronouns and adjectives.

6.2 INTRODUCTION

Modern English grammar normally refers to four major word classes: nouns, verbs, adjectives and adverbs. The other word classes include prepositions, pronouns, determiners, conjunctions

and interjections. In this unit, first of all, we will learn about different types of nouns. Then, we will study pronouns and adjectives.

Please note that we have explained nouns, pronouns and adjectives in plain English for your convenience. We have given examples from our day-to-day life so that you can learn grammar in context. We hope that you will find this unit very interesting and easy.

This unit is broadly divided into three parts: Nouns, Pronouns and Adjectives. We have prepared some exercises for you. Please complete these before moving on to the answers provided by us at the end of the unit.

6.3 NOUNS

Nouns are words used to name people, animals, places, things and abstract ideas.

The highlighted words in the following sentences are nouns:

- **Hari** and **Seeta** are **friends**.
- This is my **dog**.
- My **cat**'s name is **Tom**.
- The **Jungle** is dense.
- I live in **Patiala**.
- I love **grammar**.
- Do you have a **pen**?

‘Noun’ is one of the eight parts of speech in the English language. Nouns can be classified as:

- Proper Nouns
- Common Nouns
- Collective Nouns
- Material Nouns

We can also classify nouns on the basis whether they are countable or uncountable:

- Countable Nouns Vs. Uncountable Nouns

We can also classify nouns on the basis whether they can be perceived using one of the five senses (i.e., taste, touch, sight, hearing, smelling) or not:

- Concrete Nouns Vs. Abstract Nouns

Proper nouns refer to specific names of people, organizations, things, etc. To simplify it, let us consider some examples. It is a holiday today when I am writing this lesson. Notably, this day has a specific name, i.e. ‘Sunday’. We can say that the specific name of this day, i.e. ‘Sunday’ is an example of proper nouns. Let us take one more example. Do you have a pet at home? If yes, does that pet have a name? I have a dog named Tyson. Tyson is a specific name. Similarly, my

friend has a dog named Tuffy. Tyson and Tuffy are two examples of proper nouns. Have you noticed something common about ‘Sunday’, ‘Tuffy’ and ‘Tyson’? All these proper names start with a capital letter irrespective of the fact where they occur in a sentence. The Taj Mahal, Jalandhar, Parker Pen, Khaitan fan, the Tribune, etc. are some examples of proper nouns.

Let us go back to the example related to ‘Sunday’. Each weekday has its specific name. For example, Monday, Tuesday and Wednesday. All these are examples of proper nouns. However, Monday, Tuesday and Wednesday are related to one another because they belong to one category, i.e. all of these are days. Similarly, Tuffy and Tyson are related to each other because they belong to the same category, i.e. they are ‘dogs’. ‘Dog’ and ‘Day’ are examples of common nouns. Always remember that a common noun does not refer to one person or thing in particular, but it is common to any and every person or thing of the same kind. Let us take one more example for clarity. India is the specific name of our country; Bangladesh is the name of another country. ‘India’ and Bangladesh are examples of proper nouns, whereas ‘country’ is an example of common nouns.

Imagine if there are many dogs in my room. Can I use one word to refer to their group? Yes, I can say ‘a pack of dogs’. ‘Pack’ is an example of **collective nouns**. A collective noun refers to a group or collection of similar individuals, considered as one complete whole. For example, a group of owls is called ‘parliament’. Similarly, a group of pandas is known as ‘embarrassment’. Is it not interesting? A list of common collective nouns is given below:

Committee
Army
Herd
Public
Staff
Team
Flock
Gang
Class

Proper Name	Common Name	Collective Noun
Sohan (Name of a man)	Man (The category to which Shabd belongs)	Group (Referring to many men as a whole/unit)
Sakshi	Girl (The category to which Sakshi belongs)	Group (Referring to many girls as a whole/unit)

	belongs)	
Captain Vikram Batra	Soldier	Army
Sachin Tendulkar	Player	Team
Nakul Kundra	Teacher	Staff

Let us take some examples of proper nouns, common nouns and collective nouns:

Have you seen a hammer? It is made of iron. What about an ice cream, which is made of milk? ‘Iron’ and ‘milk’ are examples of material nouns. A material noun denotes the matter or substance of which things are made. I wear a ring, which is made of silver. Now you know that ‘silver’ is an example of material nouns. Some common material nouns are *oil*, *water*, *rice* and *silk*.

You know that your mother loves you so much. But can you quantify your mother’s love? Can you say that your mother loves you 200 kgs or 200 kms? Of course, you cannot do it. Love can be felt through her actions and gestures. You cannot quantify it. The idea of love is in your mind. You interpret some of her gestures and words as a token of her love for you. Or, in other words, these gestures and words are the manifestations of love. “Love” is an example of abstract nouns. If something which is a creation of the mind and seen only with the mental eye, it is called an abstract noun. Let us take another example. There is a bunch of flowers on my study table. These flowers are beautiful. A friend of mine does not find these flowers beautiful. The idea of beauty is in our minds; it is not there outside in the material form. Shakespeare rightly says that beauty lies in the eye of the beholder. ‘Beauty’ is another example of abstract nouns. You cannot touch ‘beauty’, but you can touch a flower. ‘Flower’ is a concrete noun. What do you think about iron, rice, milk and furniture? You can experience this group of nouns with your senses: you can see/smell/touch/taste them. One more thing, you might be surprised that ‘iron’ and ‘rice’ are material nouns. How can they be concrete nouns? One noun can belong to a number of categories. ‘Iron’ and ‘rice’ are material nouns (as things are made of them) as well as concrete nouns (as we can touch them).

Do you remember my dog, Tyson? I have **one** dog. I can count the number of dogs in my locality. However, all nouns are not countable. For example, can you count love, English (the language), laughter, advice, behaviour, violence and progress? Can you say ‘two laughs’ or ‘three advices’? You do not use such expressions, as they are grammatically unacceptable. Countable nouns are the names of objects, people, etc. that we can count—

Knowledge Capsule

Nouns are the words that name people, places, animals, things, ideas and emotions. **Proper nouns** are the special or specific names of people, animals, places, objects and events. They always begin with a capital letter. For example: Ram, Microsoft, Crompton and Lamborghini Diablo. **Common nouns** are names of people, animals, places or things of the same kind. For example: student, computer, fan and car. A **collective noun** is the name given to a group of people, animals or things of the same kind, spoken of as one whole. For example: army (of soldiers), swarm (of bees), bunch (of keys), team (of players) and bouquet (of flowers). **Material nouns** refer to a material or substance from which things are made, such as silver, gold, iron, cotton, diamond and plastic. We can also classify nouns on the basis whether they are countable or uncountable. **Countable nouns** are names of items/things/people that can be counted. They may be singular or plural. For example: tree, trees, bus, buses, boy and boys. **Uncountable nouns** are names of items/things that cannot be counted. For example: sugar, water, oil, juice and sky. We can also classify nouns on the basis whether they can be perceived using one of the five senses (i.e., taste, touch, sight, hearing, smelling) or not. **Concrete nouns** are those that we can perceive with one of our five senses— we can see, hear, touch, smell or taste them. For example: flower, car, toy, ball and keys. **Abstract nouns** refer to ideas and concepts that cannot be sensed on a physical level, but are sensed on a mental or emotional level. For example: love, beauty and hate.

Check Your Progress

Question 1: Fill in the blanks with suitable nouns and mention the types of nouns:

- I have a large _____ of stamps.
- There was a _____ of bees in my garden.
- _____ is the sixth month of the year.
- The Taj Mahal is in _____.
- Chandigarh is the capital of _____.
- One who attends a school is known as a _____.
- _____ are kept on the table.

Answer:

- I have a large **collection** of stamps. (Collective noun)
- There was a **swarm** of bees in my garden. (Collective noun)
- June** is the sixth month of the year. (Proper noun)
- The Taj Mahal is in **Agra**. (Proper noun)
- Chandigarh is the capital of **Punjab**. (Proper noun)
- One who attends a school is known as a **student**. (Common noun)
- Books** are kept on the table. (Common noun)

Question 2: Choose the most suitable option.

	Nouns are _____
(a.)	words that refer to people, places, or things
(b.)	words that can replace other nouns to make sentences less repetitive, including I, what, you, none, etc
(c.)	words that express strong emotion such as Wow! or Ouch!
(d.)	Words that refer to what is happening now

Answer: (a.)

for example, pen, apple and girl. Uncountable nouns are the names of things which we cannot count— for example, milk, oil, sugar, gold and honesty. They mainly denote abstract things and substances.

6.4 PRONOUNS

Do you remember any essays you learnt in your pre-primary school? Let me take a very simple one to refer to in the context of our next topic, i.e. pronouns: ‘My Best Friend’. How would you write an essay on ‘My Best Friend’? Would you write it in the following way?

Ram is my best friend. Ram reads in my class. Ram works hard. Ram always gets good marks. Ram is very punctual.

Would you start every sentence with the name of your best friend? No. You would write your essay as follows:

Ram is my best friend. He reads in my class. He works hard. He always gets good marks. He is very punctual.

You can see that Ram (proper noun) is used in the first sentence to refer to a particular person. In the following sentences, ‘Ram’ is replaced with ‘He’. ‘He’ is an example of pronouns. Thus, a pronoun is a word which is used instead of a noun. Since a pronoun is used instead of a noun, it must be of the same number, gender and person as the noun it stands for. For example, for Geeta and Hari, we will use the pronoun ‘they’; for Geeta ‘she’; for Hari ‘he’.

Pronouns can be of different types:

- Personal Pronouns
- Reflexive and Emphatic Pronouns
- Demonstrative Pronouns
- Reciprocal Pronouns
- Interrogative Pronouns
- Relative Pronouns
- Distributive Pronouns
- Possessive Pronoun

Let us go back to our first example. The example refers to a person, i.e. Ram, and ‘he’ has replaced ‘Ram’ in the second sentence. ‘He’ is a third-person pronoun. If I write something about me, shall I say: “My name is Nakul. **He** is a teacher.”? **That is wrong.** The correct

pronoun should be a first-person pronoun, i.e. ‘I’: “My name is Nakul. **I** am a teacher.” Similarly, If I am to speak about you (the reader/student), I will use a second-person pronoun. For example, “I am writing this lesson for you.” First-person pronouns refer to the speaker (*I, we, me* and *us*); second-person pronouns refer to the person or people spoken to (*you*); third-person pronouns refer to another person or thing (*she, he, they, etc.*). Personal pronouns stand for the three persons, i.e. first person, second person and third person.

Person	Singular		Plural	
	Subject	Object	Subject	Object
First Person	I	Me	We	Us
Second Person	You	You	You	You
Third Person	He, She, It	Him, Her, It	They	Them

A pronoun is a word used in place of a noun. Pronouns include *I, me, we, us, you, he, him, her, it, they, them, them, mine, ours, yours, his, hers* and *theirs*. **Personal pronouns** are used in place of the names of persons, animals and things.

Check Your Progress

Question: Choose the most suitable option.

“What did she ask you to do?” What is ‘she’ in this sentence?

- a) Conjunction
- b) Preposition
- c) Pronoun
- d) Noun

Answer: (c)

Sometimes when a student appears in an interview, he/she is asked to introduce himself/herself. It is often seen that some students start their introduction with a sentence like the following: “Myself is Ayra/Arun.” Dear students, this sentence is grammatically unacceptable. ‘Myself’ is a pronoun, which never comes at the beginning of a sentence. Pay attention to the following two sentences to understand how ‘myself’ can be used in sentences:

- I myself will do the work.
- I saw myself in the mirror.

In the first sentence, I am emphasizing that I will do the work. I am implicitly laying stress on the point that I will do the work of my own without anyone’s help or contribution. Here, ‘myself’

is used as an emphatic pronoun. In the second sentence, the action of ‘seeing’ reflects back on me (myself). [On the contrary, in ‘I kicked the ball’, the action of ‘kicking’ is transferred to an object and does not come back to me. But if I say “I kicked myself, the action comes back to me.”]. Here, ‘myself’ is used as a reflexive pronoun. In simple words, we can say that a reflexive pronoun is used to show the person (or thing) does something to himself/herself (itself). It is important to note that this pronoun refers to the same person, i.e. the subject. It is called ‘reflexive pronoun’ because the action of the subject reflects upon itself.

Person	Singular	Plural
1 st	myself	ourselves
2 nd	yourself	yourselves
3 rd	Himself, herself, itself	themselves

Some examples of reflexive and emphatic pronouns are as follows:

- I **myself** did not meet him. (Emphatic pronoun)
- He painted the picture **himself**. (Emphatic pronoun)
- I hurt **myself**. (Reflexive pronoun)
- They insulted **themselves**. (Reflexive pronoun)

Emphatic and reflexive pronouns:

Reflexive and emphatic pronouns are words like *myself*, *yourself*, *himself*, *herself*, *itself*, *ourselves*, *yourselves* and *themselves*. A pronoun is a reflexive one if the action of the subject reflects upon the doer. Emphatic pronouns, on the other hand, are used to just emphasize the action of the subject.

Check Your Progress

Question: “Now onwards, I myself will do it and become an IAS officer.” What is ‘myself’ in this sentence?

- Emphatic pronoun
- Reflexive pronoun
- Personal pronoun
- Demonstrative pronoun

Answer: (a)

When I bought my first water filter, I did not know how to use it. I contacted the company that had manufactured it. Within two days, a salesman came to my house to DEMONSTRATE how their water filter worked. He said, “Sir, **this** is the best filter in the world.” Similarly, when I was

to buy a new car, a salesman came to give me a demo (**demonstration**). He showed me the car and said: “**That**’s the best car in the world.” ‘This’ and ‘that’ are examples of demonstrative pronouns, as they point out the objects which they refer to. Have a look at the following sentences:

- **This** is a list of the rules.
- **That** looks boring.
- **These** are exceptionally bright students.
- **Those** are difficult questions to answer.

When **this**, **that**, **these** and **those** are used as pronouns, they are called demonstrative pronouns.

Demonstrative pronouns point out a person or thing. There are four demonstrative pronouns: this and that (for singular words) and these and those (for plural words).

Once when I came back home, I realized that someone had stolen my dog. Of course, I did not know the culprit was. ‘Someone’ refers to a person I do not exactly know who he/she is. ‘Someone’ is an example of indefinite pronouns.

Here is a list of indefinite pronouns:

Anybody, anyone, anything, everybody, everything, everyone, nobody, no one, nothing, somebody, someone, something, many and several

An indefinite pronoun refers to a person or thing only in a general way (Not ‘definite’!). For example,

One should do one’s duty.

All are busy with their work.

A few remained there to tell the story of their misfortune.

Indefinite pronouns are used when referring to something non-specific (e.g., ‘everyone’ or ‘everything’) or something unknown (e.g., ‘someone’ or ‘something’).

I love to spend time in the company of kids. I love to share my mind and heart with them. I think God manifests through them on earth. I love my son and he reciprocates my love. I can say that we love each other. ‘Each other’ is an example of reciprocal pronouns. ‘Each other’ is used to refer to a reciprocal action between two persons. If more than two persons are involved in a

similar situation, we use ‘one another’. For example, there are five members in my family. We love one another.

‘Each other’ and ‘one another’ are called reciprocal pronouns. They are used to say that people do the same thing, feel the same way or have the same relationship.

Reciprocal pronouns express a mutual relationship or action. In English, we use ‘each other’ and ‘one another’ for this purpose.

I have told you that there are five members in my family. Each has a very important role to play in my life. In the preceding sentence, I have used the word ‘each’ to refer to every single person in the group, one at a time. ‘Each’ is an example of distributive pronouns. Distributive pronouns distribute attention to each unit in a group. They are always singular and are, therefore, followed by a verb in the singular form. ‘Each’, ‘either’ and ‘neither’ are examples of distributive pronouns.

A distributive pronoun considers members of a group separately, rather than collectively.

Today, I was surprised to see a beautiful vase on my table. I was almost sure that my wife had bought it for me. Nevertheless, I asked her, “Who has brought this vase?” In this sentence, ‘who’ is used for my wife (a person), whose name is Sakshi. ‘Sakshi’ (being a name) is a noun and if I use any word that stands for/replaces it, that word will be a pronoun. ‘Who’ is a pronoun in the above-mentioned sentence. Since ‘who’ is used to ask a question, it is an interrogative pronoun. We use interrogative pronouns to ask questions. These pronouns are: **who, which, whom, what** and **whose**. These are also known as wh-words. Questions using these are called wh-questions:

- **Who** met with an accident last night?
- **Which** is your pen?
- **Whom** do I ask for at the desk?
- **What** did you do when the water supply was interrupted?
- **Whose** are these books?

The **interrogative pronouns** *who*, *whom* and *whose* are used to refer to people. The interrogative pronouns *which* and *what* are used to refer to things.

	Subject	Object	Possessive
People	Who	Whom	Whose
Things	Which What	Which What	

Interrogative pronouns:

Interrogative pronouns are pronouns that ask questions. An interrogative pronoun takes the place of the unknown information the question asks about.

The five main interrogative pronouns in English are:

what (subject or object pronoun that asks about a thing)

which (subject or object pronoun that asks about a person or thing)

who (subject pronoun that asks about a person)

whom (object pronoun that asks about a person)

whose (possessive pronoun that asks about a person)

I really respect my friend who has bought a painting for me. Here, ‘who’ is a pronoun, as it is used for a person/my friend (noun). I would like to draw your attention to the fact that ‘who’ in the first sentence is not used to ask questions. So, it is not an interrogative pronoun. It is used to introduce a relative clause. Relative clauses tell us more about people and things:

My brother, **who has done PhD in English**, is going abroad.

This is the house **that my grandfather built in 1947**.

We use:

- *who* and *whom* for **people**
- *which* for **things**
- *that* for **people or things**.

Cambridge Advanced Learner’s Dictionary draws our attention to the point why *where*, *when* and *why* are not relative pronouns even when we use them to make relative clauses:

“In informal language, we often use *where*, *when* or *why* to introduce defining relative clauses instead of *at which*, *on which* or *for which*.”

<i>where</i>	places	<i>I know <u>a restaurant</u> where the food is excellent. (... a restaurant at which the food is excellent)</i>
<i>when</i>	times	<i>There isn’t <u>a day</u> when I don’t feel rushed off my feet. (... a day on which I don’t feel rushed ...)</i>
<i>why</i>	reasons	<i>Do you know <u>the reason</u> why the shop is closed today?</i>

		(... <i>the reason for which the shop is closed</i> ...)
--	--	--

(Source: <https://dictionary.cambridge.org/grammar/british-grammar/relative-pronouns>)

“Where” is considered a relative adverb. It replaces “in which”/ “at which”. In other words, it is not a replacement for the relative pronoun “which”. Similarly, “when” and “why” do not qualify to be called relative pronouns.

A relative pronoun is a word that introduces a dependent (or relative) clause and connects it to an independent clause.

The pen with which I am writing this lesson is not my pen. This is Ram’s pen. In other words, I can refer to it as ‘a pen of Ram’/ ‘a pen of his’. ‘His’ is an example of possessive pronouns, as ‘his’ stands for ‘Ram’, a noun. Possessive pronouns show that something/someone belongs to someone/something. Always remember that possessive pronouns do show ownership, but they do not come before nouns or in noun phrases [we cannot say ‘mine pens’, ‘hers pens’, etc.]. They stand alone. A list of some possessive pronouns is as follows:

Mine, ours, yours, his, hers, its and theirs

(‘His’ is a possessive pronoun as well as a possessive adjective. Consider the following sentence: ‘His life is full of fun.’ Here, ‘his’ in ‘his life’ is a possessive adjective. Now consider another example: ‘This is my pen so that one must be his.’ In this sentence, ‘his’ is a possessive pronoun.)

For example:

- The house on the corner is ours.
- Did you know that the book is mine?
- They shall finally have what is theirs.
- The dog is hers.
- The bag is his.

‘Ram’ is used in the above-mentioned example to make you understand how ‘his’ stands for ‘Ram’. Usually, when a living being owns something, we use an apostrophe (’) and “s”. And when a non-living thing “owns” something, we use “of”. For example:

- Nakul’s pen
- The cap of the pen

So, we should use ‘Ram’s pen’ while referring to the pen. Or, we can say: “The pen is his.” But do

A possessive pronoun shows possession, belonging or ownership. Examples: *mine*, *yours*, and *theirs*.

Check Your Progress

Question: Underline the pronouns in the sentences given below and write what type they are.

- i. The watch is hers.
- ii. We ourselves will do this work.
- iii. I saw myself in the mirror.
- iv. Who broke this slate?
- v. I met Ram, who is my classmate.
- vi. Eat either of these two apples.
- vii. These are our clothes.
- viii. Never abuse others.
- ix. She is sleeping.
- x. What is your father?
- xi. Whom did you see yesterday?
- xii. Tell me the name of the child whom you want to help.
- xiii. Each of you can dance.
- xiv. One should do one’s duty.
- xv. We love each other.

Answer:

- i. The watch is **hers** (Possessive pronoun).
- ii. **We** (Personal pronoun) **ourselves** (Emphatic pronoun) will do this work.
- iii. I saw **myself** (Reflexive pronoun) in the mirror.
- iv. **Who** (Interrogative pronoun) broke this slate?
- v. **I** (Personal pronoun) met Ram, **who** (Relative pronoun) is wearing a blue shirt.
- vi. Eat **either** (Distributive pronoun) of these two apples.
- vii. **These** (Demonstrative pronoun) are our clothes.
- viii. Never abuse **others** (Indefinite pronoun).
- ix. **She** (Personal pronoun) is sleeping.
- x. **What** (Interrogative pronoun) is your father?
- xi. **Whom** (Interrogative pronoun) did **you** (Personal pronoun) see yesterday?
- xii. Tell me (Personal pronoun) the name of the child **whom** (Relative pronoun)

- you** (Personal pronoun) want to help.
- xiii. **Each** (Distributive pronoun) of **you** (Personal pronoun) can dance.
- xiv. **One** (Indefinite pronoun) should do **one's** (Indefinite pronoun) duty.
- xv. **We** (Personal pronoun) love **each other** (Reciprocal pronoun).

not use the expression: 'the pen of Ram'.

6.5 ADJECTIVES

'Pen' is the name of an object, so it falls into the category of nouns. I have two pens. One is black and another is blue. 'Black' and 'blue' are the qualities of the pens (noun), and they are examples of adjectives.

All of us have different qualities that make us unique as well as different from others. Someone may be fair or dark; someone may be slim or fat; someone may be tall or short. Fair, dark, slim, fat, tall and short are also examples of adjectives. Adjectives are the words which show or describe the quality of a noun/pronoun, i.e. the appearance, colour, size, nature of the thing, place or person indicated in the noun. We may say that adjectives give us more information about nouns and pronouns.

- Raj Lakshmi is a beautiful girl. (The adjective 'beautiful' describes the noun 'girl'.)
- Raj Kumar is a handsome boy. (The adjective 'handsome' describes the noun 'boy'.)

Check Your Progress

Question: Choose the most suitable option.

	Adjective is
(a.)	a noun that receives the action in the sentence, such as "Susie went to the store" where "store" is the object
(b.)	something that indicates ownership, such as 'mine'
(c.)	a word or words that modify a noun. For instance, 'bright', 'great', or 'soft'
(d.)	a word that refers to people, places, or things

Answer: (c)

6.5.1 Position of Adjectives

- A **rich** man left his wallet here.
- He is **rich**.

In these sentences, 'rich' acts as an adjective. In the first sentence, it occurs before the noun 'man' and describes it. On the other hand, in the second sentence, it occurs after the verb 'is' and semantically refers back to the subject 'he'. In the first sentence, 'rich' is an attributive adjective, and in the second sentence, it is a predicative adjective.

An attributive adjective comes before a noun and qualifies it or classifies it. For example:

- An **innocent** man shouted at me.
- The government has given us the **golden** opportunity to take the exam again.
- **Dry** cough has caused a number of problems.

A predicative adjective comes after a verb and semantically refers back to the subject. For example,

- Shabd looked **innocent**.
- Ayra is **happy**.
- Anadhi is **young**.

Most adjectives can act as attributive adjectives as well as predicative adjectives. For example:

He is **handsome**.

A **handsome** boy looked at me.

However, there are some adjectives that occur either as predicative adjectives or attributive adjectives. Some examples of those adjectives that occur as attributively only are as follows:

- He is my **former** colleague. (We cannot say: My colleague is former.)
- He is my **elder** brother. (We cannot say: My brother is elder.)
- Let us attend **remedial** classes. (We cannot say: The classes are remedial.)

The following are a few examples of those adjectives which are used only predicatively:

- I am **afraid**. (We cannot say: He is an afraid boy.)
- She is **asleep**. (We cannot say: She is an asleep girl.)

Check Your Progress

Question: Can you specify predicative and attributive adjectives in the following sentences?

- i. The pretty girl smiled at me.
- ii. I am happy.
- iii. He opened the wooden door.
- iv. The grapes are green.
- v. You look tired.
- vi. She was carrying a heavy suitcase.
- vii. This bomb is dangerous.
- viii. Hari was the eighth participant.
- ix. This vicious crime was committed by a mad man.
- x. He lives in a big house.

Answer:

- i. The pretty girl smiled at me. (Pretty: attributive adjective)
- ii. I am happy. (Happy: predicative adjective)
- iii. He opened the wooden door. (Wooden: attributive adjective)
- iv. The grapes are green. (Green: predicative adjective)
- v. You look tired. (Tired: predicative adjective)
- vi. She was carrying a heavy suitcase. (Heavy: attributive adjective)
- vii. This bomb is dangerous. (Dangerous: predicative adjective)
- viii. Hari was the eighth participant. (Eighth: attributive adjective)
- ix. This vicious crime was committed by a mad man. (Vicious, Mad: attributive adjectives)
- x. He lives in a big house. (Big: attributive adjective)

- The boy is **ready**. (We cannot say: He is a ready boy.)

6.5.2 Order of Adjectives

Let us take one example: “I love new white pants.” Can I say: “I love white new pants.” ?
No! That sounds quite odd. Adjectives are usually placed in the following order:

Opinion + Size + Quality + Shape + Age + Colour + Origin + Material + Type + Purpose

For example:

It is a long, wide, metal brush. (Size + Shape + Material)

Panettone is a round, Italian, bread-like Christmas cake. (Shape + Origin + Type)

She was a beautiful, tall, thin, old, grey-haired Indian woman. (Opinion + Size + Quality + Age + Colour + Origin)

6.5.3 Types of Adjectives

- Adjectives of Quality (Descriptive adjective)
- Adjectives of Number (Numeral adjective)
- Adjectives of Quantity
- Possessive Adjective
- Demonstrative Adjective
- Interrogative Adjective
- Distributive Adjective

I have a black dog. It is very faithful. ‘Black’ and ‘faithful’ describe the dog (noun); they are adjectives. [Remember that adjectives are the words that describe nouns and pronouns.]

Adjectives of quality (Descriptive adjective) are those adjectives that show what quality or in what state persons or things are (they tell us ‘what kind’)—for example, a faithful dog, a black dog, a brave boy, a careful student and an industrious workman.

I have two pens and five books. ‘Two’ and ‘five’ are examples of Adjectives of number (numeral adjectives), which denote:

(i) how many persons or things are referred to (they tell us ‘how many’)

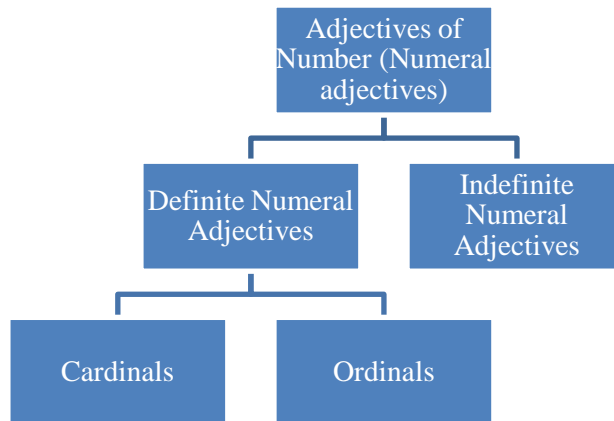
or

(ii) in what order a person or thing stands (they tell us ‘in what order’).

Numeral adjectives can be of two types: Definite and Indefinite adjectives. A definite adjective denotes an exact number, whereas an indefinite adjective refers to an indefinite number (without saying precisely what the number is). Some examples are given below:

Definite	Indefinite
<u>Five</u> pens	<u>All</u> men
<u>Ten</u> boys	<u>No</u> men
<u>First</u> person	<u>Many</u> men
<u>Third</u> Bus	<u>Several</u> men

The definite numerical adjectives ‘five’ and ‘ten’ tell us about the number of pens and boys respectively (‘how many’), whereas ‘first’ and ‘third’ refer to the order of ‘person’ and ‘bus’ respectively. Those definite numeral adjectives that show ‘how many’ persons or things (For example, one, two, three, four, etc.) are called cardinals, and those definite numeral adjectives that show ‘the serial order’ in which a person or thing stands (For example: first, second, third, etc.) are called ordinals.



I know that you are quite confused to see ‘all’, ‘many’ and ‘several’ as examples of indefinite numeral adjectives when we have studied them as indefinite pronouns. These words can be used as adjectives as well as pronouns. Their usage decides whether they occur as adjectives or pronouns. The words that are used to describe nouns are adjectives, whereas the words that replace nouns are pronouns.

All

As a pronoun: All can relax.

Here, ‘all’ stands for all the members of a group/ people.

As an adjective: All men will go.

Here, ‘all’ tells us about ‘men’ (noun), i.e. all (not one or two) men will go. It gives us more information about ‘men’ (noun).

(Have you noticed that ‘all’ as a pronoun occurs alone, and it as an adjective is followed by a noun [men]?)

Many

As a pronoun: We were hoping to sell our old books, but many were not in good condition.

As an adjective: He said goodbye to his many friends.

Several

As a pronoun: Not any one drug will suit or work for everyone and sometimes several may have to be tried.

As an adjective: It took several days for the package to arrive.

My father gifted me a new set of books on my birthday. However, there isn’t enough space in my book almirah. In the preceding sentence, ‘enough’ is an example of Adjectives of quantity,

which answer the question ‘how much’ but do not indicate the quantity in definite numbers. The chief adjectives of this class are: **much, little, no, some, any, enough, sufficient, half, all, whole and half.**

Possessive Adjective	Possessive Pronoun
Possessive adjectives are used to show that someone/something belongs to or is connected in some way with someone or something.	Possessive pronouns are used to show that something/someone belongs to someone/something.
<p>When the words <i>my, his, her, its, our, your</i> and <i>there</i> are used attributively before a noun, they are called possessive adjectives. For example: My friend, your book and their house.</p>	<p>The words <i>mine, his, hers, its, ours, yours</i> and <i>theirs</i> are called possessive pronouns.</p> <p>(‘His’ is a possessive pronoun as well as a possessive adjective. Consider the following sentence: ‘His life is full of fun.’ Here, ‘his’ in ‘his life’ is a possessive adjective. Now consider another example: ‘This is my pen so that one must be his.’ In this sentence, ‘his’ is a possessive pronoun.)</p> <p>Always remember that possessive pronouns do show ownership, but they do not come before nouns or in noun phrases. They stand alone.</p>
<p>For example:</p> <ul style="list-style-type: none"> • <u>Our</u> house is on the corner. • Did you know that it is <u>my</u> book? • They shall finally have <u>their</u> property. • It is <u>her</u> dog. • It is <u>his</u> bag. 	<p>For example:</p> <ul style="list-style-type: none"> • The house on the corner is <u>ours</u>. • Did you know that the book is <u>mine</u>? • They shall finally have what is <u>theirs</u>. • The dog is <u>hers</u>. • The bag is <u>his</u>.
<p>They are adjectives because they give us extra information about nouns/pronouns. For example, <u>our</u> house is on the corner.</p> <p>In this sentence, ‘our’ comes before the noun ‘house’ and gives us some information about the house that</p>	<p>They are pronouns because they stand for or replace nouns. For example, the pen with which I am writing this lesson is not my pen. This is Ram’s pen. In other words, I can refer to it as ‘a pen of Ram’/ ‘a pen of</p>

it is not owned by someone else but by us.	<p>his'. 'His' is an example of possessive pronouns, as 'his' stands for/replaces 'Ram', a noun.</p> <p>['A pen of Ram' is used in the above-mentioned example to make you understand how 'his' stands for 'Ram'. Usually, when a living being owns something, we use an apostrophe (') and 's'. When a non-living thing 'owns' something, we use 'of'.]</p>
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The words 'some', 'enough', 'all', 'no' and 'none' can function as adjectives of number as well as adjectives of quantity depending upon the context.

- If the noun is material or abstract, the adjective is quantitative. For example, I can see enough juice in the jug. (Quantitative adjective).
- If the noun is common, then the adjective is numeral. For example, Enough students have taken admission this year (Numeral adjective).

Let us take some examples:

- I have no idea about the risks involved in it. (Quantitative adjective)
- No man was allowed there. (Numeral adjective)

Now you are to read about Possessive Adjectives, Interrogative Adjectives, Distributive Adjectives and Demonstrative Adjectives. Since you have already read about Possessive Pronouns, Interrogative Pronouns, Distributive Pronouns and Demonstrative Pronouns, you already understand the spirit behind the four pertinent words, i.e. 'possessive', 'demonstrative', 'distributive' and 'interrogative'.

Possessive: To show a sense of ownership.

Demonstrative: To point out the objects being referred to.

Distributive: To distribute attention to each unit in a group.

Interrogative: To ask questions.

Let us study these words in the context of adjectives and pronouns:

Demonstrative Adjectives	Demonstrative Pronouns
<p>When I bought my first water filter, I did not know how to use it. I contacted the company that had manufactured it. Within two days, a salesman came to my house to DEMONSTRATE how their water filter worked. He asked me, “Sir, is <u>this</u> filter not working?” Similarly, when I was to buy a new car, a salesman came to give me a demo (demonstration). He showed me the car and said: “<u>That</u> car is the best in <u>this</u> segment.” ‘This’ and ‘that’ are examples of demonstrative adjectives, as they point out the objects which they refer to.</p>	<p>When I bought my first water filter, I did not know how to use it. I contacted the company that had manufactured it. Within two days, a salesman came to my house to DEMONSTRATE how their water filter worked. He said, “Sir, <u>this</u> is the best filter in the world.” Similarly, when I was to buy a new car, a salesman came to give me a demo (demonstration). He showed me the car and said: “<u>That</u> is the best car in the world.” ‘This’ and ‘that’ are examples of demonstrative pronouns, as they point out the objects which they refer to.</p>
<p>A demonstrative adjective modifies the noun and is always followed by the noun. (It always comes before the noun.) For example, <i>this</i> filter, <i>that</i> car, <i>this</i> segment.</p>	<p>Nouns are not used with demonstrative pronouns. For example, <i>this</i>, <i>that</i>.</p>
<p>Have a look at the following sentences:</p> <ul style="list-style-type: none"> • <u>This</u> food is good. • <u>That</u> scooter is old. • <u>These</u> tables are antique. • <u>Those</u> boys are clever. 	<p>Have a look at the following sentences:</p> <ul style="list-style-type: none"> • <u>This</u> is a list of the rules. • <u>That</u> looks boring. • <u>These</u> are exceptionally bright students. • <u>Those</u> are difficult questions to answer.
<p>When ‘this’, ‘that’, ‘these’ and ‘those’ are used as adjectives, they are called demonstrative adjectives.</p>	<p>When ‘this’, ‘that’, ‘these’ and ‘those’ are used as pronouns, they are called demonstrative pronouns.</p>
<p>They are adjectives because they give us extra information about nouns/pronouns. For example: <u>Those</u> boys are clever. In this sentence, ‘those’ comes before the noun ‘boys’ and gives us some information about the boys and makes it clear that ‘those’ boys are clever (not ‘these’!)</p>	<p>They are pronouns because they stand for or replace nouns. For example: <u>These</u> are exceptionally bright students. In this sentence, ‘these’ does not come with any noun. In fact, it stands for or represents the noun ‘students’.</p>

There are four demonstratives in the English language—this, that, these and those—and they can appear in sentences as demonstrative pronouns and/or demonstrative adjectives. *This* and *That* are used with singular nouns, and *these* and *those* are used with plural nouns.

Distributive adjectives and pronouns show that the persons or things named are taken separately or in separate lots. They are ‘each’, ‘every’, ‘either’ and ‘neither’.

Distributive Adjectives	Distributive Pronouns
I have told you that there are five members in my family. Each member has a very important role to play in my life. In the preceding sentence, I have used the expression ‘each member’ to refer to every single person in the group, one at a time. ‘Each’ in ‘each member’ is an example of distributive adjectives. Distributive adjectives distribute attention to each unit in a group. They are always singular and are, therefore, followed by a verb in the singular form. ‘Each’, ‘every’, ‘either’ and ‘neither’ are examples of distributive adjectives.	I have told you that there are five members in my family. Each has a very important role to play in my life. In the preceding sentence, I have used the word ‘each’ to refer to every single person in the group, one at a time. ‘Each’ is an example of distributive pronouns. Distributive pronouns distribute attention to each unit in a group. They are always singular and are, therefore, followed by a verb in the singular form. ‘Each’, ‘either’ and ‘neither’ are examples of distributive pronouns.
Distributive adjectives are modifying words that are followed by nouns. For example: each member	Distributive Pronouns are used as either the subject or object in a sentence. They stand alone and are never followed by nouns. For example: each
For example: <ul style="list-style-type: none"> Take this medicine every four hours. You should take neither side. Every man wanted to win the race. Take either side, whichever you prefer. 	For example: <ul style="list-style-type: none"> Each of these pictures is beautiful. We may take either of these two pens. Neither of them speaks well. Each of those boys goes to school.

Interrogative adjectives and pronouns are used to ask questions.

Interrogative Adjectives	Interrogative Pronouns
Interrogative adjectives modify nouns by asking questions. They are <i>whose</i> , <i>what</i> and <i>which</i> .	Interrogative pronouns help us ask questions and at the same time do the work of nouns they stand for. They are

	<i>who, which, whom, what and whose.</i>
For example: <ul style="list-style-type: none"> • Whose laptop is this? • What scooter has she opted for? • Which way is Devi Mandir? • Which name have you liked? 	For example: <ul style="list-style-type: none"> • Who took my umbrella? • Whom did you meet? • What is that noise? • What did they eat?
Knowledge Capsule Adjectives are words that describe nouns or pronouns. They remain the same for singular and plural nouns and pronouns. Adjectives of quality (Descriptive adjectives) show the kind and quality of a person or thing. Adjectives of number (Numeral adjectives) show the number or serial order of persons or things. Adjectives of quantity show how much (quantity) of a thing is meant. Possessive adjectives modify nouns by showing possession or ownership. Demonstrative adjectives point out which person or thing is meant. Interrogative adjectives are used to ask questions. Distributive adjectives refer to each one of a number. An Adjective used to refer to each and every person, thing separately is called Distributive adjective .	

Check Your Progress

Question: Identify the adjectives in the following sentences and state their kind.

1. Jalandhar is a big city.
2. I ate some rice.
3. The foolish man spilled some milk on the floor.
4. She has five pens.
5. June is the sixth month of the year.
6. The teacher appreciated every boy.
7. Neither accusation is true.
8. Those girls are her friends.
9. A lazy boy is still sleeping.
10. Could you please add more sugar to my tea?
11. These cows are white.
12. Each boy took his seat.
13. Which slate is yours?
14. Our books are in the bag.
15. Whose purse is that?

Answer:

1. Jalandhar is a big city. 'Big' is an adjective of quality.

2. I ate some rice. 'Some' is an adjective of quantity.
3. The foolish man spilled some milk on the floor. 'Foolish' is an adjective of quality. 'Some' is an adjective of quantity.
4. She has five pens. 'Five' is an adjective of number.
5. June is the sixth month of the year. 'Sixth' is an adjective of number.
6. The teacher appreciated every boy. 'Every' is a distributive adjective.
7. Neither accusation is true. 'Neither' is a distributive adjective. 'True' is an adjective of quality.
8. Those girls are her friends. 'Those' is a demonstrative adjective. 'Her' is a possessive adjective.
9. A lazy boy is still sleeping. 'Lazy' is an adjective of quality.
10. Could you please add more sugar to my tea? 'More' is an adjective of quantity.
11. These cows are white. 'These' is a demonstrative adjective. 'White' is an adjective of quality.
12. Each boy took his seat. 'Each' is a distributive adjective.
13. Which slate is yours? 'Which' is an interrogative adjective.
14. Our books are in the bag. 'Our' is a possessive adjective.
15. Whose purse is that? 'Whose' is an interrogative adjective.

6.5.4 Comparison of Adjectives

There are three degrees of comparison:

- Positive degree: He is tall.
- Comparative degree: He is taller than his brother.
- Superlative degree: He is the tallest among his brothers and sisters.

Positive	Comparative	Superlative
Sweet	Sweeter	Sweetest
Young	Younger	Youngest
Happy	Happier	Happiest
Easy	Easier	Easiest
Thin	Thinner	Thinnest
Hot	Hotter	Hottest
Beautiful	More Beautiful	Most Beautiful
Difficult	More Difficult	Most Difficult
Good	Better	Best
Bad	Worse	Worst

The positive degree denotes the existence of some quality. It is used in isolation (without any comparison). However, if there is any comparison between two persons or things, the comparative degree is used to denote a higher degree of quality than the positive. The superlative degree shows the highest/best/lowest/worst in the group.

Check Your Progress

Question: Supply the proper form of the Adjectives:

1. Good: How is your sister feeling after her operation? Is she _____?
2. Bad: It is one of the _____ movies I have ever seen.
3. Tall: He is _____ than his brother.
4. Great: Shakespeare is the _____ writer of all times.
5. Slow: This machine is _____ than the other machine.
6. Beautiful: It is the _____ painting of the town.
7. Light: Silver is _____ than gold.
8. Precious: Diamonds are _____ than gold.
9. Old: He is the _____ man in our locality.
- 10: Rich: He is a _____ man.

Answer:

1. How is your sister feeling after her operation? She was in pain yesterday. Is she better?
2. It is one of the worst movies I have ever seen.
3. He is taller than his brother.
4. Shakespeare is the greatest writer of all times.
5. This machine is slower than the other machine.
6. It is the most beautiful painting of the town.
7. Silver is lighter than gold.
8. Diamonds are more precious than gold.
9. He is the oldest man in our locality.
- 10: He is a rich man.

6.6 LET US SUM UP

Nouns are the words used for names of persons, places, things or ideas. They can be categorized as

- Proper Nouns
- Common Nouns
- Collective Nouns
- Material Nouns
- Countable Nouns Vs. Uncountable Nouns
- Concrete Nouns Vs. Abstract Nouns

We use pronouns in place of nouns and noun phrases. Pronouns can be of different types:

- Personal Pronouns
- Reflexive and Emphatic Pronouns
- Demonstrative Pronouns
- Reciprocal Pronouns
- Interrogative Pronouns
- Relative Pronouns
- Distributive Pronouns
- Possessive Pronoun

Adjectives give us more information about people, animals or things represented by nouns and pronouns. They can be of the following types:

- Adjectives of Quality (Descriptive adjective)
- Adjectives of Number (Numeral adjective)
- Adjectives of Quantity
- Possessive Adjective
- Demonstrative Adjective
- Interrogative Adjective
- Distributive Adjective

6.7 UNIT END EXERCISES

Exercise-I

Read the following sentences and identify the types of nouns in the following sentences:

1. The Ganges is a famous river in India.
2. We live in a village.
3. The jury hated it.
4. Oil is used in it.
5. Gold is very costly.
6. We should love children.
7. Ram lives in Jalandhar.

Exercise-II

Read the following sentences and identify the types of pronouns in the following sentences:

1. We are playing.
2. I slapped myself for wasting my time.
3. I myself cleaned the house.
4. Few know of his reality.
5. Each of the boys has revived a gift.
6. Naresh and Nirmal like each other.
7. The book, which I bought on Sunday, is lost.
8. Who has won the prize?

Exercise-III

Read the following sentences and identify the types of adjectives in the following sentences:

1. I have five pens.
2. I have a blue pen.
3. The seventh boy in the row is intelligent.
4. Many pens were kept on the table.
5. My books are in the bag.
6. Whose books are these?
7. Every person wanted to win the race.
8. These men are working hard.

6.8 ANSWERS TO EXERCISES

Exercise-I

1. The Ganges (proper noun), River (common noun), and India (proper noun)
2. Village (common noun)
3. Jury (collective noun)
4. Oil (material noun, concrete noun)
5. Gold (material noun, concrete noun)
6. Children (common noun)
7. Ram (proper noun), Jalandhar (proper noun)

Exercise-II

1. We are playing. (Personal Pronoun)
2. I slapped myself for wasting my time. (Reflexive Pronoun)
3. I myself cleaned the house. (Emphatic Pronoun)
4. Few know of his reality. (Indefinite Pronoun)
5. Each of the boys has revived a gift. (Distributive Pronoun)

6. Naresh and Nirmal like each other. (Reciprocal Pronoun)
7. The book, which I bought on Sunday, is lost. (Relative Pronoun)
8. Who has won the prize? (Interrogative Pronoun)

Exercise-III

1. I have five pens. (Definite Numeral Adjective-Cardinal)
2. I have a blue pen. (Descriptive adjective)
3. The seventh boy in the row is intelligent. (Definite Numeral Adjective- Ordinal), (Descriptive adjective)
4. Many pens were kept on the table. (Indefinite Numeral Adjective)
5. My books are in the bag. (Possessive Adjective)
6. Whose books are these? (Interrogative Adjective)
7. Every person wanted to win the race. (Distributive Adjective)
8. These men are working hard. (Demonstrative Adjective)

6.9 REFERENCES AND SUGGESTED READINGS

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENGLISH COMPULSORY-1

UNIT-7: WORD CLASSES-II: VERBS AND ADVERBS

STRUCTURE

7.1 Objectives

7.2 Introduction

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7.4 Action Verbs

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7.7 Types of adverbs

7.7.1 Adverbs of Manner

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7.7.7 Relative Adverbs

7.8 Some Random Examples of Adverbs in Sentences

7.9 Let Us Sum Up

7.10 Unit End Exercises

7.11 Answers to Exercises

7.12 References and Suggested Readings

7.1 OBJECTIVES

After a careful reading of the unit, you will be able to

- define and provide examples of verbs and adverbs;
- identify and explain different types of verbs and adverbs;
- use verbs and adverbs.

7.2 INTRODUCTION

Modern English grammar normally refers to four major word classes: nouns, verbs, adjectives and adverbs. The other word classes include prepositions, pronouns, determiners, conjunctions and interjections. In this unit, first of all, we will learn about different types of verbs. Then, we will study adverbs.

Please note that we have explained verbs and adverbs in plain English for your convenience. We have given examples from our day-to-day life so that you can learn grammar in context. We hope that you will find this unit very interesting and easy.

This unit is broadly divided into two parts: Verbs and Adverbs. We have prepared some exercises for you. Please complete these before moving on to the answers provided by us at the end of each part of the unit.

7.3 VERB

It is a word which says what a subject **is**, what it **does** or what it **possesses**. For example:

He **goes**.

I **sleep**.

They **walk**

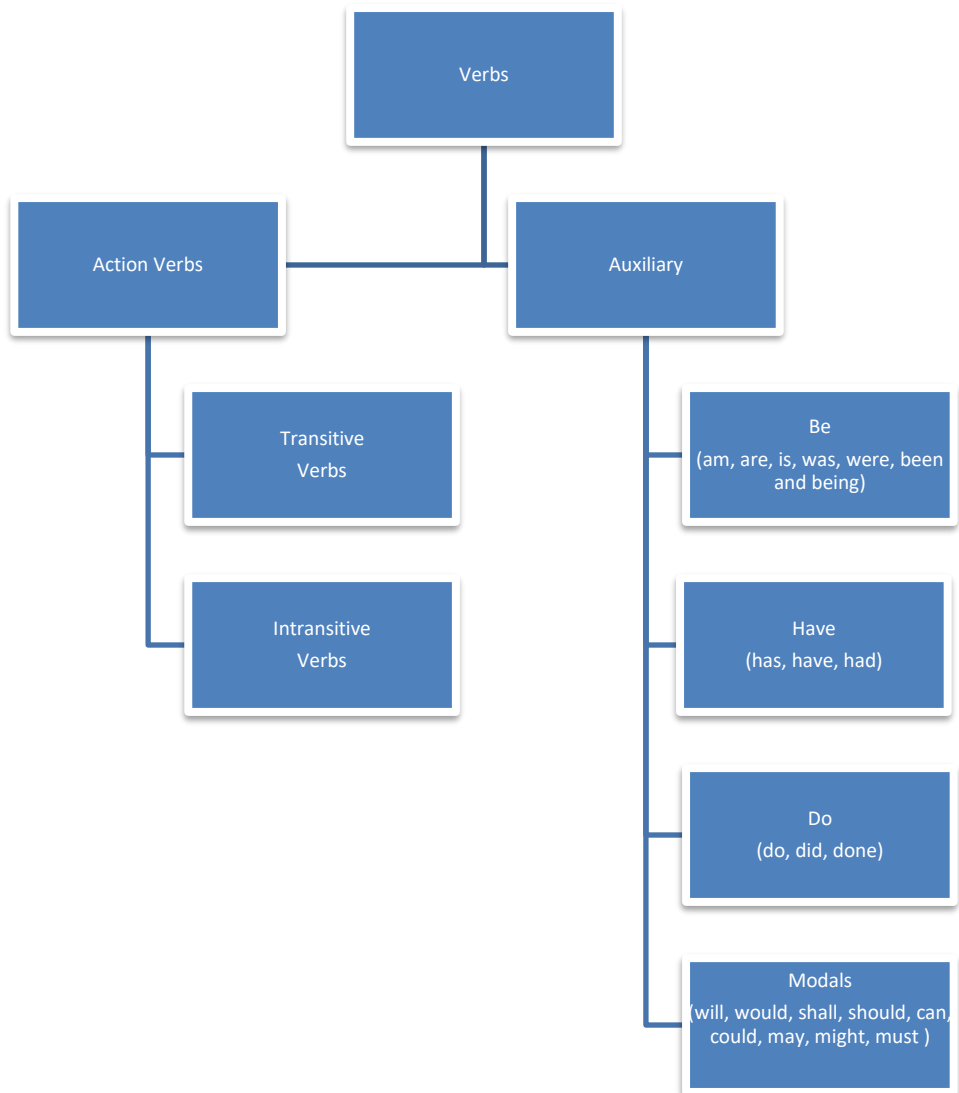
We **run**.

He **is** intelligent.

I **have** five pens.

In other words, a verb is a word used for saying something about some person or thing; it conveys an action (drink, walk, eat, write), an occurrence (happen, become), a possession (has, have) or a state of being (be, exist, stand). We can broadly divide verbs into two categories:

Action Verbs and Auxiliary.



Check Your Progress

Question: Choose the Most Suitable Option.

Which of the following is not a type of verbs?

- a) Intransitive
- b) Transitive
- c) Emphatic
- d) Action

Answer: (c)

7.4 ACTION VERBS

These verbs refer to what the subject is doing in the sentence. To identify an action verb, a simple question can be asked: ‘**What is the subject doing?**’

For example:

I am writing this lesson.

The subject here is ‘*I*’, and **what is ‘I’ doing?** I am **writing**. Hence, ‘**writing**’ is an action verb.

There are two types of Action Verbs: Transitive Verbs and Intransitive Verbs

7.4.1 Transitive Verbs

A verb can be described as transitive or intransitive based on whether it requires an object to communicate a complete thought or not. ‘Transitive’ means ‘passing over’. In the case of transitive verbs, an object is needed (You can read about the object in the unit titled “Sentence Structures.”). In other words, a transitive verb requires an object to receive the action. For example:

Ram is **playing football**.

Here the verb is ‘**playing**’ and the subject is *Ram*.

If we form the question - **what is *Ram* playing?**

The answer is- **football**.

Thus, we see that there was a specific object on which the action of **playing** was being done.

7.4.2 Intransitive Verbs

These verbs do express actions but without any specific object on which the action is being done. If there is no object, the sentence is intransitive. For example:

Ram sleeps.

This sentence tells us about the action (sleep) of the subject (Ram), but there is no specific object for the action.

NB: To learn how verbs are used in sentences, you should read tenses in the lesson titled “Development of Story” and basic sentence structures in the lesson titled “Sentence Structure”.

You learnt forms of verbs during your school days. Let us revise some major forms of verbs:

Verb (V1) First Form of Verb	Past Tense (V2) Second Form of Verb	Past Participle (V3) Third Form of Verb
arise	arose	arisen
arrange	arranged	arranged
arrive	arrived	arrived
ask	asked	asked
awaken	awakened	awakened
behave	behaved	behaved
beat	beat	beaten
become	became	become
begin	began	begun
belong	belonged	belonged
bet	bet	bet
bid (to offer)	bid	bid
bid (to order, invite)	bade	bidden
bind	bound	bound
bite	bit	bitten
bleed	bled	bled
blow	blew	blown
break	broke	broken
breed	bred	bred
bring	brought	brought
buy	bought	bought
call	called	called
cast	cast	cast
catch	caught	caught

choose	chose	chosen
cling	clung	clung
come	came	come
creep	crept	crept
cut	cut	cut
deal	dealt	dealt
dig	dug	dug
do	did	done
draw	drew	drawn
drink	drank	drunk
drive	drove	driven
eat	ate	eaten
fall	fell	fallen
feed	fed	fed
feel	felt	felt
fight	fought	fought
find	found	found
flee	fled	fled
fly	flew	flown
forbid	forbade	forbidden
forget	forgot	forgotten
forgive	forgave	forgiven
forsake	forsook	forsaken
freeze	froze	frozen
get	got	got (or gotten)
give	gave	given
go	went	gone
grow	grew	grown
hang (to suspend)	hung	hung
hang (to execute)	hanged	hanged
have	had	had

hear	heard	heard
hide	hid	hidden
hit	hit	hit
hold	held	held
hurt	hurt	hurt
keep	kept	kept
kick	kicked	kicked
kill	killed	killed
know	knew	known
lay	laid	laid
lead	led	led
leave	left	left
lend	lent	lent
let	let	let
lie	lay	lain
lose	lost	lost
make	made	made
mean	meant	meant
meet	met	met
mistake	mistook	mistaken
overcome	overcame	overcome
pay	paid	paid
put	put	put
quit	quit	quit
read	read	read
ride	rode	ridden
ring	rang	rung
rise	rose	risen
run	ran	run
say	said	said
see	saw	seen
seek	sought	sought

sell	sold	sold
send	sent	sent
set	set	set
shake	shook	shaken
shed	shed	shed
shut	shut	shut
sing	sang	sung
sink	sank	sunk
sit	sat	sat
slay	slew	slain
sleep	slept	slept
speak	spoke	spoken
speed	sped	sped
spend	spent	spent
spin	spun	spun
split	split	split
spread	spread	spread
spring	sprang	sprung
stand	stood	stood
steal	stole	stolen
stick	stuck	stuck
strew	strewed	strewn
stride	strode	stridden
strike	struck	struck
string	strung	strung
strive	strove	striven
swear	swore	sworn
sweep	swept	swept
swim	swam	swum
swing	swung	swung
take	took	taken
teach	taught	taught

tear	tore	torn
tell	told	told
think	thought	thought
throw	threw	thrown
thrust	thrust	thrust
weep	wept	wept
win	won	won
wind	wound	wound
wring	wring	wrung
write	wrote	written

Check Your Progress

Question: State whether the verbs in the following sentences are transitive or intransitive.

- i. I **sang** a song.
- ii. I **sang** at the school concert.
- iii. She **dances** regularly.
- iv. They have **purchased** a bungalow.
- v. We **cried** a lot.
- vi. She **laughed** at my joke.
- vii. You **love** coffee.
- viii. They **slept**.
- ix. You **ate** food.
- x. I have **passed** the exam.

Answer:

- i. I **sang** a song. (Transitive verb)
- ii. I **sang** at the school concert. (Intransitive verb)
- iii. She **dances** regularly. (Intransitive verb)
- iv. They have **purchased** a bungalow. (Transitive verb)
- v. We **cried** a lot. (Intransitive verb)
- vi. She **laughed** at my joke. (Intransitive verb)
- vii. You **love** coffee. (Transitive verb)
- viii. They **slept**. (Intransitive verb)
- ix. You **ate** food. (Transitive verb)
- x. I have **passed** the exam. (Transitive verb)

7.5 AUXILIARY VERBS

An auxiliary verb is a helping verb, which is used together with a main verb to show time and continuity. Auxiliary verbs are of four types: Be Verbs, Have Verbs, Do Verbs and Modals.

7.5.1 Be Verbs

Be verbs are used to describe or tell us the condition of people, things, places and ideas. The verb be has eight forms:

Base: be

Present Tense Forms: am, are, is

Past: was, were

-ing: being

Past Participle: been

Examples:

1. He is a doctor.
2. She was an IPS officer.
3. I am writing this lesson.
4. They are teachers.
5. They were playing.
6. We are late.
7. You are on time.
8. This subject is being studied by everyone.
9. We have been selected.
10. He will be playing.
11. He could be running.
12. I have been writing a letter.
13. He has been recruited.

Note: 'Be' requires a modal before it to form a complete verb (could be running; will be slept). 'Been' requires 'have', 'has' or 'had' (have been writing; has been recruited).

‘Being’ must be preceded by ‘am’, ‘is’, ‘are’, ‘was’ or ‘were’ (‘is being studied’) to form a complete verb.

7.5.2. Do Verbs

The auxiliary ‘do’ is used to make negatives (do + not), to make question forms and to make the verb more emphatic.

Question Form

To make the question form of most main verbs, ‘do’, ‘does’ (Present simple) and ‘did’ (Past simple) are followed by the subject and the main verb:

- Do you work hard?
- Did you like the previous lesson?
- Does he not play football?

Negative Form

The negative forms of the present simple and the past simple of all main verbs are made with the auxiliary do + not/ does + not/ did + not:

- I do not want him to regret his decision.
- Ram does not work hard to get good marks.
- Did you not go to school yesterday? Your school was open.

Be verb (example: He is not a doctor) and some uses of have as main verbs (example: We haven’t anything for you today.) do not follow this structure.

Emphatic Form

Do, does (Present simple) or did (Past simple) are used to give extra force to the main verb in affirmative sentences.

Compare

neutral	emphatic
I like it.	I do like it!

neutral	emphatic
He looks handsome.	He does look handsome.
I did not recognise your aunt, but I recognised your mother.	I did not recognise your aunt, but I did recognise your mother.

7.5.3 Have Verbs

The forms of “have” (have, has and had) are used in the perfect tenses.

Examples:

He has slept. (Present perfect tense)

She had purchased a bungalow. (Past perfect tense)

7.5.4 Modals

Modals are special verbs; they behave in an irregular manner in English. They differ from main verbs like run, eat, drive, etc. They provide details about the function of the main verb that follows. They can perform a wide range of communication functions.

Here are some characteristics of modal verbs:

They never change their form. You cannot add ‘s’, ‘ed’ and ‘ing’ to them. On the other hand, main verbs can be modified on the basis of the subject and the tense in the sentence. For example:

- They play. (correct)
- He plays. (correct)
- He played. (correct)
- He was playing. (correct)

We have altered ‘play’ in the above-mentioned sentences. But we cannot change/alter any modal verb. For example:

- He wills play. (Incorrect)
- He willed play. (Incorrect)
- He willing play. (Incorrect)

Modals are always followed by a bare infinitive (, i.e. without “to”). For example:

He will to play. (Incorrect)

He will play. (Correct)

Modals are used to express certainty, possibility, willingness, obligation, necessity and ability. You will read about modals in detail in the fourth semester of your programme. Here, I have touched on some major meanings of modal verbs.

Modals in the Present and the Past

Here is a list of modal verbs:

Can, could, may, might, will, would, shall, should, must

All modal verbs can be used in the present, but only ‘could’, ‘would’, ‘should’ and ‘might’ can be used in the past. Technically, ‘would’ is the past tense of will; ‘could’ is the past tense of ‘can’; ‘might’ is the past tense of ‘may’; ‘should’ is the past tense of ‘shall’; ‘would’ is the past tense of ‘will’.

Present	Past
He says that he will work hard.	He said that he would work hard.
I say that I shall work hard.	I said that I should work hard.
He says that he may come there.	He said that he might come there.
He says that he can lift the bundle.	He said that he could lift the bundle.

Some Major Meanings of Modals (in the present/ the future):

Basic Sentence Structure: Subject + Modal Verb + First Form of Verb (Affirmative Sentences)

❖ Can

- To express or inquire about willingness.
 - Can you drive me home?
 - Can I stay here tonight?
- In the negative form, to show inability or impossibility.

- We cannot help you in this situation.
- You cannot board the train.
- **To show possibility, in the sense that an action is theoretically possible.**
 - You can stand first in the class if you work hard.
 - It can rain today.
- **To show ability**
 - I can lift this bundle of books.
 - I can run.
- **To seek permission (informal)**
 - Can I use your pen?
 - Can I come in?
- ❖ **Could**
 - **To make a request.**
 - Could I speak to Ashish? (on the phone)
 - Could I apply for leave?
 - **To identify a possibility in the present.**
 - We could go to the canteen. Or, we could go to a cinema.
 - We could sleep. Or, we could relax on the couch.
- ❖ **May**
 - **To express possibility in the present and the future.**
 - He may join our college as Principal tomorrow.
 - She may go abroad next year.
 - **In formal situations, to seek permission.**
 - May I come in, Ma'am?
 - May I kindly request you to grant me leave for one day?
- ❖ **Might**
 - **To express possibility in the present and the future.** [Note: In this context, 'may' and 'might' are interchangeable. 'May' shows slightly more possibility than 'might'.]
 - He might join our college as Principal tomorrow.
 - She might go abroad next year.
 - **In formal situations, to express permission, in the sense of being allowed to do something. It is politer than 'may'.**
 - Might I be excused?
 - Might I attend the meeting?
- ❖ **Will**
 - **To express intention.**
 - I will go to school today
 - We will buy a car next year.
 - **To make a semi-formal request.**

- Will you give me a glass of water, please?
- Will you show me some books on the history of Punjab?
- **For talking about the future with certainty.**
 - I will see you in the evening.
 - I will read this book tomorrow.
- ❖ **Would**
- **For requests.**
 - Would you please come with me?
 - Would you please go there?
- **For preferences.**
 - I would like to have a cup of tea.
 - Would you like to have a car or a bike?
- **To seek permission.**

Would you mind letting me use your pen?

Would you mind if I borrowed your pen?
- **To comment on a likely truth.**
 - The doorbell just rang. That would be my father!
 - There is some noise in the kitchen. That would be a cat.
- ❖ **Shall**

‘Shall’ is only used for the future time reference with ‘I’ and ‘we’. It is more formal than ‘will’.
- **Asking for suggestions.**
 - Shall we buy this shirt?
 - Shall I jump onto the table?
- **For offering someone help.**
 - Shall I help you with your luggage?
 - Shall I help you write your notes?
- ❖ **Should**
- **To indicate expectation**
 - You should expect him to be here any moment.
 - You should receive my letter in a day or so.
- **To suggest or provide advice**
 - You should work hard to pass this exam.
 - You should prepare notes from this book

Check Your Progress

Question: Fill in the blanks with suitable auxiliary verbs.

Choose your answers from the options given below.

- i. _____ I come in, teacher? (may, will, is, am)
- ii. _____ you like biscuits or toffees? (may, would, is, am, are)
- iii. You _____ win the race if you run fast. (can, is, am, are)
- iv. _____ I speak to Mr. Manohar? (could, is, am, are, will)
- v. We _____ eat bananas. Or, we could eat oranges. (can, could, is, am, are, will)
- vi. He _____ join our company as CEO tomorrow. (is, am, are, may, has, have, may be)
- vii. I _____ go to school today. (is, am, are, will, has, have, may be, might be)
- viii. _____ you mind letting me sit on your chair? (may, would, is, am, are)
- ix. _____ I buy this shirt? (would, shall, is, am, are, could be)
- x. You _____ work hard if you want to become an IPS officer. (should, shall, is, am, are, could be)
- xi. I _____ go to the office on time. (should, is, am, are, could be, might be)
- xii. It is already 10 p.m.! You _____ be late! (should, is, am, are, could be, must)
- xiii. I have seen some security guards around the park. The chief minister must be there.
- xiv. I _____ two mobile phones. (have, has, will, is)
- xv. They _____ not work hard. (is, do, does, have)
- xvi. He _____ not speak truth. (is, do, does, have)
- xvii. I _____ not like mobile phones. (is, do, does, have)
- xviii. I _____ like coffee. (is, do, does, have)
- xix. He _____ rich. (is, do, does, have)
- xx. They _____ a lot of money. (is, do, does, have)
- xxi. They _____ rich. (is, are, do, does, have)
- xxii. They _____ living in Patiala before coming to Jalandhar. (was, were, is, are)
- xxiii. She _____ waiting for me for one hour. (has been, have been, is, are)
- xxiv. She _____ waiting for me. (has been, have been, is, are)
- xxv. You _____ come late. (has been, have, have been, is, are)

Answer:

- i. _____ I come in, teacher? (**May**)
- ii. _____ you like biscuits or toffees? (**Would**)

- iii. You _____ win the race if you run fast. (**can**)
- iv. _____ I speak to Mr. Manohar? (**Could**)
- v. We _____ eat bananas. Or, we could eat oranges. (**could**)
- vi. He _____ join our company as CEO tomorrow. (**may**)
- vii. I _____ go to school today. (**will**)
- viii. _____ you mind letting me sit on your chair? (**Would**)
- ix. _____ I buy this shirt? (**Shall**)
- x. You _____ work hard if you want to become an IPS officer. (**should**)
- xi. I _____ go to the office on time. (**should**)
- xii. It is already 10 p.m.! You _____ be late! (**must**)
- xiii. I _____ two mobile phones. (**have**)
- xiv. They _____ not work hard. (**do**)
- xv. He _____ not speak truth. (**does**)
- xvi. I _____ not like mobile phones. (**do**)
- xvii. I _____ like coffee. (**do**)
- xviii. He _____ rich. (**is**)
- xix. They _____ a lot of money. (**have**)
- xx. They _____ rich. (**are**)
- xxi. They _____ living in Patiala before coming to Jalandhar. (**were**)
- xxii. She _____ waiting for me for one hour. (**has been**)
- xxiii. She _____ waiting for me. (**is**)
- xxiv. You _____ come late. (**have**)

➤ **To infer responsibility or obligation**

- We should work hard to fulfil our parents' dreams.
- I should go to the office on time.

❖ **Must**

➤ **To make a command.**

- You must work hard.
- You must come to see me at 5 p.m.

➤ **To make a conjecture, but with some certainty.**

- It is already 10 p.m.! You must be hungry!
- I have seen some security guards around the park. The chief minister must be there

Check Your Progress

Question: **Modals. Choose the more natural-sounding options.**

1. Why _____ I care about your problems?

- a) can
b) should
1. I _____ get here earlier because it was raining.
a) shouldn't
b) couldn't
2. We _____ go out to that new Italian restaurant tonight.
a) should
b) must
3. Everyone who crosses the border _____ show his/her passport.
a) must
b) should
4. P1: When is Raj coming here? P2: He is on the way. He _____ be here any minute.
a) must
b) should
5. P1: _____ my friend sleep over? P2: Yes, but he will have to get permission from his parents.
a) Can
b) Should
6. _____ you please try to be nicer to your brother?
a) Must
b) Could

Answer: 1. b 2. b 3. a 4. a 5. a 6. a 7. b

7.6 Adverb

An adverb is a word that gives us information about a place, time, degree, cause or manner of a verb, an adjective, a phrase or another adverb. It answers questions such as *how*, *when*, *where*, *how much*, etc. Usually, adverbs are formed by 'ly' suffix to adjectives. For example,

Beautiful+ly= Beautifully

Intelligent+ly= Intelligently

Horrible+ly= Horribly

There are, however, many common adverbs that do not end in -ly, such as *again*, *also*, *just*, *never*, *often*, *soon*, *today*, *too*, *very* and *well*. Let us take some examples to understand adverbs.

Adverb for Verb

In the sentence “Ram runs.”, ‘Ram’ is a noun and ‘run’ is a verb. If I add ‘fast’ to the sentence in question, the sentence will be:

“Ram runs fast.”

Now the question arises- What/who is fast? Ram or his running? Of course, ‘fast’ tells us the manner Ram runs. ‘Fast’ is used for the verb ‘run’, so ‘fast’ is an adverb. But you know, as it is clear in the definition of adverbs, adverbs do not tell us only about verbs but also about adjectives, other adverbs and phrases.

Adverb for Adverb

Ram runs fast. (Noun + Verb + Adverb)

If I add ‘very’ just before ‘fast’, the sentence will be: Ram runs very fast.

Here, ‘very’ modifies/describes ‘fast’ (adverb). A word that describes an adverb is also an adverb.

So, ‘very’ is an adverb.

Adverb for Adjective

Pay attention to the following sentence: Bindu is intelligent. (Noun+ Be verb+ Adjective). If I add ‘very’ before ‘intelligent’, which is an adjective, ‘very’ would be qualified to be called an adverb. Here ‘very’ modifies an adjective (intelligent), unlike in the previous example where it modifies an adverb (fast).

Bindu is very intelligent. (Noun + Be verb + Adverb + Adjective)

Check Your Progress

Question 1: Complete the sentences using the adverb forms of the adjectives given in brackets:

- i. I am working on this project_____. (happy)
- ii. He left the room_____to avoid me. (swift)
- iii. The teacher asked me to write answers_____. (quick)
- iv. You should not shout at him _____. (angry)
- v. The child smiled _____. (beautiful)

Answer:

- i. I am working on this project happily.
- ii. He left the room swiftly to avoid me.
- iii. The teacher asked me to write answers quickly.
- iv. You should not shout at him angrily.
- v. The child smiled beautifully.

Question 2: Choose the Most Suitable Option.

	An adverb...
(a.)	adds information to the meaning of noun
(b.)	is essential to complete the sentence
(c.)	and an adjective are used together in a sentence
(d.)	qualifies verbs, adverbs and adjectives in sentences

Answer: (d)

7.7 TYPES OF ADVERBS

There are many types of adverbs:

- Adverbs of Manner
- Adverbs of Place
- Adverbs of Time
- Adverbs of Certainty
- Adverbs of Degree
- Interrogative Adverbs
- Relative Adverbs

7.7.1 Adverbs of Manner

Adverbs of manner describe the way in which something happens. They are usually placed after the main verb or the object. *Examples:*

- He sings *well*. (after the main verb)
- He left the place *quickly*.
- They shouted *loudly*.
- He threw the ball *swiftly*.

The adverb should not be put between the verb and the object. It means ‘swiftly’ must not be between ‘threw’ (verb) and ‘the ball’ (object) in the above-mentioned example.

When there is more than one verb in a sentence, the location of the adverb is crucial. When an adverb follows a clause, it modifies the entire action stated by the clause.

Take note of how the following two statements change in meaning:

Pay attention to the difference in meaning between the following pair of sentences:

- He *quietly* asked me to eat the cake (= his direction was quiet)
- He asked me to eat the cake *quietly* (= the eating of the cake was to be quiet)

7.7.2 Adverbs of Place

Adverbs of place tell us *where* something happens; they are usually placed after the main verb or after the object.

Examples:

- I looked *everywhere*
- Get *out*.
- They were playing football *nearby*.
- The father took me *inside*.

7.7.3 Adverbs of Time

Adverbs of time tell us *when* an action happened, but also *for how long* and *how often*. For example:

- When: *today, tomorrow, yesterday, later, now, last year*

- For how long: *all day, not long, for a while, since last year, for some time*
- How often: *monthly, weekly, sometimes, frequently, never, often, yearly*

“When” adverbs are usually placed at the end of the sentence:

Examples:

- I decided to complete my homework *later*.
- I went to visit my ancestral village *last year*.

Adverbs that convey the frequency of actions are normally put before the main verb but after auxiliary verbs (such as be, have, may, must). Examples:

- I *often* visit Manish Karyana Store. (before the main verb)
- I *never* ignore my mistakes. (before the main verb)
- You must *always* fulfil your promise. (after the auxiliary *must*)
- She is *never* slow. (after the auxiliary *is*)

Some other such ‘frequency’ adverbs indicate the exact number of times an action takes place and are usually placed at the end of the sentence. For example: The super-specialist doctor comes to the village dispensary village once a week.

7.7.4 Adverbs of Certainty

Adverbs of certainty express how certain or sure we feel about an action or event. *Certainly, definitely, probably, undoubtedly* and *surely* are some examples of adverbs of certainty. For example:

- He *definitely* saw me in the parking lot.
- She is *probably* in her room.
- He is *certainly* there.

7.7.5 Adverbs of Degree

Adverbs of degree indicate the intensity or degree of an action, an adjective or another adverb. Some common Adverbs of degree are as follows:

Almost, nearly, quite, just, too, enough, hardly, scarcely, completely, very, extremely.

For example:

- The tea was *extremely* hot.
- He has *just* arrived.
- It is *too* good.

7.7.6 Interrogative Adverbs

These adverbs are *why, where, how* and *when*. They are usually placed at the *beginning of a question*.

Examples:

- *Why* was he so late?
- *Where* have you gone?

- *How* are you?
- *How* much is that pen?
- *When* does the doctor arrive?

7.7.7 Relative Adverbs

Relative adverbs give more information about the persons, places or objects being mentioned or discussed. The words ‘where’, ‘when’ and ‘why’ are examples of relative adverbs. They are used to connect clauses.

Examples:

- That is the place *where* I met my boss for the first time.
- I cannot think about the day *when* I met with the accident.
- This is the reason *why* I am not happy.

7.8 SOME RANDOM EXAMPLES OF ADVERBS IN SENTENCES

Abruptly: When he saw me, he left the room abruptly.

Beautifully: She dresses beautifully.

Delicately: This vase must be handled delicately.

Delightfully: He delightfully accepted my offer.

Firmly: I firmly believe that everyone should cast their vote.

Truthfully: She truthfully answered the questions asked by her teacher.

Quickly: We have to walk quickly to reach there on time.

Wearily: After completing the project, I wearily headed to bed.

Willfully: The rich man willfully donated his property to the Krishna temple.

Briskly: My friend briskly walked to the classroom.

Brutally: The criminal was brutally murdered.

Cheerfully: They cheerfully greeted each other.

Randomly: I randomly distributed sweets.

Uneasily: He looked around uneasily.

Weirdly: He behaved weirdly at the concert.

Wholeheartedly: I wholeheartedly welcomed them.

Downstairs: I came downstairs to meet the guest.

Everywhere: They looked everywhere for their car.

Here: We will come here.

Inside: When it's raining, I like to walk inside.

Outside: When it is not raining, I like to walk outside.

Upstairs: I went upstairs to see my son who was sleeping.

Early: The CEO arrived early for the meeting.

Later: I will see you later.

Never: He never wanted me to fail in my exams.

Now: We are moving now.

Regularly: I regularly write my column.

Today: We met him today.

Tomorrow: Tomorrow, we will leave for Canada.

Yesterday: She met a doctor yesterday.

Also: They also enjoy that music.

Enough: My son is mature enough to travel alone.

Check Your Progress

Question: Underline the mistakes in the following sentences and rewrite them correctly:

- i. Ram works hardly.
- ii. Ram hard ever works.
- iii. He ran fastly.
- iv. The rose smells sweetly.
- v. We are bad in need of sugar.
- vi. The bride walks graceful.
- vii. You do your work careful.
- viii. She oftenly comes to see me.
- ix. I am perfect fine.
- x. I will sure help you.
- xi. This is the place when Mahatma Gandhi was born.
- xii. They live joyful.
- xiii. He handled the situation wise.
- xiv. I wrote the letter happy.
- xv. He seldomly comes here

Answers:

- i. Ram works **hardly**. Correct: Ram works hard.
- ii. Ram **hard** ever works. Correct: Ram hardly ever works. (Note: When 'hardly' is used with 'ever', it means 'almost never'.)
- iii. He ran **fastly**. Correct: He ran fast.
- iv. The rose smells **sweetly**. Correct: The rose smells sweet.
- v. We are **bad** in need of sugar. Correct: We are badly in need of sugar.
- vi. The bride walks **graceful**. Correct: The bride walks gracefully.
- vii. You do your work **careful**. Correct: You do your work carefully.
- viii. She **oftenly** comes to see me. Correct: She often comes to see me.
- ix. I am **perfect** fine. Correct: I am perfectly fine.
- x. I will **sure** help you. Correct: I will surely help you.
- xi. This is the place **when** Mahatma Gandhi was born. Correct: This is the place where Mahatma Gandhi was born.
- xii. They live **joyful**. Correct: They live joyfully.

- | |
|---|
| <p>xiii. He handled the situation wise. Correct: He handled the situation wisely.</p> <p>xiv. I wrote the letter happy. Correct: I wrote the letter happily.</p> <p>xv. He seldomly comes here. Correct: He seldom comes here.</p> |
|---|

Quite: I was quite pleased to know that my friends were there to support me.

Too: This machine is too easy to operate.

Very: You are very happy because you have learnt adverbs.

7.9 LET US SUM UP

Action verbs and auxiliary verbs are the two major types of verbs. There are two types of action verbs: transitive and intransitive. Intransitive verbs are the ones that do not transfer the action to objects, whereas transitive verbs show an action done on an object. Auxiliary verbs are of four types: Be verbs, Have verbs, Do verbs and Modals. Be is an irregular verb with several forms:

Present: (I) am, (he, she, it) is (you, we, they) are + -ing form: being

Past: (I, he, she, it,) was, (you, we, they) were + -ed form: been

‘Have’ has three forms: have, had, had. Do, does and did are known as do verbs.

Can, could, may, might, will, shall, would, should and must are modal verbs.

An adverb is a word that modifies (describes) a verb (He walks slowly), an adjective (He is very handsome.), another adverb (He walks very slowly.) or even a whole sentence (Fortunately, I had won the lottery). Adverbs can be of the following types:

Adverbs of Manner

Adverbs of Place

Adverbs of Time

Adverbs of Degree

Adverbs of Certainty

Relative Adverbs

Interrogative Adverbs

7.10 UNIT END EXERCISES

Exercise-I

Fill in the blank with the correct auxiliary verb from the choices presented:

1. What _____ the men eating when you met them at night? (was, were, are, did, been)
2. I _____ always wanted to try swimming. (was, does not, have, is)
3. Where _____ you go to submit this application form? (were, been, are, did, does)
4. Why do you think he _____ want you to get good marks? (did not, is, has not, has been, have)

5. Ram _____ going to celebrate his birthday. (will, do not, is, did not, has)
6. Reena _____ want to go to hospital; she wants to go to the police station instead. (does not, is not, was not, has not, was not)
7. I _____ like his efforts. They weren't creative. (did, have, been, did not, have not)
8. I love ice-creams, but I _____ like the strawberry flavour. (were not, been, do not, is, was)
9. Where _____ you heading towards last night? (were, was, is, do, did)
10. Nimisha _____ completed her work yet; she is hospitalized. (are, were, has, has not, would not)

Exercise-II

Read the following sentences and mention the types of adverbs used in them:

1. I met him in the morning.
2. We sat lazily on the floor.
3. She spoke loudly.
4. It is extremely cold today.
5. Please sit patiently.
6. I solved the mathematical problem easily.
7. I decided to celebrate my birthday there.
8. I will build a house here.
9. He laughed merrily.
10. You will have to complete this assignment today.
11. She is waiting for me outside.

7.11 ANSWERS TO EXERCISES

Exercise-I

1 – were, 2 – have, 3 – did, 4 – did not, 5 – is, 6 – does not, 7 – did not, 8 – do not, 9 – were, 10 – has not

Exercise-II

1. I met him in the morning. (Adverb of time)
2. We sat lazily on the floor. (Adverb of manner)
3. She spoke loudly. (Adverb of manner)
4. It is extremely cold today. (Adverb of degree)
5. Please sit patiently. (Adverb of manner)
6. I solved the mathematical problem easily. (Adverb of manner)
7. I decided to celebrate my birthday there. (Adverb of place)
8. I will build a house here. (Adverb of place)

9. He laughed merrily. (Adverb of manner)
10. You will have to complete this assignment today. (Adverb of time)
11. She is waiting for me outside. (Adverb of place)

7.12 REFERENCES AND SUGGESTED READINGS

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENGLISH COMPULSORY-1

Unit-8: Linking Words and Prepositions

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8.1 OBJECTIVES

After a careful reading of the unit, you will be able to

- define linking words and prepositions;
- identify linking words and prepositions;
- construct sentences using linking words and prepositions in sentences.

8.2 INTRODUCTION

In this unit, first of all, you will learn about different types of linking words. Then, you will study prepositions. Linking words and prepositions play a very important role in effective communication. Linking words weave sentences together to present a clear body of

ideas/statements; they help your readers to follow your train of thoughts. A preposition usually indicates the temporal, spatial or logical relationship of its object to the rest of the sentence.

Please note that we have explained linking words and prepositions in plain English for your convenience. We have given examples from our day-to-day life so that you can learn grammar in context. We hope that you will find this unit very interesting and easy.

This unit is broadly divided into two parts: linking words and prepositions. We have prepared some exercises for you. Please complete these before moving on to the answers provided by us at the end of each part of the unit.

8.3 LINKING WORDS

Conjunctions and connectors are known as linking words, as they link or join prefixes, words, phrases and clauses. For example, ‘and’ is a conjunction in the following sentences:

- *Pre- and Pro-government* slogans charged the atmosphere in the rally. (Joining two prefixes)
- *Ram and Sham* are good friends. (Joining two words)
- I brush my teeth *in the morning and at night*. (Joining two phrases)
- *He is Ram, and he is preparing for Civil Services Exams*. (Joining two clauses)

Broadly speaking, conjunctions are connectors. Connectors are of four types:

1. Coordinating Conjunctions (For example: *and, so, but*, etc.)
2. Correlative Conjunctions (For example: *neither, nor; not only, but also*, etc.)
3. Subordinating Conjunctions (For example: *if, so that, because*, etc.)
4. Conjunctive Adverbs (For example: *therefore, however*, etc.)

Remember that just a few conjunctions and conjunctive adverbs can connect individual words or phrases; the vast majority can only connect two clauses. In this lesson, we will study how conjunctions and connectors join two or more clauses so that these two clauses become one sentence. I am sure that you will find this lesson very easy, as you have already learnt different types of sentences. Compound Sentences are formed with the help of coordinating conjunctions, whereas complex sentences are formed with the help of subordinating conjunctions.

8.3.1 Coordinating Conjunctions

It is notable that when independent clauses are joined, they require a coordinating conjunction between them. Coordinating conjunctions include the following words: *for, and, nor, but, or, yet, so*. They are easy to remember if you think of the word “FAN BOYS”:

- **For** (Used in the sense of *because*)
- **And** (To join or add clauses of equal status)
- **Nor** (Used in the sense of ‘also not’)
- **But** (Used to show opposite and conflicting ideas)
- **Or** (To show choices or possibilities)

- **Yet** (In the sense of ‘despite something’/‘nevertheless’)
- **So** (To show result)

When a compound sentence is written, a comma is used before the coordinating conjunction to punctuate the sentence correctly. For example:

- I put on a coat, **for** it was quite cold outside.
- He is Ram, **and** he is a doctor.
- I cannot sing, **nor** can I dance.
- He worked hard, **but** he could not pass his exams.
- You can go to school, **or** you can play with kids.
- You slept a lot, **yet** you were tired.
- You were tired, **so** you went to sleep.

Check Your Progress

Question: Fill in the Blanks.

- We stayed at home _____ watched a film. (Choose from the following: and, but, or, so)
- I wanted to buy a newspaper _____ did not have enough money. (Choose from the following: and, but, or, so)
- I have a lot of homework to do now, _____ I cannot go to the cinema with you. (Choose from the following: and, but, or, so)
- Do you want tea _____ coffee? (Choose from the following: and, but, or, so)
- I cannot eat, _____ can I serve. (Choose from the following: and, nor, but, or, so)

Answers

- We stayed at home and watched a film.
- I wanted to buy a newspaper but did not have enough money.
- I have a lot of homework to do now, so I cannot go to the cinema with you.
- Do you want tea or coffee?
- I cannot eat, nor can I serve.

8.3.2 Correlative Conjunctions

Correlative conjunctions are used in pairs to join alternatives or equal elements; they always appear in pairs. The most common correlative conjunctions are:

Both, and

Neither, nor

Either, or

Not only, but also

Although, yet

Whether, or

Lest, should

No sooner did, than

Hardly, when

As, as [as much as, as soon as, as long as, as far as]

Parallelism should be kept in the mind while using correlative conjunctions. It means that the words following both parts of a correlative conjunction should belong to the same parts of speech. For example, if a verb follows ‘not only’, then a verb should also follow ‘but also’. Let us take some examples:

- He is not only *indifferent* but also *careless*. (Both adjectives. Hence, a balanced sentence.)
- He has not only *danced* but also *sung*. (Both verbs. Hence, a balanced sentence.)
- He made up his mind to either *play* football or *cook* food. (Both verbs. Hence, a balanced sentence.)

Using different parts of speech after each part of correlative conjunctions makes the sentence imbalanced. Consider the following example:

- He is not only *indifferent* but also *behaves* in an awkward manner. (Adjective and Verb. Hence, an imbalanced sentence.)

Now, let us see how these correlative conjunctions are used in sentences:

Both, and: ‘Both’ is paired with ‘and’ to add emphasis to two coordinated elements in a sentence.

- Both he and she are my friends.
- I like both Ram and Sham.
- Both teachers and students run two miles every day.

Neither, nor: We use ‘neither ... nor’ when we are to talk about two or more things that are not true or that do not happen.

- He neither played the game himself nor allowed others to do it.
- I could neither study nor sleep.
- He neither ate the cake himself nor allowed others to eat it.

Either, or: We use ‘either ... or’ to show an unavoidable choice between alternatives.

- I could either study or sleep.
- Either Ram or Sham is a doctor.
- I will take either juice or coffee.

Not only, but also: This pair is used in the sense that ‘not only this, but also that’. This correlative conjunction presents two related pieces of information. Both pieces of information are presented as surprising or unexpected, with the second one being even more surprising than the first.

- My old father plays not only cards but also cricket.

(Note: The subject is the same here, i.e. 'my old father'.)

- Not only my father but also my mother plays cricket.

(Note: The object is the same here, i.e. 'cricket'.)

Although, yet: 'Although' means 'in spite of' and 'yet' means 'nevertheless'.

- Although he makes a lot of money, yet he always begs for monetary help.
- Although he is rich, yet he is greedy.
- Although he worked hard, yet he failed.

Whether, or: This pair of conjunctions is used to express a doubt or choice between alternatives

- I do not know whether Ram will sing or Radha will dance.
- Only God knows whether he will be rejected or selected in the interview.
- The management will decide whether the students will take their exams online or offline.

Lest, should: Lest is a conjunction meaning 'for fear that'. 'Lest.....should' expresses 'so as to prevent any possibility that'.

- Work hard lest you should fail.
- I obeyed him lest he should be angry.
- She turned away from the window lest she should be noticed.

No sooner did, than: If the second event happens right after the first, we can use the structure 'no sooner... than' to describe that. This pair refers to past events. This structure 'no sooner' introduces the event that occurred first.

- No sooner did she reach the hospital than the doctor arrived.
- No sooner did he reach here than she left for the market.

Hardly, when: The idea conveyed with 'No sooner did...than' can be expressed using hardly/scarcely...when.

- Hardly had she reached the hospital when the doctor arrived.
- Scarcely had he reached here when she left for the market.

As, as: 'As soon as' conveys the same meaning which is conveyed by 'Hardly...when' and 'No sooner did...than'.

- As soon as she reached the hospital, the doctor arrived.
- As soon as he reached here, she left for the market.

"As...as" pair is used in some other structures. 'As much as' is for quantity; 'as soon as' is for time; 'as far as' is for distance/extent. 'As long as' refers to 'provided that'/'on condition that'/'length'. 'As well as' is used to include information.

- I will call you as soon as I have completed my novel.
- I am happy as long as my friend is sitting next to me during the lesson.
- I do not have as much money as you have.
- My left arm is as long as my right arm.
- I will buy a shirt as well as a bag.

- As far as I know, the teacher teaches all lessons dedicatedly.

Check Your Progress

Question: Fill in the blanks with suitable correlative conjunctions.

- i. _____ work hard _____ repent forever.
- ii. He is _____ afraid _____ intelligent.
- iii. He does _____ study _____ work.
- iv. I am concerned _____ you attended the class _____ not.
- v. _____ he has lost a lot of money, _____ he spends lavishly on cars.
- vi. He is _____ helpful _____ social.

Answer:

- i. Either work hard or repent forever.
- ii. He is either afraid or intelligent.
- iii. He does not only study but also work.
- iv. I am concerned whether you attended the class or not.
- v. Although he has lost a lot of money, yet he spends lavishly on cars.
- vi. He is neither helpful nor social.

8.3.3 Subordinating Conjunctions

A **complex sentence** is formed when a dependent clause is joined to an independent clause. The dependent clause can come either at the beginning or the end of the sentence. For example:

- I will eat food when I reach home.
- When I reach home, I will eat food.

I hope you have noticed that when the dependent clause is placed at the beginning of the sentence, a comma is placed after it. When the dependent clause is at the end of the sentence, a comma is not required. Some more examples are given below:

- Wait here until I come back.
- I will not come with you until you do this work.
- She behaves as if she were a queen.
- He sang when I danced.
- Although he is intelligent, he is simple.

Dependent clauses begin with subordinating conjunctions. Below are some of the most common subordinating conjunctions:

- after
- although
- as
- because
- before
- even though
- if
- since
- though
- unless
- until
- when
- whenever
- whereas
- wherever
- while

The following list shows different types of relationships along with the connectors that indicate those relationships:

- Cause/Effect: because, since, so that
- Comparison/Contrast: although, even though, though, whereas, while
- Place/Manner: where, wherever, how
- Possibility/Conditions: if, whether, unless
- Relation: that, which, who, whom
- Time: after, as, before, since, when, whenever, while, until

(Source: <https://writingcenter.unc.edu/tips-and-tools/sentence-patterns/>)

Wh-words: The wh-word (used in the question) becomes the connective pronoun when it joins (subordinates) the question-clause to the main clause.

- Who (used to refer to a person): I know the boy who is studying in that school.
- Whom (used to refer to a person): I know the man whom I had met earlier.
- When (used to refer to time/moment): She was sleeping when I reached there.
- Which (used to refer to something/some activity): I know the city which is known as a sports hub.
- Where (used to refer to a location/place): I found my wallet where I had left it.

- How (used to refer to the manner): I wanted to know how he was performing in sports.

Some Random Examples of Subordinate Conjunctions

- *After* a long drive, it feels good to stretch your legs.
- Everyone was disheartened *because* their favourite shop was closed for ever.
- Rajni said *that* she had completed her work.
- I like running *because* it is the best exercise.
- Varinder stayed behind after college *because* he had a detention.
- I teach my students *when* they have a class with me.
- *Now that* the semester is over, I can take a break from college.
- *Once* you find your best friend, never take him/her for granted.
- *Whenever* we visit Jalandhar, we always enjoy Wonderland the most.
- *While* it might seem like a case study about integrity, it is actually a case study about leadership and unity.
- *If* you feel thirsty, you can take water from the kitchen.
- *While* they were singing, I was dancing.
- I am always welcomed *whenever* I go to their house.
- I was not asked my name *when* I visited the Kapoors.
- *Since* I have started working full-time in a university, I hardly find time for any part-time job.
- *Because / since / as* I worked six days a week, I could not find time to study.
- I think I should go to Vrindavan, *even though* I have recently visited the place.
- I will not leave for work *unless* you come to see me. ('unless' refers to a condition)
- I will not go to school *until* I get a new cycle. ('until' is for time. Here, it means 'till the moment I get a cycle')

8.3.4 Conjunctive Adverbs

Michael Swan in *Practical English Usage* says, "Conjunctions make **grammatical** and **meaning** connections: they join clauses into sentences, and show the relationship between them...Adverbials can make **meaning** connections, but they do not make grammatical connections: they do not join clauses into sentences...When an adverbial comes between two clauses, there is normally either a full stop (.) or a semi-colon (;) before it in careful writing, because the clauses are still grammatically separate.

The Minister paused briefly; **then** he started to speak." (283-284)

Conjunctive adverbs are the words (or short phrases) that provide a link to a 'previous' sentence or independent clause. They are used to show sequence, contrast, cause and effect and other relationships.

A list of common conjunctive adverbs and their meanings is given below:

- Also (in addition)
- Consequently (as a result)
- Furthermore (in addition; more importantly)
- However (despite whatever amount or degree)
- Indeed (really or certainly, often used to emphasize something)
- Likewise (in the same way)
- Meanwhile (while something else is happening)
- Nevertheless (despite what has just been said or referred to)
- Nonetheless (despite what has just been said or referred to)
- Therefore (for that reason)

They can also be phrases (i.e., not just single words):

- as a result
- as a consequence
- for example
- on the contrary

Some Examples:

- Raj did not study throughout the semester; **therefore**, he failed in the exams.
- She went to London to see him; **however**, she could not meet him.
- The thief broke into my house and stole my laptop; **in addition**, he ate the ice cream kept in the freezer.
- You are my friend; **nonetheless**, you speak ill against me in my absence.
- Reema won a lottery in the UK; **on the contrary**, her husband suffered a financial loss in India.

Important Points

Note: some words which appear as conjunctions can also function as prepositions or adverbs. We label whether a word is a conjunction or preposition/adverb on the basis of the function it performs in a sentence. Never get confused. For example, ‘yet’ can be used as a conjunction as well as an adverb.

- My results have not been declared yet. (‘yet’ as an adverb)
- The old man insults me, yet I respect him for his knowledge and experience. (‘yet’ as a conjunction)

I would like to draw your attention to the importance of conjunctions. Without conjunctions, we will have to state every complex idea in a series of short, simplistic sentences: I like chocolates. I like almonds. I hate eggs. (Instead of one sentence: I like chocolates **and** almonds, **but** I hate eggs.)

Check Your Progress

Question: Fill in the blanks with suitable subordinating conjunctions and

conjunctive adverbs.

- A. _____ I called her, she was sleeping.
B. She was writing _____ she was speaking to me on phone.
C. He has been ill _____ he left Jalandhar.
D. I reached the station _____ the train had left.
E. _____ Professor reached, he went to take his class.
F. Keep your bag _____ you can find it.
G. Ram passed the exam _____ he had worked hard.
H. We eat salad _____ we may remain healthy.
I. You cannot pass the exams _____ you work hard.
J. He speaks _____ he were wise.
K. He is taller _____ you are.
L. Do not over speed _____ you should be fined.
M. _____ you work hard, you will stand first in class.
N. We should learn tenses; _____, we should practice basic sentence structures.
O. I love running; _____, I love cycling.
P. I have loved the review; _____, I have asked my friends to read it.
Q. The man has got a job in Patiala; _____, he has decided to shift there.
R. There are many books on crime fiction; _____, none of them interests me.
S. I left for my work; _____, a visitor arrived.
T. The law does not permit drinking and driving at the same time; _____, there would be many more accidents.

Answer:

- i. When I called her, she was sleeping.
ii. She was writing while she was speaking to me on phone.
iii. He has been ill since he left Jalandhar.
iv. I reached the station after the train had left.
v. As soon as Professor reached, he went to take his class.
vi. Keep your bag where you can find it.
vii. Ram passed the exam because he had worked hard.
viii. We eat salad so that we may remain healthy.
ix. You cannot pass the exams unless you work hard.
x. He speaks as if he were wise.
xi. He is taller than you are.
xii. Do not over speed lest you should be fined.

- | | |
|--------|--|
| xiii. | If you work hard, you will stand first in class. |
| xiv. | We should learn tenses; additionally, we should practice basic sentence structures. |
| xv. | I love running; also, I love cycling. |
| xvi. | I have loved the review; moreover, I have asked my friends to read it. |
| xvii. | The man has got a job in Patiala; therefore, he has decided to shift there. |
| xviii. | There are many books on crime fiction; however, none of them interests me. |
| xix. | I left for my work; then, a visitor arrived. |
| xx. | The law does not permit drinking and driving anytime; otherwise, there would be many more accidents. |

8.4 PREPOSITIONS

A preposition shows the relationship of a noun to the remaining part of the sentence. It literally means ‘place before’. Prepositions are of two types: Simple and Complex. Simple prepositions are single-word prepositions, whereas complex prepositions comprise two or more words.

Simple Prepositions	Complex Prepositions
Examples: In, at, on, of, from, within, up	Examples: Ahead of, along with, due to

A

preposition usually indicates the temporal, spatial or logical relationship of its object to the rest of the sentence. Pay attention to the following examples:

- The pan is **on** the table.
- The book is **beneath** the bench.
- I am leaning **against** the wall.
- His house is **beside** my house.
- He was attentively listening to his teacher **during** the class.
- I live **at** Lakshmi Pura, Jalandhar.
- I am **in** Delhi.

Prepositions are “little words”, yet they pack a punch. It is important to use the correct preposition; else, you can express anything incorrectly.

8.4.1 Prepositions – Time

Prepositions	Usage	Examples
<ul style="list-style-type: none"> on 	<ul style="list-style-type: none"> dates days of the week occasions 	<ul style="list-style-type: none"> On 15th August 1947, India got freedom. I went to work on Monday. I did not go to work on Tuesday. On Wednesday, I was not feeling well. On this Diwali, I will buy a car. On this occasion, I express my gratitude.
<ul style="list-style-type: none"> in 	<ul style="list-style-type: none"> months seasons time of day (in the afternoon/evening/morning) year after a certain period of time (<i>when?</i>) <i>period of time (in the present/past/future)</i> 	<ul style="list-style-type: none"> My results were declared in March / in summer. I woke up in the morning. I took tea in the evening. I completed my BA in 2021. India got freedom in 1947 I will get ready in an hour.
<ul style="list-style-type: none"> at 	<ul style="list-style-type: none"> for <i>night</i> for <i>weekend</i> a certain point of time (<i>when?</i>) <i>Day-break, Sun-set</i> 	<ul style="list-style-type: none"> I was sleeping at night. We decided to meet at the weekend. I was at home at half-past six.
<ul style="list-style-type: none"> since 	<ul style="list-style-type: none"> from a certain point of time (past till now) 	<ul style="list-style-type: none"> I have been living in this house since 1947.
<ul style="list-style-type: none"> for 	<ul style="list-style-type: none"> over a certain period of time (past till now) 	<ul style="list-style-type: none"> I have been writing this book for eight years.
<ul style="list-style-type: none"> ago 	<ul style="list-style-type: none"> a certain time in the past 	<ul style="list-style-type: none"> I met him five years ago.

Prepositions	Usage	Examples
• before	▪ earlier than a certain point of time	▪ I went there before 2019.
• to	▪ telling the time	▪ It's ten to eight (7:50).
• past	▪ telling the time	▪ It's fifteen past eight (8:15).
• to / till / until	<ul style="list-style-type: none"> • marking the beginning and end of a period of time • up to (the time that) 	He works from Tuesday to Thursday. They waited till 5 o'clock for you.
• till / until	▪ in the sense of <i>how long something is going to last</i>	▪ He is on leave until Monday.
• by	up to a certain time	<ul style="list-style-type: none"> ▪ I will complete the work by 8 o'clock. ▪ By 10 o'clock, I had eaten my dinner.

8.4.2 Prepositions – Place (Position and Direction)

Prepositions	Usage	Examples
• in	<ul style="list-style-type: none"> ▪ someone/something inside something/someone ▪ In room, building, kitchen, toilet, street, town, country, world, house, bag, book, car, taxi, picture, inside a thing, etc. 	<ul style="list-style-type: none"> ▪ I saw a dog in the washroom. I live in Jalandhar. It is written in the book. I was sitting in the car. I saw him in a taxi. There was an ant in my mouth. ▪ He was looking slim in the picture. There is immense love in the world. I kept my pen in the bag.
• at	• for events	▪ I met him at a

Prepositions	Usage	Examples
	<ul style="list-style-type: none"> place where you are to do something typical (watch a film, study, work) for small town and villages 	<p>concert. She was dancing at the party.</p> <ul style="list-style-type: none"> He was behaving in an absurd manner at the cinema. I will see you at school. We cannot sit idly at work. You will see great professors at university. I live at Laxmi Pura. He lives at Lamba Pind.
<ul style="list-style-type: none"> on 	<ul style="list-style-type: none"> attached being on a surface for a certain side (left, right) for a floor in a building for public transport for <i>television, radio, internet</i> 	<ul style="list-style-type: none"> Hang the picture on the wall. He was sitting on the bed. His house was on the right. My office is on the second floor. I am on the train right now. He was on a plane. I saw him on TV. The news on the radio was disheartening.
<ul style="list-style-type: none"> by, next to, beside 	<ul style="list-style-type: none"> left or right of somebody or something 	<ul style="list-style-type: none"> He lives beside my house. His house is next to my office.
<ul style="list-style-type: none"> under 	<ul style="list-style-type: none"> on the ground, lower than (or covered by) something else 	<ul style="list-style-type: none"> My sneakers are under the table.
<ul style="list-style-type: none"> below 	<ul style="list-style-type: none"> lower than something else but above ground 	<p>There was a big clock below the</p>

Prepositions	Usage	Examples
		bulb.
<ul style="list-style-type: none"> over 	<ul style="list-style-type: none"> covered by something else meaning <i>more than</i> getting to the other side (also <i>across</i>) overcoming an obstacle 	<ul style="list-style-type: none"> You should put a coat over your vest. Only those who are over 18 years of age can watch this movie. Let us climb over the wall.
<ul style="list-style-type: none"> above 	<ul style="list-style-type: none"> higher than something else 	Can you raise your hand above your head for me, please? (Can you raise your hand higher than your head?)
<ul style="list-style-type: none"> across 	<ul style="list-style-type: none"> getting to the other side 	<ul style="list-style-type: none"> I will see you across the road in ten minutes.
<ul style="list-style-type: none"> through 	When we talk about moving from one side to another but ‘in something’, such as long grass or a forest, we use <i>through</i> instead of <i>across</i> .	<ul style="list-style-type: none"> He drove through the tunnel carefully.
<ul style="list-style-type: none"> to 	<ul style="list-style-type: none"> movement to person or building movement to a place or country for <i>bed</i> 	<ul style="list-style-type: none"> I am going to the cinema. He is going to the USA. It’s time to go to bed.
<ul style="list-style-type: none"> into 	<ul style="list-style-type: none"> enter a room / a building (shows motion) 	<ul style="list-style-type: none"> The mother ran into the kitchen.
<ul style="list-style-type: none"> towards 	<ul style="list-style-type: none"> movement in the direction of something (but not directly to it) 	<ul style="list-style-type: none"> I am going towards the post office.

Prepositions	Usage	Examples
<ul style="list-style-type: none"> • onto 	<ul style="list-style-type: none"> ▪ movement to the top of something 	<ul style="list-style-type: none"> ▪ The cat jumps onto the table
<ul style="list-style-type: none"> • from 	<ul style="list-style-type: none"> ▪ in the sense of <i>where from</i> 	<ul style="list-style-type: none"> ▪ A flower from the garden beautified my room.

8.4.3 Other important Prepositions

Prepositions	Usage	Examples
<ul style="list-style-type: none"> • from 	<ul style="list-style-type: none"> ▪ shows the source 	<ul style="list-style-type: none"> ▪ This tea is from India.
<ul style="list-style-type: none"> • of 	<ul style="list-style-type: none"> • who/what does it belong to • what does it show 	<ul style="list-style-type: none"> ▪ A city of Punjab was nominated to be the best city in the competition. ▪ The picture of the house is amazing.
<ul style="list-style-type: none"> • by 	<ul style="list-style-type: none"> ▪ who made/ did it 	<ul style="list-style-type: none"> ▪ <i>Kanthapura</i> is a book by Raja Rao.
<ul style="list-style-type: none"> • on 	<ul style="list-style-type: none"> • walking • on bike • entering a public transport vehicle 	<ul style="list-style-type: none"> ▪ I will prefer to go there on foot. He was sitting on his bike. ▪ Let us get on the bus.
<ul style="list-style-type: none"> • in 	<ul style="list-style-type: none"> ▪ entering a car / Taxi 	<ul style="list-style-type: none"> ▪ Get in the car
<ul style="list-style-type: none"> • off 	<ul style="list-style-type: none"> ▪ leaving a public transport vehicle 	<ul style="list-style-type: none"> ▪ We must get off the train now.
<ul style="list-style-type: none"> • out of 	<ul style="list-style-type: none"> ▪ leaving a car / Taxi 	<ul style="list-style-type: none"> ▪ He got out of the taxi.
<ul style="list-style-type: none"> • by 	<ul style="list-style-type: none"> ▪ rise or fall of something ▪ travelling ▪ [Travelling by public transport like a train or a bus, but travelling in your 	<ul style="list-style-type: none"> ▪ Prices have slashed by 20 percent. ▪ I will go there by bus.

Prepositions	Usage	Examples
	personal car]	
• at	▪ for <i>age</i>	▪ She was admitted to a school at 45.
• about	▪ for topics, meaning <i>what about</i>	▪ There was a discussion about cybercrime.

George Lyman Kittredge and Frank Edgar Farley in *An Advanced English Grammar with Exercises* write that several words are used as adverbs as well as prepositions. It is the function of each word in a sentence that decides whether that word is an adverb or a preposition.

As Adverb	As Preposition
I fell <i>down</i> .	I fell <i>down</i> the rock.
Stand <i>by</i> !	He stood <i>by</i> the car.
A big dog ran <i>behind</i> .	She ran <i>behind</i> the car.
Keep <i>off</i> !	Keep <i>off</i> the grass.

Other examples are: aboard, above, after, along, before, below, beneath, beside, between, beyond, ere, in, inside, on, outside, past, round, since, under, up, within, without.

(Source: <https://www.gutenberg.org/files/45814/45814-h/45814-h.htm>)

Some words like *for* and *notwithstanding* may be either prepositions or conjunctions.

Prepositions	Conjunctions
This gift is <i>for</i> you.	We must leave, <i>for</i> it is late.
Raj is coming, <i>notwithstanding</i> the storm.	It is raining in torrents. She will come, <i>notwithstanding</i> .

Some Random Examples of Prepositions

1. Radha went **to** her school after a long time.
2. The cat jumped **in/into** the river.
3. Are the girls still playing **in** the playground?
4. All our hopes fell **to** the ground.
5. The UFO landed **on** the ground.
6. We drove **towards** the university. (Towards- in the direction of.)
7. We drove **to** the university. (To- to indicate a destination or direction)
8. They climbed **on** the wall.
9. My brother got **in/into** my car.
10. He was lying **on** the floor.

11. I moved the fridge **into** the kitchen.
12. Sakshi kept her books **on** the table.
13. Shall we carry **on** with our discussion?
14. I noticed that there was no water **in** my glass.
15. Sunil jumped **on / onto** the stage and danced. (Onto- to talk about direction or movement to a position on a surface)
16. There were **over** a thousand people **at** the concert.
17. We had been **on** the road (= travelling) **since** dawn and needed some rest.
18. He died **of** tuberculosis.
19. She is suffering **from** tuberculosis.
20. You should not be impatient **with** us.
21. Could I speak **to** Ashish?
22. I could not wait for him **because** I was getting late.
23. There were some vivid pictures **on** the walls.
24. She asked me **for** money.
25. I live **at** Kot Kishan Chand **in** Tanda. ('At' for a smaller place in one sentence)
26. I live **at** Tanda **in** Punjab. ('At' for a smaller place in one sentence)
27. I live in Mumbai in Maharashtra. ('In' for both places if they are considerably big)
28. My city is famous **for** its museums.
29. She was not **in** a hurry.
30. Have you ever been **to** Delhi?
31. There's a temple **behind** my office.

Check Your Progress

Question: Fill in the Blanks with Suitable Prepositions.

- i. He usually travels _____ Jalandhar _____ train.
- ii. My parents have been married _____ twenty years.
- iii. You frequently see this kind of violence _____ television.
- iv. The professor _____ India was a great English teacher.
- v. She is a student _____ Jagat Guru Nanak Dev University, Patiala.
- vi. I prefer tea _____ coffee.
- vii. He was _____ the hall.
- viii. Sakshi lives _____ Delhi.
- ix. My university starts _____ 9 a.m.
- x. They live _____ Rampura.
- xi. I will see you _____ noon.

- xii. You can find exercises _____ the end of the lesson.
- xiii. The frog jumped _____ the pond.
- xiv. My parents go _____ the temple everyday.
- xv. He is senior _____ me.
- xvi. Dr. Kundra teaches English _____ me.
- xvii. I will return to Jalandhar _____ Saturday.
- xviii. My birthday falls _____ 18 June.
- xix. Pens were sold _____ the milkman.
- xx. He hit _____ a wonderful plan.
- xxi. The soldiers fought _____ courage.
- xxii. My mother came back _____ Beas yesterday.
- xxiii. I have been working with this university _____ 2013.
- xxiv. I have been working here _____ 8 years.
- xxv. The dog ran _____ the cat.
- xxvi. Light comes _____ the sun.
- xxvii. This gift is presented to me _____ the company.
- xxviii. The train is _____ time.
- xxix. I am going _____ the station. (Direction)
- xxx. I am going _____ the station. (Destination)
- xxxi. Divide these mangoes _____ two students.
- xxxii. Divide these mangoes _____ five students.
- xxxiii. I saw him _____ the road.
- xxxiv. He was moving _____ my house.
- xxxv. The sky is _____ our heads.

Answer:

- i. He usually travels to Jalandhar by train.
- ii. My parents have been married for twenty years.
- iii. You frequently see this kind of violence on television.
- iv. The professor from India was a great English teacher.
- v. She is a student of Jagat Guru Nanak Dev University, Patiala.
- vi. I prefer tea to coffee.
- vii. He was in the hall.
- viii. Sakshi lives in Delhi.
- ix. My university starts at 9 a.m.
- x. They live at Rampura.
- xi. I will see you at noon.
- xii. You can find exercises at the end of the lesson.
- xiii. The frog jumped into the pond.
- xiv. My parents go to the temple everyday.

- | | |
|---------|--|
| xv. | He is senior to me. |
| xvi. | Dr. Kundra teaches English to me. |
| xvii. | I will return to Jalandhar on Saturday. |
| xviii. | My birthday falls on 18 June. |
| xix. | Pens were sold by the milkman. |
| xx. | He hit upon a wonderful plan. |
| xxi. | The soldiers fought with courage. |
| xxii. | My mother came back from Beas yesterday. |
| xxiii. | I have been working with this university since 2013. |
| xxiv. | I have been working here for 8 years. |
| xxv. | The dog ran after the cat. |
| xxvi. | Light comes from the sun. |
| xxvii. | This gift is presented to me by the company. |
| xxviii. | The train is behind/on/before time. |
| xxix. | I am going towards the station. (Direction) |
| xxx. | I am going to the station. (Destination) |
| xxxi. | Divide these mangoes between two students. |
| xxxii. | Divide these mangoes among five students. |
| xxxiii. | I saw him across the road. |
| xxxiv. | He was moving around my house. |
| xxxv. | The sky is over our heads. |

8.5 LET US SUM UP

Coordinating conjunctions, subordinating conjunctions, correlative conjunctions, and conjunctive adverbs are linking words. A preposition is a word that indicates the link between a noun or pronoun and other words in a sentence.

8.6 UNIT END EXERCISES

Exercise-I

Choose the best word or phrase to fill the gaps:

1. Ram _____ Sham are good friends. (But / And / So)
2. He hates chocolates, _____ I love them. (But / And / So)
3. I am ill, _____ I cannot come to university. (But / And / So)
4. You can come with me, _____ you can go with them. (Or / Till / But)
5. I cannot come to university _____ I have an urgent piece of work. (So / Because / Unless)
6. I will message you _____ I reach home. (As / And / When)
7. _____ you submit all your assignments, you will be allowed to continue the course. (Unless / Until / As long as)

8. I wanted to go to Goa, _____ my wife wanted to go to Manali. (So / When / Whereas)
9. You cannot watch this movie _____ you are 18 or older. (Provided that / Unless / As)
10. She still went to college _____ she was sick. (Even though / Until / If)
11. Do not call me _____ you have reached there. (Until / While / As long as)
12. _____ the bad weather, they left for work. (Because / Despite / Whereas)
13. Wash your hands _____ you eat your breakfast. (Till / When / Before)
14. I did not have permission to enter the mall. _____, I was not allowed to see my friend who works there. (Because / As / Consequently)
15. I like cycles, motorbikes, trains and airplanes. _____, I do not like cars. (So / However / And)
16. He could not submit his admission form because he was unable to pay the tuition fee. _____, he did not apply for the scholarship. (Or / Until / In addition)
17. _____ I was preparing notes, my sister was singing a song. (While / Until / Despite)
18. I will like you _____ I die. (After / Unless / Till)
19. I had my breakfast _____ I got home. (But / As Soon As / Until)
20. _____ you do not work hard, you will not pass your exams. (If / So / As Long As)
21. _____ we had no money, we still had a good time. (Finally / However / Although)
22. My boss insulted me. _____, I have decided to leave my job. (If / Therefore / As Long As)
23. He is _____ a singer nor a dancer. (If / So / Not only/ Neither)
24. He is _____ a singer but also a dancer. (If / So / Not only/ Neither)

Exercise-II

Underline prepositions in the following paragraph:

I was very happy to see my old friend in the market. He was speaking to someone on the phone. He disconnected the call when he noticed me. He rushed to hug me. He said that he had some parcel in his bag and he was to deliver it to someone living across the river. I was really very happy to see him, and I wanted to spend some time in his company. But, he was getting late and he had to leave. I asked him to come over for dinner. He said that he would see me on Sunday at 9 pm. On that day, I was at home; I was keenly waiting for him. My friend reached my home on time. He was accompanied by his wife and two kids. I was surprised to know that his wife worked in an office which was beside my house. And my house was behind a supermarket, where they would usually come to buy grocery items. They brought a cake for me. I kept this cake on the table and sat on a chair. I was happy to receive this gift from my friend. All of us were in a jocund mood. I told my friend that I had been living in this city since 2004 and I had been trying to know his whereabouts for ten years.

8.7 ANSWERS TO EXERCISES

Exercise-I

1. Ram _____ Sham are good friends. (and)
2. He hates chocolates, _____ I love them. (but)
3. I am ill, _____ I cannot come to university. (so)
4. You can come with me, _____ you can go with them. (or)
5. I cannot come to university _____ I have an urgent piece of work. (because)
6. I will message _____ I reach home. (when)
7. _____ you submit all your assignments, you will be allowed to continue the course. (As long as)
8. I wanted to go to Goa, _____ my wife wanted to go to Manali. (whereas)
9. You cannot watch this movie _____ you are 18 or older. (unless)
10. She still went to college _____ she was sick. (even though)
11. Do not call me _____ you have reached there. (until)
12. _____ the bad weather, they left for work. (Despite)
13. Wash your hands _____ you eat your breakfast. (before)
14. I did not have permission to enter the mall. _____, I was not allowed to see my friend who works there. (Consequently)
15. I like cycles, motorbikes, trains and airplanes. _____, I do not like cars. (However)
16. He could not submit his admission form because he was unable to pay the tuition fee. _____, he did not apply for the scholarship. (In addition)
17. _____ I was preparing notes, my sister was singing a song. (While)
18. I will like you _____ I die. (till)
19. I had my breakfast _____ I got home. (as soon as)
20. _____ you do not work hard, you will not pass your exams. (If)
21. _____ we had no money, we still had a good time. (Although)
22. My boss insulted me. _____, I have decided to leave my job. (Therefore)
23. He is _____ a singer nor a dancer. (neither)
24. He is _____ a singer but also a dancer. (not only)

Exercise-II

I was very happy **to** see my old friend **in** the market. He was speaking **to** someone **on** the phone. He disconnected the call when he noticed me. He rushed **to** hug me. He said that he had some parcel **in** his bag and he was **to** deliver it **to** someone living **across** the river. I was really very happy **to** see him, and I wanted **to** spend some time **in** his company. But, he was getting late and he had **to** leave. I asked him **to** come **over** for dinner. He said that he would see me **on** Sunday **at** 9 pm. **On** that day, I was **at** home; I was keenly waiting **for** him. My friend reached my home **on** time. He was accompanied **by** his wife and two kids. I was surprised **to** know that his wife worked **in** an office which was **beside** my house. And my house was **behind** a supermarket, where they would usually come **to** buy grocery items. They brought a cake **for** me. I kept this

cake **on** the table and sat **on** a chair. I was happy **to** receive this gift **from** my friend. All **of** us were **in** a jocund mood. I told my friend that I had been living **in** this city **since** 2004 and I had been trying **to** know his whereabouts **for** ten years.

8.8 References and Suggested Readings

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- Gangal, J. K. *A Practical Course for Developing Writing Skills in English*. Delhi: PHI Learning private Limited, 2013.
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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENGLISH COMPULSORY-1

UNIT-9

FUNCTIONAL ENGLISH: THANKING, APOLOGISING, MAKING REQUESTS

STRUCTURE

9.1 Objectives

9.2 Introduction

9.3 Thanking Someone and Responding to Thanks

9.4 Spoken English and Role Plays

9.5 Apologising and Responding to Apology

9.6 Making Requests and Responding to Requests

9.7 Unit End Exercises

9.8 Let Us Sum Up

9.9 References and Suggested Readings

9.1 OBJECTIVES

After a careful reading of the unit, you will be able to

- demonstrate an understanding of the expressions related to gratitude, apology and request;
- demonstrate how to respond to thanks, apologies and requests;
- hone spoken English skills through role plays.

9.2 INTRODUCTION

To thank is to show that you are grateful or pleased about something; to apologise means to express regret for doing anything that has caused someone difficulty or dissatisfaction; to request is to ask for something politely. In this unit, as the title of the unit suggests, we will learn how to thank someone, how to apologise and how to make requests. In addition, we will also learn the expressions used to respond to thanks, apologies and requests. This unit mainly aims to improve your spoken English through role plays about thanks, apologies and requests.

We hope that you will find this unit very interesting and easy. We have prepared some exercises for you. Please complete these for a better understanding of the topic.

9.3 THANKING SOMEONE AND RESPONDING TO THANKS

When someone gives you a birthday gift, you feel so happy and you express your happiness by saying ‘thanks’. All of us are aware that we show our appreciation when we are grateful to someone. By saying thanks, we acknowledge their efforts/gestures. On a daily basis, we express our gratitude to many people for the many things they do for us. We are thankful

- when someone helps us
- when someone favours us
- when someone appreciates us
- when someone gives us a gift
- when someone makes us feel happy
- when someone gives us a compliment
- when someone gives us constructive feedback
- when someone comforts us
- when someone gives us a piece of advice

Can you think of some other situations when you express thanks to others? I am sure that there are many more such situations. Would you like to thank your family for their consistent support and love? You may say the following words to your family members over dinner: “Dear family, I am eternally grateful to you for everything you have done for me.” There are a number of ways to say ‘thanks’. Let us have a look at some common expressions that we can use in our day-to-day life:

- Thank you.
- Thanks.
- Thanks a lot.
- Thank you very much.
- Thank you. That is very kind of you.
- Thank you. You are very helpful.
- Sincere thanks.
- I am indebted to you.
- I appreciate what you have done for me.
- I am grateful to you.
- I thank you from the core/bottom of my heart.
- If anyone deserves thanks, it is you.
- Thanks for being thoughtful.
- I express my gratitude to you for your consistent support and help.
- What you have done means a lot to me.
- My gratitude knows no bounds.

- How can I ever thank you enough for all you have done?
- Please accept my endless gratitude.
- Please accept my heartfelt thanks.
- You have been extremely supportive through my hard times.
- I really appreciate it.
- I want to thank you for all the support and concern.
- That was very kind of you.
- Thank you for being there for me.

How would you respond to such expressions? If someone expresses thanks to you, you are expected to respond to that gesture warmly. Let us have a look at some expressions that you can use in such situations.

- You are welcome.
- Not at all.
- No problem at all.
- Please, do not mention it.
- It was my pleasure.
- It was really no trouble at all.
- It was the least I could do.
- Glad to help you.
- I am always at your disposal.

Choose an appropriate expression as per the context. For example, if your teacher thanks you for your assistance in the class during the contact programme, you may give a courteous response as follows: “I am always at your disposal, sir/ma’am.” Or, you may say: “I am glad to assist you, sir/ma’am.” “Not at all” will not make any sense in this situation.

9.4 SPOKEN ENGLISH AND ROLE PLAYS

Role play exercises give students an opportunity to assume the role of a person or act out a given situation. The most exciting thing about role plays is that you can pretend to be any person in any imaginary situation. For example, I can ‘become’ a student, a minister, a king, a doctor, or any other person in an imaginary situation. If I am to role-play a doctor in an imaginary hospital setting, the other participant can role-play a patient or colleague. This would help us engage in a relevant contextual dialogue. If you like, you may stay in your own shoes, or you may put yourself into an imaginary situation! For example, I may participate in a role play as a teacher (This is what I am in my professional life!).

Role plays can really help you understand the use of ‘thanks expressions’ in socio-cultural contexts. Broadly speaking, they can help you improve your speaking skills. In the beginning, we should practice speaking skills slowly (Something that we learn slowly remains with us for a long time. On the other hand, we tend to forget the things we learn quickly in no time. This is

how we acquire a language- slowly and steadily. So, slow practice is effective.); our main purpose should be meaningful communication.

Some of you might have noticed that I have used the word ‘acquire’ instead of ‘learn’ in one place in the previous paragraph. We should try to acquire language skills in socio-cultural contexts. Let me simplify it. Learning a language demands an interest in and a positive attitude towards the target language in formal as well as informal situations. In formal contexts, a language is taught with systematic instructional planning. It usually involves a teacher with an individual methodology and learners with multiple personal agendas in the class. Importantly, it includes consistent evaluation and certification at the end of a course. On the other hand, learning a language in informal contexts is based on the learner’s exposure to and experience with the target language in day-to-day socio-cultural situations outside the classroom. This kind of learning could be even more effective than planned instruction in terms of understanding and the retention of knowledge. When we study a language as a subject, we may learn its grammar rules and structures. However, we do not feel very confident and comfortable when we are to use that language in real-life situations. My three-year-old child can fluently speak in Punjabi (mother tongue) though he does not know any prescriptive rules of this language. It is due to his ample exposure to the mother tongue at home. So, the best way to learn a language is not to learn it through its grammatical structures and rules; I believe we should get exposure to the target language if we wish to learn it naturally and easily. We should not struggle to focus too much on rules. If you want to improve your spoken English, you should speak in English as much as you can. Do not worry about errors at all, as errors are a stepping stone to learning.

While everybody has abundant exposure to the mother tongue (in our case, Punjabi), it is not always so with the second language (in our case, English). In India, people do not get an opportunity to learn English in a ‘natural’ environment. That’s why, even after studying English in schools and colleges for twelve to fifteen years, many students cannot speak English accurately and fluently. We must create opportunities for students to use and practice English. Notably, role plays in English can help us hone our English speaking skills.

A roleplay takes place between two or more people who act out roles to explore a particular scenario. If you do not find a family member or friend to participate in role plays, do not worry. I always ask my students to do ‘mirror-practicing’. Just stand in front of a mirror and play both roles. It is a kind of self-talk in an imaginary situation in which you are to pretend to be two different persons who engage in a dialogue (Such a situation reminds me of monoacting in which an individual plays numerous roles in an alternate manner in the same scene); it will give you the confidence to speak English in real-life contexts.

Always remember that the English language has four basic skills: reading, writing, speaking and listening. Regretfully, many people learn English as a subject but not as communication skills. A skill can be developed through training and experience. I would like to correlate English language skills with driving skills. You may read a book on how to drive a car and learn all the driving rules. Even when you have learned everything ABOUT driving, you cannot drive a car without attending practice and training sessions. Similarly, you can learn all the rules and

structures of English, but this will not enable you to use English in your day-to-day life. English communication skills help us relook at the language as a practical skill (not as a theoretical subject!). So, if you wish to improve your English, get ample exposure to the language and use it as much as you can on a daily basis. Over a period of time, you will acquire considerable fluency and accuracy.

Role Play-I

Let us develop a role play out of an imaginary situation. Here, I have imagined becoming a customer and I want to say thanks to a bookseller for his wonderful services. My brother has decided to become the bookseller. (When my brother/sister is not around me, I role-play both roles in front of a mirror. The show must go on!)

BOOKSELLER: Good afternoon, Sir. What can I do for you?

CUSTOMER: Good afternoon. I would like to buy some books.

BOOKSELLER: Titles, Sir?

CUSTOMER: Raja Rao's *Kanthapura* and Mulk Raj Anand's *Untouchable*.

BOOKSELLER: Sir, we do not have these books at present. Could you please come tomorrow? By then we will arrange the books.

CUSTOMER: I have come from a faraway place. **I shall be highly thankful if you arrange them right away.**

BOOKSELLER: Sir, I will try my best. Please give me some time. Kindly have a seat.

[The BOOKSELLER gives some instructions to his assistant, who immediately leaves for the store.]

CUSTOMER: **So nice of you.**

BOOKSELLER: Not a problem at all. **I am glad that I am of some help.**

[After some time, the assistant returns with the books.]

CUSTOMER: **That is really nice!** I think both of the books are available now.

BOOKSELLER: **It is our pleasure, Sir. Thank you for giving us a chance to serve you.**

CUSTOMER: **Pleasure is all mine. You are so helpful.** I love to visit your shop. You never disappoint me.

BOOKSELLER: **Sir, we are always at your disposal.**

CUSTOMER: Please pack the books. How much rupees am I to pay?

BOOKSELLER: Two hundred and nineteen rupees. Plus taxes.

CUSTOMER: Could you gift-wrap these books? You see, it is a gift to my friend! He is going abroad tomorrow.

BOOKSELLER: I see! (Later) Here it is!

CUSTOMER: **That is very kind of you. Bye! Thanks again.**

BOOKSELLER: Bye, Sir. Do visit again. Have a nice day.

Activity

Imagine that you are in the following situations. What will you say to thank? At the beginning of the lesson, you have learnt many 'thanks expressions'. You can choose appropriate expressions from there. Explain which expressions will not work in the following situations? Why do you say so?

- An elderly neighbour of yours gives you a rare coin.
- Your friend sends you an expensive gift on your birthday.
- A stranger lends you his pen at the post office.
- You are ill, and your uncle brings some fruit and flowers for you.

9.5 APOLOGISING AND RESPONDING TO APOLOGY

Despite our best intentions, we make mistakes in our life. It is rightly said that to err is human. When we make mistakes, we upset/hurt others. A wise person, if wrong, would not hesitate to apologise to ease the tense situation; he/she will learn from his/her mistakes and add rich experiences to his/her life. So, you should never let your ego dominate your mind. If you realise that you are wrong, do not hesitate or feel reluctant to apologise. It will give you greater peace of mind. Besides, it will help you build your positive image. You may ruin your relationships with friends, family, and coworkers by not apologising or apologising half-heartedly. Apologising does not make you a horrible person or a loser; it simply indicates that you give more importance to your relationship than your ego.

Sometimes, we turn a blind eye to our unjustified behaviour. In that case, the best thing is to see a situation from multiple perspectives. If someone seems to be hurt or offended, try to see the situation from their perspective. Put yourself in their place/position/shoes. When we imagine ourselves in their shoes, we will be able to predict their feelings and their behaviour, bridging the gap between the self and the other. If you want to develop long-lasting connections with people, you must learn how to apologise appropriately and truly. There are two key components to a successful apology. To begin with, it expresses the person's sorrow for their words or acts. Second, it admits that your acts, whether deliberate or not, caused harm to the person to whom you are apologising.

Can you think of some situations in which you may have to apologise? A list of such situations is given below:

- missing the deadline to submit your assignment
- arriving late to a class
- not answering emails or calls on time
- not fulfilling your promise
- forgetting to bring gifts for loved ones on special occasions

- ignoring a friend's/ family member's messages
- hurting someone unintentionally
- not attending a party
- not attending a funeral ceremony

Let us have a look at some common expressions we can use to say sorry:

- I am sorry.

('I am sorry' is very informal, and it is usually used to apologise for small things. You can be more expressive and say something like "I'm terribly sorry I forgot to post your letter!" or "I'm awfully sorry! I did not know this would happen." To show the intensity of your remorse/regret, you can also use adverbs like *deeply*, *desperately*, *dreadfully*, *extremely*, *frightfully*, *genuinely*, *really*, *truly*, *very*, etc.)

- I do apologise for ... (my stupidity)
- I must apologise for... (my strange behaviour)
- I apologise for... (coming late to the class)
- I would like to apologise for... (the inconvenience caused to you)
- I am so sorry for ... (my unprofessional remark)
- I should not have... (said that. I take my words back.)
- It is all my fault.
- I am ashamed of... (my aggressive/unprofessional behaviour)
- Please, forgive me for... (my mistake)
- Excuse me for ... (not being able to live up to your expectations)
- I am terribly sorry. I did not mean to do it.
- Pardon me. I take full responsibility.
- Please, forgive me.
- Please, accept my sincere apologies.
- I feel ashamed. It will not happen again.

If someone has suffered a material loss due to you, your verbal apology may not compensate for their loss, and they might expect you to pay for the loss. This situation helps us to evolve a general strategy that can work when we are to apologise. You may consider the following steps:

- Explicit apology and request for forgiveness (For example, I am sorry, I apologise, Excuse me, Forgive me, and Pardon me)
- Taking on responsibility (For example, I did not mean to do it.)
- Explanation or account for the offense (For example, I enthusiastically lifted the vase to feel its surface. I did not know that it was slippery.)
- Offer of repair for the offense (For example, I will buy you a new vase.)
- Promise of forbearance from similar offenses in the future (For example, I will not repeat such a mistake in the future. I will be quite careful now onwards.)

Mahatma Gandhi in his autobiography mentions that he, during his childhood, fell into bad company and took to smoking surreptitiously and he even stole money to procure funds for it. He realized his mistake soon. He wrote an apology to his father, and his father forgave him.

We should not bear grudges against others. Guru Nanak Dev ji preaches about the need for forgiveness. In Hinduism, atonement, forgiveness and expiation are the best means to self-purification. *The Bible* says that forgive others to be forgiven. Once we are mentally prepared to forgive others, we may use the following expressions to respond to apologies:

- That is all right.
- Never mind.
- Do not apologise.
- It does not matter.
- Do not worry about it.
- Do not mention it.
- That is OK.
- I understand it.
- You could not help it.
- Forget about it.
- No harm done.
- Forget it!

In some compelling situations, you may reject apologies. In this case, you should use very polite expressions to share your mind and heart. For example:

- Thank you for your apology. Right now, I am not in a state of mind to accept this apology. What you have done to me is very hurtful and it will take some time to heal.

Role Play-II

Let us develop a role play out of an imaginary situation. Here, I have imagined becoming a student and I want to say sorry to my teacher for not being able to submit my assignment by the stipulated time. My brother has decided to become the teacher. (I reiterate when my brother/sister is not around me, I role-play both roles in front of a mirror. The show must go on!)

STUDENT: Sir, **I am extremely sorry that I could not submit my assignment on time.**

TEACHER: Why did you not submit it on time?

STUDENT: Sir, my assignment was ready. However, my father fell sick, and he was hospitalized. I got very busy.

TEACHER: How is your father now?

STUDENT: He is fine.

TEACHER: Why did you not inform me about your father's hospitalisation before the last date of submission?

STUDENT: **I apologise, Sir.** I was on my toes all the time. I forgot about the assignment.

TEACHER: **It is all right.** You are the only student who could not submit his assignment on time. As per the norms, I will have to take permission from Head of the Department before accepting your assignment. Could you please give me a photocopy of your father's discharge slip for official purposes? It is to be put on record.

STUDENT: I will not be able to submit it. My father was not hospitalized. I have told a lie. I could not submit my assignment on time, as I did not find time to read the lesson. **Please accept my sincere apologies. I will not do it again. I am ashamed of my behaviour.**

TEACHER: I am disheartened to know how insensitive you are. **I will not accept your apology.** You have hurt me. I am really disappointed.

STUDENT: **Please give me a chance, Sir.** I assure you that **I will not disappoint you in the future.**

TEACHER: **That is OK.** But I would like to see your father.

STUDENT: Once again, **I am really sorry. Sir,** I will ask my father to see you.

TEACHER: OK.

Activity

Imagine that you are in the following situations. What will you say to apologise? In this section, you have learnt many 'sorry expressions'. You can choose appropriate expressions from there. Explain which expressions will not work in the following situations? Why do you say so?

- You borrowed a car and crashed it into a building.
- You lost your brother's favourite book.
- You lost the book you borrowed from the local library.
- You knocked down a child while you were riding a bicycle on a busy road.
- You forgot to wish your friend on his/her birthday.
- You have invaded the other person's space.

9.6 MAKING REQUESTS AND RESPONDING TO REQUESTS

In our day-to-day life, we ask people to do something or other for us. We ask them politely and they get ready to help us readily and cheerfully on most occasions. A request is a polite way of asking people to do something. Alfred George Gardiner's essay "On Saying Please" highlights the importance of courtesy and politeness in our social behaviour. Have you ever been requested to do something for someone? The following is a list of situations in which you may have to make requests:

- Requesting your friend to let you use his car in some emergency
- Requesting your friend to drive you to the railway station

- Requesting someone to help you move into your new house
- Requesting someone to let you stay at their place for a while
- Requesting your teacher to extend the deadline for the submission of projects
- Requesting your brother to lend you some money

Activity

Mention any five situations when you would like to request someone to help you.

- 1.
- 2.
- 3.
- 4.
- 5.

Requests are simply cordial questions. A request is to ask, solicit or beseech someone for something you require.

• **I was wondering if you would** mind letting me use your pen.

• **I wonder if I could use your pen.**

• **Would you mind** letting me use your pen?

• **Would you mind if** I borrowed your pen?

• **Do you mind if** I use your pen?

• **Is it OK if** I use your pen?

• **Could you** lend me a pen?

• **Can I** borrow your pen?

• **Will you** give me a pen?

• **Give** me a pen.

Expressions for Making Requests
(From Most Formal to Least Formal)

Expressions for Accepting Requests:

Sure, I would be glad to... (help you.)

I would be happy to ... (assist you.)

Sure. Just a moment.

No problem.

Of course

Certainly.

All right.

Yes, please.

Expressions for Refusing Requests:

Your request does not seem to be reasonable.
I do not agree with you.
I cannot comply with your request.
I am sorry, I cannot.
I am sorry. I have to turn down your request.
I had loved to, but ... (my circumstances do not allow me.)
Sorry to say that ... (I will not be able to accede to your request)
It sounds great, but ... (I will not be able to accept your request)
I am afraid that I will not be able to help you.
I can help you later on but not right away.

Role Play-III

Let us develop a role play out of an imaginary situation. I will not pretend to be anyone else in this role play. It means I will speak my dialogues as Nakul. I want to request a counter clerk to help me fill up an application form. My brother has decided to become the clerk. (I reiterate when my brother/sister is not around me, I role-play both roles in front of a mirror. The show must go on!)

NAKUL: Excuse me.

COUNTER CLERK: Yes?

NAKUL: I want to fill up this application form. **Could you please help me?**

COUNTER CLERK: **Sure, I would be glad to help you.** How can I help you?

NAKUL: I do not know what is to be mentioned in column 8.

COUNTER CLERK: All right. Let me check it. (After a pause.) If your official address and home address are the same, then you are not required to mention anything here. Leave this column blank.

NAKUL: **So kind of you for your help, Sir.** Thanks.

COUNTER CLERK: **It's my pleasure.** Sir, if your form is complete in all respects, you may submit it to me.

NAKUL: Yes, Sir. It is complete. **May I get an envelope?**

COUNTER CLERK: Of course, yes. Please have it.

NAKUL: Sir, I have put the form in the envelope. **Could you please accept the form?**

COUNTER CLERK: **Sure, Sir. By all means.**

NAKUL: **Thank you very much.**

Activity

Imagine that you are in the following situations. What will you say to make a request in each situation? You have learnt many 'request expressions'. You can choose appropriate expressions from this lesson. Explain which expressions will not work in the following situations? Why do you say so?

- You need notes from your friends.
- You want your teacher to check your work.
- You want your father to buy a bike for you.
- You want a car mechanic to repair your car immediately.

9.7 UNIT END EXERCISES

Task-1

Role-play some of the following situations with at least ten lines per conversation, paying attention to how and how often you say thanks or express your gratitude.

- Someone has helped you board the bus.
- You have enjoyed your stay in a hotel.
- Someone has helped you role-play.
- An old friend invites you to a restaurant and pays the bill.
- Your teacher has cleared your doubts.

Task-II

Role-play some of the following situations with at least ten lines per conversation, paying attention to how and how often you use 'sorry' expressions.

- You forgot to bring medicines for your grandfather.
- You missed the deadline to submit your project.
- You accidentally broke a beautiful vase at your friend's house.
- Your words offended your friend.
- You ran into an elderly person.

Task-III

Role-play some of the following situations with at least ten lines per conversation, paying attention to how and how often you make requests.

- You have attended a presentation. Request the presenter for a copy of the PPT.
- You go to your workplace on your bike. Request your colleague to take you with him in his car during the winter season.

- Request the bank clerk to give you details about opening a new bank account.
- Request your friend to give his laptop to you for one day.

9.8 LET US SUM UP

In this unit, you have learnt the language of gratitude, apologies and requests. When someone does something for you, it is always good to show them that you appreciate the thought behind their action. We should be courteous while expressing thanks/gratitude to someone. An apology is about validating the other person's feelings when they have been hurt or wronged. It should show our regret/remorse. We should apologise in a humble way. A request is when we ask someone for something. Since we are asking someone for something, it is important to be polite. We must avoid being too direct. We should respond to thanks/gratitude, apologies and requests sincerely and genuinely.

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENGLISH COMPULSORY-1

Unit-10: Development of Story

STRUCTURE

10.1 Objectives

10.2 Introduction

10.3 Story

10.4 How Short can a Story be?

10.5 Tips for Writing Stories

10.6 Tenses

10.7 Developing Story Outlines into Readable Stories

10.8 Practice Exercises

10.9 Let Us Sum Up

10.10 Bibliography and Suggested Readings

10.1 OBJECTIVES

After a careful reading of the unit, you will be able to

- define and explain the characteristics of short stories;
- develop writing skills;
- develop and analyse short stories.

10.2 INTRODUCTION

In this unit, you will learn about the development of stories. First of all, the key elements of stories will be introduced to you. We will also look at the possible length of a story. J. C. Nesfield's tips for writing stories are also given in this unit so that you know about the dos and don'ts of the art of short story writing. Since one of the objectives of the lesson is to develop your writing skills, we would like you to have a quick look at tenses and revise the unit named 'Sentence Structures'. We have focused this part of the unit on tenses because we want you to ensure that you should write grammatically acceptable sentences. After looking at the grammatical aspect of writing, we will teach you how to develop a story out of an outline.

Towards the end of the unit, you will find many practice exercises. Do a lot of practice. It is well said that practice makes a man perfect. It is time to unleash your creativity. Best wishes!

10.3 STORY

A brief fictional prose narrative that usually deals with only a few characters is known as Short Story. It is a self-contained unit and can be read in a short span of time. It is shorter than a novella. It is usually concerned with a single effect. The basic difference between a novel and a short story is that of their scope. The novel has a wider scope for the development of characters and themes and the employment of different narrative techniques. In a story, the incident is more important than the character. The story has one plot and a limited setting. It is interesting to note that a short story is usually narrated/told within 10,000 words. Flash fiction may range between a few words and a thousand words. Before we proceed, let us have a look at some important terms used in this paragraph:

- **Fiction:** It is a piece of creative writing that originates out of one's imagination. It is not presented as a factual account irrespective of the fact that it may have been inspired by a true story or situation. Novels, novellas and short stories fall into the fiction genre.
- **Story:** A short story is shorter and more restricted in terms of the number of characters and situations than a novella. It may have just one episode, or it may be made up of a series of incidents related to a central situation.
- **Novel:** A novel is longer than a novella. It usually has an intricate plot. There may be a subplot as well. In the novel, characters are not only revealed but also developed. The novel usually has some major characters whose physical, social, psychological, economic and/or cultural aspects are portrayed in an elaborated manner.
- **Novella:** It is longer than a short story but shorter than a novel. The long short story is sometimes referred to as a novella. It ranges from roughly fifty to one hundred pages in length.

Character: A character is a person in a fictional work. In his book *Aspects of the Novel*, E. M. Forster has discussed two basic types of characters: flat characters and round characters. Flat characters are "immediately recognizable and can usually be represented by a single sentence" or characteristic. They are one- or two-dimensional, simple figures, but round characters are fully developed, complex characters with a wide range of attributes. Since they develop and change the story, round characters can be called dynamic characters. A round character cannot be summed up in a sentence or two. We find both flat and round characters in stories, novels and novellas.

In a short story, however, most characters are not fully developed due to temporal and spatial restrictions. Hence, many a time, any one aspect of a character is revealed through the development of the plot. In a story, if the role of a character is limited to breaking into a house to steal money, that character would be a flat character, and we can sum up that character in one word (burglar/thief) or in one sentence. On the other hand, the hero who

shows a depth of personality and develops through his crisis and/or internal/external conflicts will be an example of round characters.

Theme: Theme is the central or dominating idea, thesis or meaning of a work. According to Ross Murfin and Supriya M. Ray, it is “not simply the subject of a literary work, but rather a statement that the text seems to be making about that subject.” Example: the subject of a story may be a poor man’s hardships. However, whether that poor man’s struggle leads him to success or not would define the theme of the work. If the poor man overcomes his underprivileged condition with his strenuous efforts, then the work seems to tell us that a human being is the maker of their destiny. On the other hand, if the poor man does not overcome his underprivileged condition even after doing hard work and eventually dies, then the work probably wants to tell us that human beings are mere puppets in the hands of their destiny.

- **Narrative Technique:** Narrative techniques are the methods used by an author to tell a story. The point of view is one of the narrative techniques which an author employs to tell the story from a specific perspective. ‘First person’ is the *I/we* perspective. ‘Second person’ is the *you* perspective. ‘Third person’ is the *he/she/it/they* perspective. Let me give you three examples from my forthcoming book of short stories titled *The Whirlpool of Riddles* by Sahitya Akademi, New Delhi:

(i) **Third Person Point of View:**

“**King Vijay** was ready to shed every last drop of **his** sweat and blood to make **his** reign a success. The time of day never mattered to **him**!

He always willingly looked into issues that needed **his** attention.

His dedication and love helped **him** to win the hearts and souls of his subjects. **He** was the apple of their eye. Time swept past, and every day appeared to go by as fast as a blink. Unluckily, **his** hectic

and tiring schedule ate into **his** personal life. Although sorrows upon sorrows befell him, **he** successfully managed to cloak **himself**

in false gaiety. No one ever detected the miseries lying hidden deep

at the core of **his** heart.”

(“All About Cupidity”)

(ii) **Second Person Point of View**

“Hope to see **you** soon with my comrade. Can **you** wait?...”

(“The Waiting Room”)

(iii) First Person Point of View

“When **I** was in the eighth standard, **I** thought that one had to wear spectacles in order to acquire a scholarly air. **My** desire to own glasses resulted from my fascination with TV actors, who had popularised them like anything. **I** prayed for poor eyesight day and night. By the next year, my wish had been granted. As the years went by, **I** realised that this boon would toss me into a waste bin. With the advent of new fashions, the characters on TV discarded glasses, but **I** could not! At this point in time, **I** was nicknamed ‘Battery’ by my friends. How could **I** snatch their freedom of speech in a democratic, socialist country? **I** remained silent and worked diligently to achieve my goal.”

(“Personal Diary”)

- **Plot:** Plot is the sequence of interconnected events within a narrative work like a story. It is different from ‘story’, as it emphasizes causality. It means the plot includes not only what happens but also why and how things happen the way they do. E. M. Forster gives an example to clarify the difference between ‘story’ and ‘plot’: “The king died and then the queen died” is a story. But ‘the king died and then the queen died of grief’ is a plot.
- **Setting:** Setting is the background against which the action of a story is presented. In other words, it is the combination of place, historical time and social milieu; it gives us the general background information about the characters and plot of a literary work. Example: a story may be set in Amritsar and it may depict the division of India in 1947.

10.4 HOW SHORT CAN A STORY BE?

In the hustle-bustle of life, some people do not find a lot of time to read long fiction. They prefer to read short fiction, which is nowadays popularly known as flash fiction. **Flash fiction** is the type of fiction that has less than 1000 words. Although it is quite short in length, yet it does not compromise with its structure; it has a beginning, a middle and an ending. Flash fiction can be in different forms like drabble, mini-saga, six-word stories, etc. **Postcard fiction** is exactly what it sounds like—a tale that might fit on a postcard. It is usually approximately 250 words long, although it might be as long as 500 or as short as 25. **Mini-Sagas** first appeared in a competition run by the Sunday Telegraph in 1982. A mini-saga is a story which must have exactly fifty words

and a title not exceeding fifteen words. Like real stories, it has a beginning, a middle and an ending. A **drabble** is a tale that is only 100 words long (not including the title). Larry Smith, the founder of the storytelling magazine SMITH Magazine, invited his community to write their life stories in precisely six words in 2006, igniting a worldwide sensation in a short span of time.

10.5 TIPS FOR WRITING STORIES

In one of my short stories, the narrator aspires to become a writer and he understands that writing a creative piece of art is an agony. He says,

“Should I write a thriller? Should I write a story exposing the recruitment scam? Or, should I write the story of my unrequited love? If I write about the evils in our society, my book will be burned. I might be exiled. I might be killed. I’m afraid of democracy. Every second author points out the hardships faced by the citizens of India. Nobody suggests a solution. I’ll fill my stories with solutions. I’ll invoke Swami Vivekanand and request him to bless me with the wisdom and vision needed to do this.”

(To be a Writer...)

You should not be worried as the narrator is in the story “To be a Writer”. You can find a good theme everywhere. There are great writers who have written evergreen stories on a trivial thing like a lottery ticket (Anton Chekhov’s “The Lottery Ticket”) as well as on a grave issue like the pain of the partition of India (Saadat Hasan Manto’s “Toba Tek Singh”). Be a good observer. You will find a good theme around you. Always remember that creativity is not hereditary. All of us are capable of developing creativity to any extent.

J. C. Nesfield in *English Grammar, Composition and Usage* says,

“Bear in mind the following hints:-

1. When you are telling a story, try to *tell it as simply and naturally as possible*.
2. You must have *a clear idea of the various incidents of the story in your mind* before you begin to write.
3. If you are given an *outline*, read it carefully. Note all the points. Write with a careful eye on these points all the time. *Keep as far as possible to the order in which the points are given in the outline*.
4. Then make a start. *The opening is very important*. It should arrest the reader’s attention. The best way to begin is to plunge into the story straight away.
5. *Arrange your points in proper, natural order*. Do not jump from point to point. *Think out the proper connection between the various points of your story, so that the whole will read like a continuous narrative*.
6. You may introduce *dialogue* here and there. Be careful to make it crisp and natural.
7. The *conclusion is perhaps the most important of all*. An unexpected ending will help to make the story striking and memorable.

8. Revise what you have written, and remove all mistakes in spelling, grammar and punctuation.
9. Now give a well thought-out and suitable title or heading to your story. You may name it after the *chief point, character, or incident*. Or you may choose a *proverb* or some well-known *maxim* that the story illustrates.”

10.6 TENSES

I think you should read the lesson named ‘Sentence Structures’ once again before you try your hands at developing stories. Now, let us have a quick look at tenses. Tenses and sentence structures will help you create grammatically acceptable sentences.

- The Present - What are you currently doing? I am eating food.
- The Past - What did you do some time back? I ate food.
- The Future - What will you do later? I will eat food.

Tenses are fundamental in the creation of sentences in the English language. The tense of a verb indicates when an event or action occurs/occurred/will occur. There are four different kinds of tenses: Simple, Perfect, Continuous and Perfect Continuous. Each of these has a present, past and future form.

❖ PRESENT TENSES

➤ SIMPLE PRESENT TENSE

The action is simply mentioned and there is nothing being said about its completeness.

Examples: I go. I run. I play.

STRUCTURE

Singular-

He/She/It/Singulars + V1 (first form of verb) + s/es*

*[Add **-es** to verbs ending in: **-ss, -x, -sh, o, -ch**:

*he passes, she catches, he fixes, it pushes, **he goes***

e.g., He eats food.

He **fixes** a meeting.

Plural-

They/We/You/I/ Plurals + V1. (They eat food. They fix a meeting.)

Negative

Singular-

He/She/It/Singular (Subject) + Does Not + V1. (He does not eat food.)

Plural-

They/We/You/I/Plural (Subject) + Do Not + V1. (They do not eat food.)

Interrogative

Singular-

Doesn't + He/She/It/Singulars (Subject) + V1 + ? (Doesn't he eat food?)

OR

Does + He/She/It/Singulars (Subject) + Not + V1 + ? (Does he not eat food?)

Plural-

Don't + They/We/You/I/Plural (Subject) + V1 + ? (Don't they eat food?)

OR

Do + They/We/You/I/Plural (Subject) + Not + V1 + ? (Do they not eat food?)

USES

USE 1 Repeated Actions. Examples: I wake up early in the morning. I go to school. I take a bath.

USE 2 Facts or Generalizations. Examples: The earth revolves around the sun. Salt dissolves in water.

USE 3 Scheduled Events in the Near Future. This tense is occasionally used to refer to scheduled events in the near future. Examples: The train leaves in the evening at 5 p.m. The prime minister goes to America next year. The school reopens in July.

USE 4 Now (Non-Continuous Verbs). There are a number of common non-continuous verbs that are never or rarely used with continuous forms. Example: we cannot say 'I am liking it.' ✗ or 'I am *loving* it.' ✗ (Present Continuous Tense), as 'like' and 'love' are non-continuous verbs. It means we cannot use 'ing' with 'like' and 'love'. So, we say: 'I like it.' ✓ and 'I love it.' ✓ (Present Indefinite Tense). Some other examples of non-continuous verbs are: believe, dislike, doubt, imagine, know, hate, prefer, realize, recognize and remember.

PRESENT CONTINUOUS TENSE

The action in this tense is ongoing. In other words, it is still going. Examples: I am running. I am going. I am reading.

STRUCTURE

Positive-

Singular (Noun)/He/ She/ It + Is + V1 + ing. (He is singing.)

I + Am + V1 + ing. (I am singing.)

Plural/They/We/You + Are + Not + V1 + ing. (They are singing.)

Negative-

Subject + Is/Am/Are + Not + V1 + ing. (He is not singing. I am not singing. They are not singing.)

Interrogative-

Is/Am/Are + Subject + V1 + ing + ? (Is he singing? Is he not singing? Is he not singing? Are they singing? Am I singing?)

USES

USE 1 Now. Something is happening now, at this very moment. Examples: I **am writing** this lesson. You **are reading** this lesson.

USE 2 Longer Actions in Progress Now. To express that we are now engaged in a lengthier activity that is ongoing; nevertheless, we may not be doing it at this very moment. Example: I am teaching at a university. (If I say it when my friend happens to see me in a restaurant and asks about my profession.

USE 3 Near Future. Sometimes, this tense is used to express whether or not something will happen in the near future. Examples: I am going to meet some friends after work. I am not going **to** Delhi. Is he **coming to Jalandhar tomorrow**?

USE 4 Repetition and Irritation with “Always”. It conveys the sense that something annoying or surprising occurs frequently. Example: He is always smoking.

➤ PRESENT PERFECT TENSE

This tense refers to the action that is complete or has ended. Example: I have passed the exams.

STRUCTURE

Positive-

He/She/It/Singular + Has + V3. (He has sung a song.)

They/We/You/Plural + Have + V3. (They have sung a song.)

Negative-

Subject + Has/Have + Not + V3. (He has not sung a song.)

Interrogative-

Has/Have + Subject + V3 + ? (Have they cooked food? Have they not cooked food? Have they not cooked food? Has he cooked food?)

USES

USE 1 Unspecified Time Before Now. The Present Perfect Tense is used to express that something happened at some point in the past. It does not matter what time it happened. (Keep in your mind that we CAN use the Present Perfect with non-specific expressions like ever, never, once, many times, several times, before, so far, already, yet, etc.) In addition, we may use today, this week, this month, and so on in the Present Perfect.)

Or

To express past actions whose time is not mentioned and not specific. Example: Have you read *The Geeta*? (Time is not important, but the fact is important.)

Use 2- To indicate completed activities in the immediate past (With ‘just’). Example: He has just gone out.

Use 3- To explain previous actions when we are more concerned with the impact they have on the present than with the action itself. Example: Gopi has eaten all the biscuits (That is, There aren't any left for you.)

Use 4- To indicate an action that began in the past and continues up to the current moment (often with the words 'since' and 'for'). Examples: I have known him for seven years.

I have lived in this house for five years.

➤ **PRESENT PERFECT CONTINUOUS TENSE**

It refers to the action that has been taking place for some time and it is still ongoing. Example: I have been eating. **(Eating for some time- it is understood. Time is not mentioned in this example. But the concept/sense of time is always there in the Perfect Continuous Tenses. When time is not specified, it is assumed the listener is already aware of that time.)**

STRUCTURE

Positive-

He/She/It/Singular + Has Been + V1+ing + Since/For or Recently/Lately. (He has been sleeping for six hours.)

I/They/We/You/ Plural + Have Been + V1 + ing + Since/For or Recently/Lately. (They have been sleeping for six hours.)

Negative-

Subject + Has/Have + Not Been + V1 + ing + Time. (He has not been sleeping for six hours. They have not been sleeping for six hours.)

Interrogative-

Has/Have + Subject + (Not) Been + V1 + ing + Time + ? (Has he been sleeping for six hours? Have they been sleeping for six hours? Have they not been sleeping for six hours?)

USES

It is important to note that the basic difference between the Present Continuous Tense and the Present Perfect Continuous Tense is of time. In the Present Perfect Continuous Tense, time is emphasized or at least under consideration.

I have been eating. (Eating for some time. You know when "I" started eating. Focus is on time between 'the moment "I" started eating' and 'Now'.)

I am eating. (Eating at present. You do not know or consider when "I" started eating. Focus is on 'Now'.)

Present Continuous + Time = Present Perfect Continuous

I am eating food + for two hours = I have been eating food for two hours.

❖ **PAST TENSES**

➤ **SIMPLE PAST TENSE**

The event/action is just described and assumed to have occurred in the past. Example: I spoke to him.

Remember: Unlike the past expressed in the Present Perfect Tense, actions/happenings expressed in the Simple Past Tense always carry a sense of time. Time may or may not be mentioned, but it is always there in the mind of the speaker. Example: He completed this task. – the Simple Past Tense- (He completed the task at some particular point of time about which the speaker is conscious)

He has completed this task. –the Present Perfect Tense (The sentence is more about the fact or information related to the completion of some activity in the past. Time is not important here.)

STRUCTURE

Positive-

He/She/they/We/You/I/It/Singular/Plural + V2 (Second form of Verb). (They ate. I slept. You went home.)

Negative-

He/She/they/We/You/I/It/Singular/Plural + Did Not + V1. (They did not eat. I did not sleep. You did not go home.)

Remember:- V1 (First Form of Verb) is used with ‘did’.

Interrogative-

Did + He/She/they/We/You/I/It/Singular/Plural + V1? (Did they not eat? Did they eat? Did I not eat?)

USES

USE 1 Completed Action in the Past. To show that some activity began and ended at a given period in the past, use this tense. Examples: I met him yesterday. I watched a play. (The speaker is conscious of time though he/she has not mentioned it.)

USE 2 A Series of Completed Actions. To list a succession of performed activities in the past, we use the Simple Past. These events occur in the order of 1st, 2nd, 3rd, 4th and so on. Example: I **woke up early in the morning, took a bath and went to my school.**

USE 3 Duration in Past. It is used with a duration which started and ended in the past. Example: I studied in this school for five years.

USE 4 Habits in the Past. It is used for a habit that came to an end in the past. Example: He ate non-vegetarian food during his college days.

USE 5 Past Facts or Generalizations. Generalizations which are no longer true. Example: It was believed that the sun revolved around the earth.

➤ PAST CONTINUOUS TENSE

It refers to the activity that was continuous until a specific point in the past. Examples: I was jumping. I was celebrating my birthday.

STRUCTURE

Positive-

Singular (Noun)/He/ She/ it + Was + V1 + ing. (He was singing.)

I + Was + V1 + ing. (I was singing.)

Plural/They/We/You + Were + Not + V1+ ing. (They were singing.)

Negative-

Subject + Was/Were + Not + V1+ ing. (He was not singing. I was not singing. They were not singing.)

Interrogative-

Was/Were + Subject + V1 + ing + ? (Was he singing? Was he not singing? Was he not singing?

Were they singing? Was I singing?)

USES

USE 1 Interrupted Action in the Past. It is used to demonstrate that a past activity was in progress at the time of the interruption. Example: I was driving my bike when he called me.

USE 2 Parallel Actions. Example: I was studying while he was making dinner.

USE 3 Repetition and Irritation with “Always”. With words such as “always” or “constantly”, this tense expresses the idea that something irritating or shocking frequently happened in the past. Example: He was always smoking.

➤ **PAST PERFECT TENSE**

Past Perfect is used to express something that happened before another action in the past.

- I had eaten. (before I slept)/ I had slept. (before I completed the novel)/ I had played. (before I studied)

The Past Perfect Tense is also known as the ‘double past’ tense. It does not have its individual existence without the Simple Past Tense.

STRUCTURE

Positive-

They/We/You/He/She/It/I/Singular/Plural + Had + V3. (They had gone home.)

Interrogative

Had + They/We/You/He/She/It/I/Singular/Plural + V3 + ? (Had they gone home?)

Negative

They/We/You/He/She/It/I/Singular/Plural + Had + Not + V3. (They had not gone home.)

USE

Completed Action Before Something in the Past. Example: The patient **had died** before the doctor came.

➤ **PAST PERFECT CONTINUOUS TENSE**

It is used to describe anything that began in the past and proceeded till a later stage. Examples: I had been eating (for five minutes before he went). I had been sleeping (for one hour before he came). I had been playing (for ten minutes before he met with an accident).

STRUCTURE

Positive-

They/We/You/He/She/It/I/Singular/Plural + Had Been + V1 + ing + Time. (They had been sleeping for six hours. [Before I slept])

Interrogative

Had + They/We/You/He/She/It/I/Singular/Plural + Been + V1 + ing + Time + ? (Had they been sleeping for six hours?)

Negative

Examples: They had not been sleeping for six hours. Had they not been sleeping for six hours?

USE

Duration before Something in the Past. It is used to describe a course of activity that started before a given point in the past and proceeded till that moment. This is similar to the Present Perfect Continuous, except the duration does not extend until today; instead, it ends before something else in the past. Example: They had been sleeping for two hours before the incident took place.

❖ FUTURE TENSES

➤ SIMPLE FUTURE TENSE

The Simple Future Tense is used when we plan or make a decision to do something in the future.

STRUCTURE

Positive-

Subject + Will + V1. (I will eat. I will sleep. I will play.)

Negative-

Subject + Will + Not + V1. (I will not play.)

Interrogative

Will + Subject + Not + V1 +? (Will I not play?)

USES

Use 1: Promises. Example: I will never forget you.

Use 2: Predictions. This tense is used for making a prediction based on experience or intuition. Example: This earthquake will cause havoc.

Use 3: Future Habits. Example: He will always ask for me when we are short of funds.

➤ FUTURE CONTINUOUS TENSE

The future continuous tense is used to describe an activity that will take place at a certain point in the future. The activity, however, will not be completed at this time. For instance, I will be singing at 9 a.m.

STRUCTURE

Positive-

Subject + Will + Be + V1 + ing. (I will be playing.)

Negative-

Subject + Will + Not + Be + V1 + ing. (I will not be playing.)

Interrogative

Will + Subject + Not + Be + V1 + ing? (Will I not be playing?)

USES

Use 1: Future actions in progress. Example: In an hour, I will be sleeping.

Use 2: Guesses. Example: Ram will be getting married very soon.

Use 3: Questions. It is to make polite questions about something or somebody. Example: Will you be coming to the office before or after 10 a. m.?

➤ **FUTURE PERFECT TENSE**

The Future Perfect Tense expresses an action that will occur in the future before another action in the future.

STRUCTURE

Positive-

Subject + Will + Have + V3. (I will have played before 6 p.m.)

Negative-

Subject + Will + Not + Have + V3. (I will not have played.)

Interrogative

Will + Subject + Have Not + V3? (Will I have not played?)

USES

Use 1: Completion of action before a specified point in the future. Example: Before they come, we will have left the house.

Use 2: Duration in the Future. Example: By the next year, I will have studied at this university for eight years.

Use 3: Certainty about the Near Past. Example: The chief minister will have arrived at the college by now. (I am sure the chief minister has arrived at the college)

➤ **FUTURE PERFECT CONTINUOUS TENSE**

It is used to refer to an ongoing action before some point in the future.

STRUCTURE

Positive-

Subject + Will + Have Been + V1 + ing + Time. (I will have been playing for an hour when it is 5 pm)

Negative-

Subject + Will + Not + Have Been + V1 + ing + Time. (I will not have been playing for two hours.)

Interrogative

Will + Subject + Not + Have Been + V1 + ing + Time + ? (Will I not have been playing for two hours?)

USES

USE 1: Duration. This tense is used to describe circumstances that will persist for a set amount of time at a certain point in the future. For instance, we will have spent 5 hours cleaning the house before they arrive.

USE 2: Cause. This tense is used by English speakers to show certainty about the cause of a future scenario. Example: By this time, he will have been sleeping for eight hours, so he will be relaxed.

Check Your Progress

Question 1: Fill in the Blanks with Suitable Verb Forms. Specify the Tense of Each Sentence.

- i. The patient _____ (die) before the doctor came.
- ii. Gandhiji has _____ (Write) a famous book.
- iii. I _____ (Read) the novel since morning.
- iv. He _____ (Smoke). {Negative Habit in the Past}
- v. He did not _____ with me. (Play)

Answer:

- i. The patient had died before the doctor came. (Past Perfect Tense)
- ii. Gandhiji has written a famous book. (Present Perfect Tense)
- iii. I have been reading the novel since morning. (Present Perfect Continuous Tense)
- iv. He was always smoking. (Past Continuous Tense)
- v. He did not play with me. (Simple Past Tense)

Check Your Progress

Question 2: Fill in the Blanks with the Most Suitable Options. Specify the Tense of Each Sentence.

- i. I am _____ (go, went, going) to attend the party tonight.
- ii. She has _____ (take, took, taken) the full responsibility of the child.
- iii. We _____ (miss, missing, missed) you so much yesterday.
- iv. Mr. Mohanty _____ (will teach, has taught, have taught) us English next year.

- v. Where did you _____ (go, went, gone) last Sunday?
- vi. My brother does not _____ (liked, liking, like) football.
- vii. He has _____ (win, won, winning) a lottery.
- viii. He _____ (play, played, plays) the guitar when he was young.
- ix. Will you _____ (help, helped, helping) me?

Answer:

- i. I am going to attend the party tonight. (Present Continuous Tense)
- ii. She has taken the full responsibility of the child. (Present Perfect Tense)
- iii. We missed you so much yesterday. (Simple Past Tense/ Past Indefinite Tense)
- iv. Mr. Mohanty will teach us English next year. (Simple Future Tense/ Future Indefinite Tense)
- v. Where did you go last Sunday? (Simple Past Tense/ Past Indefinite Tense)
- vi. My brother does not like football. (Simple Present Tense/ Present Indefinite Tense)
- vii. He has won a lottery. (Present Perfect Tense)
- viii. He played the guitar when he was young. (Simple Past Tense/ Past Indefinite Tense)
- ix. Will you help me? (Simple Future Tense/ Future Indefinite Tense)

Check Your Progress

Question 3: Choose the Most Suitable Options.

Q1	This house _____ in 1985 by my uncle.			
	(a.)	Built	(b.)	Was built
	(c.)	Was build	(d.)	Has built

Q2	The police _____ him.			
	(a.)	Has arrested	(b.)	Will arrested
	(c.)	Was arrested	(d.)	Did arrested

Q3	We _____ for the examination.			
	(a.)	Have preparing	(b.)	Are preparing
	(c.)	Had preparing	(d.)	Have been prepared

Q4	It _____ since yesterday.			
	(a.)	Is raining	(b.)	Has been raining
	(c.)	Have been raining	(d.)	Was raining

Q5	I _____ for five hours.			
	(a.)	Have been working	(b.)	Has been working
	(c.)	Was working	(d.)	Am working

Q6	The students _____ submit their reports by the end of this week.			
	(a.)	Will	(b.)	Are
	(c.)	Is	(d.)	Was

Q7	She.....for a while.			
	(a.)	Are Ailing	(b.)	Is Ailing
	(c.)	Has Been Ailing	(d.)	Have Been Ailing

Q8	The teacher _____ the student for lying.			
	(a.)	Has punished	(b.)	Punished
	(c.)	Is punished	(d.)	Was punished

Q9	I _____ to become a successful writer.			
	(a.)	Have always wanted	(b.)	Am always wanted
	(c.)	Were always wanted	(d.)	Was always wanted

Q10	The inmates of the juvenile home _____ away yesterday.			
	(a.)	Ran	(b.)	Runs
	(c.)	Run	(d.)	Will Run

Q11	“I have watched the movie in Japanese.” This sentence is written in the _____.					
	(a.)	Present Perfect Tense	(b.)	Simple Past Tense	(c.)	Past Perfect Tense
					(d.)	Present Perfect Continuous Tense

Q12	Geeta _____ at this moment.							
	(a.)	Sing	(b.)	Sings	(c.)	Is singing	(d.)	Are singing
Q13	Raj always _____ meetings on time.							
	(a.)	Arrive	(b.)	Arrives	(c.)	Is arriving	(d.)	Are arriving
Q14	Ruchi usually _____ dinner for her husband after work.							
	(a.)	Cook	(b.)	Cooks	(c.)	Are Cooking	(d.)	Is Cooking
Q15	This week Ruchi is away on business so Manish _____ dinner for himself.							
	(a.)	Cook	(b.)	Cooks	(c.)	Are cooking	(d.)	Is cooking
Q16	Mr. and Mrs. Malhotra _____ to work together every day.							
	(a.)	Drive	(b.)	Drives	(c.)	Are Driving	(d.)	Is Driving
Q17	Today Mr. and Mrs. Malhotra _____ to work separately because Mr. Parsons has to go to a meeting at another branch							
	(a.)	Drive	(b.)	Drives	(c.)	Are Driving	(d.)	Is Driving
Q18	My parents normally _____ breakfast at 7:00 a.m.							
	(a.)	Eat	(b.)	Eats	(c.)	Are Eating	(d.)	Is Eating
Q19	At the moment my parents are on vacation, so they _____ breakfast much later.							
	(a.)	Eat	(b.)	Eat	(c.)	Are Eating	(d.)	Is Eating
Q20	My husband and his colleague _____ golf right now.							
	(a.)	Play	(b.)	Plays	(c.)	Are Playing	(d.)	Is Playing

Answer:

1-b

2-a

3-b
4-b
5-a
6-a
7-c
8- a, b
9- a
10- a
11- a
12- c
13- b
14- b
15- d
16- a
17- c
18- a
19- c
20-c

10.7 DEVELOPING STORY OUTLINES INTO READABLE STORIES

In this part of the lesson, you will learn how to develop story outlines into readable stories. This is a piece of guided composition. You will be required to develop a story from a given outline of 3-4 lines. The outline shall consist of brief hints regarding the beginning, middle and end of the story. The length of the story shall be 150-200 words. Let us start with a story you read during your school days. The following may be regarded as a sample outline:

“A group of mice live happily_____the farm’s cat is too old and lazy_____a new cat arrives_____young and a keen hunter_____mice start disappearing.

The mice have a meeting _____proposes a plan to tie a bell around the cat’s neck. All the mice agree _____great plan_____none of them wants to take on the task.”

(Based on Aesop’s “Belling the Cat”)

Can you develop a story based on the outline? To make the narrative more interesting, use your imagination. Remember that a story should be organized in such a manner so as to sustain the curiosity of the reader to know what happens next. You should write it in a simple and lucid manner. A good story leaves a lasting impression.

Let us study some more story outlines and their respective expanded stories from Aesop’s *Fables* (translated by George Fyler Townsend). **Study the following examples carefully:**

(i)

Outline

A LION-----Mouse running over his face-----caught him and was about to kill-----
-----Mouse requested for kindness and promised to pay back-----Lion showed mercy-----
----- Lion caught by some hunters----- Mouse gnawed the rope with his teeth, and set him free.

Expanded Story

The Lion and the Mouse

A LION was awakened from sleep by a Mouse running over his face. Rising up angrily, he caught him and was about to kill him, when the Mouse piteously entreated, saying: "If you would only spare my life, I would be sure to repay your kindness." The Lion laughed and let him go. It happened shortly after this that the Lion was caught by some hunters, who bound him by strong ropes to the ground. The Mouse, recognizing his roar, came and gnawed the rope with his teeth, and set him free, exclaiming: "You ridiculed the idea of my ever being able to help you, not expecting to receive from me any repayment of your favor; now you know that it is possible for even a Mouse to confer benefits on a Lion."

(ii)

Outline

Sons perpetually quarreled among themselves-----Father wanted to teach a practical lesson-----
-----asked them to bring him a bundle of sticks-----he placed the faggot into the hands of each of them in succession, and ordered them to break it in pieces-----
Sons were not able to do it----- and then Father asked them to break each stick separately-----teaches the lesson that unity is strength.

Expanded Story

The Father and His Sons

A FATHER had a family of sons who were perpetually quarreling among themselves. When he failed to heal their disputes by his exhortations, he determined to give them a practical illustration of the evils of disunion; and for this purpose he one day told them to bring him a bundle of sticks. When they had done so, he placed the faggot into the hands of each of them in succession, and ordered them to break it in pieces. They tried with all their strength, and were not able to do it. He next opened the faggot, took the sticks separately, one by one, and again put them into his sons' hands, upon which they broke them easily. He then addressed them in these words: "My sons, if you are of one mind, and unite to assist each other, you will be as this faggot, uninjured by all the attempts of your enemies; but if you are divided among yourselves, you will be broken as easily as these sticks."

(iii)

Outline

A HARE ridiculed the Tortoise----- the Tortoise challenged to defeat the hare in a race-----
-----the Hare assented to the proposal-----the Fox should choose the course and fix the goal-----the race started together-----the Tortoise never for a moment stopped---

-----the Hare, lying down by the wayside, fell fast asleep-----the Tortoise reached the goal-----Slow but steady wins the race.

Expanded Story

The Hare and the Tortoise

A HARE one day ridiculed the short feet and slow pace of the Tortoise, who replied, laughing: “Though you be swift as the wind, I will beat you in a race.” The Hare, believing her assertion to be simply impossible, assented to the proposal; and they agreed that the Fox should choose the course and fix the goal. On the day appointed for the race the two started together. The Tortoise never for a moment stopped, but went on with a slow but steady pace straight to the end of the course. The Hare, lying down by the wayside, fell fast asleep. At last waking up, and moving as fast as he could, he saw the Tortoise had reached the goal, and was comfortably dozing after her fatigue.

Slow but steady wins the race.

(iv)

Outline

A FOX fell into a deep well -----A Goat, overcome with thirst, came to the same well, and seeing the Fox, inquired if the water was good-----the Fox praised the water-----The Goat jumped down----- the Fox leaped upon his back----- safely reached the mouth of the well-----turned around and cried out, “You foolish old fellow!”-----Look before you leap.

Expanded Story

The Fox and the Goat

A FOX one day fell into a deep well and could find no means of escape. A Goat, overcome with thirst, came to the same well, and seeing the Fox, inquired if the water was good. Concealing his sad plight under a merry guise, the Fox indulged in a lavish praise of the water, saying it was excellent beyond measure, and encouraging him to descend. The Goat, mindful only of his thirst, thoughtlessly jumped down, but just as he drank, the Fox informed him of the difficulty they were both in and suggested a scheme for their common escape. “If,” said he, “you will place your forefeet upon the wall and bend your head, I will run up your back and escape, and will help you out afterwards.” The Goat readily assented and the Fox leaped upon his back. Steadying himself with the Goat’s horns, he safely reached the mouth of the well and made off as fast as he could. When the Goat upbraided him for breaking his promise, he turned around and cried out, “You foolish old fellow! If you had as many brains in your head as you have hairs in your beard, you would never have gone down before you had inspected the way up, nor have exposed yourself to dangers from which you had no means of escape.”

Look before you leap.

(v)

Outline

TWO MEN were traveling together----- a Bear suddenly met them on their path-----
-One of them climbed up quickly-----the other fell flat on the ground-----when
the Bear felt him with his snout-----he feigned the appearance of death as much as he
could-----the Bear soon left him-----the other Traveler descended from the
tree and jocularly inquired of his friend what it was the Bear had whispered in his ear-----
“Never travel with a friend who deserts you at the approach of danger.”

Expanded Stor

The Bear and the Two Travelers

TWO MEN were traveling together, when a Bear suddenly met them on their path. One of them climbed up quickly into a tree and concealed himself in the branches. The other, seeing that he must be attacked, fell flat on the ground, and when the Bear came up and felt him with his snout, and smelt him all over, he held his breath, and feigned the appearance of death as much as he could. The Bear soon left him, for it is said he will not touch a dead body. When he was quite gone, the other Traveler descended from the tree, and jocularly inquired of his friend what it was the Bear had whispered in his ear. “He gave me this advice,” his companion replied. “Never travel with a friend who deserts you at the approach of danger.”

Misfortune tests the sincerity of friends.

(vi)

Outline

A SHEPHERD-BOY brought out the villagers three or four times by crying out, “Wolf! Wolf!”--
-----when his neighbors came to help him-----laughed at them for their
pains-----the Wolf truly come at last-----nobody believed the boy this time-----
---- the Wolf lacerated or destroyed the whole flock-----There is no believing a liar, even
when he speaks the truth.

Expanded Story

The Shepherd’s Boy and the Wolf

A SHEPHERD-BOY, who watched a flock of sheep near a village, brought out the villagers three or four times by crying out, “Wolf! Wolf!” and when his neighbors came to help him, laughed at them for their pains. The Wolf, however, did truly come at last. The Shepherd-boy, now really alarmed, shouted in an agony of terror: “Pray, do come and help me; the Wolf is killing the sheep;” but no one paid any heed to his cries, nor rendered any assistance. The Wolf, having no cause of fear, at his leisure lacerated or destroyed the whole flock.

There is no believing a liar, even when he speaks the truth.

(vii)

Outline

A dying FATHER wants his sons to give the same attention to his farm as he himself had given it-----He said, “My sons, there is a great treasure hid in one of my vineyards.”-----
The sons carefully dug over every portion of their land-----no treasure-----but the
vines repaid their labor by an extraordinary and superabundant crop.

Expanded Story

The Farmer and His Sons

A FATHER, being on the point of death, wished to be sure that his sons would give the same attention to his farm as he himself had given it. He called them to his bedside and said, "My sons, there is a great treasure hid in one of my vineyards." The sons, after his death, took their spades and mattocks and carefully dug over every portion of their land. They found no treasure, but the vines repaid their labor by an extraordinary and superabundant crop.

(viii)

Outline

A CROW having stolen a bit of meat-----in her beak. A Fox longed to possess the meat himself-----He praised her beauty and urged her to sing-----exclaimed Oh, if her voice were only equal to her beauty-----the Crow set up a loud caw and dropped the flesh-----the Fox quickly picked it up----- "My good Crow, your voice is right enough, but your wit is wanting."

Expanded Story

The Fox and the Crow

A CROW having stolen a bit of meat, perched in a tree and held it in her beak. A Fox, seeing this, longed to possess the meat himself, and by a wily stratagem succeeded. "How handsome is the Crow," he exclaimed, "in the beauty of her shape and in the fairness of her complexion! Oh, if her voice were only equal to her beauty, she would deservedly be considered the Queen of Birds!" This he said deceitfully; but the Crow, anxious to refute the reflection cast upon her voice, set up a loud caw and dropped the flesh. The Fox quickly picked it up, and thus addressed the Crow: "My good Crow, your voice is right enough, but your wit is wanting."

(ix)

Outline

A thirsty CROW-----water level low in the pitcher-----collected stones and dropped them into the pitcher-----water-level high-----the Crow drinks water-----
-----Necessity is the mother of invention.

Expanded Story

The Crow and the Pitcher

A CROW perishing with thirst saw a pitcher, and hoping to find water, flew to it with delight. When he reached it, he discovered to his grief that it contained so little water that he could not possibly get at it. He tried everything he could think of to reach the water, but all his efforts were in vain. At last he collected as many stones as he could carry and dropped them one by one with his beak into the pitcher, until he brought the water within his reach and thus saved his life.

Necessity is the mother of invention.

10.8 PRACTICE EXERCISES

Develop the following outlines into readable stories:

1.

a monkey who resided on a jamoon (berry) tree-----the kindhearted monkey offered the crocodile some fruits-----became good friends-----the monkey sent some fruits for the crocodile's wife-----She desired to eat the monkey's heart-----He invited the monkey to his house for dinner----- the crocodile took him on his back-----while talking, he blurted out the real reason for taking the monkey home-----The clever monkey said that he had left his heart on the tree-----The crocodile believed him and took him back to the tree-----the clever monkey saved his life.

2.

An abandoned village after an earthquake----- the mice make it their home-----the elephants trampled the mice while walking there-----the king of mice clinched a deal with them: "we will return the favour when you are in need." The elephant king honoured the request and changed their route-----After a few days, the elephants got trapped-----the king sent a fellow elephant who was not trapped, to the mice----- all the mice started nibbling the nets, and freed the elephants-----*A friend in need is a friend indeed.*

3.

A tortoise and two geese great friends-----the lake was drying-----the geese to migrate-----the tortoise pleaded the geese to take him with them-----They held a stick with their beaks and asked the tortoise to hold the stick with his mouth-----warned him not to speak-----flew -----some onlookers commented-----the tortoise opened his mouth to say something back-----he fell to the ground and died.-----*Think before you speak.*

10.9 LET US SUM UP

A short story is a fictional work of prose; it is shorter in length than a novel. A short story can be written in less than fifty words. In this unit, you have learnt how to develop stories between 150 and 200 words. Try to write your stories as simply and naturally as possible. Tenses form the backbone of the English language. Having a good understanding of tenses and sentence structures can help you produce grammatically acceptable sentences. Through many examples, you have learnt how to develop stories out of story outlines.

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(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counselling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs

BACHELOR OF ARTS (LIBERAL ARTS)



SYLLABUS

(AE2B31207T): INTRODUCTION TO ENVIRONMENTAL STUDIES

MAX. MARKS:100

EXTERNAL:70

INTERNAL:30

PASS:35%

Credits:4

Objective:

The objective of this paper is to create awareness about environmental problems among learners. The paper imparts basic knowledge about environment and its problems, and attempts to motivate learners to participate improvement.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

SECTION-A

The multidisciplinary nature of environmental studies. Definition, scope and importance. Concept of Biosphere – Lithosphere, Hydrosphere, Atmosphere.

Ecosystem & Biodiversity Conservation

Ecosystem and its components, Types of Ecosystems

Biodiversity - Definition and Value, Threats to biodiversity and its conservation

Level of biological diversity: genetic, species and ecosystem diversity; bio-geographic zones of India; biodiversity patterns and global biodiversity hot spots.

India as Mega-biodiversity nation; Endangered and endemic species of India.

Ecosystem and biodiversity services: Ecological, economic, social, ethical, aesthetic and informational value.

Natural Resources–Renewable And Non Renewable Resources: Land resources and land use change; land degradation, soil erosion and desertification. Deforestation: causes and impacts due to mining, dam building on environment, Forests, Biodiversity and tribal populations.

Water: Use and over-exploitation of surface and ground water, Floods, droughts, conflicts over water (international & inter-state)

Energy resources: renewable and nonrenewable energy sources, use of alternate energy sources, growing energy needs, case studies.

Environmental Pollution: Types, causes, effects and controls; Air, Water, Soil and noise pollution. Nuclear hazards and human health risks Solid waste management, Source Segregations : Control measures of urban and Industrial waste. Pollution case studies.

SECTION-B

Environmental Protection Laws In India: Environmental protection act for; Air (Prevention and control of pollution), Water (Prevention and Control of pollution), Wild life, Forest Conservation, Issues involved in the enforcement of environmental legislation. Role of an individual in prevention of pollution.

Environmental policies & Practices; Climate change, global warming, ozone layer depletion, acid rain and impacts on human communities and agriculture.

Human Communities and the Environment

Human population growth: Impacts on environment, human health and welfare, Sanitation & Hygiene. Resettlement and rehabilitation of project affected persons; case studies. Disaster management: floods, earthquake, cyclones and landslides. Environment movements: Chipko, Silent valley, Bishnois of Rajasthan. Environmental ethics: Role of Indian and other religions and cultures in environmental conservation for a Clean-green pollution free state. Environmental communication and public awareness, case studies (e.g., CNG vehicles in Delhi)

Road Safety Awareness: Concept and significance of Road safety, Traffic signs, Traffic rules, Traffic Offences and penalties, How to obtain license, Role of first aid in Road Safety.

Stubble Burning: Meaning of Stubble burning. Impact on health & environment. Management and alternative uses of crop stubble. Environmental Legislations and Policies for Restriction of Agriculture Residue Burning in Punjab.

Suggested Readings:

1. Carson, R. 2002. Silent Spring, Houghton Mifflin Harcourt.
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8. McNeill, John R. 2000. Something New Under the Sun : An Environmental History of the Twentieth Century.
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11. Rao, M.N. & Datta, A.K.1987. Waste Water Treatment. Oxford and IBH Publishing Co. Pvt.Ltd.
12. Raven, P.H., Hassenzahl, D.M. & Berg, L.R.2012, Environment. 8Th edition. John Wiles & Sons.
13. Rosencranz, A., Divan, S., & Nobie, M.L. 2001. Environmental law and policy in India. Tripathi 1992
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18. Warren, C.E. 1971. Biology and Water Pollution Control. WB Saunders.
19. Wilson, E.O. 2006. The Creation: An appeal to save life on earth. New York: Norton.
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BACHELOR OF ARTS (LIBERAL ARTS)
ABILITY ENHANCEMENT COMPULSORY COURSE (AE2)

SEMESTER-II

AE2B31207T: INTRODUCTION TO ENVIRONMENTAL STUDIES

COURSE COORDINATOR AND EDITOR: DR. GURLEEN AHLUWALIA

SECTION A

UNIT NO.	UNIT NAME
UNIT 1	INTRODUCTION TO THE ENVIRONMENTAL STUDIES
UNIT 2	ECOSYSTEM & BIODIVERSITY CONSERVATION
UNIT 3	NATURAL RESOURCES – RENEWABLE AND NON - RENEWABLE RESOURCES
UNIT 4	ENVIRONMENTAL POLLUTION

SECTION B

UNIT No.	UNIT NAME
UNIT 5	ENVIRONMENTAL PROTECTION LAWS IN INDIA
UNIT 6	HUMAN COMMUNITIES AND THE ENVIRONMENT
UNIT 7	ROAD SAFETY AWARENESS
UNIT 8	STUBBLE BURNING

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER: II

COURSE: ENVIRONMENTAL STUDIES

UNIT – 1: INTRODUCTION TO ENVIRONMENTAL STUDIES

STRUCTURE

1.0 Learning Outcomes

1.1 Introduction

1.2 Meaning of Environment

1.3 Multidisciplinary Nature of Environment Studies

1.4 Definition, Scope and Importance of Environment Studies

1.5 Concept of Biosphere, Lithosphere, Hydrosphere, Atmosphere

1.6 Summary

1.7 Questions for Practice

1.8 Suggested Readings

1.0 LEARNING OUTCOMES:

After the study of this unit, the learners will be able to:

- Know the concept of environment and understand it from the perspective of the elements that constitute the environment
- Understand the multidisciplinary approach towards the subject of Environmental Studies
- Learn about the scope and importance of the discipline of Environmental Studies
- Acquire a greater understanding of the components of the environment and know more about the thermal stratification of the environment

1.1 INTRODUCTION

The subject of Environment Studies aims at providing a comprehensive understanding of a wide range of environmental concerns through an interdisciplinary approach that combines scientific knowledge with an understanding of the socioeconomic impact of these problems. It focuses on environmental issues such as climate change and global warming, as well as contamination and pollution. It contributes significantly in equipping the students with an analytical skill and critical approach towards the understanding of the important issues

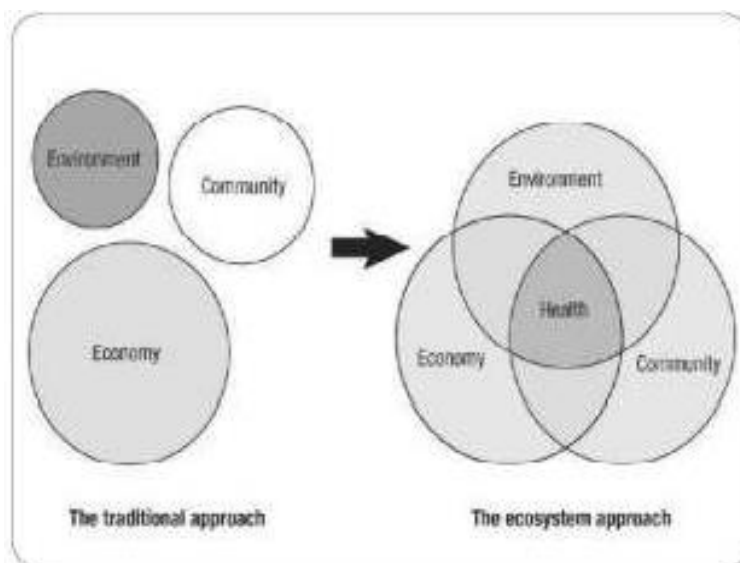
pertaining to the environment and inculcates in them a contextual understanding of major global and regional environmental challenges. The resources available with the Mother earth are dwindling day by day and the human beings have been causing intemperate damage to the environment in an urge to grow and progress in all spheres of their lives. The human beings cannot survive without the environment either but the destruction caused to the quality of environment because of the incessant use of natural resources has almost begun to render survival and sustenance impossible on the Earth. The rise in the global temperature, depletion of the ozone layer, climate changes, increasing incidence of environmental pollution, rising proportion of human population and calamities and disasters are all, the consequences of human interference with the ecological balance.

The subject of environmental studies can help in understanding the problems and concerns relating to the environment from the perspective of physical, biological, chemical and social perspectives. It gives the learners an opportunity to delve deeper into the interface between human beings and nature and understand how human beings and other living organisms depend upon each other. An insight into this discipline will help to develop an awareness of the significance of the renewable sources of energy and the need to cut down on the use of non-renewable sources. The knowledge of the subject can provide the skills that are essential to find out effective solutions to the problems and encourage the use and development of scientific and conscientious principles to address the issues that have invited a great deal of national and global attention.

1.2 MEANING OF ENVIRONMENT

The word environment finds its origin from the French word ‘environner’ which means ‘to encircle’ or ‘to surround’. The term ‘environment’ was used for the first time by a biologist Jacob Van Uerkal for the subject of ecology in which the interaction between the living organisms and their environment is studied. Thus the term indicates the external conditions or surroundings that support the growth of flora and fauna or even the human beings and their characteristics and also protect all these species from the ill effects of pollution. Douglass and Holland (1947) defined environment as *“a word which describes, in the aggregate, all of the extrinsic (external) forces, influences and conditions which affect the life, nature, behaviour and the growth, development and maturity of living organisms.”* The Environment Protection Act 1986 defines an environment as the sum total of land, air, water, the interrelationship amongst these components and also their interface with the human beings and other living organisms on the earth. Environment can thus be defined as the aggregate of a complex set of

physical, geographical, biological, social, cultural or political conditions or forces which can potentially affect the individuals or organisms on the earth and can also shape their appearance and determine the conditions of their survival. Of all the planets in the solar system, it is the Earth alone that



supports life and provides for all the necessary conditions that are conducive for the survival of various species.

Since an environment constitutes of the interaction of the physical, biological and cultural elements, *inter alia*, the components that broadly define an environment may be categorized as:

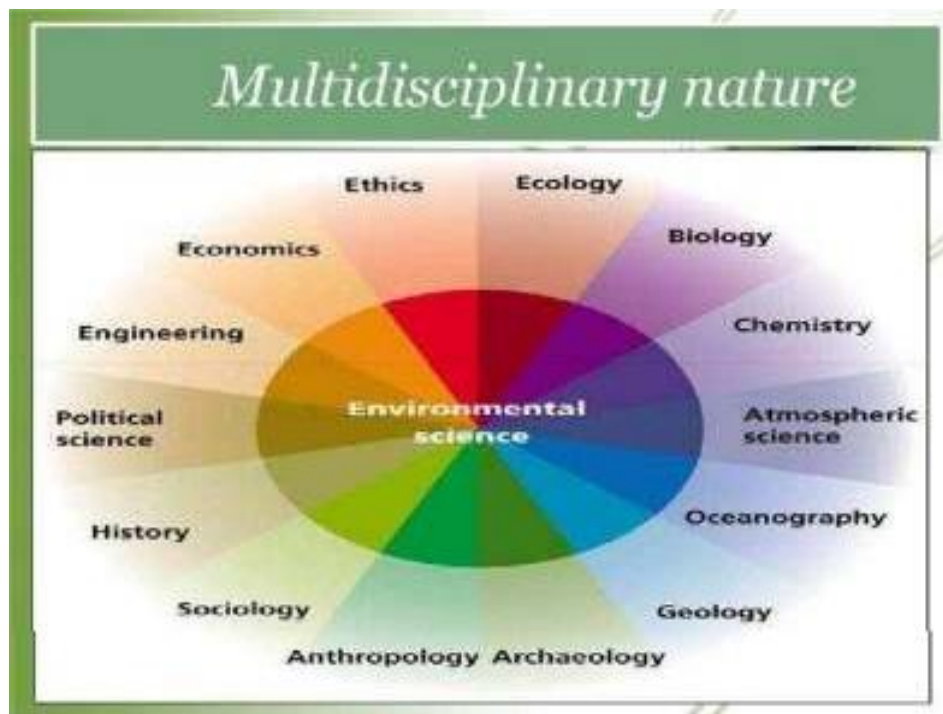
- a. Physical elements –The physical elements include the climatic and the physical conditions such as the air, water, sky, vegetation, the elements below the surface of the earth and the organisms that are a part of life on earth. The physical efficiency, appearance, colour of the skin, all depend upon the physical environment. For ex. In cold regions, the human beings usually have a short and a sturdy built-up so that heat is trapped inside their body whereas in the hot areas, people have thin and long limbed structures which allow heat to be released from the body, more quickly.
- b. Social and cultural environment –The moral values, cultural ethics and emotional strengths of the individuals contribute towards their social and cultural environment. The social environment is an outcome of the interaction of the political, economic or social conditions in which an individual operates. Such an environment manifests itself in the form of all rituals and customs, legal and behavioural approaches reflected by the society. It comprises of the groups, communities, committees or all such institutions which are established by the individuals to build up human relationships.
- c. Psychological environment – All individuals in a society may have a common physical and social environment but each individual is faced by a different psychological environment. The psychological environment is important for the

purpose of understanding the personality and approach of an individual. Such factors influence the nature of an individual and also cast their impact on the way an individual lives his life. For ex. if a person is unable to attain a goal that he sets for himself, he will either become frustrated or will be forced to switch his goal according to his psychological environment.

1.3 MULTIDISCIPLINARY NATURE OF ENVIRONMENT STUDIES

It is a well-known fact that an environment is a complex structure wherein all living organisms interact with their surroundings in a quest to live. In this process, the human beings come either in conflict or in direct correlation with the nature by using the limited and finite resources bestowed by the nature. Environment studies, thus by its multidisciplinary nature, aims and endeavours at finding out and unravelling ways and means so that life can be sustained without drastically affecting the environment. The discipline of environment studies is believed to be multidisciplinary in nature because it is one such subject which has interrelation with several other subjects like physical science, medical science, chemistry, agriculture, economics, statistics, law, public health, biological sciences, geology, sociology, anthropology, political science, engineering, management, technology and even religion. Amongst all these subjects, physics, geography, chemistry and geology are the main streams which help us to understand the environment in its structural and physical form. Apart from these, the subject of statistics and computer applications can be used for data simulation and designing a suitable environmental model. The idea of devising technical solutions or a scientific technique to tackle the problems like pollution, waste management, use of green energy, can be effectively contributed by the fields of engineering and chemical sciences. The subjects like economics and law which are prescriptive in nature, can go a long way in identifying the extent to which damage has been caused to the environment and can thus be used to suggest and recommend legal remedies or policy solutions which can effectively be used to compensate for the harm caused by the human beings to the environment, in their unquenching urge to grow and develop. Similarly, insights on subjects like political science and international relations can help in understanding the relevance of the issue of sustainability attached to the environment; the principles of sustainable development are more associated and intertwined with the elements of international cooperation which are accorded significance while dealing with the global environmental issues such as climate

change, ozone layer depletion, loss of biodiversity, transmission of pollution across the boundaries of the countries etc.



The food that provides energy, water which is crucial for the sustenance of life and air without which life on earth would not have been possible - all form an integral part of the environment and to maintain and sustain these components of environment, the subject of environmental studies has to be approached in a holistic way. Therefore it can be conclusively said that only the use of a multidisciplinary approach towards environmental studies can help in understanding and appreciating the inter linkage between the nature and the human beings. This subject in its practical sense seeks to analyse the problems and concerns related to the environment and eventually find out practical solutions so as to render life on earth more sustainable, keeping in view the limited extent to which environmental resources are available for life.

1.4 SCOPE AND IMPORTANCE OF ENVIRONMENT STUDIES

1.4.1 Scope of Environment Studies

Human development has paced up during the last two and a half centuries and this period has been important from the point of view of environment as well. In an urge to control and use nature for the sake of development, human beings have exploited the resources to an extent of their depletion. The approach of acquiring development at the cost of the natural resources

has not only set into motion complex changes which have not only altered the very basics of nature but has also caused irreparable damages to the environment, a kind of which has never been witnessed before. The scope of the subject of environmental studies is now not only confined to the study of the concepts and components of nature but has also transgressed into social, political and economic dimensions so as to find solutions to the problem related to environmental protection. This calls for greater participation of the individuals at all levels and also an approach which can be used to effectively design solutions and strategies for the problems being faced on the environmental aspect. It is time that human beings accept their responsibility in causing the damage to the environment and start taking immediate steps to reverse the loss. The resources available with the mother earth are finite and enough for meeting the development needs of the human beings but not enough for their greed. So, in this backdrop, it is extremely important that the individuals rise up and realise the need to use environmental resources more rationally and prudently and start leading environmentally responsible and sustainable lifestyles.

1.4.2 Importance of Environment Studies

Environment studies, is a subject that imparts knowledge to the mankind about the need and importance of protecting and conserving the resources available in nature and also provides an idea of the indiscriminate extent of pollution released into the environment. Since recent the problems related to the environment have been growing in size as well as their complexity day by day. This has not only threatened the survival of mankind on earth, but has also raised global concerns for the need to look into environmental protection. Today the human beings have reached that stage where they can reverse some extent of environmental degradation only if they organise and empower the educated communities and seek expert guidance in issues related to sustainable development. Environment studies, has been gaining significance for the following reasons:

- 1. International importance attached to environment issues:** It is now being realised that environmental issues like ozone depletions, acid rain, marine pollution, global warming and loss of biodiversity have no more remained issues of national concern but have become global issues which require international efforts and cooperation to tackle them.
- 2. Issues concerning development process:** The process of development across nations gave birth to the phenomenon of urbanisation, growth of agriculture, growth of

industrial sectors, development of means of transportation etc. However the countries of the north, i.e. the developed world started cleansing out their own environment by shifting their 'dirty' factories to the southern nations thus distributing the impact of their development on environment to the other parts of the world.

3. **Discovering sustainable ways of life:** Adopting a sustainable approach to life would mean that the human beings make sure that they not only use the resources for their present needs but also preserve some, for their future generations. If the current rate of exhaustion of the resources continues, the natural resources will be depleted at a rate fast enough and making them unavailable for the future generations. An environmentally sustainable approach advocates for the need to create awareness amongst people about rational consumption of resources and minimise its unnecessary wastage. Thus, environmental education can help in understanding the repercussions that may be caused because of over exploitation of resources and underlines the need to act accordingly.
4. **Knowledge of the contemporary concepts for conservation of biodiversity:** The study of environment studies helps in understanding how the human beings and other organisms get along with the environment and how the two are interdependent. The study of Environment Studies brings with it new concepts like biodiversity; organic food; sustainability; the R's of environment i.e. reduce, reuse and recycle; use of eco-friendly products, etc. With the increase in the concerns pertaining to the environment, new concepts and policy solutions have evolved which have expanded the scope and dimensions of this discipline.
5. **Efficient use of natural resources:** The study of environmental science guides towards utilisation of natural resources like water, forests, minerals and fossil fuels in an efficient manner. It explains the methods and measures in the form of conservation and recycling strategies so that the environment and its resources can be put use in such a manner that there is maximum utility and minimal wastage.
6. **Creating awareness about the environmental problems at local, national and the international levels:** It has been observed that most problems related to the environment occur because of the lack of awareness and this applies not only to the local or national levels but also to the international regime. Environmental studies as a subject can help to educate and equip the learners with the necessary skills and ability so that the knowledge acquired can be passed on to create awareness amongst the members of the community.

1.5 COMPONENTS OF THE ENVIRONMENT

The environment is divided as a whole into physical and biological components which include man and other living organisms along with the natural and physical factors that surround the various species of living beings. The factors such as soil, air, water, light, temperature, etc. are all called abiotic factors. Apart from these abiotic factors, the environment constitutes of biotic factors as well which include various forms of life like plants, animals, human beings, microorganisms etc. Thus, man is an integral part of the environment and that is why the environment is significantly affected by the activities carried out by the human beings. The environment can thus be divided into four major components namely the Lithosphere, Hydrosphere, Atmosphere and Biosphere.

1. **Biosphere** –It is that part of the global ecosystem which includes living organisms and the non-living factors which work as the source of energy and nutrients to the living organisms. The Biosphere encompasses all the zones of the earth in which life is present, that is the entire bio-resources on the earth. The biosphere evolved almost 4billion years ago through an evolutionary process. Life exists in diverse forms in the top layer of the lithosphere, throughout the hydrosphere and in the lower layers of the atmosphere. Thus, all the biological resources and their surroundings together constitute the biosphere and amongst all the components of the biosphere, human beings are the

most evolved species. The layer of the biosphere extends almost over the entire surface of the earth and includes the upper layers of the Earth's crust and the thick layer of the soil which primarily support

life. Since life has been observed to exist on the ground, in the air, below the water, so



the biosphere is known to overlap all these spheres. The biosphere extends to about 20 kilometers from top to bottom and almost all living organisms exist and survive between these limits; i.e. about 500 meters below the sea level and about 6 kilometers above the sea level.

About 3 to 30 million species of organisms constitute the biosphere which include plants, animals, fungi, the oldest and the earliest form of life called prokaryotes which included single celled organisms like bacteria that survived without oxygen and single celled eukaryotes which included organisms like protozoa. Of all these species, only about 1.4 million species have been named by the systematists and less than 1% species have been examined for the relationship that they witness with the ecology and the role that they play in the ecosystem. The Biosphere is thus believed to be a large ecosystem – that is a complex community of various living and non-living components which function together as a single unit. However, more often, the biosphere is described to have many ecosystems included in itself.

2. **Lithosphere** – The lithosphere is thought to have evolved around 4.6 billion years ago. It reaches a depth of around 60 miles (100 km). The solid, stony crust that covers the entire surface of the Earth is referred to as the lithosphere. It consists of all hard and solid land masses on the earth's surface, as well as semi-solid rocks (molten minerals) beneath the earth's crust and liquid rocks in the earth's inner core. The lithosphere's outer shell is not one continuous piece, but is fragmented into around a dozen main independent hard blocks, or plates, like a slightly cracked eggshell. The lateral movements of the plates are thought to be caused by slow convection currents deep under the mantle, which are caused by radioactive heating of the interior. The lithosphere's surface is uneven, as it is marked by diverse landform features. The liquid, semi-solid, and solid land components in this layer comprise of chemically and physically distinct layers. This is why the lithosphere is separated into sub-spheres such as the crust, mantle, outer core, and inner core.

The top layer of the Crust, known as the outer crust is made up of rocks and loose soil; it is expected to be around 30 to 40 kms thick and mostly contains Silicon and Aluminium whereas the inner crust which is merely 5 to 10 kms thick comprises of Silicon and Magnesium. The middle layer, i.e. the mantle is composed of dense rock containing nickel and iron in the form of silicate rocks and its lower layer comprises of semi-solid rocks. Liquid (pure molten) rock components make up the outer core of

the Lithosphere. The inner core of the planet is formed entirely of extremely hot and liquid iron and nickel. Almost 10% of this layer is believed to be composed of sulphur and oxygen since these elements are abundantly available in the cosmos and dissolve easily into the molten iron.

Earthquakes, volcanic eruptions, mountain formation, and continental drift all occur in the Lithosphere. It includes continents, oceans, seas, lakes, mountains, plateaus, plains, deltas, beaches, cliffs, and dunes, among other topographical characteristics. It is made up of rocks (igneous, sedimentary, and metamorphic rocks) that contain all minerals (dolomite, magnetite, hematite, etc.) and elements (iron, nickel, nitrogen, hydrogen, oxygen, sulphur, phosphorus, etc.) which are essential for the survival and prosperity of the human beings.

- 3. Hydrosphere** –The word Hydrosphere refers to the most important resource, i.e. water and it includes all important forms of water in the form of solid, liquid and gas on the surface of the Earth. The hydrosphere extends to thousands of miles from the Earth's surface into the lithosphere and high above the crust into the atmosphere. The majority of the water in the atmosphere is in a gaseous state, and as it reaches higher in the atmosphere, it condenses into clouds, which fall back to earth as precipitation. Like the gases in the atmosphere, all of the water in the hydrosphere is always in motion. Rivers, streams, lakes, seas, oceans, and water vapour are examples of natural earth characteristics that portray the hydrosphere. Glaciers, which are slow-moving masses of ice, are also a part of the Hydrosphere.

Since water is a necessity for life, all plants and animals depend upon the Hydrosphere for their survival. The Hydrosphere is the home to various plants and animals and it is estimated that the Hydrosphere stretches across to almost 70% of the surface of the Earth. Moreover, almost 97% of the water available on the earth is saline; oceans carry most of the salty water with themselves whereas the lakes and the rivers carry fresh water. The temperature on the surface of the Earth is also significantly affected by the Hydrosphere. Icebergs, glaciers, and icecaps are associated to extremely cold temperatures; low to moderate temperatures are related to the basic forms of precipitation i.e. the snow, rain, drizzle, sleet, or hail; and high temperatures are generally correlated to dry, hot conditions and evaporation.

Water source	Water volume, in cubic miles	Water volume, in cubic kilometres	Percentage of freshwater	Percentage of total water
Oceans, Seas, & Bays	321,000,000	1,338,000,000	--	96.54
Ice caps, Glaciers, & Permanent Snow	5,773,000	24,064,000	68.7	1.74
Groundwater	5,614,000	23,400,000	--	1.69
Fresh	2,526,000	10,530,000	30.1	0.76
Saline	3,088,000	12,870,000	--	0.93
Soil Moisture	3,959	16,500	0.05	0.001
Ground Ice & Permafrost	71,970	300,000	0.86	0.022
Lakes	42,320	176,400	--	0.013
Fresh	21,830	91,000	0.26	0.007
Saline	20,490	85,400	--	0.006
Atmosphere	3,095	12,900	0.04	0.001
Swamp Water	2,752	11,470	0.03	0.0008
Rivers	509	2,120	0.006	0.0002
Biological Water	269	1,120	0.003	0.0001

Source: Adapted from Igor Shiklomanov's chapter "**World Fresh Water Resources**" in Peter H. Gleick (ed.), *Water in Crisis: A Guide to the World's Fresh Water Resources*, copyright 1993, Oxford University Press, New York

Table made available by the United States Geological Survey

- 4. Atmosphere** –The layer of air around the Earth makes the atmosphere which comprises of nitrogen (78%), oxygen (21%), other gases (1%) which includes carbon dioxide (0.039%), argon (0.93%) and remaining trace gases (like krypton, neon, helium and xenon). The atmosphere gets thinner as it rises in altitude, and this characteristic eventually approaches towards space. The atmosphere stretches from the earth's crust to more than 10,000 kilometres above the surface of the planet and into space. The atmosphere is a protective layer of gases that surrounds the Earth and

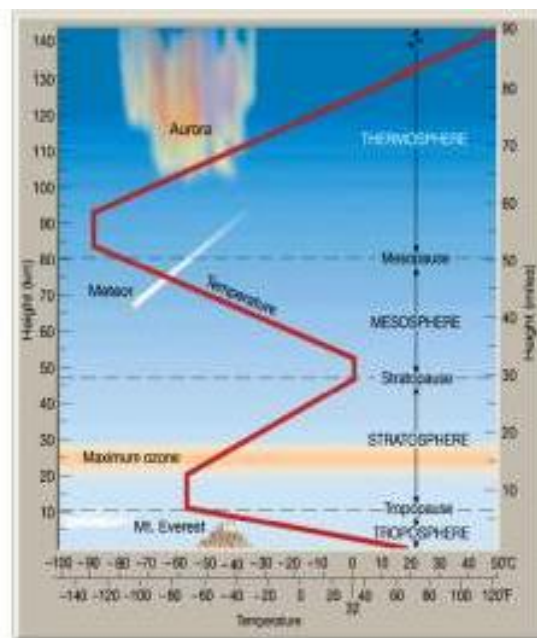
aids in the survival of life. It shields humans from the harsh conditions of space by absorbing the majority of cosmic rays and damaging UV radiation. It transmits visible light, near-infrared light (300 to 2,500 nm), UV light (primarily UV A), and radio waves.

Based on temperature, the atmosphere is separated into five layers. The troposphere is the layer closest to the Earth's surface, measuring between seven and fifteen kilometres. At the equator, the troposphere is thickest, but at the North and South Poles, it is much thinner. The troposphere contains the majority of the mass of the entire atmosphere—between 75 and 80%. The troposphere contains the majority of the water vapour in the atmosphere, as well as dust and ash particles, which explains why the troposphere is home to the majority of Earth's clouds. Temperatures in the troposphere drop as the altitude increases.

The stratosphere is the next layer above the surface of the Earth. It extends from the tropopause, i.e. the top of the troposphere, to a height of about 50 kilometres. The stratosphere's temperature rises with height. The stratosphere's ozone layer is made up of a high concentration of ozone, a molecule made up of three oxygen atoms. This ozone absorbs some of the incoming solar energy, protecting life on Earth from potentially damaging ultraviolet (UV) light, and is responsible for the rise in altitude temperature.

The stratopause is the top layer of the stratosphere. The mesosphere is above that, reaching up to 85 kilometres above the Earth's surface. With an increase in the altitude in

the mesosphere, the temperature drops. The coldest temperatures in the atmosphere are found towards the top of the mesosphere, where temperatures are around -90°C . The atmosphere is thin here, but thick enough for meteors to fall



through. The upper layer of the mesosphere is called the mesopause.

Above the mesopause is the thermosphere, which extends for about 600 kilometers. The thermosphere is one such zone of the atmosphere, about which not much is known, except the fact that temperatures rise with height in this layer. Solar radiation heats the thermosphere's top portions, which can raise the temperatures as high as up to 2,000°C. The exosphere is the topmost layer, which merges with what is called outer space. The gravitational attraction of the Earth is so weak here that gas molecules escape into the outer space.

CHECK YOUR PROGRESS

Ques.1 Answer the following Short Answer Type Questions:

- i. The solid components of the earth consisting of soil, rocks and mountains is called:
 - a. Hydrosphere
 - b. Lithosphere
 - c. Biosphere
 - d. Atmosphere
- ii. The major principle of environmental sustainability entails the concept of R's which mean....., and
- iii. The reversal of environmental degradation caused by the human beings calls for the need tothe educated communities and seek an expertise in issues related to
- iv. Match the component of Environment (in Column A) with its thickness (Column B)

Column A	Column B
Lithosphere	10,000 km
Biosphere	All over the earth's surface
Atmosphere	20 km
Hydrosphere	60 km

- v. The layer of the atmosphere that absorbs the ultra violet and other harmful radiations from the Sun and prevents them from reaching the Earth is called
 - a. Troposphere
 - b. Exosphere
 - c. Mesosphere
 - d. Stratosphere

1.6 SUMMARY

In this unit, effort was made to understand the meaning, scope and importance of Environment Studies as a discipline and to develop a more cognizant approach towards the issues related to the environment. The learners would have been able to learn that:

- The external conditions or surroundings that support the life of human beings and all others living organisms together constitute the environment
- The environment constitutes of the physical (air, water, sky, etc.) social and cultural (moral, ethical and emotional factors) and psychological (nature or personality of the human beings) elements
- Environment studies, is multidisciplinary in nature and approach because environment as a concept and a problem, can be perceived from the perspective of science as well as the non-science subjects. The interrelationship between environment and other disciplines can help in finding out better policy solutions to the problems pertaining to the environment.
- The study of the environment has now extended its dimensions to the social, political and economic aspects as well because of the urgent need to look into the solutions to the problems related to environmental protection.
- New concepts related to the field of environment, like biodiversity, sustainable development, the three R's of environment, i.e. reduce, reuse and recycle, green energy etc. have evolved in the recent year and there is need to look into the concerns arising from the environment from a contemporary perspective.
- It is becoming extremely important day by day to look into and examine various issues that occur because of the irrational behaviour of human beings while using the natural resources for their growth and development.
- The environment is actually divided into four broad components, i.e. the Lithosphere, Hydrosphere, Atmosphere and Biosphere.
- The Biosphere includes all the zones of the Earth in which life exists and it extends across almost the entire surface of the earth and even the upper layers of the Earth's crust.
- The rocky layer on the surface of the Earth is called the Lithosphere which is further fragmented into three subzones - the crust, the mantle and the core.

- All the sources of water on the surface of the Earth, whether they are in the form of solid, liquid or gaseous state, constitute the Hydrosphere and it is this hydrosphere which is the main source of supporting life on the Earth.
- The layer of air around the Earth is called the atmosphere which consists of various gases that exist in different proportions and it is this protective layer of gases that helps in the survival of life on the Earth.

1.7 QUESTIONS FOR PRACTICE

Ques. 1 How do you think Environment Studies is a subject with a multidisciplinary approach?

Ques. 2 Discuss how has the scope of Environment Studies changed with the change in the intensity of the issues related to the environment?

Ques. 3 “Earth provides enough to satisfy every man’s needs but not every man’s greed.” In the light of this statement, explain why is it important to use resources for need and not for greed?

Ques. 4 Differentiate between Lithosphere and Biosphere. Which of the two has conditions more suitable for supporting life on the earth and why?

Ques. 5 Make a thermal stratification of the atmosphere and explain the features of each layer of the atmosphere in detail.

1.8 SUGGESTED READINGS

- R. Rajagopalan, Environmental Studies : From Crisis to Cure, 2015
- Erach Bharucha, Textbook of Environmental Studies for Undergraduate Courses, 2021
- B.S. Chauhan, Environmental Studies, 2008
- P.S. Jaswal, Environmental Law, 2021
- S.R. Myneni, Environmental Law, Asia Law House, Hyderabad

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER: II

COURSE: ENVIRONMENTAL STUDIES

UNIT 2: ECOSYSTEM AND BIODIVERSITY CONSERVATION

STRUCTURE

- 2.0 Learning Outcomes**
- 2.1 Introduction**
- 2.2 Ecosystem**
- 2.3 Types of Ecosystem**
- 2.4 Biodiversity : Meaning and Definition**
- 2.5 Threats to biodiversity and its Conservation**
- 2.6 Level of Biological Diversity: Genetic, Species and Ecosystem Diversity**
- 2.7 Biogeographic Zones of India**
- 2.8 Biodiversity Patterns and Global Biodiversity Hot Spots**
- 2.9 India as Mega Bio-diversity Nation**
- 2.10 Endangered and Endemic Species of India**
- 2.11 Ecosystem and Biodiversity Services: Ecological, Economic, Social, Ethical, Aesthetic and Informational Value**
- 2.12 Summary**
- 2.13 Questions for Practice**
- 2.14 Suggested Readings**

2.0 LEARNING OUTCOMES

After reading the material, learner shall be able to understand

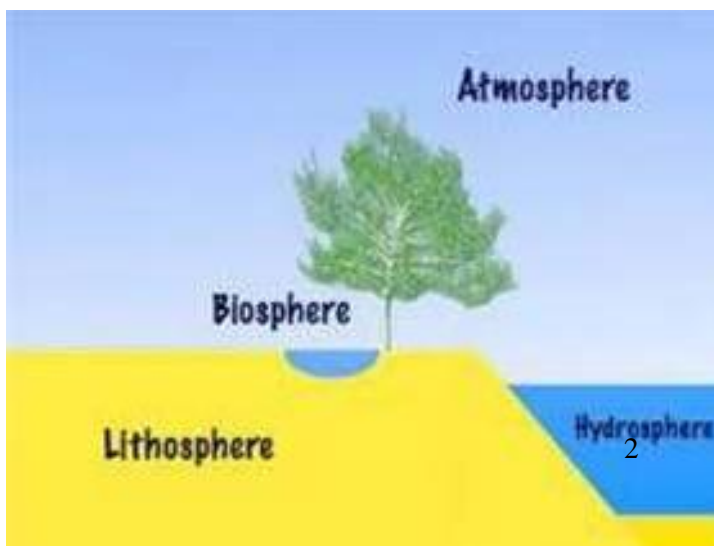
- Meaning of ecosystem and biological diversity
- Importance of Biological diversity and need for protection of biodiversity
- Methods of protecting biodiversity
- Value of biodiversity
- Biodiversity in India

2.1 INTRODUCTION

Environment has received greater attention in the later part of the twentieth century and in twenty first century. Increased exploitation of natural and physical resources without caring for the surrounding environment and increased environmental pollution impacting all living organisms on the planet has received the attention of the masses and policy makers. Environmental studies, therefore, has assumed greater emphasis than ever. However, environmental studies is not restricted to study of what constitutes environment and environmental pollution but also the legal provisions, human actions and other factors which influence the environment. The subject indeed requires a multidisciplinary approach involving study of environmental science, legal provisions and human approach.

Term Environment has been derived from French word 'Environia' which implies to surround. Term environment includes both living (biotic) and non-living/physical environment. Therefore, it includes all surrounding in which organisms live. Immediate environment i.e. area near the surface of the earth can be divided into atmosphere, hydrosphere, lithosphere and biosphere.

Atmosphere is composed of various gases surrounding the earth. Atmosphere is in a state of continual change. Atmosphere can be divided into troposphere (lower layer of the atmosphere close to earth), stratosphere (upper layer of the atmosphere where large layer of ozone is there), mesosphere (where water vapors free and create clouds) and thermosphere (the top layer of the atmosphere where satellites circle the earth).



Lithosphere implies rocks and minerals. Lithosphere is believed to have come into existence billions of years ago and it refers to solid rocky crust that covers the entire planet. It includes mountains, valleys, soil, minerals and rocks.

Hydrosphere refers to all forms of water in earth's environment. It includes lakes, rivers, oceans, glaciers, ground water

etc. About 70% of the earth's surface is composed of Hydrosphere.

Biosphere refers to all forms of living organisms existing on the planet. Various forms of life exist in the biosphere including plants, animals and other living organisms.

2.2 ECOSYSTEM

Term 'eco' implies part of the world. It means set of coordinating units. In an environment, various living organisms and their surroundings function together as a unit. These units of ecology are referred to as 'ecosystem'. Ecosystem, therefore, implies sum total of living organisms and the surrounding environment i.e. biotic and abiotic environment. It includes living organisms including plants, animals and other living things. This is described as biocoenosis. Nature is a biotope that encompasses the visible environment of life. The term ecosystem first appeared in a book published by British naturalist Arthur Tansley, in 1935. The biological system can have very different sizes. It could be a whole forest, with a small dam. Various natural habitats are often separated by local barriers, such as deserts, mountains or seas, or by other means, such as lakes or rivers. Since these boundaries are never solid, nature often meets.

Ecosystem species are connected with each other, directly or indirectly. There is a diverse relationship between various species in an ecosystem. This relationship is unique as well as delicate. Changes in ecosystem can adversely affect this relationship causing damage to various species thereby affecting the entire ecosystem. For example, if there is increase in temperature in a particular ecosystem, plants and other living organisms will have to adapt to such change and those which are unable adapt would face extinction or migration.

2.2.1 Components of Ecosystem

Ecosystem is composed to two different components i.e. abiotic and biotic components. Biotic components of the ecosystem are living things. As stated earlier, in an ecosystem various species are connected with each other in diverse ways and they influence each other in myriad ways.

Plants, animals, bacteria and fungi all affect each other. Based on their energy requirement source, biotic components are categorized as producers, consumers, and decomposers.

Abiotic components are physical and non-living components. These include rocks, minerals, water, air and other non-living things. These include organic and inorganic compounds. Organic compounds include proteins, carbohydrates, amino acids and lipids. Inorganic compounds, on the other hand, include calcium, nitrogen, phosphate, carbon dioxide. These factors influence living organisms.

2.3 TYPES OF ECOSYSTEMS

Depending upon various climates, habitats and life forms, ecosystems can be broadly classified as Aquatic and Terrestrial Ecosystem.

2.3.1 Aquatic Ecosystem

Aquatic ecosystems refer to all such ecosystems that are primarily located on or inside water bodies. The nature and characteristics of all living and non-living organisms in the aquatic system are determined based on the environment surrounding their ecosystem. Organisms in these ecosystems interact with other organisms in aquatic and terrestrial ecosystems. The aquatic ecosystem is mainly sub-divided into the following types:

2.3.1.1 Freshwater Ecosystem

The freshwater ecosystem is one of the essential ecosystems for humans and other organisms living on land. This is because this ecosystem is a source of drinking water. Additionally, it also helps in providing the necessary energy and water for transportation, recreation, etc. Freshwater ecosystems mainly include lentic, lotic, and wetlands.

Lentic: Water bodies that are moving slowly or are still in some places come under lentic. For example, ponds, lakes, pools, etc. Lakes are known as large water bodies and are surrounded by land.

Lotic: Water bodies that are moving at a fast pace fall under a lotic. For example, streams and rivers.

Wetlands: Environments characterized by soils saturated with water for a long time fall under wetlands.

The freshwater ecosystem is the smallest type of ecosystem among the major types of ecosystems. There is usually no salt content in the freshwater ecosystem. Besides, it consists of many insects, small fish, amphibians, and various plant species. Plants help provide oxygen through photosynthesis and also provide food for the organisms living in this ecosystem.

2.3.1.2 Marine Ecosystem

Marine ecosystems are usually characterized by the presence of salt content. These ecosystems have a higher salt content than the freshwater ecosystem. Moreover, they are known as the largest type of ecosystem on Earth. It usually includes all the oceans and their parts. Besides, marine ecosystems have distinctive flora and fauna, which support greater biodiversity than freshwater ecosystems. This type of ecosystem is essential for both marine and terrestrial environments.

In particular, this ecosystem includes salt marshes, lagoons, coral reefs, estuaries, intertidal zones, mangroves, seafloor, and deep seas. Salt marshes, mangrove forests, and sea-grass meadows are said to be among the most productive ecosystems. Coral reefs are known to provide adequate quantities of food and shelter to most marine inhabitants worldwide.

2.3.2 Terrestrial Ecosystem

Terrestrial ecosystem refers to all such ecosystems which are mainly located on land. Although the presence of water in these ecosystems is measured, they are entirely land-based and exist on land. More specifically, a low and sufficiently needed amount of water is located in terrestrial ecosystems. The low amount of water separates these ecosystems from aquatic ecosystems. Besides, terrestrial ecosystems typically have temperature fluctuations in both seasonal and diurnal climates. It is also a specific factor that makes these ecosystems different from aquatic ecosystems in similar environments.

Furthermore, the availability of light is somewhat higher in terrestrial ecosystems than in aquatic ecosystems. The reason for this is that the climate in the land is relatively more transparent than

water. Due to entirely different light availability and temperature in terrestrial ecosystems, they have diverse flora and fauna. Terrestrial ecosystems include various ecosystems distributed around different geological zones. Terrestrial ecosystems are mainly classified into the following types:

2.3.2.1 Forest Ecosystems

A forest ecosystem is an ecosystem where many organisms live together with the environment's abiotic components. There are much different flora and fauna in this ecosystem. This usually means that the forest ecosystem has a high density of living organisms that live with non-living abiotic elements. The forest ecosystem usually includes various plants, microorganisms, animals, and other species.

Forests are significant carbon sinks and participate in controlling and balancing the overall temperature of the Earth. Changes in the forest ecosystem affect the entire ecological balance, and severe changes or destruction of forests can also kill the whole ecosystem. Forests are generally classified into tropical deciduous forests, tropical evergreen forests, temperate deciduous forests, temperate forests, and Taiga.

2.3.2.1 Grassland Ecosystems

Grassland ecosystems are referred to as those ecosystems where the number of trees is low. These ecosystems mainly consist of grasses, shrubs, and herbs. That means grasses are the primary vegetation in these ecosystems, along with legumes that typically belong to the composite family.

Grassland ecosystems are commonly situated in both the tropical and temperate regions globally; however, they have distinct variations. Examples of these ecosystems include the savanna grasslands and temperate grasslands. They are home to various grazing animals, insectivores, and herbivores.

2.3.2.2 Mountain Ecosystems

As the name suggests, the mountain ecosystem is characterized by mountainous regions where the climate is usually cold, and rainfall is low. Due to these climate changes, these ecosystems have a wide variety of habitats where various animal and plant species are found.

The high altitude areas of mountainous regions have a cold and harsh climate. This is the reason why only treeless alpine vegetation is found in these ecosystems. Animals found in these ecosystems usually have thick fur coats to protect them from cold climates.

Besides, mainly coniferous trees exist on the lower slopes of the mountains. Examples of mountain ecosystems include mountain tops in Arctic regions. They are covered with snow for most of the year.

2.3.2.3 Desert Ecosystems

Desert ecosystems exist worldwide and cover about 17 per cent of desert areas. These are areas where annual rainfall is usually measured less than 25 mm. Due to fewer trees and land of sand, sunlight intensifies in these ecosystems. This is why these ecosystems have incredibly high temperatures and low availability of water. However, the nights are quite cold.

The Desert ecosystem has unique flora and fauna. Plants grow with small amounts of water and conserve water's possible amount in their leaves and stems. For example, the spiny-leafed cactus is a type of desert plant that has the characteristic of storing water using a stem. Similarly, animals are also adapted to the condition of desert ecosystems. Some common animals are camels, reptiles, a diverse range of insects and birds.

2.4 BIODIVERSITY : MEANING AND DEFINITION

Biodiversity refers to all the species of living things on Earth or to a particular ecosystem. Biodiversity is the variety of the species of plants, animals, fungi and living things including the diverse ecosystems in which they live.

Natural resources from biodiversity and ecosystems are important at the global, regional and local levels. The world now acknowledges that the loss of biodiversity is contributing to global climate change. Forests are a major means of converting carbon dioxide into oxygen. Loss of forest cover, coupled with increased release of carbon dioxide and other gases through industrial use contributes to the 'thermal effect' causing global warming. Global warming is melting glaciers, leading to

rising sea levels which will slowly drown the low lying coastal areas. It causes dramatic changes in the atmosphere, resulting in rising temperatures, severe droughts in some areas, and unexpected floods in others areas. Value of biodiversity can be measured in terms of direct value like use of plants, herbs for medicinal, human consumption or other productive uses. Apart from economic value, biodiversity helps in sustenance of the environment and thus is essential for our sustenance and survival.

2.5 THREATS TO BIODIVERSITY AND ITS CONSERVATION

2.5.1 Threats to Biodiversity

There are various threats to biodiversity primarily owing to human activities. The underlying causes of biodiversity loss are growing human population and overconsumption. These factors are often complex and stem from many interrelated factors. Some of these threats are discussed hereinafter:

2.5.1.1 Human Population

Population explosion is one of the biggest challenges to biodiversity protection. Population explosion has led to severe strain on natural resources leading to over exploitation of natural resources. From 1 billion people in 1800, population has increased to around 6.8 billion in around 200 years. Increasing demand for food, clothes, necessities and luxuries of life leading to deforestation and large exploitation of natural resources pose a serious threat to biodiversity.

2.5.1.2 Pollution

Environmental pollution is a big threat to survival of many species. Various facets of environment be it air, water, soil or noise have been immensely polluted due to irresponsible behavior of mankind. Rapid industrialization, increased construction activities, mass scale deforestation to meet human needs, vehicular emissions, household emissions, discharge of industrial effluents into water bodies, stubble burning, massive waste generation and its unscientific disposal pose serious threat to the environment and sustenance of various organisms. All these factors individually and jointly have a serious adverse impact on biodiversity.

Bioaccumulation is another facet which requires special mention. Bioaccumulation refers to the process wherein chemicals released by humans get concentrated in animal tissues and they enter

the food chain. These chemicals invade into the nervous systems of the predators and cause serious ailments thereby endangering the entire population of the predating specie.

2.5.1.3 Habitat Loss

One of the major threats to biodiversity is habitat loss often caused due to anthropogenic reasons. Increasing population, increasing demand for food supplies and forest produce led to large scale deforestation thereby causing serious habitat loss endangering flora and fauna found at such places.

2.5.1.4 Invasive Species

Movement of species and living organisms from one place to another place can affect resident species of that place sometimes endangering the original inhabitants. Such invasive species can predate original resident species, disrupt their habitat or be the cause of some diseases. All these factors taken together can lead to loss of biodiversity of the area.

2.5.1.5 Overharvesting

Overfishing includes targeted hunting, gathering, or fishing for a particular type of harvest and harvesting associated with the decline of marine fisheries. An example of the extinction of megafauna in the past was the example of over-harvesting causing environmental loss.

Marine fisheries are at high risk of over harvest especially during the second post-war period due to technological advances such as refrigerator, sonar, processing board etc. a few decades of great harvest using this new technology in the late twentieth century led to the collapse of the human race. The population is declining by more than 90%, and species fishing was banned in Canada and the United States. The loss of high-quality animal such as cod, as well as the decline of other predators such as haddock and flounder, has led to the explosion of large numbers of fish such as herring, capelin, shrimp. Cod people have not yet been found, although fishing pressures have stopped, and these observations have led researchers to speculate that the ecosystem may now be in a stable state that will prevent cod recovery

2.5.1.6 Climate Change and Biodiversity Loss

Climate change affects the environment in many ways, including changes in temperature. These mutations make it difficult or impossible for many species to survive. As the climate changes more and more, biodiversity will face ever-increasing threats. Likewise, efforts to conserve biodiversity will face challenges. Conservationists may be faced with the challenge of deciding which species

should be protected.

2.5.2 Conservation of Biodiversity

Conservation of biodiversity is of crucial importance for survival of various life forms including humans. The primary aim of conservation of biodiversity is to ensure sustainable utilization of species and ecosystem thereby maintaining essential ecological processes. There are two methods of two methods of biodiversity i.e. in-situ conservation and ex-situ conservation.

Endangered species may be protected by protecting its habitat. This method is known as in-situ conservation and is one of the commonly adopted measures to protect the endangered specie in its own habitat. Various countries have adopted this method and created National Parks, Wildlife Sanctuaries, protected areas etc.

Sometimes, it may not be feasible to protect endangered species by protecting their habitat alone. For example, the specie may be close to extinction. Therefore, alternative measures may be required to protect the specie from becoming extinct. In such cases, ex-situ conservation may be adopted, i.e. conserving the specie outside its natural habitat in an artificially created habitat wherein humankind can control the circumstances and can help the specie multiply using human intelligence.

2.5.2.1 Strategies for Biodiversity Conservation

There are various ways in which biodiversity can be preserved including :

- Development of national parks, wildlife sanctuaries etc
- Identification and conservation of economically important organisms
- Preservation of unique ecosystems.
- Efficient and effective utilization of resources
- Enforcing an effective ban on poaching and hunting of wild animals
- Strict enforcement of environment legislation
- Control over environmental pollution
- Identification and conservation of endangered species both in situ and ex situ
- Creation of public awareness

2.6 LEVEL OF BIOLOGICAL DIVERSITY: GENETIC, SPECIES AND ECOSYSTEM DIVERSITY

Biodiversity is categorized as Genetic Diversity, species diversity and ecological diversity.

2.6.1 Genetic Diversity

All species on Earth have genetic connections with other species. Through the process of evolution, species have evolved into their present-day shape and form. And when one species is related to another, they will share additional genetic information. These types will also look very similar. The closest physical contact is with members of its genus. Members of a particular gene share genes. Genetics are fragments of information about chemicals that partially determine how the body looks, behaves, and lives. Almost all species have the same and closely related species in the neighborhood. In addition, all species have other closely related species. These two types share common features.

2.6.2 Species Diversity

Biodiversity refers to the diversity of species that exist in an area. It determines the level of biodiversity. Species are a common form of biodiversity because they are the basic units of biodiversity. It is estimated that there are some 10 million species in the world, with only 1.75 million species being able to name them.

Some regions are more diverse. Tropical North and South America, for example, have about 85,000 flowering plants. Tropical and Tropical Asia has at least 50,000 while tropical and tropical Africa has 35,000.

Europe has about 11,300 artificial plants. Some areas, such as the polluted stream, have a surprisingly low percentage of species.

2.6.3 Ecological Biodiversity

Ecological Biodiversity refers to ecosystem diversity in the area. It includes a complex network of diverse species that exist in living environments and strong connections between them. An ecosystem is made up of materials from a variety of species that live together in an environment and their interactions through the flow of nutrients, energy, and matter.

An ecosystem can cover a small area, such as a lake, or a large area, such as the entire forest. The main source of energy for almost all of nature is the sun's radiant energy being converted into chemical energy by plants.

Animals eat plants, allowing energy to flow through systems. Animals are eaten by other animals. Fungi decomposes organic matter to gain energy and in the process of regeneration the nutrients return to the soil.

Thus, an ecosystem is a collection of living things and inanimate objects connected by energy flow. It is difficult to measure biological diversity because every living thing on earth is connected to the surrounding environment.

2.7 BIO-GEOGRAPHIC ZONES OF INDIA

Biogeography is the study of the distribution of species and nature in geographic space and geological period. India has a rich heritage of biodiversity. India ranks fourth in Asia and tenth in the world among the 17 most diverse countries in the world. India accounts for about 11% of the world's flower species including more than 17500 flowering plants, 6200 endemic species, 7500 medicinal plants and only 246 threatened species worldwide in only 2.4% of the world's soil.

India also has some of the most diverse landscapes - the Andaman & Nicobar Islands, the Eastern Himalayas, the Indo-Burma region, and the Western Ghats.

Attempts have been made to divide India zoogeographically since 1988. India's Forest Survey published an atlas of forest species in 2011. However, there is no official plan approved by the Government of India, as issued by the European Environment Agency to conserve biodiversity.

2.7.1 Biogeographic Zones

As stated earlier, attempt have been made to divide India zoogeographically while planning a network of protected areas of India. The system has divided India into 10 biogeographic segments, and each area is further subdivided into biogeographic provinces, numbering 27 in total.

2.7.1.1. Ten Biogeographic Segments

- Trans Himalayan zone.

- Himalayan zone
- Desert zone.
- Semiarid zone.
- Western ghat zone.
- Deccan plateau zone.
- Gangetic plain zone.
- Northeast zone.
- Coastal zone.
- Islands

2.8 BIODIVERSITY PATTERNS AND GLOBAL BIODIVERSITY HOT SPOTS

As stated earlier biodiversity is the richness of species and degree of variation of life and other living organisms including genetic diversity, species diversity, or biodiversity within the area, biome, or planet. Diversity is the work of two things: the number of species (Species Richness) and the number of specimen of these species (Evenness). Multiple indices for measuring diversity have been suggested, which give more or less weight to the two.



Introduction of species in new areas have led to new distribution patterns. For example, *Macropus eugenii* was thought to be extinct in Australia for 100 years but was rediscovered on an island in New Zealand (2000 species) where it was introduced in 1862. Migration creates a special kind of diversity pattern.

If we examine biodiversity patterns, we find that Tropical areas have the highest diversity of species due to various reasons including High productivity and food availability; high biomass; past patterns of evolution etc. The patterns of a variety of species in a place or at any one time are set by a combination of three elements i.e. Chance, History and Necessity.

2.8.1 Biodiversity Hotspots

The term biodiversity hotspot was coined by Norman Myers. It refers to regions known for their high diversity richness and endemism. According to Conservation International, in order to qualify as a biodiversity hotspot, the region must meet the following two criteria:

- ✓ The region should have at least 1500 species of vascular plants i.e., should have a high rate of endemism.
- ✓ Region Must contain 30% (or less) of its original species, i.e. species must be threatened.

In India, following major biodiversity hotspots have been identified:

- ✓ The Himalayas
- ✓ Indo-Burma Region
- ✓ Western Ghats
- ✓ Sundaland

2.8.1.1 The Himalayas

Himalayas is located in northeastern India, Bhutan, central and eastern parts of Nepal. The region (NE-Himalayan) has a record of 163 endangered species including Wild Asian Water Buffalo, 1-horned rhino; and some 10,000 species of plants, 3160 of which are extinct.

2.8.1.2 Indo - Burmese region

The Indo-Burma region extends over 2,373,000 km². Over the past 12 years, six species of mammals have been identified in the region.

The tropics are also known for the tortoise species of freshwater, many of which are at risk of extinction, due to over harvest and large-scale losses. There are also 1,300 different species of birds, including the threatened White-eared Night-heron, the gray-headed Crocias, and the Orange-neck Partridge.

2.8.1.3 Western Ghats

The Western Ghats are located on the western edge of the Indian subcontinent and include most of the refreshing forests and rain forests. According to UNESCO, it is home to at least 325

endangered species that are endangered, animals, birds, amphibians, reptiles and fish. Initially, vegetation in the region was distributed over 190,000 km² but has now been reduced to 43,000 km². The region is also known for the world's endangered species of plants and animals represented by 229 species of animals, 31 species of mammals, 15 species of birds, 43 species of amphibians, 5 species of reptiles and 1 species of fish. According to UNESCO, “of the 325 species threatened in the Western Ghats, 129 are considered endangered, 145 are endangered and 51 are at risk of Extinction.”

2.8.1.4 Sundaland

Nicobar Island form part of the Sundaland. It is a biological diversity hotspot. It extends to the tectonic plates under Indian ocean. Various species like Orangutans, Javan and Sumitran Rhinos, pig-tailed langurs etc are found in this hotspot. It is home to world’s largest fowers measuring upto one meter.

2.8.1.5 Terrai-Duar Savannah

The region falls within a narrow stretch at the base of Himalayas in Indo-Gangetic plains in India,, Nepal and Bhutan. These are the world’s tallest grasslands. These are rare elephant grasslands grown by silt deposited by monsoon floods. These are home to one-horned rhinoceros, sloth bears and Asian elephants.

2.8.1.6 Sunderbans

Sunderbans is the largest mangrove forest in the world consisting of set of 104 island formed by Ganga-Brahmaputra Delta. Sunderbans are home to Royal Bengal Tiger, Gangetic Dophins and estuarine crocodiles. Sunderbans have immense biological diversity but are endangered by rising sea level caused by global warming.

2.9 INDIA AS MEGA-BIODIVERSITY NATION

India is one of the 12 mega biodiversity countries of the world. Various factors have contributed in making India as a mega biodiversity nation including physical and geographical factors and climatic conditions. Biogeographically, India is located at a tri-junction of three realms - the Afro-

tropical, Indo-Malayan and Paleo-Arctic regions. Consequently, India has certain features of all these regions. This is one of the important factors for rich biodiversity in India. India is home to 167 important crops of millets, cereals, condiments, fruits, vegetables, pulses, fiber plants and oilseeds, and 114 species of domestic animals. About 4,900 species of flowering plants are found in the country. Western Ghats and North East India are home to rich biodiversity. It is claimed that India is home to around 62% of the amphibians.

Conservation of biological diversity and respect for environmental sustainability was deep rooted in Indian tradition and culture. Many tribes in India worship facets of environment and work towards sustenance of biological diversity. Owing to rich biodiversity and traditional knowledge of the medicinal therapeutic use of herbs, many alternative systems of medicines viz., Ayurveda, Unani and Homeopathy are practiced in India making use of biodiversity.

2.10 ENDANGERED AND ENDEMIC SPECIES OF INDIA

Endangered species are those species whose sustenance is endangered i.e. whose population is declining owing to various natural and anthropogenic reasons. These species may become extinct, if efforts are not made to protect them. In India, around 450 plant species, 100 mammals and around 150 types of birds are considered as endangered.

Endemic species, on the other hand, are those plants or animals which exist in a particular area only and nowhere else e.g. Bengal Tiger.

Critically Endangered animals

1. Jenkin's Shrew
2. Malabar Large Spotted Civet
3. Namdapha Flying Squirrel
4. Pygmy Hog
5. Salim Ali's Fruit Bat
6. Sumatran Rhinoceros
7. Wroughton's Free-Tailed Bat

Endangered animals

1. Asiatic Lion
2. Asiatic Black Bear
3. Desert Cat
4. Great Indian Rhinoceros
5. Indian Elephant or Asian Elephant
6. Blue Whale
7. Capped Leaf Monkey
8. Fin Whale
9. Ganges River Dolphin
10. Hispid Hare
11. Indus River Dolphin
12. Red Panda

Vulnerable Species

1. Asiatic Wild Dogs
2. Banteng
3. Brown Bear
4. Clouded Leopard
5. Ganges River Dolphin
6. Himalayan Musk Deer
7. Jackal
8. Asiatic Golden Cat
9. Barasingha
10. Blackbuck
11. Fishing Cat
12. Royal Bengal Tiger
13. Sloth Bear
14. Wild Goat
15. Wild Yak

Threatened Species

1. Indian Wild Ass
2. Leopard
3. Red Fox

Endemic animals

Endemic species are animals or plants that exist only in some particular areas and nowhere else in the world. In India, endemic species are mostly in the Himalayas and the Western Ghats. The endemic animals in India are :

1. Lion-tailed Macaque
2. Nilgiri Langur
3. Brown Palm Civet
4. Nilgiri Tahr

2.11 ECOSYSTEM AND BIODIVERSITY SERVICES: ECOLOGICAL, ECONOMIC, SOCIAL, ETHICAL, AESTHETIC AND INFORMATIONAL VALUE

Biodiversity has great social, economic, information, ethical and aesthetic value. Though it is not possible to exactly quantify the value of biodiversity yet an attempt is made to explain the value of biodiversity in economic, social, ethical, moral and information terms.

2.11.1 Social Value

Social value of biodiversity is reflected in cultural, medicinal, aesthetic, recreational and spiritual value to the society at large. Biodiversity is part of cultural heritage and the lifestyles. Governments of welfare state are keen on protecting the biodiversity and are spending on green vegetation and on Coral Reef Island for tourism and for preserving their identity associated with biodiversity.

2.11.2 Ethical and Moral Values

Every society has its own ethical and moral values. Every specie has a right to life and to preserve the life. Various communities attach great significance to biodiversity and they worship components of ecosystem, worship rivers, trees, plants and animals as part of their culture and heritage. There are various cultural and ethical considerations associated with conservation of

biodiversity. We have a number of sacred places, sanctuaries of rivers which have been preserved by tribal people. These places are infact genetic banks for wild plants. Tribals view biodiversity as part of their culture and their ethical and social norms.

2.11.3 Economic Value

Biological diversity and its sustenance help us in sustainable use of biological resources which can be used for making various products. These products be it agricultural products, extracts from plants, animals or their use in various ways have immense economic value. Various plants have medicinal value; extracts from animals are used for cure of various diseases; biodiversity provide raw material to various industries. Thus, biodiversity has vast economic value.

2.11.4 Aesthetic Value

Aesthetic value of biodiversity is known to all of us. All of us seek beauty in mountains, rivers, water bodies, snow covered peaks, animals, flowers etc. World without these is unimaginable and would be devoid of aesthetic value. Thus, biodiversity has great aesthetic value.

2.11.5 Ecological Value

Every species plays a unique role in nature and helps in maintaining natural balance ensuring that the environment is not disturbed. Therefore, even if we do not use a plant or animal yet it has an important place in food chain and in preserving the ecology. One creature becomes food for another creature and nothing goes waste. Forests are sinks of carbon dioxide and are lungs of this planet earth providing oxygen to humans which is essential for our survival. Forests and oceans absorb global warming and therefore protect us from the evils of global warming. Thus, various components of biological organisms contribute in maintaining ecological balance.

2.11.6 Educational Value and/or Scientific Value

Biodiversity has immense scientific value. Plants and animals are subject matter of research and help us in understanding our ecosystem. They are the source of scientific and medical information and are useful for educational, scientific and medical purposes. Even our day to day use products are made or influenced by biological organisms. For example, Velcro design is obtained from cockle-burrs that quickly attach to clothing as we walk through the woods.

2.11.7 Cultural and Spiritual Value

Many societies worship plants and animals. For example, Hindus worship owls as the vehicle of Goddess Lakshmi, elephant, monkeys, snakes etc. Many religions identify themselves with plants and animals and as such, those plants and animals have cultural and religious importance.

2.11.8 Option Value

Option value refers to the undiscovered potential of plants or animals or other living organisms. With advancements in technology and research, plants and animals have been found to be useful in treatment of various diseases. Snake venom is used in medical treatment. Option value refers to untapped potential of biodiversity which is unknown today but there is a possibility of discovery in future. But if the biodiversity is destroyed, the untapped potential would be lost.

CHECK YOUR PROGRESS

Which of the following is correct?

- 1) Preservation of species in its own habitat is known as
 - a. In-situ preservation
 - b. Ex-situ preservation
 - c. Bio preservation
 - d. All of these
- 2) The top most layer of atmosphere is known as
 - a. Lithosphere
 - b. Biosphere
 - c. Mesosphere
 - d. Thermosphere
- 3) Which of the following is a major threat to biodiversity
 - a. Increasing population and over exploitation of resources
 - b. Invasive species
 - c. Natural calamities
 - d. All of the above
- 4) Which of the following is a Biodiversity hotspot in India
 - a. Himalayas

- b. Western Ghats
 - c. Indo Burmese Region
 - d. All of these
- 5) Which of the following is a critically endangered specie in India
- a. Asiatic Lion
 - b. Sumatran Rhinoceros
 - c. Desert Cat
 - d. Jackal

2.12 SUMMARY

- 2.12.1** Term Environment has been derived from French word ‘Environia’ which implies to surround. Term environment includes both living (biotic) and non-living/physical environment.
- 2.12.2** Ecosystem is the sum total of living organisms and the surrounding environment i.e. biotic and abiotic environment. It includes living organisms including plants, animals and other living things.
- 2.12.3** Ecosystem includes Aquatic ecosystems and terrestrial ecosystem. Aquatic ecosystem refers to all such ecosystems that are primarily located on or inside water bodies and include Marine ecosystem, freshwater ecosystem. Terrestrial ecosystem refers to all such ecosystems which are mainly located on land and includes Forest ecosystem, desert ecosystem, mountain ecosystem and grassland ecosystem.
- 2.12.4** Biodiversity refers to all the species of living things on Earth or to a particular ecosystem. Biodiversity is the variety of the species of plants, animals, fungi and living things including the diverse ecosystems in which they live.
- 2.12.5** Preservation of ecosystem and biodiversity is important for survival and wellbeing of human race.
- 2.12.6** Ecosystem and biodiversity are threatened by non-sustainable exploitation of natural resources, increased population, rapid industrialization, deforestation, environmental pollution, global warming and the like.
- 2.12.7** India is a mega biodiversity nation and it can be divided into 10 biogeographical zones.
- 2.12.8** Biodiversity hotspot is a region which has rich biological diversity and some or other species are endangered
- 2.12.9** India is home to 167 important crops of millets, cereals, condiments, fruits, vegetables,

pulses, fiber plants and oilseeds, and 114 species of domestic animals. About 4,900 species of flowering plants are found in the country. Western Ghats and North East India are home to rich biodiversity. It is claimed that India is home to around 62% of the amphibians.

2.12.10 Despite mega biodiversity, India also has biodiversity hotspots and many animals, plants are declared as endangered or critically endangered species.

2.12.11 Biodiversity is not only essential for wellbeing of all living organism on this planet earth but it also has economic, medicinal, scientific, educational, social and cultural value

2.13 QUESTIONS FOR PRACTICE

- 1) Discuss whether India has rich biological diversity? What are the biodiversity hotspots in India?
- 2) What is biodiversity conservation? What measures can be taken for biodiversity conservation?
- 3) What is ecosystem? What are the components of ecosystem?
- 4) Discuss major threats to biological diversity.
- 5) Write a note on the value of biological diversity to mankind.

2.14 SUGGESTED READINGS

- R. Rajagopalan, Environmental Studies : From Crisis to Cure, 2015
- Erach Bharucha, Textbook of Environmental Studies for Undergraduate Courses, 2021
- B.S. Chauhan, Environmental Studies, 2008
- P.S. Jaswal, Environmental Law, 2021
- S.R. Myneni, Environmental Law, Asia Law House, Hyderabad

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENVIRONMENTAL STUDIES

UNIT – 3: NATURAL RESOURCES – RENEWABLE AND NON-RENEWABLE

STRUCTURE

3.0 Learning Outcomes

3.1 Introduction

3.2 Meaning of Renewable and Non Renewable Resources

3.3 Land Resource and Land Use Change

3.4 Land Degradation, Soil Erosion and Desertification

3.5 Deforestation: Causes and Impact due to Mining, Dam Building

3.6 Water Resources: Use and Over-exploitation of Surface and Ground Water, Floods and Droughts

3.7 Conflicts over Water (Inter-state and International)

3.8 Energy Resources: Renewable and Non- Renewable Energy Sources

3.9 Use of Alternate Energy Sources, Growing Needs

3.10 Case Studies

3.11 Summary

3.12 Questions for Practice

3.13 Suggested Readings

3.0 LEARNING OUTCOMES

After the study of this unit, the learners will be able to:

- Understand the concept of Renewable and Non Renewable Resources
- Know about the issues and challenges associated to the use of Land Resource
- Develop an insight into the issues pertaining to Deforestation and its impact on the environment and the lives of the communities dependent upon the forests

- Learn about the use and exploitation of water resources and know more about some Water Resource conflicts
- Acquire a knowledge about the Renewable and Non-Renewable Sources of Energy and also gauge the significance and need for alternate sources of energy in the light of growing energy needs.

3.1 INTRODUCTION

The biosphere of the Earth is home to a wide range of ecosystems that give a bounty of products and services to humanity. A natural resource is any component of the natural environment that can be used by man to enhance his well-being. A substance, an energy unit, or a natural process or phenomena can all be considered natural resources. These are resources that are found in the environment and developed without human involvement. Air, sunlight, water, soil, stone, plants, animals, and fossil fuels are all examples of natural resources. Some of the resources (such as soil and water) are critical elements of the life-sustaining system. Natural resources provide recreational opportunities, solace, and even inspiration to people, apart from providing food, fodder, and shelter. Humans have been exploiting natural resources since the dawn of civilization, if not earlier. However, because the resources were ample in comparison to the human population at that time, no severe depletion occurred. Natural resources are naturally occurring items that are beneficial to man or could be useful in possible technological, economic, or social circumstances, as well as supplies derived from the ground, such as food, building and clothing materials, fertilisers, metals, water, and geothermal energy. Natural resources were once the purview of the natural sciences.

The human population has grown dramatically during the previous millennium, causing significant damage to the destruction of natural resources. The location, quantum, and quality of natural resources vary widely. For example, a specific forest type may only be found in a few nations. In addition, the geographical area covered by forest and the nature of the wood available, may vary greatly between countries. After being utilised once, some resources can be reused. The exhaustibility and renewability of resources provide a useful classification system, i.e. Renewable and Non - Renewable Resources

3.2 RENEWABLE AND NON RENEWABLE RESOURCES

3.2.1 Renewable Resources

Renewable resources are those that are always available, no matter how they are used. After use, they can be fairly restored or replaced. However, if the rate of consumption of these resources continues to outpace their rate of replenishment, not only will their quality suffer, but they may also become completely depleted. Some of the important renewable resources include:

(1) Forests, which produce timber and other plant products, (2) Rangelands, which support grazing animals for milk, meat, and wool production, (3) Wildlife, which maintains the food chain, (4) Agricultural systems, which produce food and fibre, and (5) Marine and fresh water systems, which produce a variety of foods from plants and animals. Other renewable resources include soil and water. Animals are also renewable resources since they may be reared and bred to generate offspring to replace older animals.

Even though these resources are renewable, replacing them could take tens to hundreds of years. Organic renewable resources are those that come from living things such as animals and plants, whereas inorganic renewable resources are those that come from non-living things such as the sun, water, and wind.

3.2.2 Non - Renewable Resources

Non-renewable resources are those that can't be easily replaced or recovered once they've been used or destroyed. Biological species that have evolved over millions of years in nature are termed non-renewable. Man cannot recreate a biological species that have become extinct on the planet. Minerals and fossil fuels are examples of such natural resources. Minerals are classified as non-renewable because, while they form naturally through the geological cycle, they require thousands of years to create. Because they are on the point of extinction, some animals, especially endangered species, are classified as non-renewable. It highlights the several reasons why endangered species must be safeguarded at all costs.

Organic non-renewable resources are non-renewable materials that arise from living creatures, such as fossil fuels while those that come from non-living substances like rocks and dirt are

called inorganic non-renewable resources. The natural resources can be of four types - Land Resources; Water Resources; Forest Resources and Energy Resources

3.3 LAND RESOURCE

3.3.1 Land as a Resource

Hills, valleys, plains, river basins, and wetlands are examples of landforms that comprise of multiple resource-generating areas on which the people living therein, depend. Many traditional farming communities had appropriate mechanisms to protect the regions that possessed the resources that they used. For example, in the Western Ghats, 'sacred groves,' requests to the spirit of the Grove for permission to cut a tree or extract a resource were accompanied by simple rituals.

Land can be considered a renewable resource if it is used efficiently. The soil is bound by the roots of trees and grasses. When forests are depleted or grasslands are overgrazed, the land becomes unproductive, resulting in the formation of wasteland. Irrigation that is too intensive results in water logging and salinization, preventing crops from growing. When highly hazardous industrial and nuclear wastes are placed on land, it becomes a non-renewable resource. Land, like all of our other natural resources, is limited. While humanity has learned to adapt its lifestyle to many ecosystems around the world, he will not be able to live comfortably on polar ice caps, under the sea, or in space in the near future.

Land is required by man for the construction of homes, the cultivation of food, the maintenance of pastures for domestic animals, the development of industries to provide goods, and the support of the industry through the creation of towns and cities. To safeguard our very rich biodiversity, man must also protect wilderness areas in forests, grasslands, marshes, mountains, and coasts, among other places. As a result, rational land use necessitates meticulous planning. Most of these distinct forms of land uses can be developed virtually everywhere. However, Protected Areas (National Parks and Wildlife Sanctuaries) can only be established when some natural ecosystems remain undisturbed. These Protected Areas are critical components of effective land use planning.

3.3.2 Land Use Change

The speed with which forests have disappeared in recent years, both in India and around the world, demonstrates the most devastating change in land use. Forests offer a variety of services to mankind. These processes include things like regulating oxygen levels in the atmosphere, removing carbon dioxide, controlling water regimes, and reducing erosion, as well as producing things like food, fuel, timber, fodder, medicinal plants, and so on. The loss of these is significantly greater in the long run than the short-term profits from converting forest lands to other uses.

3.4 LAND DEGRADATION, SOIL EROSION AND DESERTIFICATION

3.4.1 Land Degradation

Land degradation is the loss of soil fertility or the deterioration of soil. Due to increasing intensification of use, farmland is under danger. The demand for arable land to produce food, fibre, and fuel wood is increasing as the world's population grows. As a result, there is increasing pressure on scarce land resources, which are degrading as a result of over-exploitation. The degradation of land resources affects around 56 percent of the country's overall geographical area. Every year, 5 to 7 million hectares of land are added to the world's already damaged agricultural area. Wind and rain erode soil more quickly when it is used more extensively for farming. Salinization is caused by over-irrigating fields, as evaporation of water pushes salts to the top of the soil, where crops cannot grow. Excessive irrigation also causes topsoil water logging, which affects agricultural roots and causes the crop to degrade. As more chemical fertilizers are used, the soil becomes poisoned, and the land becomes unproductive. Agricultural land and woods are shrinking as urban centers and industrial growth expand. This is a significant loss with long-term consequences for human civilization. Water logging and salinity affect 3.4 million hectares of canal irrigated land, out of a total area of 17 million hectares.

3.4.2 Soil Erosion

The nature of soil determines the characteristics of natural ecosystems such as forests and grasslands. Various types of soil support a wide range of crops. The process by which the superficial layer of soil is lost or removed due to the impact of wind, water, and human influences is called soil erosion. The abuse of an ecosystem results in the loss of essential soil due to monsoon rains and, to a lesser extent, wind erosion. The soil is held by the roots of the

trees in the forest. As a result, deforestation causes considerable soil erosion. In other terms, it can be characterized as the transfer of soil components from one place to another, particularly surface litter and top soil. More than 5000 million tonnes of topsoil are predicted to be eroded each year, with 30% of the total eroded mass ending up in the sea. Soil is washed into streams, carried downstream by rivers, and eventually washed into the sea. The process is more visible in places like the Himalayas and the Western Ghats, where deforestation has resulted in erosion on steep hill slopes. These places are known as ESAs (ecologically sensitive areas). To avoid the annual loss of millions of tons of the essential soil, it is critical to conserve what remains. It is indeed crucial to reforest the deforested areas. The physical soil binding function of forests is not the only link between their existence and the presence of soil. The leaf litter of the forest enriches the soil. Soil microorganisms, fungi, worms, and insects break down this waste, which helps to recycle nutrients in the system. Further depletion of our soil wealth will drain the resource base of our country and impair the ability to produce enough food in the future.

3.4.3 Desertification

The term Desertification refers to an irreversible change in a land resource. Desertification is the loss of ten percent or more of the productive potential of arid or semiarid regions. Desertification is marked by deforestation, groundwater depletion, salinization, and significant soil erosion. If it would take more than a decade to recover from damage, it is deemed to be irreversible. There are various types of desertification that can be observed.

- Loss of economic capacity to manufacture goods and services involving direct human utility
- Loss of ecological functions required to maintain ecosystem processes
- Loss of biodiversity at the ecological or genetic level
- To detect new and difficult-to-reverse forms of deterioration, persistent national land monitoring systems are required.
- The current socio-economic systems and management technologies should be the subject of research.
- Policy approaches must account for local heterogeneity and complexity.

- In the absence of global or regional solutions to the majority of savanna and dry land degradation issues, progress must be made.
- Because of the failure and large expense of traditional initiatives, it is evident that focusing on enabling incentives that foster spontaneous response across the entire community will result in more progress. Land tenure, taxation, and marketing are the three key policy issues.
- Many successful techniques will have a high geographical dimension and include cross-national and ecological boundary movement.

Monitoring and evaluation are critical for the formulation of an action plan to halt the desertification process. This necessitates the use of a consistent mapping methodology.

3.5 DEFORESTATION: CAUSES AND IMPACT

Forests comprise over a third of the earth's land surface and provide numerous environmental benefits, including a critical role in the hydrologic cycle, soil conservation, climate change mitigation, and biodiversity protection. Deforestation is the process of converting forestland to a non-forested land use such as agriculture, grazing, or urban development. Deforestation is primarily a challenge for tropical developing countries since it leads to depletion of the tropical forest areas, resulting in biodiversity loss and increasing the greenhouse impact. Forests cover 30% of the earth's geographical surface, or around 3.9 billion hectares. It was estimated that the ancient forest covered an area of 1,500 acres.

The loss of various plant, animal, and microbial species in the recent years has been an outcome of deforestation. This phenomenon also poses a threat to indigenous people, whose culture and physical well-being is dependent on the forests. Regional and global climate changes are also caused by deforestation. Droughts become more likely in deforested areas because of the decline in rainfall. Deforestation contributes to global warming by releasing stored carbon as carbon dioxide, a greenhouse gas, into the atmosphere.

3.5.1 Causes of Deforestation

The fight to save the world's rainforests and other forests continues, and global consciousness about the issue is growing day by day. To save forests, we must understand the causes behind

their destruction. In order to understand the major factors of deforestation, it is critical to distinguish between the agents of deforestation and the causes of deforestation.

1. Shifting Cultivation or Jhum Cultivation - Shifting cultivation means that the people in the tribal areas clear the forest lands to grow subsistence crops. It has been observed that the major cause of deforestation in regions like Africa, Asia and tropical America has been estimated to be around 70, 50 and 35% respectively. Shifting cultivation is a process of slash and burn agriculture in which it is estimated that more than 5 lakh hectares of land is cleared annually. In countries like India, shifting cultivation is more popular in the north eastern States and to some extent in states like Bihar, Madhya Pradesh and Andhra Pradesh where the phenomenon contributes significantly to the process of deforestation.
2. Commercial logging - Commercial logging is also an important agent of deforestation stop although it might not be the primary cause of forest clearing but is certainly a secondary cause of deforestation because new logging definitely permits shifting cultivation and the fuelwood gathers access to the new logged areas.
3. Need for fuelwood – With an increase in the population, the demand for fuel would also increase which persistently becomes an impelling factor for deforestation especially in the dry forest areas.
4. Overgrazing - The dry regions of the tropical areas are more prone to overgrazing where soil pastures are degraded because of overgrazing which further becomes a cause for soil erosion. Also, the felling of trees is a common feature in the dry areas where the cleared land is used for providing fodder for the grazing animals. When animals that are brought for grazing, remove the vegetation from the land, the remaining task is finished up by the winds which blow away the top layer of the soil, thus transforming the grasslands into a desert. It has been primarily overgrazing, which was a major cause of converting the grasslands in the north of Beijing and Inner Mongolia into desert lands.
5. Expansion of the farming land - With the addition of cash crops and the increased earnings from such crops, the demand for cultivation of plants like oil palm, rubber, fruits and other ornamental plants has considerably increased. This has also exerted pressure on the need to expand the area for the cultivation of agri-business products and this is what leads to an increase in deforestation.

6. Urbanization - Developing cities and towns necessitate land to build the infrastructure required to support a growing population, which is accomplished through clearing forests. Tropical forests are a significant target for infrastructure



development for oil extraction, logging concessions, and hydropower dam construction, which ultimately leads to the growth of the road network and the construction of roads in otherwise virgin areas. Roads, railways, bridges, and airports offer additional territory for development, bringing a growing number of people to the forest frontier. These immigrants have colonized the forests by exploiting logging routes or new roads to enter the forest for subsistence land, whether or not they were supported by government programming.

7. Fires - Fires are a common method of clearing forest for shifting and permanent agriculture, as well as the development of pastures. When used responsibly, fire can be a helpful tool in agricultural and forest management, but when used inappropriately, it can result in severe deforestation. Forest fires were reported to affect an average of 19.8 million hectares or 1% of all forests per year, according to statistics from 118 countries covering 65% of the global forest area. In Brazil, deforestation due to road paving has resulted in an increase in forest fires.
8. Tourism - Undoubtedly, national parks and sanctuaries safeguard trees, but the unregulated and irresponsible opening of such regions to the public for tourism is detrimental. Unfortunately, national governments in tropical and sub-tropical nations use tourism as a quick source of revenue, abandoning strict management techniques in the process. Furthermore, many organizations and resorts that represent themselves as eco-tourist destinations are actually profiting off the trees.

9. Exploitation by industrialized nations - Wealthy countries or former colonial powers who lack their own natural resources rely heavily on the resources of financially impoverished countries that are often wealthy in natural resources. Only 20% of the world's population consumes 80% of the world's resources. Unfortunately, the governments of these poor resource-rich countries had adopted the same growth-syndrome as their western neighbours, focusing on maximizing exports, income, and exploiting their vast natural resources for short-term profits. The problem is further exacerbated by the low price of most Third World exports realized in the international market.
10. Overpopulation and Poverty - The influence of population density on deforestation has long been a source of debate. According to international organizations such as the FAO and intergovernmental bodies, poverty and overpopulation are the primary drivers of forest loss. These organizations often assume that fostering development and attempting to minimize population increase will address the problem. Rapid population expansion, on the other hand, appears to be a key indirect and overarching source of deforestation. More people necessitate more food and space, which necessitates more agricultural and habitation land. As a result, additional woods have to be cleared.

3.5.2 Impact of Deforestation

Deforestation has a number of negative repercussions; it directly and adversely affects the environment. It affects the lives of human beings and hampers the ecological balance to quite an extent; so much so that hundreds of thousands of species are killed each year as their habitats are destroyed by forest fires and tree cutting. Moreover, deforestation also exacerbates the pace of global warming, thus making life unsustainable for all species on the Earth. The major implications of the problem of deforestation are:

1. Impact on Productivity - Soil, water, and wind erosion are among the catastrophic effects of deforestation in India, with an annual cost of approximately 16,400 crores. Deforestation has a two-fold effect on farmland productivity: it increases soil erosion by a considerable proportion; deforestation forces people to utilize cow-dung and crop wastes as fuel, primarily for cooking, because the soil has been swept away, resulting in an exacerbated cycle of floods and drought.

2. Land Erosion and Landslides - Land erosion and landslides have been caused by deforestation. In the situation of lack of trees, data shows that around 6,000 million tonnes of topsoil is lost annually due to water erosion. In 1973, topsoil erosion loss resulted into a worth of almost Rs 700 crores. In 1976, 1977, and 1978, the values were Rs. 889 crore, Rs. 1,200 crore, and Rs. 1,091 crore, respectively.
3. Reduction in Agricultural Production - Forest trees help to ensure long-term agricultural output by providing environmental protection. They improve the fertility and texture of forest soils, as well as production, by protecting agricultural land from deterioration. The presence of trees on farmlands in portions of the sudano-sahelian region lowers the drying effect of the prevailing wind on the soil, preserving the soil moisture essential for healthy agricultural growth and development. Wind speed and sand movement over planted crops are reduced by trees. Already planted seeds may be lost if there are no wind breaks. In terms of seed and labour expenses, supplying or replanting seedlings is a financial loss. In extreme circumstances, late planting can result in crop failure.
4. Loss of Income Generation - Forest resources bring prosperity to the people of the communities, where they are used. The forests are vital to the livelihood of rural people. Rural people process and trade forest products to supplement their household income and, in certain cases, to set aside money for future needs. To create additional cash, the forest sells wild life, fruit, medicinal herbs, and fuel wood. Furthermore, many rural and urban residents profit from forestry. However, it is an irony that today, as a result of deforestation, the amount of cash generated from the forest has been substantially reduced.
5. Loss of Biodiversity and Habitats - Deforestation, fragmentation, and degradation of forests, particularly those in the tropical areas, harm biodiversity as a whole and habitat for migratory species, including endangered species, some of which have yet to be identified. Tropical forests are home to almost two-thirds of all known species and 65 percent of the world's 10,000 threatened species. The biodiversity of forested regions should be preserved as a type of capital until further research is carried out to determine the relative significance of diverse plant and animal species.

3.5.3 Impact of Deforestation due to Mining

Mining affects the forests and lives of tribal people in number of ways:

- Surface mining is used to mine shallow deposits, while subsurface mining is used to mine deep deposits. It causes land deterioration and the loss of top soil. In India, mining activities are believed to be putting around 80,000 hectares of land under danger.
- Mining and other related activities remove flora as well as the underlying soil mantle, resulting in topography and landscape degradation in mountainous areas. Due to indiscriminate mining, large-scale deforestation has been recorded in the Mussoorie and Dehradun valleys.
- In hilly areas, mining causes perennial water sources such as springs and streams to dry up.
- The extent of forested land has decreased by 33% on average, and the rise in non-forest land owing to mining activities has resulted in relatively unstable zones that have resulted in landslides.
- Since 1961, unregulated mining in Goa's forests has devastated more than 50000 acres of forest area. Coal mining in the Jharia, Raniganj, and Singrauli areas has resulted in considerable deforestation in Jharkhand, while magnetite and soapstone mining in the mountainous slopes of Khirakot, Kosi valley, and Almora has destroyed 14 hectares of forest.
- The lush forests of the Western Ghats are also under threat from mining projects for copper, chromites, bauxite, and magnetite in Kerala, Tamil Nadu, and Karnataka.
- Mining is both intensive and a devastating activity. Because the land area involved is so little, it is not considered a major cause of primary deforestation. Mining is a lucrative industry that promotes development booms, which can lead to population increase and deforestation.
- Furthermore, roads built to assist the mining operations will allow agriculturists, permanent farmers, ranchers, land speculators, and infrastructure developers to access the area. For example, infrastructure development projects like as highways allowing access to frontier regions, mining areas, and big hydropower reservoirs were at the heart of Brazil's Amazon development strategy.
- Roads, railways, bridges, and airports open up the land for development, bringing an increasing number of people to the forest frontier. If wood is utilized as a fuel in mining operations and comes from plantations set up for that purpose, it might result in significant deforestation in the region.

3.5.4 Impact of Dam Building on Environment

Dam and valley projects were called as "Temples of Modern India" by Pandit Jawaharlal Nehru.

These large dams and river valley projects serve a variety of purposes. These dams, on one hand, are responsible for the degradation of forests and on the other hand, they are to be blamed for the degradation of catchment areas, the extinction of flora and wildlife, the spread of water-borne diseases, the disruption of forest ecosystems, and the rehabilitation and resettlement of tribal people. Ironically, woodlands are found in locations with abundant mineral resources. Forests also cover the steep river valley embankments, which are perfect for developing hydropower and irrigation projects. As a result, there is a perpetual conflict of interest between environmental scientists' conservation concerns and the Mining and Irrigation Departments'.

Dams provide a year-round supply of water for domestic purposes, as well as additional water for agriculture, industry, and hydropower generation, but they also have a number of major environmental concerns. They disrupt river flows, alter natural flood control mechanisms like wetlands and flood plains, and destroy local people's lifestyles as well as wild plant and animal habitats. The lives, livelihoods, customs, and spiritual existence of indigenous and tribal people have all been negatively impacted by large dams. Dams have unduly harmed them, and they are usually left deprived of the advantages. In India, tribal people accounted for 40 to 50 percent of the 16 to 18 million people displaced by dams, despite being only 8% of the country's population of one billion.

3.6 WATER RESOURCES: USE AND OVER-EXPLOITATION, FLOODS AND DROUGHTS

3.6.1 Use of Water Resources

Water is utilised for agricultural, industrial, household, recreational, and other purposes, in addition to environmental initiatives. The majority of the operations necessitate the usage of fresh water. However, salt water makes up around 97 percent of all water on the planet, with fresh water accounting for barely 3%. Glaciers and polar ice caps hold a bit more than two-thirds of the accessible fresh water. The remaining freshwater is mostly found as groundwater, with only a small amount present on the ground or in the air. Water is a critical element in all aspects of the ecosystem. Water resources are distinct from other natural resources. It is the world's most abundant and extensively distributed element. It covers almost three-quarters of the earth's

surface (70 percent). It can be found in every part of the environment, including the oceans as a massive saltwater reservoir, on land as surface water in lakes and rivers, underground as groundwater, in the atmosphere as water vapour, and in the polar icecaps as solid ice. This equates to 1400 million cubic kilometres, or enough to cover the world with a 3000 metre thick layer. This apparent abundance, however, is deceptive, as it conceals an ironic reality that a massive 97.5 percent of the amount contained in the world's oceans and seas is saline and so unfit for human consumption. We, like many other organisms, require fresh water to thrive, but only around 2.5 percent of the entire amount is available as fresh water. Approximately 68.9% of the water resources are inaccessible due to ice fields and glaciers, while the remaining 29.9% is present as groundwater. In fact, just one-hundredth of one percent (0.03%) of the world's total supply of 14 billion cubic metres is deemed readily available for human consumption on a regular basis.

The following is a quick rundown of how water is used in various industries.

- i. **Agricultural Use:** In agricultural economies like India, agriculture accounts for 69 percent of total water usage. As a result, agriculture is the world's largest consumer of accessible freshwater.
Agriculture's global water demand is expected to rise by 19 percent by 2050 due to irrigational needs. Increased irrigation demand is projected to place undue strain on water reserves. It's also unclear whether further irrigation development, as well as increased water withdrawals from rivers and groundwater, will be sustainable or not.
- ii. **Industrial Use:** Water is used in industry since it is the lifeblood of the industry. It is utilised as a coolant for raw materials, a solvent, a transport agent, and an energy source. Manufacturing accounts for a significant proportion of total industrial water usage. Chemicals and key metals, in addition to paper and related goods, are major industrial uses of water.
The industry accounts for 19% of overall consumption worldwide. Industry, on the other hand, consumes more than half of the water available for human use in developed countries.
- iii. **Domestic Use:** It encompasses drinking, cleaning, personal hygiene, gardening, cooking, clothing, dishwashing, and vehicle maintenance, among other things. People have been moving out of the countryside and into ever-expanding cities since the end of World War II. This trend has major 15 consequences for our water resources.

To distribute water to expanding populations and industry, the government and towns have had to start developing major water-supply systems. Domestic water use accounts for around 12% of global water consumption.

- iv. Use for Hydropower generation: Hydropower is electricity generated by water. Hydropower is the world's most widely used renewable energy source. It generates around 16 percent of the world's total electricity. There are several hydropower development prospects all throughout the world. China, the United States, Brazil, Canada, India, and Russia are the world's top hydropower producers now.
- v. Use for Navigation and Recreation: Watercourses that have been or may be used for interstate or international commerce are known as navigable waterways. In many parts of the world, agricultural and commercial items are transported by water on a vast scale. Recreational activities such as boating, swimming and sporting activities are all done on the water. These activities degrade the water's quality and pollute it. While allowing such operations in reservoirs, lakes, and rivers, the highest priority should be given to public health and drinking water quality.

3.6.2 Over-Exploitation of Water Resources

Water scarcity has become a worldwide concern. In recent decades, the United Nations has convened several water conventions. Continuous overuse of surface and ground water has resulted in today's world experiencing virtual water scarcity.

Water scarcity has arisen as a result of dwindling resources due to high human population growth over the centuries, as well as rising man-made water pollution around the world. As a result of the massive rise in the world population, existing water supplies have been continuously overused. In many places of the world, groundwater is the primary source of water. However, due to overexploitation by an ever-increasing human population and the rapid rise in global temperatures, this resource has been steadily depleted.

In recent times, there has been a lot of industrialization and urbanization. By 2025, India is predicted to be under severe water stress. At the global level, 31 nations are now experiencing water shortages, and by 2025, 48 countries will be experiencing severe water shortages. Water shortages are expected to affect 4 billion people by 2050, according to the United Nations. This will result in a slew of water-related conflicts between countries. Around 20 of India's main cities are experiencing chronic or intermittent water shortages. The waters of 13 main rivers and

lakes are shared by 100 countries. Upstream countries may starve downstream countries, resulting in political instability around the world.

3.6.2.1 Surface Water

Rain and snow cover are the prime sources of surface water. Natural lakes and ponds, rivers and streams, and constructed reservoirs are all examples of surface sources. The country's economy is determined by the availability of surface water. Surface water availability affects production on one hand, while water sources can also produce floods and drought on the other. Water may cause national (interstate) or international issues as a result of unequal distribution. Due to these issues, the sharing of surface water is harming the productivity of several agro eco-zones and causing challenges for the government.

3.6.2.2 Ground Water

In many places of the world, groundwater is the primary source of water. However, due to overexploitation by a growing human population and the rapid development in industrialization and urbanisation in contemporary times, this resource has been continuously depleted. Groundwater accounts for around 9.86 percent of total fresh water resources, and it is 35-50 times larger than surface water supplies. So far, about 32% of the groundwater resources have been exploited.

Groundwater extraction is increasing day by day in order to cater to the growing agricultural demands, particularly for the production of water-intensive crops like sugarcane. 90% of the groundwater that is extracted is used for irrigation. In most states, over 8.5 million electric and diesel pumps are used to remove groundwater, resulting in declining water tables. Only the northern and coastal plains have abundant groundwater supplies. In some areas, the supply is insufficient. The volume of groundwater is around 210 million cubic metres. Infiltration, seepage, and evaporation all contribute to this amount. The country's total replenishable ground water resources have been assessed to be 45.23 million hectares metres per year. 6.93 million hectares metres are used for drinking, industrial, and other purposes, leaving 38.34 million hectares metres available for irrigation. Even now, our country is unable to offer safe drinking water to all of its villages and cities. The dissolved minerals in ground water come from the soil layers through which it flows. As water seeps through the layers of the earth, it is drained of most of the microorganisms originally present in the surface water. Though the salt concentration can

be overwhelming at times, it is generally superior as a source of domestic water. The organic materials and mineral nutrients in surface water support algae and huge bacteria populations.



3.6.2.3 Overutilization

With the increase in human population, bigger volumes of water are required to meet a range of fundamental demands. This standard is currently unattainable in many regions. Water overuse occurs on a variety of levels. Most people consume far more water than they require. Most of us waste water while bathing, showering, or washing our clothes. Many farmers use more water than is required to cultivate crops. Farmers may use less water without compromising yields in a variety of methods, including the use of drip irrigation technology.

The world's freshwater resources have been stressed by years of fast population increase and rising water usage. Water demand has already surpassed natural availability in some locations, and an increasing number of countries are anticipated to experience water shortages in the near future. At 6.1 billion people, the world's population is increasing by roughly 80 million people per year. This figure translates to a 64 billion cubic metre increase in annual freshwater demand. When annual water supplies fall below 1,700 cubic metres per person, a country is said to be experiencing water stress. A country is said to be facing water scarcity if water availability is less than 1,000 cubic metres per person. When a country faces water scarcity, it should expect persistent freshwater shortages that jeopardise food production, stifle economic growth and development, and harm the environment.

In 1995, 31 countries with a population of 458 million people faced water scarcity or stress. According to Population Action International's forecasts, more than 2.8 billion people in 48 countries would face water stress or scarcity by 2025. By 2050, there will be 54 countries without enough water, affecting 4 billion people, or 40% of the estimated global population. The Middle East, North Africa, and Sub-Saharan Africa have been impacted the hardest. More than 200 million people in Sub-Saharan Africa already live in water scarce countries.

The can be depicted through the following table.

Table 3.1 World's Water Demand Per Year

Year	Demand for Water per Year (in cubic kilometers)
1940	1000
1990	4130
2000	5000
2002	6650

Water scarcity is becoming the single greatest threat to food production, since groundwater levels are dropping and rivers are receding, leaving less water available for cultivation.

According to the United Nations Environment Programme, India will be water-stressed by 2025, with average annual water availability ranging from 1000 to 1700 cubic metres per person.

Agriculture sector is shown to be the largest user of water. Water usage for irrigation increased from roughly 40% two decades ago to 73 percent by the year 2000 A.D. The usage of irrigation is inefficient. As a result, 25-30% efficiency and watering methods will be dramatically altered. The data on water consumption displayed in the table below shows that irrigation, including livestock and electricity use, accounts for 79.6% and 13.7 percent of total water use, respectively.

Table 3.2 Water Use (India) 2000 A.D.

Use	Taken	Consumed	Returned
Irrigation	869	783	86
Livestock	150	5	145
Industry	35	10	25
Domestic	38	8	30
Total	1092	806	286

3.6.3 Floods

For ages, floods have been a severe environmental concern. However, as people have deforested catchments and increased their usage of river flood plains that originally served as safety valves, the destruction wreaked by rivers overflowing their banks has become increasingly devastating. Wetlands in flood plains are natural flood control systems into which overflowing rivers can spill and act as a temporary buffer, soaking up the water and keeping it from destroying the

surrounding land. Water levels in rivers, seas, and oceans rise as a result of heavy rains. Flooding occurs when water accumulates along the coastline. Floods wreak havoc on crops, domestic animals, property, and people's lives. Many animals are carried away by the power of the water during floods and die as a result.

Floods in the Ganges and its tributaries, as well as the Brahmaputra, are caused by deforestation in the Himalayas, which kill people, damage the crops, and destroy homes year after year. During floods, rivers alter the direction of their flow, and tonnes of rich soil is lost to the sea. Rainwater no longer seeps into the subsurface when forests decline, but instead flows down the mountainside, carrying vast volumes of topsoil. This momentarily blocks rivers, but as pressure builds, it gives way, allowing massive amounts of water to wash down into the plains below. Rivers surge, burst their banks, and flood waters engulf people's crops and homes there.

3.6.4 Droughts

Drought has been a serious issue in our country, particularly in the dry areas. Droughts occur when an area goes without rain for an extended length of time. In the meantime, evaporation and transpiration will continue to drain groundwater from the soil. The land gets incredibly dry since this water is not returned to the earth in the form of rain; the water level in ponds and rivers drops and in rare cases, water bodies totally dry up. Droughts occur when groundwater becomes scarce. It is extremely difficult to obtain food and fodder in drought circumstances. Life becomes difficult, and many animals perish as a result. It is a climatic situation that develops as a result of the failure of one or more monsoons. It occurs at different times in different places of our country. While it is impossible to prevent the monsoon from failing, careful environmental management can mitigate its negative consequences. During drought years, water shortage has an impact on houses, agriculture, and business. It also causes food shortages and malnutrition, which has a particularly negative impact on children.

Rainfall in most parched places of the world is unpredictable. This results in periods of severe water scarcity for drinking, farming, and providing for urban and industrial use. Drought-prone areas are consequently subjected to periodic hunger. Agriculturists have no income in these terrible years, and because they don't have a consistent source of income, they are constantly concerned about droughts. Drought-prone areas in India have 'Drought Prone Areas Development Programs,' which are intended to mitigate the consequences of droughts. People

are paid in bad years to build roads, minor irrigation projects, and plantation initiatives under these programs. There are several steps that can be taken to reduce the severity of a drought's effects. However, this must be done as a precautionary measure so that the impact on local people's life is minimized if the monsoons fail. When the monsoon is nice, we use up the plentiful quantity of water without attempting to save it or use it wisely. In the drought area, there is no water even for drinking during a year when the rains are scarce.

Deforestation is one element that exacerbates the effects of drought. Rainwater rushes down rivers and is lost once hill slopes are cleared of forest cover. Water is kept in the area by the forest cover, which allows it to seep into the earth. This increases the amount of water stored underground in natural aquifers. If the stocks have been replenished during a good monsoon, this can be utilized in dry years. Overuse of subsurface storage water causes the water table to drop and vegetation to suffer. Drought-resilient soil and water management, as well as afforestation, are long-term solutions.

3.7 CONFLICTS OVER WATER

Water conflict is a term that describes a dispute over water resources between countries, states, or groups.

3.7.1 Inter-state Water Conflict

Agriculture is India's primary source of income. For the effective supply of water for agricultural uses, multi-purpose projects and irrigation projects have been built across rivers. As a result, the equitable distribution of river water resources is critical to people's well-being. Inter-state water disputes arose as a result of states sharing river water. Since India's independence, there have been numerous river water disputes. When a water dispute emerges between two or more State governments, the Central Government receives a request under Section 3 of the Inter-State River Water Disputes Act, 1956 (ISRWD Act, 1956) from any of the basis States regarding the existence of a water dispute.

Kaveri River Dispute

The origins of this war may be traced back to two agreements made between the ancient Madras Presidency and the Princely State of Mysore in 1892 and 1924. Karnataka claims that the river does not provide it with its fair share of water. It contends that the accords were severely skewed

in favour of the Madras Presidency, and it has asked a renegotiated deal based on equitable water sharing. On the other hand, Tamil Nadu claims that it has already developed about 3,000,000 acres of land and has come to rely substantially on the current pattern of use. Any change will have a negative impact on the livelihoods of millions of families in the states.

On February 5, 2007, the Indian government issued a final decision allocating 419 billion cubic feet of water to Tamil Nadu and 270 billion cubic feet to Karnataka, as well as 30 billion cubic feet of Kaveri river water to Kerala and 7 billion cubic feet to Puducherry. All four states have decided to file review petitions in order to obtain clarifications and maybe renegotiate the ruling. The Indian Government notified the final award of the Cauvery Water Disputes Tribunal on February 20, 2013, in accordance with Supreme Court orders (CWDT). On May 10, 2013, the Supreme Court of India issued an interim order directing the Government of India to establish a temporary Supervisory Committee to administer the Cauvery Tribunal order.

3.7.2 International Water Conflict

Tsangpo-Brahmaputra (Indo – China conflict)

The two lower riparian countries, India and Bangladesh, are concerned about China's huge intentions to harness the Brahmaputra River's waters. Dam development in China, as well as the anticipated diversion of the Brahmaputra's waters, is likely to have an impact on water flow, agriculture, environment, and downstream lives and livelihoods. Hydropower projects along the Brahmaputra have been approved by the Chinese government. It claims that all of these projects are run-of-the-river, with no storage or diversion, and that they will have no impact on the river's downstream flow into northeast India. Nonetheless, its ambitions have caused concern in India's northeast and Bangladesh, where the Brahmaputra is a lifeline. The anticipated northward rerouting of the Brahmaputra's waters is more concerning than China's construction of hydropower dams on the river. The river's water level would drop significantly as it entered India as a result of the diversion. The increased salinity of the water will have a significant impact on agriculture and fisheries in downstream locations. The issue's lack of communication is fueling distrust and tension. This emphasizes the importance of a multi-country discourse involving all riparian countries. China must share information about its dam development and other plans with the rest of the world.

3.8 ENERGY RESOURCES

Energy is a critical component of economic growth, and the availability of energy is closely linked to a country's future prosperity. The production of electricity and the consumption of energy are both critical to economic progress. Energy is consumed in India in a variety of ways, including through the use of fuel wood, animal dung, and agricultural wastes. Commercial fuels, such as coal, petroleum products, natural gas, and electricity, are gradually replacing these noncommercial fuels. Commercial fuels contribute for 60% of total energy, whereas non-commercial fuels account for 40%.

In our lives, the sun is our primary source of energy. We use it directly for warmth, as well as indirectly through natural processes that offer us with food, water, fuel, and shelter. The sun's rays fuel the growth of plants, which provide us with food, produce oxygen, which we breathe in, and absorb carbon dioxide that we exhale. The sun's energy evaporates water from seas, rivers, and lakes, forming clouds that eventually transform into rain. Fossil fuels were originally forests that grew in prehistoric times owing to the sun's light. The exploitation of most energy sources will be required to meet the future energy needs of a rapidly growing human population. Energy resources can be classified as either non-renewable or renewable.

3.8.1 Renewable Sources

Natural processes rejuvenate renewable energy resources, allowing them to be used continuously. In comparison to fossil fuels or nuclear energy, renewable energy has a far lower negative environmental impact. Renewable energy generation is often more expensive than energy produced by fossil fuels or nuclear energy at this time in technology; but, as technology progresses, renewable energy costs are predicted to fall. Solar energy is the most important of the renewable energy sources. Hydropower, wind, geothermal energy, ocean waves, and tidal energy are some of the other sustainable energy sources.

Plants (crops and forests) and animals that are periodically replaced because they have the ability to reproduce and maintain life cycles are examples of renewable resources. Wood and wood products, pulp products, natural rubber, fibres (e.g. cotton, jute, animal wool, silk and synthetic fibres), and leather are examples of renewable resources that do not have a life cycle but can be recycled.

Water and soil, in addition to these resources, are considered as renewable resources. Solar energy, despite having a finite life, is seen as a renewable resource in the sense that solar stores are limitless on a human scale.

3.8.2 Non – Renewable Sources

Nonrenewable sources are resources that cannot be replaced by natural processes. There are only a limited number of such resources available, and they cannot be raised. Fossil fuels (petrol, coal, etc.) and nuclear energy sources are among these resources (e.g. uranium, thorium, etc.). Moreover, minerals, salts, and metals (iron, copper, gold, silver, lead, zinc, and so on) (carbonates, phosphates, nitrates etc.) are also all forms of non-renewable energy resources. Once a non-renewable resource is depleted, it is no longer available. Then we must either locate a replacement or do without it. Non-renewable resources can further be divided into two categories, viz. Recyclable and non-recyclable.

- (1) Recyclable resources: These are non-renewable materials that can be gathered and repurposed after they have been utilised. These are primarily non-energy mineral resources found in the earth's crust (e.g. aluminium, copper, mercury, etc.) and fertiliser nutrient reserves (e.g. phosphate rock and potassium, as well as minerals used in their natural state) (asbestos, clay, mica etc.)
- (2) Non – Recyclable resources: These are nonrenewable resources that are incapable of being recycled in any way. Fossil fuels and nuclear energy sources (e.g. uranium, etc.) are examples of these, which provide 90% of our energy needs.

3.9 USE OF ALTERNATE ENERGY SOURCES

There is a need to develop renewable energy sources that are already accessible and can be used (such as solar or wind), as well as sources that can be generated and used (bio-mass). Solar, wind, hydel, waste, and bio-mass are India's primary renewable energy sources. Bio-mass refers to agricultural resources such as wood, bagasse, cow manure, seeds, and so on.

3.9.1 Solar Energy

Solar energy can be used for human welfare in both direct and indirect ways. The radiant energy of the sun is direct solar energy, whereas indirect solar energy is acquired from things that have previously absorbed the sun's radiant energy. Direct heating using solar energy is possible, or the

heat can be transformed into power (thermal electric generation). Direct solar energy is converted into electricity using photovoltaic cells. When solar power is unavailable at night or on overcast days, a backup system is required to store and create electricity.

India, as a tropical country, has the potential to commercialize solar energy. As per the findings of various studies, one sq. kms of land might create 35 MW of power. With such potential, solar energy has a bright future as a source of energy for the country's development. The most significant constraint is the initial investment, which has resulted in a poor utilization of its potential. Solar energy will require a lot of research, low-cost technologies, and minimal expenditure to become one of the front runners

3.9.2 Biomass Energy

Biomass energy is the most important of the different energy resources where solar energy is used indirectly. Live plant material and dried residues, fresh water and marine algae, agricultural and forest residues (e.g. straw, husks, maize cobs, bark, sawdust, roots, animal wastes), and other materials whose origin can be attributed to photosynthesis provide biomass energy. Biomass also includes biodegradable organic waste from sugar mills, breweries, and other businesses. Biomass is the primary source of energy for at least half of the world's population. In India's rural areas, fuel wood is still an important source of energy for domestic use. To release its energy, biomass fuel, which can be solid, liquid, or gas, is burned. Wood, charcoal, animal dung and peat are examples of solid biomass. Biomass can be turned to liquid fuels, particularly methanol and ethanol, for use in internal combustion engines. Microbial decomposition can also be used to convert biomass, notably animal waste, into biogas in biogas digesters. Biogas is a clean fuel that emits fewer pollutants than other combustible energy sources when burned. It is made up of a mixture of gases that can be conveniently stored and transferred.

Biomass energy production necessitates a sufficient amount of land and water.

3.9.3 Biogas Energy

Organic waste, such as dead plant and animal material, animal dung, and kitchen garbage, can be transformed into a gaseous fuel called biogas by anaerobic digestion or fermentation. Biogas is composed primarily of methane (CH_4) and carbon dioxide (CO_2), with minor amounts of hydrogen sulphide (H_2S), moisture, and siloxanes. It is a biomass-based renewable energy source. Biogas is a fuel that can be utilized in any country for any type of heating, including

cooking. It can also be found in anaerobic digesters, where it is used in a gas engine to convert gas energy into electricity and heat. Biogas, like natural gas, may be compressed and utilized to power vehicles.

Denmark produces a considerable amount of biogas from wastes and 15 farmer cooperatives produce 15,000 megawatts of electricity. A factory in London produces 30 megawatts of electricity per year from 420,000 tonnes of municipal refuse, enough to power 50,000 households. In Germany, biogas is used to generate electricity in 25% of waste landfills. Japan recycles 85 percent of its waste whereas, France recycles 50 percent. In India's rural sector, biogas plants are becoming increasingly popular. Cowdung is utilised in biogas plants, which is transformed into a gas that is used as a fuel. It can also be utilised to power dual-fuel engines. Using biogas to minimise cooking smoke has helped thousands of people breathe easier.

3.9.4 Hydropower

To create electric energy, water is made to fall from a height which further turns turbines at the dam's bottom. Hydropower generates around a quarter of the world's electricity and is typically less expensive than electricity generated by thermal power facilities. Building a dam to keep the water, on the other hand, causes a slew of environmental issues, including the submergence of plant and animal habitats and the relocation of people. Hydropower generation globally grew sevenfold between 1950 and 1970. Some of its advantages include the long life of hydropower plants, the renewable nature of the energy source, very cheap operating and maintenance costs, and the absence of inflationary pressures as with fossil fuels.

Although hydroelectric power has aided global economic development, it has also exacerbated significant environmental issues. Large amounts of forest and agricultural land are submerged to generate hydroelectric electricity. Local tribal people and farmers have long relied on these areas for their livelihood. Land use conflicts are unavoidable. Reservoir silting (particularly as a result of deforestation) shortens the life of hydroelectric power plants. Aside from electricity generation, water is necessary for a variety of other functions. Domestic needs, agricultural crop production, and industrial needs are among them. As a result, conflicts arise.

When rivers are dammed for electricity generation, they become difficult to be utilised for navigation and fishing. The problem of displaced persons' resettlement is one for which there is no simple solution. As most dam projects have failed to rehabilitate those who have been displaced, yet many large hydroelectric initiatives are still being opposed.

3.9.5 Growing Energy Needs

Energy has always been inextricably related to man's economic progress and advancement. Energy usage has been regarded as an indicator of economic progress in current development models that have concentrated on measuring the extent of economic expansion. This measure, on the other hand, ignores the long-term negative repercussions of high energy consumption on society. The world's energy demands quadrupled between 1950 and 1990. Over the previous 22 years, the global demand for power has doubled. In the year 2000, the global primary energy consumption was 9096 million tonnes of oil. This equates to 1.5 tonnes of oil per capita on a worldwide scale. Electricity is currently the world's fastest increasing kind of end-use energy. By 2005, Asia-Pacific is predicted to overtake North America in terms of energy consumption, and by 2020, it will consume 40% more energy than North America.

Coal was the major source of energy for the industrial revolution in the nineteenth century for about 200 years. Oil accounted for 39% of global commercial energy use at the end of the twentieth century, followed by coal (24%) and natural gas (24%), with nuclear (7%) and hydro/renewable sources (6%) accounting for the remainder. Coal is the most common commercial energy source in India, accounting for 55 percent of total energy consumption in 2001, followed by oil (31%), natural gas (8%), hydro (5%), and nuclear energy (1%). Biomass (mostly wood and dung) provides for over 40% of India's primary source of energy. While coal remains the most common fuel for electricity generation, nuclear power has grown in popularity during the 1970s and 1980s, and the demand for natural gas has surged in the 1980s and 1990s.

3.10 CASE STUDIES

The importance of energy resources in today's economy and as a foundation for our future may be seen in recent clashes between some of the world's most powerful nations, which have mostly been attributed to the goal of securing their energy supply. The two Gulf Wars are significant examples of this. Energy security has been acknowledged by defence experts as the driving force for Iraq's invasion over Kuwait, as well as the rationale for the second Gulf war. The globe has recently witnessed a conflict in the South China Sea between India, Vietnam, and China over the subject of prospecting for natural gas and petroleum beneath the seabed and these days, it is the tussle between Russia, China and the U.S. making claims over the Arctic region, which highlights their expanding demand and urgent need to augment their sources of energy.

3.10.1 India and Pakistan : The Indus Water Treaty

About the Indus River Basin: The Indus River originates in China (Tibet) and Afghanistan and runs 3,100 kilometres to the Arabian Sea through India and Pakistan. Three western rivers (the Indus, Jhelum, and Chenab) and three eastern rivers (the Sutlej, the Beas, and the Ravi) make up the Indus River system. In terms of agriculture, the Indus is one of the world's most developed rivers, having huge irrigation facilities in both Pakistan and India. The partition of India and Pakistan in 1947 separated the Indus basin's water resources, resulting in disputes over water allocation between the two countries.

Conflict: The Indus River has long been a source of contention between India and Pakistan, two countries with a history of mistrust and antagonism in their relationship. During the 1940s, large irrigation projects were undertaken in a section of the basin (Punjab) that was to be partitioned between the two countries. On five of the six rivers in the Indus basin, the 1947 split established India as the upstream riparian and Pakistan as the downstream riparian. Water allocation disputes emerged almost immediately. In December 1947, a brief standstill agreement was reached, which kept the status quo in place until March 1948. In the spring of 1948, when the agreement expired, numerous water supplies from India to Pakistan were cut off. Attempts to resolve the dispute failed in producing a long-term solution.

Resolution: David E. Lilienthal, an external expert, suggested a cooperative approach to water management in the 1950s, with the goal of boosting available water supply through infrastructure development and controlling the Indus basin as a single entity. He recommended a technical and collaborative approach to issue solving and management, as well as the establishment of the Indus Engineering Corporation with World Bank funding and support. Following his evaluation of the report, World Bank President Jim Yong Kim called Pakistan and India's prime ministers to gauge their interest in engaging in a new dispute settlement procedure mediated by the bank's "good offices." The prime ministers agreed, and the mediation process began.

- A mediation process design was agreed upon, comprising fundamental concepts and a representation technique to steer the negotiations. Both governments agreed to take a cooperative approach to water management, to negotiate on a functional rather than political basis, and to appoint engineers from their respective countries to participate in the talks. The construction of a shared information base on water resources and infrastructure development choices was agreed upon, with a commitment to share data.

- Both India and Pakistan submitted a series of suggestions and counterproposals for water use and allocation plans at the request of the World Bank. While the respective models shared supply assumptions, they differed considerably in terms of water allocation. The two parties were unable to reach an agreement on a collaborative approach to developing the Indus basin's waters, leaving only a quantitative split of the waters as a viable alternative. The World Bank proposed allocating the vast majority of the water supplies from eastern tributaries to India and from western tributaries to Pakistan once the idea of joint development was abandoned.
- The World Bank's proposal was approved by India as the basis for an agreement. Given the inadequate storage facilities, Pakistan regarded the flow of western rivers insufficient to replace their existing supplies from eastern rivers. As a result, Pakistan only offered a conditional consent. The World Bank replied by recommending that India should construct larger storage facilities, which India declined due to financial constraints. The concerns of how much India would contribute to the development of extra storage and where the finances for the remaining construction would come from, were essential to resolve this deadlock.
- Separate talks with India and Pakistan were held by the Bank president, who also sought financing from the world community. India agreed to give \$174 million, with the rest of the world chipping in another \$900 million. Both Pakistan and India consented to the package, which was formally drafted as the Indus Treaty in January 1961 and ratified by both the nations.

3.10.2 South China Sea Conflict

About the South China Sea: The South China Sea is a huge tropical ocean expanse that spans over 3 million square kilometres and is located between Asia's mainland coast and the island groupings of the Philippines, Borneo, and Indonesia. Because it connects the Indian and Pacific Oceans, it is critical to the flow of world maritime trade. Approximately 90% of the world's commercial goods are transported by water. Many of the countries in this region lack natural resources but have robust, industrialised economies that rely on importing raw materials and shipping manufactured goods across the sea.

Ships operating through the South China Sea are expected to transport more than \$5 trillion in annual trade. This includes around a quarter of all oil transported by sea (about 15 million barrels per day) and more than half of all global liquefied natural gas trade (LNG). The South China Sea

is also an internationally important biodiversity hotspot. It has coral reef environments that sustain at least 3,365 recognised marine fish species. The South China Sea, despite being a small area of the oceans, produces an incredible amount of fish, accounting for 12 percent of global fishing catch and valued about US\$21 billion per year. These live assets are more valuable than money. They employ at least 3.7 million people and are critical to the region's food security for hundreds of millions of people.

Conflict: The South China Sea disputes mainly revolve around the islands. The area's coastal geography is complicated, with several small islands, rocks, and coral reef features, the vast majority of which are subject to opposing sovereignty claims. Two archipelagos — the Paracel Islands in the northwest and the Spratly Islands in the south — as well as the isolated Pratas Island and Scarborough Reef (or Shoal) in the northeast and east of the South China Sea are among the territories of conflict. Over 120 small islands, islets, rocks, and reefs dot the 240,000 square km of maritime space that make up the Spratly Islands. The 12 largest Spratly Islands have a total land area of less than 2 square kilometres, with the largest, Itu Aba, measuring only 1.4 kilometres long and 370 metres wide. Despite their apparent insignificance, China, Taiwan, the Philippines, Malaysia, Brunei, and Vietnam all claim these islands small whole or in part. With the exception of Brunei, all claimants have occupied and stationed garrisons on at least one of the disputed islands, demonstrating the significance of the conflicts.

Competing Claims: Another facet of these issues is that the South China Sea is becoming a more competitive, and potentially conflict-prone, battleground for China, its neighbours, and the United States. China has attempted to stretch its defensive perimeter offshore in recent decades. The People's Liberation Army Navy (PLAN) of China has been developing and modernising its navy, adding powerful submarines, frigates, destroyers, and long-range maritime patrol aircraft. Despite the fact that China is now Asia's most powerful naval power, it still falls behind in comparison to the US Navy in terms of size and capacity. The United States has increased its naval presence in the South China Sea in response to China's growing aggressiveness, as part of a so-called "pivot to Asia."

To make matters even more complicated, all of the South China Sea states claim coastal zones offshore that include important marine resources. These countries' maritime claims tend to converge as they border the South China Sea. They also make claims from contested islands, which will invariably clash. As a result, a complex, web-like network of claim lines emerges. In

the South China Sea, China also claims a so-called "nine-dash line." If these disconnected lines were connected, they would encircle around 80% of the South China Sea. Although China has never explained this 'nine-dash line' concept, yet it is presumed to be a historical claim to the islands and waterways in question.

Further Complications: This South China Sea dynamic of contending geographies is frightening. It sets the stage for future war as China strives to exercise its "historic rights" and other coastal states want to exploit resources such as oil and seafood found within "their" waters. This has serious consequences for the region's valuable marine biodiversity and fisheries management. It also jeopardises regional security and freedom of travel along globally significant rivers. China is expected to assert its sovereignty not only over the disputed South China Sea islands, but also over marine areas inside the nine-dash line as well and the issue is likely to continue further.

CHECK YOUR PROGRESS

Ques. 1 Answer the following Short Answer Type Questions:

- i. What does recycling mean?
 - a) To use a natural resource to make something new.
 - b) To use less of a natural resource than is possible.
 - c) To reuse natural resources or old products to make new things
 - d) To put old products in the trash.
- ii. Total earth's surface covered by water is
 - a) 75%
 - b) 60%
 - c) 85%
 - d) 50%
- iii. The primary cause of Deforestation is and it leads to a fall in
- iv. The main activity largely responsible for the damage of Indian forests is
- v. What happens when rain falls on soil without vegetation cover?
 - a) Rain water percolates in soil efficiently
 - b) Rain water causes loss of surface soil

- c) Rain water leads to fertility of the soil
- d) Rain water does not cause any change in soil

3.11 SUMMARY

The effects of natural calamities and disasters, population explosion, deforestation, increased transportation, and eviction of fumes and poisonous gases from industries have all contributed to the depletion of natural resources and environmental degradation, across all parts of the world.

The present chapter was an endeavour to understand the following points:

- Natural resources which may be further classified as Renewable and Non-Renewable are subject to over-utilization because of the increasing demand by the human population, worldwide. However, there is a greater need to minimize the use of Non-Renewable Resources and increase the use of Renewable Resources.
- Although land is a renewable resource, it ought to be used efficiently and efforts need to be made to prevent activities which bring about a change in the pattern of use of land as a resource.
- Consistent efforts need to be made to prevent degradation of land, soil erosion and desertification of land.
- Forests constitute a significant resource which can help in maintaining the ecological balance but the unregulated felling of trees and increasing deforestation tendencies by the human beings so as to augment their incomes and acquire more development, affect adversely the lives of various species and even the tribal communities who are dependent upon these resources for their livelihood.
- Water, in recent years has acquired a critical significance, owing to its depleting levels especially in terms of groundwater. If the scantily available water resources are not conserved and water is not used cautiously and judiciously, most nations of the world will soon become water scarce countries. This will not only affect the lives of the people in the developed world but also the prospects of development in the less developed nations.
- Realizing the significance of the inadequacy of water resources, the states inside a country and even countries at the international level land up into disputes over water resources, which not only generates tension between two nations but also limits the movement by other countries across the disputed waters.

- In the contemporary times, energy has also assumed critical importance in terms of the development and prosperity of the nations. That is why it is becoming increasingly important to strike a balance between the renewable and non renewable sources of energy. Since the non renewable sources are available only to a limited extent, the need to develop alternate renewable energy sources has increased overtime.
- The increasing demand for energy resources across the world has culminated into disputes and conflicts between various nations over water resources, oil resources and land resources which possess the potential of catering to the supplementary energy resource needs of the progressing countries.

3.12 QUESTIONS FOR PRACTICE

Ques. 1 Differentiate between the Renewable and Non-Renewable Sources of Energy. Explain the various alternative sources of Renewable Energy that can be used effectively in the low income countries of the world.

Ques. 2 Explain in detail the case of any one dispute at the international level which indicates the increasing hunger of the nations to acquire an additional source of natural resources.

Ques. 3 Explain the various avenues of use of water resources by the human beings across the globe. How can the over-exploitation of water resources be minimized?

Ques. 4 What is meant by Deforestation? Explain the prime causes of deforestation. How does Mining impact the lives of the tribal people dependent upon the use of forest resources?

Ques. 5 Make an account of the ill-effects caused by the change in the land use pattern and land degradation on the environment.

3.13 SUGGESTED READINGS

- R. Rajagopalan, Environmental Studies : From Crisis to Cure, 2015
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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER: II

COURSE: ENVIRONMENTAL STUDIES

UNIT 4: ENVIRONMENTAL POLLUTION

STRUCTURE

- 4.0 Learning Outcomes**
- 4.1 Introduction**
- 4.2 Environmental Pollution: Types, Causes, Effects and Control Measures**
- 4.3 Nuclear Hazards And Human Health Risks**
- 4.4 Solid Waste Management**
- 4.5 Source Segregations: Control Measures of Urban and Industrial Waste**
- 4.6 Pollution Case Study**
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- 4.8 Questions for Practice**
- 4.9 Suggested Readings**

4.0 LEARNING OUTCOMES

The learner will be able to understand

- Meaning and causes of environmental pollution
- The impact of environmental pollution on human health and environment
- Types of environmental pollution and measures undertaken to control pollution
- Health hazards of radioactive wastes
- Policy and measures for management of waste
- Role of individual and society in environmental protection

4.1 INTRODUCTION

Protection and preservation of environment is essential for survival of various living organisms including mankind. Environment pollution is referred to the adverse alteration or contamination of physical or biological components of the environment. It may be in the form of alteration of properties/quality of air, water, soil or the climate due to anthropogenic reasons like emissions or natural reasons like volcano eruptions, forest fires etc. Environmental pollution is primarily the

adverse impact of human activities on our surroundings viz., land, air, water etc.

World is witnessing unprecedented deterioration of the environment owing to unregulated activities of humans including deterioration of air quality, pollution of water bodies, contamination of soil, water bodies, depletion of forest cover, loss of biodiversity, depletion of ozone layer, hostile climatic conditions etc. These adverse impacts on environment are primarily due to anthropogenic reasons. However, the problem of environment degradation is neither new or unique to India. This problem has confronted the mankind for decades and centuries altogether to varying degrees. The entire globe is afflicted by environmental pollution and India is no exception to this.

4.2 ENVIRONMENTAL POLLUTION :TYPES, CAUSES, EFFECTS ANDCONTROL MEASURES

Environmental pollution can be described as adverse impact of human activities on our surrounding depleting the quality of air, water, soil or other surroundings. Typically environmental pollution can be categorized as Air Pollution, Water Pollution, Soil Pollution, Noise Pollution etc.

4.2.1 Air Pollution

Air, and in particular good quality air, is essential for the survival of mankind and other living organism on this planet earth. Air is a gift to all living organism by the mother-nature and is the mixture of gases forming earth's atmosphere. Natural air in the earth's atmosphere contains molecules of different gases i.e. around 78% Nitrogen, 21% Oxygen and around 1% molecules of other gases like Carbon dioxide, argon and other components. It also includes water vapours. If this composition is disturbed by additional presence of carbon dioxide or ozone molecules or other gases, the air is said to be polluted. The entry of additional hazardous gases in disproportionate numbers in air or disturbance of the natural composition of air can have disastrous consequences.

Air pollution may occur due to entry of air pollutants in air disturbing the natural composition of the air. Various factors contributing to air pollution have been identified by environmentalists, scientists and experts including but not limited to, rapid industrialization, power plants, burning of fossil fuels, dust and fumes emitted by vehicles, deforestation, mining, agricultural activities, stubble burning, burning of municipal solid waste, construction activities, emission from stone crushers and hot-mix plants, smoke, fire and other human and natural

activities.

4.2.1.1. Causes of Air Pollution

4.2.1.1.1 Industrial Emission

Rapid and unregulated industrialization has seriously impacted the environment and in particular air, water and soil. Untreated industrial emissions and discharge of toxic gases in air is a big source of air pollution. Industries, industrial products and industrial wastes emit various gases including carbon dioxide, carbon monoxide and other toxic gases.

- Burning of Fossil Fuels

Increasing number of automobiles and use of non-renewable forms of energy has immensely deteriorated the quality of air. Ever increasing burning of fossil fuels and vehicular emissions is a major source of greenhouse gases.

- Mining and Agricultural Activities

Rampant use of fertilizers, insecticides, pesticides etc in agriculture have not only adverse impact on the quality of soil but these chemicals also percolate in food chain. This apart, part of these chemicals become air borne either at the time of spray or in the form of vapors and therefore, degrade the quality of air.

Similarly, unregulated mining activities lead to dust and fumes being released in air polluting the air and surroundings and have adverse impact on the health of workers.

- Stubble Burning

Burning of crop residue after harvesting has become a big challenge in India and other developing countries. After the crop is harvested, farmers resort to stubble burning being cost effective, easy and fast method to clear the fields and to prepare them quickly for the next crop. Mass scale stubble burning pollutes the air and in some areas, air quality becomes toxic and dangerous.

- Burning of Municipal Solid Waste

Unscientific waste management is another reason for worsening quality of air. Sometimes, municipal solid waste is burnt in open. Scenes of rubber tyres being burnt are common. Burning of such waste releases toxic gases in air polluting the environment.

- Other Factors

There are various other factors causing air pollution like construction activities, unscientific management of household waste, emissions from hot mix plants, stone crushing units, dumping of toxic waste etc.

4.2.1.2. Effects of Air Pollution

Air pollution has reached alarming proportions around the globe and India has also been severely afflicted by air pollution.

- Adverse Health Impacts

Greenpeace India, in its report published in 2020 has reported that around 120000 people died in six metropolitan cities in India on account of air pollution related diseases. As per the report, cost of air pollution costs was around 120000 crores in six metropolitans. It is estimated in 2017 report of Greenpeace India that the cost of air pollution is around 3% of India's Gross Domestic Product. Assessment by Greenpeace of India's 168 cities across 24 states shows that none of the cities in India can claim to have clean air by WHO standards.

- Global Warming and Climate Change

One of the most serious issues caused by environmental degradation is climate change which has a very serious effect on human beings, ecosystems and other living organisms. Climate Change implies changes in the usual weather found at a particular place over a period of time i.e. the rainfall spells, rainfall quantum, duration, timing, dry spells, changes in temperature, changes in winter season etc. It implies changes in earth's climate in totality. Climate change was considered to be a rhetoric by majority of the people around the world but now it has been scientifically established that earth's climate is actually changing.

It has been reported that annual average surface air temperature of the earth has increased by 1.8 degree Fahrenheit during the last 115 years i.e. from 1901-2016. Climate change manifests in various forms including in the form of global temperature rise and the resultant effects of the same i.e. shrinking of ice sheets at the poles; melting of glaciers and glacier retreat around the globe i.e. in Himalayas, Alaska, Alps etc.; rise in sea level and the threat to survival of coastal cities/nations etc.

- Ocean Acidification

Ocean acidification is another cause of concern in international environmental governance.

Oceans are sinks of carbon dioxide and have been absorbing excess heat caused by GHG emissions. More than quarter of the CO₂ emitted in the atmosphere is absorbed by the oceans leading to warming of ocean waters at almost all levels and acidification of the oceans which is detrimental to marine ecosystems. Since the onset of industrial revolution, acidity of surface waters have increased by 30% (NASA) which is attributable to CO₂ emissions which are being absorbed by the oceans. The absorption of CO₂ by oceans is increasing every year making them more acidic. Absorption of CO₂ by oceans is increasing by 2 billion tons per annum.

4.2.1.3. Control of Air Pollution

To prevent and control Air Pollution, India enacted *Air (Prevention and Control of Pollution) Act*, 1981. The Act was enacted to make legal provisions for prevention, control and abatement of air pollution and to preserve quality of air. The Act provided for establishment of regulatory mechanism in the form of Central and State Pollution Control Boards for carrying out the objectives of the Act. The Act came into force on 16th May 1981 and it applies to whole of India. Act has empowered the Boards to lay down standards for quality control and to regulate release of gases in air. The industrial establishments are required to comply with the norms laid down by the Pollution Control Boards. Board can also ban use of particular type of fuels to prevent air pollution. However, enactment of law alone can not serve the purpose. Therefore, various other measures at individual, institutional and societal level are required to be undertaken to check the menace of air pollution. These include:

- Shifting from fossil fuels to renewable resources of energy
- Using clean energy sources
- Reducing vehicular emissions
- Energy conservation
- Proper and scientific waste management
- Prevention and prohibition on stubble burning and burning of municipal solid waste
- Avoiding traffic jams

4.3.2 Water Pollution

Water pollution is another issue which is facing the humankind at global level. Discharge of untreated sewage, industrial affluent and other discharges into water bodies has polluted major rivers across the globe and this is more so in developing countries. As per the report of UNEP,

Water pollution has worsened since 1990s in the majority of rivers in Latin America, Africa and Asia (UNEP, Snapshot of World's Water Quality, 2016). UNEP reports that around 1/3rd of all river stretches in Latin America, Asia and Africa are severely affected by pathogen pollution and it presents a serious health hazard posed not only by drinking contaminated water but also by using the same for bathing or other human purposes. The increase in pathogen and organic pollution is more than 50% in these regions and Asia is most severely hit by it. More than 323 million people living on these continents run the risk of water borne diseases. However, the menace is not confined to these continents alone or to developing countries alone even the developed countries are facing the same. For instance, water pollution causing severe water borne diseases has been reported in countries like Canada (John Vidal, Cleaning the World's Water). Contamination of water not only presents health hazards but also affects food production and economies of the nations.

4.3.2.1. Causes of Water Pollution

There are multiple causes of water pollution including discharge of untreated industrial effluents in water bodies; discharge of untreated sewage; discharge of religious material in water bodies; dumping of industrial and other wastes in water bodies; contamination of water by pesticides, insecticides and fertilizers and; contamination of ground water table by seepage of chemicals in water table.

4.3.2.2. Effects of Water Pollution

Water pollution can have deleterious effect on the health of humans and various other living organisms. The effect of contamination of water depends upon the type of pollutants and their concentration in water. Polluted water can have deleterious effect on human effect and the concentration of chemicals in animals can enter the food chain and affect health severely. Not only it can have direct effect on humans and food chain, it can also affect aquatic life adversely affecting the metabolism, behavior, reproduction etc.

The effect of water pollution can have a huge impact on the food chain. It disrupts the food chain. Cadmium and lead are some toxic substances, these pollutants upon entering the food chain through animals (fish when consumed by animals, humans) can continue to disrupt at higher levels. Increasing incidence of water borne diseases like diarrhea, hepatitis etc. are the direct impact of water pollution.

4.3.2.3. Control Measures for Prevention and Abatement of Water Pollution

To control and prevent water pollution, *Water (Prevention and Control of Pollution) Act*, 1974 was enacted in pursuance of resolutions passed by State legislatures under Article 252 of the Constitution of India. The Act was first in the series of laws dealing with pollution in India. The principal aim of the Act was to lay down legal regime for prevention, control and abatement of water pollution and to provide regulatory mechanism for the purpose. The Act is applicable throughout the territory of India. Act has laid provided for sleuth of measures for preventing water pollution by industrial effluents. Industries are required to take prior permission before commencing operations and are required to treat the industrial effluents before they are discharged. Violation of rules laid down under the Act has been penalized and offender can be prosecuted and punished.

However, enacting laws alone can not serve the purpose and efforts are required to be undertaken at individual, institutional and societal level. Some of the control measures are:

- Treatment of effluents and sewage before discharge in water bodies
- Reuse of water after treatment
- Use of organic methods for detoxification of water like use of Water Hyacinth
- Scientific disposal of effluents and sewage.

4.3.3 Soil Pollution

Soil degradation is yet another serious environmental challenge being faced by the modern world. Soil pollution means the presence of chemicals in excess of natural compositions on the soil which degrade the soil. Soil pollution and soil degradation is the result of various human activities like use of excessive fertilizers, pesticides, herbicides, insecticides, agricultural practices, antibiotics contained in animal manure, sewage, waste dumping and industrial and mining activities leading to seepage of chemicals into the soil. As per Food and Agriculture Organization of the United Nations, around 1/3rd of the world's soils are degraded and billions of tonnes of soil are lost to farming each year. It has seriously affected farmlands. The problem has affected various nations of the world. For example, the joint study conducted by Yale Environment and China dialogue reported in 2014 that 16.1% of the China's soil are polluted and the figure for farmlands was higher. The main contaminants are cadmium, lead, nickel and arsenic. As per the report of Food and Agricultural Organization (FAO) of UN, 40% of the African continent's soils are degraded (FAO, Status of the World's Soil Resources, 2015). So far as India is concerned, it has also been

facing this problem at a large scale. State of India' Environment, 2017 has reported that around 40% to 70% of land in India has undergone desertification. Further, India is one of the four major countries affected by soil salination.

4.3.3.1. Causes of Soil Pollution

There are various sources and causes of soil pollution. Some of them are:

- Discharge of untreated industrial effluents in water bodies
- Discharge of untreated sewage in water bodies
- Dumping of wastes in rivers and oceans
- Industrial accidents
- Oil spills
- Ocean acidification caused by excessive release of CO₂
- Seepage of chemicals in ground water table
- Seepage of fertilizers, chemicals, pesticides and insecticides in water bodies

4.3.3.2 Effects of Soil Pollution

Soil pollution has various adverse impacts on humans, ecosystem and biodiversity. Soil pollution initiates a chain reaction. It can adversely affect soil biodiversity and the capacity of the soil to act as a filter thereby leading to contamination of ground water table. The study of water table near the dumping sites at New Delhi has revealed that ground water table is dangerously contaminated. Contaminated water can accumulate in plant tissues, animal tissues and can thus enter the food chain of humans and animals. Such chain reaction can lead to multiple diseases and increase morbidity in humans apart from adversely affecting the health. Soil pollution has high economic costs. It reduces fertility of the soil thereby leading to lesser productivity.

4.3.3. 3 Control Measures

To control pollution including soil pollution, India enacted Environment (Protection) Act, 1986. The Act empowered the appropriate governments to take measures for prevention, control and abatement of environmental pollution including formulation of rules for scientific management of wastes. Consequently, Government of India has notified various rules for prevention of pollution. Some of the rules are as under:

- Atomic Energy (Safe Disposal of Radioactive Wastes) Rules, 1987

- The Manufacture, Storage and Import of Hazardous Chemical Rules, 1989
- The Manufacture, Use, Import, Export and Storage of Hazardous Micro-Organisms/Genetically Engineered Organisms or Cells Rules, 1989
- The Chemical Accidents (Emergency Planning, Preparedness and Response) Rules, 1996
- Ozone Depleting Substances (Regulation and Control) Rules, 2000
- Batteries (Management and Handling) Rules, 2001
- Atomic Energy (Radiation Protection) Rules, 2004
- Atomic Energy (Radiation Processing of Food and Allied Products) Rules, 2012
- Bio-Medical Waste Management Rules, 2016
- Solid Waste Management Rules, 2016
- E-Waste (Management) Rules, 2016
- Plastic Waste Management Rules, 2016
- Hazardous and Other Wastes (Management and Transboundary Movement) Rules, 2016
- Construction and Demolition Waste Management Rules, 2016

4.3.4 Noise Pollution

Word noise is derived from Latin word ‘Nausea’ which means sickness leading to vomiting sensation. Noise pollution is also presenting as a significant environmental concern in the recent years.

4.3.4.1. Causes of Noise Pollution

There are various causes of noise pollution including the following:

- Vehicular noise
- Industrial noise
- Household/domestic noise
- Neighborhood noise
- Noise caused by natural resources like streams, falls etc.
- Construction and demolition activities
- Playing loud music in open in functions and elsewhere
- Use of loud fire-crackers, bugels etc.

4.3.4.2. Effects of Noise Pollution

Noise pollution has significant impact on human health and recently data has shown the proportionate hearing loss attributable to noise pollution (Alex Grey, 2017). As per the recent study in 2017, where noise pollution levels in 50 cities across the globe was measured, it was found that the Guangzhou in China is worst affected city followed by New Delhi, India. Mumbai ranks 4th worst city in noise pollution. The studies have found that excessive noise pollution is not only causing discomfort and other related diseases but is also responsible for hearing loss. As per WHO more than 360 million people are afflicted by hearing loss and of these, around 32 million are children. The average city dweller is found to be having hearing loss equivalent to 10-20 years older than his actual age. Unfortunately, in the hearing loss rank, New Delhi tops the global list followed by Mumbai wherein maximum hearing loss of 20 years than the actual age is reported (World Hearing Loss City Ranking, 2017).

Apart from hearing loss, excessive noise can lead to hypertension, sleeping disorders and cardiovascular issues.

4.3.4.3 Control Measures

With a view to prevent noise pollution, Noise Pollution (Regulation and Control) Rules 2000 have been notified by the Union Government under Environment (Protection) Act, 1986. Under these rules, restrictions on use of loud speakers, public address systems, DJ music systems beyond permitted hours can be placed. For example, use of DJ music systems after 10 pm has been restricted under Noise Pollution Rules. Areas can be classified as residential and silence zones and prohibitions can accordingly be placed.

However, enactment of laws can never be successful unless they are accepted and endorsed by the public at large. Therefore, it is of utmost importance that individuals and society at large take measures like

- Avoiding unnecessary honking at public places
- Avoiding loud music systems in residential areas
- Use of sound proof systems in commercial areas, silent zones like hospitals and schools
- Regulation of industrial noise.

4.4 NUCLEAR HAZARDS AND HUMAN HEALTH RISKS

Nuclear hazards are threats posed by invisible and odorless pollutants in the form of radioactive substances such as radio-nuclides in the air, water, or soil. These radio-nuclides emit high-energy particles (alpha and beta rays) and electromagnetic radiation (gamma rays). The automatic release of particles and radiation by an unstable nucleus is called Radioactivity and the pollution from these radiations is called Nuclear pollution. Therefore, radiation or Nuclear pollution can be defined as the release of radioactive material or particles of high energy into atmospheric water, or to the earth primarily as a result of human activity, either by accident or construction. Sources of nuclear pollution include natural and man-made natural resources. The human environment has been emitting radiation and making up 85% of man's annual radiation output. Radiation from human activities usually accounts for up to 15% of public exposure each year.

4.4.1 Causes of Nuclear Pollution

Radiation substances when released into the environment are dispersed or concentrated in living organisms through a food chain. In addition to naturally occurring radioisotopes, large numbers are produced by human activities, including the operation of nuclear power plants, the development of nuclear weapons, and the testing of atomic bombs. Explosions at Three Mile Island 1979 and Chernobyl 1986 nuclear power plant are glaring examples of radioactive contamination. This apart, even the radioactive medical waste can have health effects on workers.

4.4.1.1. Nuclear Waste management and Disposal

It can produce low to medium radiation over a long period of time. Radioactivity can pollute and disperse air, water, and soil. Therefore, their effects may not be easily distinguished and difficult to predict. The biggest problem with radioactive waste is the fact that it cannot be degraded or chemically or biologically treated. Therefore, the only option is to contain waste by storing it in tightly sealed containers protected by radioactive material, Debris can also be stored in remote areas with little or no life.

4.4.1.2. Radiation isotope used for medical, industrial and research applications

The greatest exposure to humans stems from the use of X-ray diagnosis, radioactive isotopes used as a follow-up and treatment of cancer and other diseases.

4.4.1.3. Nuclear explosion and nuclear weapons

The highest rate of man-made radioactive fallout has been made around the middle of the 20th century through various nuclear deterrent methods, which ended World War II. Use of radioactive material in the production of Defense weapons can also emit radiation from radioactive material.

4.4.1.4. Mining and Processing of Radioactive Ores

Crushing and processing of radioactive ores and the production of radioactive products can also produce radioactive waste, similar to the extraction of phosphate ores, contaminating the environment.

4.4.2 Human Health Risks

Nuclear pollution can have adverse effect on human health. The health risks of exposure to radioactivity may be DNA mutation, psychological effects, damage to vital organs and tissues, damage to the immune system, cancer cell production or biomagnification. These include Somatic effects and Genetic Effects.

4.4.2.1. Somatic Effects

Somatic affects the function of cells and organs of the exposed person. It causes damage to cell membranes, mitochondria and cell nuclei leading to abnormal cell function, cell division, growth and death. Radiation causes severe damage to cells throughout the body. Radiation damage can cause headaches, nausea, vomiting, diarrhea, and even death, depending on the amount of radiation you receive. While the remaining effects can last for days or years and can lead to death. All creatures are susceptible to radiation pollution, and the effects can range from mild to severe depending on a variety of factors such as volume, duration, and type of radiation.

4.4.2.2. Genetic Effects

Radiation exposure can lead to genetic mutations, i.e. changes in the genetic makeup of cells affecting future generations. These effects are mainly due to damage to DNA molecules. People suffer from leukemia and cancer of the bone when exposed to high doses radiation.

4.4.3 Control Measures

Union of India has enacted Atomic Energy Act, 1962 and thereunder Atomic Energy (Radiation Protection) Rules, 2004 have been formulated. This part, Atomic Energy (Safe Disposal of Radioactive Waste) Rules, 1987; The Manufacture, Storage and Import of Hazardous Chemical Rules, 1989; The Manufacture, Use, Import, Export and Storage of Hazardous Micro-

Organisms/Genetically Engineered Organisms or Cells Rules, 1989; The Chemical Accidents (Emergency Planning, Preparedness and Response) Rules, 1996 have been formulated.

4.5 SOLID WASTE MANAGEMENT

Solid Waste Management is a major administrative and environmental hazard in all major cities of India. In-fact Solid Waste Management or Municipal Solid Waste Management is a serious problem everywhere especially in all developing countries. Rapid population growth, increasing industrialization and large scale migration from rural areas to cities has led to tremendous increase in waste generation and its disposal in cities and towns. Generation of large scale waste in cities has put tremendous strain on the already limited resources of modern cities. To add to this, unscientific disposal of the waste poses serious environmental and health hazard. The problem is further accentuated by the fact that urban solid waste contains not only household waste but it also contains hazardous waste, construction and demolition waste, plastic waste and electronic waste etc.

Waste can be categorized into Municipal Solid Waste, Construction and Demolition Waste, Plastic Waste, E-Waste, Hazardous Waste, Bio Medical Waste etc. In order to ensure proper and scientific management of waste generated in India, Union government has notified following rules under Environment (Protection) Act 1986

- Bio-Medical Waste Management Rules, 2016
- Solid Waste Management Rules, 2016
- E-Waste (Management) Rules, 2016
- Plastic Waste Management Rules, 2016
- Hazardous and Other Wastes (Management and Transboundary Movement) Rules, 2016
- Construction and Demolition Waste Management Rules, 2016

Separate detailed rules have been put in place for management of various categories of waste including for Lead Acid Batteries (Management and Handling). Responsibilities of individuals, Municipalities, institutions and industry have been fixed under these rules.

4.6 SOURCE SEGREGATIONS: CONTROL MEASURES OF URBAN AND INDUSTRIAL WASTE

The above rules have laid down detailed framework for bifurcation of various categories of waste. Institutions, producers have a responsibility under E-Waste Management Rules to bifurcate electronic waste and dispose off the same to an authorized recycler or refurbisher only and maintain adequate records. Provisions for extended Producer responsibility for collection of electronic waste have been made.

Municipal Solid Waste is required to be segregated at the stage where the waste is generated. Rules provide for segregation and storage of waste in three separate bins

- Bio-degradable waste– any organic material which can be degraded by micro-organisms into simpler stable compounds
- Non bio-degradable waste– to contain dry waste including recyclable and non-recyclable waste, combustible waste, sanitary napkins and diapers etc.
- Domestic Hazardous waste – CFL bulbs, expired medicines, broken mercury thermometers, pesticide cans, discarded paint drums, used needles and syringes, contaminated gauge, used batteries etc
- Segregated waste is required to be handed over to authorized waste collectors/waste pickers
- Used sanitary pads, diapers etc. to be packed/wrapped safely either in the pouches provided by manufacturers or in other prescribed suitable material
- Construction and demolition waste to be separately stored and disposed off as per Construction and Demolition Waste Management Rules, 2016
- Horticulture and garden waste to be separately stored in the premises
- No littering of solid waste on streets, public spaces roads etc
- Solid Waste not to be burnt/buried in streets or open public spaces
- Solid Waste not to be thrown in drains or water bodies

4.6.1 Disposal of Industrial and Urban Waste

The segregated waste, thus, collected can be disposed off in various ways i.e. Sanitary Landfills, incineration, recycling, recovery, pyrolysis, composting and use in energy generation and road making.

4.6.1.1 Sanitary Landfill

This is the most popular waste disposal method used today. Garbage is spread out in small layers, pressed and covered with soil or plastic foam. Modern garbage dumps are constructed in such a

way that the concrete floor is covered with an impenetrable line, often made of several layers of plastic and thick sand. This liner protects groundwater from contamination due to leakage or decay. When the landfill is full, it is covered with layers of sand, clay, topsoil and dust to prevent water accumulation. Arrangements are being made to rediscover recycling facilities.

4.6.1.2 Incineration

This process involves the burning of solid waste at high temperatures until the waste is reduced to ashes. Heats are made in such a way that they do not emit excess heat when solid debris burns. The things that recycle heat by kitchens and boilers are called waste plants. These waste energy systems are more expensive to set up and operate compared to empty heaters because they require special equipment and controls, skilled technical personnel, and auxiliary fuel systems. This method of solid waste management can be done by individuals, municipalities and even institutions.

4.6.1.3. Recovery

Resource recovery is one of the hallmarks in waste management. Many important metals go waste and create pollution unless they are recovered in a scientific manner. For example, precious metals used in electronic items can be recovered and reused which will not only lead to resource recovery and savings but will also avoid pollution.

4.6.1.4. Recycling

Certain waste like plastic bags, paper, tins, glass and containers can be recycled and reused. This reduces waste and thus reduces the burden on landfill sites and also leads to resource recovery. Process of recycling is aimed at reducing energy loss, reducing wastes and thereby reducing burden on landfills. Thus it avoids soil pollution.

4.6.1.5. Pyrolysis

Pyrolysis refers to decomposition of the solid waste using heat generated by chemicals without use of oxygen. The process is undertaken at high temperatures.

4.6.1.6. Composting

Biodegradable waste including wastes from trees, gardens etc. is segregated and used to make compost. Rules enacted by Union government require that the compost so generated shall be used as manure at the site of generation. New residential colonies have been mandated to make

provisions for compost making thereby reducing burden on landfill sites. Only bio-degradable waste is used in composting. It is a biological process which converts the waste into organic fertilizer which is high in carbon and nitrogen.

4.7 POLLUTION CASE STUDY

4.7.1 Delhi Pollution Case Study

Around the first week of November, almost every year, the capital city of India i.e. New Delhi gets clogged with dense layer of smoke. The smoke set down on the lower sky of the city and chokes the entire National Capital Region. Children, elderly people and persons afflicted with chest diseases find it difficult to breathe. Many people complain of chest congestion and breathlessness. Reports suggest that about 54000 people die of diseases related to air pollution every year in New Delhi. Cost of combating air pollution related ailments comes around 58000 crores in New Delhi.

It is claimed by government of Delhi that the primary cause of choking of New Delhi is stubble burning in the neighboring states of Punjab and Haryana.

Conflict: Claims and Counter Claims

Government of National Capital Territory of Delhi claim that the cause of smoke engulfing Delhi is stubble burning in the States of Haryana and Punjab. Whereas States of Punjab and Haryana claim that it is the increased vehicular pollution in Delhi coupled with industrial pollution and pollution caused by fire-crackers are the root cause of air pollution in New Delhi. Both the States deny stubble burning as the root cause of choking of Delhi in NCR region near Diwali. Both the states claim that there is very little stubble burning in their states. It is claimed that since the wind is not blowing that is why Delhi has turned into gas chamber.

Resolution

The solution to the problem of NCR lies in adopting a multipronged strategy. Stubble burning does contribute in choking of Delhi but other factors like pollution caused by fire-crackers burnt near Diwali significantly increase the smoke cover. Further, very low pressure of winds aggravates the problem and the smoke is not diluted and carried further. This apart, vehicular emissions, construction activities and industrial discharges into air also contribute significantly in deterioration of air quality of Delhi. The solution, therefore, lies in

- Encouraging and adopting the use public transport system and decreasing the use of

vehicles to reduce vehicular emissions by adopting odd-even formula.

- Strictly enforcing prohibition on burning of fire-crackers around that part of the year.
- Enforcing prohibition on stubble burning and by providing alternate and effective means of stubble disposal
- Temporary ban on construction and demolition activities when the air pressure is extremely low.
- Temporary ban on industrial activities when the air pressure is low and smoke starts engulfing the region.
- Use of scientific methods like air purifiers, sprays etc to improve the air quality
- Continuous monitoring of air quality levels.

CHECK YOUR PROGRESS

Answer the following:

- 1) _____ and _____ natural sinks of carbon dioxide
- 2) _____ waste is used for composting
- 3) According to Food and Agricultural Organization (FAO) of UN, how much percentage of soil of African continent's soils are degraded?
 - a) 20%
 - b) 30%
 - c) 40%
 - d) 50%
- 4) Which of the following is unscientific and unacceptable method of waste disposal
 - a) burning of rubber tyres in open
 - b) Dumping at landfill sites
 - c) Recycle and recovery
 - d) All of these
- 5) CFL and LED lights, Thermometer etc are

- a) Bio-degradable waste
- b) Hazardous waste
- c) Bio-degradable but hazardous waste

None of these

4.8 SUMMARY

- Environmental pollution is contamination of physical and biological components of environment.
- Environmental pollution is caused by various anthropogenic factors like discharge of industrial gases in air, smoke, vehicular emissions, stubble burning, burning of waste, dumping of wastes in open, contamination of soil, noise etc.
- Environmental pollution can be broadly classified as air pollution, soil pollution, noise pollution, water pollution
- Environmental pollution whether air pollution, water pollution, soil pollution or noise pollution has various adverse impacts on health, biodiversity, genetic mutations, habitat etc
- Government has enacted various laws and rules for prevention, control and abatement of air pollution yet the pollution is continuing unabated.
- Apart from pollution caused by emissions from vehicles and industries, handling and use of radioactive materials also expose humans and other living organisms to radiations which have harmful effect on humans and other living organisms.
- Municipalities, institutions, individuals and society have a responsibility to ensure that environment is protected and preserved and the waste generated by us is disposed off in an environmentally sound manner.

4.9 QUESTIONS FOR PRACTICE

- 1) Write detailed note on solid municipal waste and its disposal methods.
- 2) Explain pollution caused by radioactive material and the health hazards involved while dealing with radioactive waste.
- 3) What are the causes of water pollution? How it can be prevented?
- 4) Discuss the causes and effects of air pollution.

- 5) Discuss control measures for prevention of environmental pollution.

4.10 SUGGESTED READINGS

- R. Rajagopalan, Environmental Studies : From Crisis to Cure, 2015
- Erach Bharucha, Textbook of Environmental Studies for Undergraduate Courses, 2021
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- P.S. Jaswal, Environmental Law, 2021
- S.R. Myneni, Environmental Law, Asia Law House, Hyderabad

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER: II

COURSE: ENVIRONMENTAL STUDIES

UNIT 5: ENVIRONMENT PROTECTION LAW IN INDIA

STRUCTURE

5.0 Learning Outcomes

5.1 Introduction

5.2 Environmental Laws in India

- a. Indian Constitution and Environment**
- b. The Wild Life (Protection) Act, 1972**
- c. Water (Prevention and Control of Pollution) Act, 1974**
- d. Air (Prevention and Control of Pollution) Act, 1981**
- e. Environment Protection Act, 1986**

5.3 Acid Rain and its impact on Humans and Agriculture

5.4 Climate Change and Global Warming

5.5 Ozone Layer Depletion

5.6 Role of Individual and Society in preservation and protection of environment

5.7 Major Issues in Environmental Law Enforcement in India

5.8 Summary

5.9 Questions for Practice

5.10 Suggested Readings

5.0 LEARNING OUTCOMES

Learning outcomes of this chapter are as follows:

- To apprise the learner about important environmental laws enacted in India
- To make learner understand the importance of environmental laws
- To apprise the learner about environmental offences
- To inform the learner about major environmental issues

- To make learner understand the individual role in preservation and protection of environment

5.1 INTRODUCTION

Traditional Indian society always respected and worshipped various constituents of environment and environment ethics formed part of Indian religious philosophy. Traditional inhabitants of this sacred land worshipped nature – Sun, Moon, Earth, Air and water. They perhaps knew that eco-system is delicate and has a very fine balance which is required to be preserved and any tangible changes in eco-system can have disastrous consequences. The reverence of nature is reflected in the teachings of Jagat Guru Nanak Dev Ji - ‘Pawan Guru, Pani Pita Mata Dhart Mahat, Divis Raat Doi Daia, Khele Sagal Jagat’ (Air is like God, Water is father and Earth is the mother. It is through the harmonious interaction of all these three vital ingredients that the whole universe is being sustained). However, with the passage of time, human race started ignoring the environmental ethos and values and increasing human greed led to increasing exploitation of natural resources without caring for the need to preserve and protect the environment. Rapid industrialization, urbanization, societal degradation and increased greed to exploit resources led to environmental pollution and environmental degradation necessitating enactment of laws to preserve and protect the environment.

5.1 ENVIRONMENT PROTECTION LAWS IN INDIA

UN Conference on Human Environment (June 1972) is catalyst in development of environmental law across the globe. India also participated in the conference wherein it was decided to take appropriate measures for protection of natural resources and to prevent air pollution. Accordingly, India amended the constitution to include some provisions pertaining to environment. The constitutional amendment paved the way for development of environment protection laws in India.

a. Indian Constitution and Environment Protection

There was no express provision in the Constitution of India relating to Environment protection. Constitution (Forty-Second Amendment) Act, 1976 inserted Article 48A in Part IV of the Indian Constitution (i.e. Directive Principles of State Policy). Article 48A read as under:

The State shall endeavour to protect and improve the environment and to safeguard the forests and wild life of the country.

Though Part IV of the Constitution is not justiciable i.e. it can-not be enforced in a court of law, yet it is fundamental in the governance of the country. Insertion of express provision in the Constitution of India, coupled with other national and international developments, lead to development of environmental protection law in India. As stated earlier directive principles are fundamental in the governance of the country. This apart, Part IVA i.e. Fundamental duties was also inserted in the Constitution of India. Article 51A(g), contained in Part IVA, casts a duty on every citizen of India:

To protect and improve the natural environment including forests, lakes, rivers and wild life, and to have compassion for living creatures

Constitution of India did not provide express provisions for enforcement of fundamental duties. However, High Court of Rajasthan in L.K. Koolwal v. State of Rajasthan(AIR 1982 Raj. 2)stated that rights and duties co-exist and there can-not be any right without any duty and there can-not be duty without any right. Hence, the duty of one is the right of another. With passage of time, Right to clean environment has been recognized, by the Supreme Court of India, as a fundamental right explicit in Right to Life and Personal Liberty (Article 21 of the Constitution of India). Constitution (Forty-second Amendment) Act, 1976 also inserted entries 17A and 17B relating to Forests and Protection of Wild Animals and birds respectivelyin the Concurrent List. This apart, there are provisions in Article 252 and 253 of the Constitution of India. Article 252 enables the Parliament of India to enact laws, when so required by two or more states, on a subject on which Parliament has no power to make laws. Article 253 enables the Parliament to make laws to give effect to international treaties and agreements which include treaties and agreements relating to environment protection.

Therefore, it is clear that there are provisions in the constitution for enactment of laws relating to protection of environment. In accordance with constitutional mandate, India has enacted various laws for protection of the environment.

- The Wild Life (Protection) Act, 1972

- Water (Prevention and Control of Pollution) Act, 1974
- Forest Conservation Act, 1980
- Air (Prevention and Control of Pollution) Act, 1981
- Environment (Protection) Act, 1986
- Public Liability Insurance Act, 1991
- The Biological Diversity Act, 2002
- National Green Tribunal Act, 2010

b. Wild Life (Protection) Act, 1972

Elites of Indian subcontinent were fond of hunting wild animals since times immemorial and therefore, concern for wild life protection was raised far back in 3rd Century BC and accordingly, laws were enacted for

Indian legislature has made various laws for protection and preservation of wild life and forests viz.,

- Elephants Preservation Act, 1879
- The Wild Birds Protection Act, 1887
- The Wild Birds and Animal Protection Act, 1912
- The Indian Forest Act, 1927
- The Prevention of Cruelty to Animals Act, 1960
- The Wild Life (Protection) Act, 1972

Objectives of The Wild Life (Protection) Act, 1972

As is apparent from the title itself, The Wildlife (Protection) Act, 1972 was enacted to protect, preserve and improve wild life in India. The Act has been enacted with the following objectives:

- To ensure protection of wild animals, birds and plants
- To ensure ecological and environmental security of the country

Overview of the Wild Life (Protection) Act, 1972

- The Act facilitated the preparation of list of endangered species of wild life and it prohibited hunting of endangered species
- Act banned trading in Endangered species except as provided in the law.
- Wild Life Act has six schedules. Depending upon the threat to survival of species, species have been classified into various schedules. Animals, birds, reptiles etc mentioned in Schedule I, can-not be hunted except by an order in writing when such specie has become dangerous to humans etc.
- Law enabled setting up of Protected Areas i.e. Sanctuaries, National Parks etc.
- It regulated trade in prescribed species of wild life.
- Act provided for constitution of National Board for Wild life which is the highest authority. The Board lays down the policy and reviews the matters related to wild life preservation, national parks, sanctuaries etc.
- Central Zoo Authority has been established under the Act to supervise zoos in India.
- National Tiger Conservation Authority has been established to protect Tigers and to increase the population of Tigers.
- Tiger and other Endangered Species Crime Control Bureau has been established to curb poaching and trade in Tiger and other Endangered Species.

After Enactment of Wild Life (Protection) Act, 1972 India signed UN multilateral treaty aimed at protecting endangered animals and plants i.e. Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) which entered into force on 01st July 1975.

c. Water (Prevention and Control of Pollution) Act, 1974

We all know that clean drinking water is essential for survival of human race and other species. That is why Supreme Court of India has recognized right to clean water as part of fundamental right to life (Narmada Bachao Andolan v Union of India, AIR 2000 SC 3751). Water Pollution amounts to violation of Right to Life enshrined in Article 21 of the Indian Constitution (State of M.P. v. Kedia Leather and Liquor Ltd, AIR 2003 SC 3236).

Objectives of Water Act

Water (Prevention and Control of Pollution) Act, 1974 has been enacted with the following objectives:

- To provide legal rules for prevention and control of water pollution
- To provide legal mechanism for implementation of the provisions of the Water Act
- To provide legal mechanism for maintaining wholesomeness of water of reservoirs etc.

Overview of the Act

- Water Act mandates setting up of Central Pollution Control Board and State Pollution Control Boards for carrying out various functions under the Water Act and for taking appropriate measures for prevention and control of water pollution.
- Water Act contains detailed provisions for prevention and control of Water Pollution. Water Act prohibits establishment of any industry etc which would discharge sewage or trade effluent into a stream without the permission of Pollution Control Board. Board is required to examine the application with regard to pollution control measures and is competent to impose requisite conditions for ensuring compliance with legal norms. Permission of the Board is required to be renewed periodically. If the industry does not comply with the conditions imposed by the Board, it may withdraw the permission and industry can-not continue its operations. Board has the power to inspect the premises of any industry and take appropriate measures.
- To regulate use of water, Board has the power to seek information regarding abstraction of water from a stream or well. Similarly, Board has the power to seek information regarding discharge of sewage or effluents into water bodies and issue appropriate directions. Non compliance with the directions can attract imprisonment upto 3 months or fine which can extend upto 10000 (Ten thousand) Rupee. In case of continuing defaults, fine upto Rs. 5000 per day during can be imposed.
- Water Act also bars discharge of any poisonous, obnoxious or polluting matter into a stream or water resource.
- Water Act prohibits obstruction in the free flow of a water body which is likely to increase pollution. It must, however, be remembered that Act does not bar construction of

dams, bridges, building, dock, drain or sewer which any person has right to construct. Similarly, the natural deposits, sand or gravel which have flown from the stream can be put back into the stream.

- Board is authorized to collect water samples from streams, wells and sample of sewage etc. being discharged into stream or well to ensure that untreated effluents are not discharged into water bodies. The officer is required to serve immediate notice upon the occupier or his agent stating the intention to take sample and to get it analysed.
- Pollution Control Board has the power to take appropriate measures in case of any accident or to meet emergencies and it can appropriate orders restraining discharge of pollutants into water streams or well. Non compliance with such orders is punishable with minimum mandatory imprisonment of one and half year extendable upto six years with fine.

d. Air (Prevention and Control of Pollution) Act, 1981

Clean air is required for the survival of not only the humans but also for survival of various other living organisms. Air pollution has been defined to mean presence of any solid, gaseous or other substance in air, including noise, beyond defined limits which is likely to adversely affects humans and other living organisms. Natural air in the earth's atmosphere contains around 78% Nitrogen, 21% Oxygen and around 1% molecules of other gases like Carbon dioxide, argon and other components including water vapours. However, if the composition of the natural air is altered owing to natural or man-made reasons, it would adversely affect various living organisms.

Objectives of the Air Act

Air Act has been enacted with the following objectives:

- To lay down rules for the prevention, control and abatement of air pollution;
- To preserve the quality of the air and take appropriate measures to maintain the same;
- To establish mechanism for implementation of the provisions of the Act by establishing Central and State Pollution Boards;

- To confer powers upon Central and State Boards for carrying out the functions assigned by the Act.

Overview of the Air Act

- Air Act mandated the establishment of Central Pollution Control Board and State Pollution Control Boards for discharging the functions assigned under Air Act. To avoid duplicacy and to integrate Water Act and Air Act, it has been laid down that the Pollution Control Boards established under Water Act shall also perform the functions under the Act.
- Air Act contains provisions and measures for prevention control and abatement of air pollution. Act contains preventive as well as remedial measures.
- State Government has been empowered to declare certain areas to be air pollution control areas. Act empowers states to prohibit use of any fuel causing air pollution in such areas by notification.
- Burning of any material causing pollution like stubble burning can be prohibited in pollution control areas. Act also empowers for approval of appliances for controlling and regulating air pollution.
- Act enables issuance of emission standards for vehicles for curbing air pollution. Accordingly, pollution emission standards can be fixed which Vehicle Registration Authority is bound to follow. Similarly, section 110 of Motor Vehicles Act also empowers the Central government to issue directions regarding emission of smoke, visible vapour, sparks, ashes, reduction of noise caused by vehicles and standards of emission of air pollutants.
- All industrial plants are required to obtain permission of the Pollution Control Board before commencing operation. Similarly existing units are also required to obtain permission. All industrial plants in air pollution control area are required to comply with emission norms fixed by the Board from time to time.
- Before granting permission, Board may require installation of specified air pollution control equipments so as to prevent and control air pollution. Such equipments are required to be kept in good working condition.

- Board may also require chimney of approved specifications to be erected in industrial plants
- Act also requires remedial actions to be taken when there is apprehension of emission of air pollutants in excess of prescribed limits due to accidents and other unforeseen circumstances.
- It can also apply for injunction from court to restrain emission of air pollutants in excess of prescribed standards.
- To ensure compliance with the provisions of the Act, State Board can seek information from the person occupying industrial plant pertaining to emission of pollutants. To verify the information, Board officers can enter upon the premises and inspect the premises and take samples.
- State Board can issue directions for ensuring prevention and control of air pollution. To enforce provisions of the Air Act, State Board can also order closure, prohibition or regulation of any industry, operation/process or stoppage or regulation of electricity/water supply or other service.
- Act has provided stringent penalties for non compliance with legal provisions pertaining to prevention and control of air pollution. Act provides for mandatory imprisonment for one and half years extendable upto six years and fine, if any person commences or operates any industrial plant without the consent of the State Board or emits air pollutants in excess of the standards laid down by the Board.
- In case of offences committed by Companies, punishment can be imposed not only on the company but also on the officers in charge of the company or responsible for the conduct of the business of the company. Similar provisions have been made in case of offences committed by Government departments.

e. Environment (Protection) Act, 1986

Environment (Protection) Act is an umbrella legislation enacted by Parliament of India to protect the environment. Water Act and Air Act dealt with Water pollution and air pollution, however, provisions relating to soil pollution, noise pollution, waste management, electronic waste, solid waste, bio waste, Ozone Depleting Substances, Lead Batteries etc were missing. Therefore, an umbrella legislation was enacted which empowered Union to enact rules for protecting and

preserving the environment. Enactment of Environment (Protection) Act, 1986 has enabled the Union to frame various rules to prevent pollution and to protect the environment including the following:

This apart, India has enacted various rules and regulatory mechanism for dealing with waste disposal in an environmentally sound manner. These include :

- The Manufacture, Storage and Import of Hazardous Chemical Rules, 1989
- The Manufacture, Use, Import, Export and Storage of Hazardous Micro-Organisms/Genetically Engineered Organisms or Cells Rules, 1989
- The Chemical Accidents (Emergency Planning, Preparedness and Response) Rules, 1996
- Ozone Depleting Substances (Regulation and Control) Rules, 2000
- Batteries (Management and Handling) Rules, 2001
- Coastal Regulation Zone Notification, 2011 etc.
- Bio-Medical Waste Management Rules, 2016
- Solid Waste Management Rules, 2016
- E-Waste (Management) Rules, 2016
- Plastic Waste Management Rules, 2016
- Hazardous and Other Wastes (Management and Trans boundary Movement) Rules, 2016
- Construction and Demolition Waste Management Rules, 2016

5.3 ACID RAIN AND ITS IMPACT ON HUMANS AND AGRICULTURE

Acid rain, as is apparent from the name, implies precipitation of acid in the form of rain. Acid rain contains acidic droplets and can adversely affect plants, trees and agriculture. When Sulphur and Nitrogen particles get mixed with wet components of rain, it causes acid rain. Increased industrial pollution coupled with vehicular emissions can lead to acid rain wherein atmospheric pollutants like oxides of Nitrogen and Sulphur react with rainwater and come down with rain droplets. Acid rain can also result from natural causes like lightning strike which releases Nitrogen ions and release of Sulphur from volcano.

Various studies have shown that acid rain on its own may not have much adverse impact on humans directly. The pH of acid rain does not have enough acid to burn human skin. However, it

can have indirect impact on human health. It does pollute the air and water. Sulphur dioxide in the air can cause lung diseases in humans and animals. Similarly, acidic precipitation at high altitude areas can cause thick acidic fog which can lead to irritation in eyes and nose.

Acid rain, however, has serious impact on plants, trees and agriculture, it changes the composition of soil and depletes minerals and essential elements from the soil thereby affecting productivity and quality of the agricultural produce. Acid rain has also serious adverse impact on marine ecosystem. It can cause death of various marine living organisms disturbing marine ecology.

As stated earlier, various laws have been enacted to curb air pollution and to decrease carbon emissions.

5.4 CLIMATE CHANGE AND GLOBAL WARMING

Climate change implies changes in normal weather of a particular place over longer period of time. As per Intergovernmental Panel on Climate Change (IPCC), Climate Change refers to change in the state of climate that can be identified (e.g. using statistical tests) by changes in the mean and/or the variability of its properties, and that persists for an extended period, typically decades or longer. Climate change means tangible change in earth's climate e.g. change in earth's usual temperature.

Climate change has led to global warming. As per the data available, during the last 115 years global average surface air temperature has increased by 1 degree Celsius. Global warming has been attributed to increased carbon emissions. Increased industrialization has led to increase in carbon emissions leading to further rise in average global surface temperature.

Global warming has serious impacts on human race and ecosystem. It leads to ocean acidification adversely affecting marine ecosystem. It causes melting of glaciers, shrinking of ice sheets and rise in sea level. It has already lead to flooding of coastal areas which may ultimately sink in the ocean permanently. Global warming and increasing sea level can lead to intrusion o salt water in fresh water lakes causing shortages in drinking water supply. Extreme weather changes caused by global warming can adversely affect food production. Further, demographic

change caused by Climate change may lead to overheating and related health issues leading to increase in heat related deaths. Overheating is likely to affect human productivity as well.

Efforts have been made at the national and international level to decrease carbon emissions. India has also made a policy to combat climate change i.e. National Action Plan on Climate Change (NAPCC). NAPCC consists of eight national missions i.e. national solar mission, mission for enhanced energy efficiency, sustainable habitat, water mission, mission for sustainable agriculture, mission for sustaining Himalayan Ecosystem, national mission for green India and mission on strategic knowledge on climate change.

5.5 OZONE LAYER DEPLETION

Ozone layer or Ozone shield is concentration of Ozone in earth's stratosphere which protects us from harmful effects of solar radiation. It absorbs ultraviolet rays which are harmful to humans and other living organisms. In 1985, it was found that human activities have led to depletion of ozone layer and low concentration of ozone referred to as ozone hole was detected near South Pole. Driven by discovery of hole in ozone layer, Montreal Protocol on Substances that Deplete the Ozone Layer was adopted in 1985 as a supplementary agreement to Vienna Convention 1985. Montreal Protocol, 1987 has been ratified by all countries of the world including India. It was recognized that Chlorofluorocarbons (CFCs) are responsible for depletion of ozone layer. With increased scientific knowledge, various substances causing damage to ozone layer were identified and Montreal Protocol provided for phasing out such controlled substances in a time bound manner. Various substances identified for causing depletion of ozone layer are CFCs (Chlorofluorocarbons), Halons, Fully Halogenated CFCs, Carbon Tetrachloride, Methyl Chloroform, Hydrochlorofluorocarbons (HCFC), Hydrobromofluorocarbons (HBFC), Methyl Bromide and Bromochloromethane and HFCs.

In compliance of its international obligations under the Montreal Protocol, India has enacted Ozone Depleting Substances (Regulation and Control) Rules, 2000. India has already phased out production and consumption of CFCs, CTC and Halons except for medical purposes. India has also phased out production and consumption of Methyl Chloroform and Methyl Bromide. The Rules of 2000 lay down rules for production, consumption, import and export of Ozone Depleting substances. Rules also provide for monitoring mechanism.

5.6 ROLE OF INDIVIDUAL IN ENVIRONMENTAL PROTECTION

Individuals have a very important role to play in protection and preservation of environment and in preventing and controlling pollution. As stated earlier, right to clean environment has been declared to be a fundamental right in India. Indian constitution casts a duty on every citizen to protect and improve the natural environment. However, fundamental duties remain on paper and we hardly bother for our fundamental duties.

Be it stubble burning, excessive and unjustified use of motor vehicles, high quantum of waste generation (electronic waste, municipal solid waste, plastic waste etc), improper and unscientific management of wastes in homes and in offices, excessive and disproportionate use of water, noise pollution or the like, individual role has not been upto the mark in India.

Therefore, if an individual understand his fundamental duties properly and does its bit in protection of environment like keeping vehicular emissions to the minimum, avoiding fossils fuels, decreasing carbon footprint, avoiding wastage of water and contamination of water bodies, segregating waste and adopting scientific waste management techniques in homes and offices, avoiding or decreasing activities causing air pollution, use of energy efficient equipments, saving energy etc. he can significantly contribute in protection and preservation of environment.

5.7 MAJOR ISSUES IN ENVIRONMENTAL LAW ENFORCEMENT IN INDIA

From the foregoing discussion, it is clear that India has plethora of laws to protect and preserve the environment and for preventing and controlling the pollution. However, despite enactment of several laws and pro-active approach of Indian judiciary in developing environmental jurisprudence, the environmental degradation in India continues unabated.

Untreated trade effluents are being discharged into water bodies polluting water resources and adversely affecting aquatic ecosystem. This apart, due to release of chemicals in soil, heaps of electronic waste and hazardous waste contaminate the soil and chemicals percolate deep down in the water table thereby polluting ground water table.

Air pollution caused by vehicular emissions, industrial emissions and stubble burning have worsened the air quality beyond measurable limits. Each year, near Diwali season, northern India is choked with smog caused by vehicular emissions and stubble burning despite there being ban on stubble burning. Air pollution is causing deep impact on human health. This apart, there are various environmental challenges like waste management, depleting ground water table, desertification, issues caused by climate change, loss of wild life habitat, more species being endangered, loss of Himalayan Ecosystem and other environmental issues.

The question, therefore, arises is why despite enacting various laws, the problem of environmental pollution is still haunting our country. There are various reasons for the same including

- Tardy Implementation of Laws
- Lack of initiative among Individuals and civil society regarding environmental protection
- Judicial system being afflicted by slow motion syndrome
- Non availability of technology and technical know-how at affordable prices to industry and individuals
- Lesser Human resources for implementation of Environmental Laws
- Governmental apathy in implementation of environment protection laws
- Increase in population and increased demand for customer and luxury goods
- Declining social and moral values
- Unemployment and poverty
- Developed countries dumping hazardous waste in developing countries like India

It must also not be lost sight of that India has achieved some success in environment management. We have been able to phase out Ozone Depleting Substances as per the norms applicable under Montreal Protocol. Similarly, we have been able to increase forest cover, provide better norms for waste management, developed environmental jurisprudence on sound judicial principles and the like.

CHECK YOUR PROGRESS

- 1) Right to Clean environment has been guaranteed in which article of the Indian Constitution
 - a. Article 19
 - b. Article 20
 - c. Article 21
 - d. Article 22
- 2) Fundamental duty of every citizen to protect and improve the natural environment is provided in Article
 - a. 51A(d)
 - b. 51A(f)
 - c. 51A(g)
 - d. 51A(h)
- 3) 78% of the Air is composed of which of the following elements
 - a. Nitrogen
 - b. Oxygen
 - c. Carbon dioxide
 - d. Carbon Monoxide
- 4) Which of the following is cause of air pollution
 - a. Burning of Fossil fuels
 - b. Agriculture residue burning
 - c. Construction activities
 - d. All of these
- 5) Which of the following is protected area under Wild Life (Protection) Act
 - a. Sanctuaries
 - b. Conservation Reserves
 - c. National Parks
 - d. All of these

Answers:

1. C
2. C
3. A
4. D
5. D

5.8 SUMMARY

From the perusal of the foregoing discussion, it is apparent that India has enacted various laws for protection and preservation of environment and for controlling and preventing environmental pollution. Legal provisions have been introduced in the Constitution of India and various laws have been enacted viz. The Wild Life (Protection) Act, 1972; Water (Prevention and Control of Pollution) Act, 1974; Forest Conservation Act, 1980; Air (Prevention and Control of Pollution) Act, 1981; Environment (Protection) Act, 1986; Public Liability Insurance Act, 1991; The Biological Diversity Act, 2002; National Green Tribunal Act, 2010. This apart various rules have been enacted under these statutes for protection of environment.

Indian judiciary have also contributed by developing sound environmental jurisprudence and have declared right to clean environment as a fundamental right being included in right to life and personal liberty guaranteed under Article 21 of the Constitution of India.

However, due to various factors including rapidly increasing population, increased demand for consumer and luxury goods, unavailability of sustainable technology at affordable prices etc, environmental pollution is a major issue confronting our nation. Mere enactment of laws can-not achieve the desired result. The effective implementation of laws is required to be ensured in letter and spirit. This apart, citizenry need to join hands to protect the environment. We must remember that it is not the job of government and its instrumentalities alone but citizens also need to partner the objective of preserving and protecting the environment.

5.9 Questions for Practice

A. Descriptive questions

- 1) Discuss constitutional provisions for protection and preservation of environment.
- 2) Explain the legal framework for prevention and control of air pollution.
- 3) Discuss salient features of Water (Prevention and Control of Pollution) Act, 1974
- 4) Write a short note on National Action Plan on Climate Change.
- 5) Elaborate role of individual in protection of environment.

5.10 Suggested Readings

1. Dr. Paramjit S. Jaswal, Dr. Nishtha Jaswal and Vibhuti Jaswal, Environmental Law, Allahabad Law Agency, Faridabad
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**BACHELOR OF ARTS (LIBERAL
ARTS) SEMESTER-II**

COURSE: ENVIRONMENTAL STUDIES

UNIT – 6: HUMAN COMMUNITIES AND THE ENVIRONMENT

STRUCTURE

6.0 Learning Outcomes

6.1 Introduction

6.2 Human Population Growth: Impact on Environment, Human Health and Welfare

6.3 Sanitation and Hygiene

6.4 Resettlement and Rehabilitation of project affected persons; Case Studies

6.5 Disaster Management: Floods, earthquakes, Cyclones and Landslides

6.6 Environment Movements: Chipko, Silent Valley, Bishnois of Rajasthan

**6.7 Environmental Ethics: Role of Indian and other Religions and cultures in
Environmental Conservation for a Clean-Green Pollution free state.**

**6.8 Environmental Communication and Public Awareness; Case Studies (e.g.
CNG Vehicles in Delhi)**

6.9 Summary

6.10 Questions for Practice

6.11 Suggested Readings

6.0 LEARNING OBJECTIVES

After the study of this unit, the learners will be able to:

- Understand the concept of Human population growth and evaluate the impact caused by it on the environment and human welfare
- Delve deeper into the need and concerns pertaining to Sanitation and Hygiene
- Gauge the extent of resettlement and rehabilitation that has been possible for the project affected people
- Acquire an understanding of the concept of Disaster Management with reference to the problems created by Floods, Earthquakes and Cyclones

- Know about the various important movements attached to the issue of Environment
- Develop an understanding of the concept of Environmental Ethics and know about the role played by various religions and cultures in conservation of the environment
- Learn about the issues of Environmental Communication and Public Awareness

6.1 INTRODUCTION

Human population increase can be modelled using animal population dynamics concepts. Humans aren't the only ones who can change their surroundings. Beaver dams, for example, affect the stream ecology where they are constructed. Humans, on the other hand, have the potential to change their environment in order to enhance carrying capacity, often at the expense of other species. The human population and their usage of resources on Earth are fast increasing, to the point where some people are concerned about the planet's ability to support its human population. Long-term exponential expansion involves the possibility of famine, disease, and mass death, as well as social implications such as overcrowding and increased incidence of crime. Human technology, particularly human use of the energy contained in fossil fuels, has wreaked havoc on the Earth's environment, altering ecosystems to the point where some may be in jeopardy. Human activities are to blame for global changes such as ozone layer depletion, desertification and topsoil loss, and global climate change.

The total number of people living in a specific region at a given moment is referred to as the human population. The rapid growth of the human population over the previous few decades has resulted in a population explosion. The exponential growth of the human population is depleting natural resources and degrading the environment. Land, water, fossil fuels, minerals, and other resources are finite, and owing to overexploitation, these resources are depleting. Forests, grasslands, and other renewable resources are under severe stress. Industrial and economic development improves our standard of living but also introducing harmful contaminants into the air, water, and soil. As a result, environmental life-support systems are threatened.

6.2 HUMAN POPULATION GROWTH

The growth in the number of people in a population is known as population growth.

Global population increase is about 83 million people every year, or 1.1 percent per year. The lower death rate owing to advances in public health and sanitation has been the primary reason of human growth acceleration in the last 200 years. In industrialised countries, access to safe drinking water and appropriate sewage disposal has significantly benefited health. In addition, medical advances such as the use of antibiotics and vaccinations have reduced infectious disease's potential to limit human population increase.

Given present practises, population growth is far exceeding our planet's ability to support it. Overpopulation is linked to a variety of severe environmental and economic consequences, including over-farming, deforestation, and water pollution, as well as eutrophication and global warming. Anthropogenic activities such as urbanisation, industrialisation, deforestation, overpopulation, and the usage of fossil fuels all have an impact on our ecosystem. Natural calamities such as earthquakes, volcanoes, cyclones, landslides, and floods can also cause environmental damage. Some of the key environmental challenges India confronts today include air pollution, inadequate waste management, increasing water shortages, decreasing groundwater tables, water pollution, forest preservation and quality, biodiversity loss, and land/soil degradation. It has an impact on the natural environment as well.

6.2.1 Impacts on environment

Population explosion leads to various environmental problems because of overburdening on natural resources:

1. **Worldwide warming:** The combustion of fossil fuels has resulted in a rise in carbon dioxide gas emissions on a global scale. Increases in its atmospheric levels, as a GHG (greenhouse gas), have led to a rise in temperature by trapping heat radiation, resulting in the greenhouse effect, resulting in global warming and climate change. Melting polar ice caps contribute to rising sea levels, flooding, and coastal submergence as a result of global warming.
2. **Deforestation:** Forests must be removed to make more area accessible for agricultural operations and to meet the expanding population's other requirements. It causes soil erosion, destroys ecological equilibrium, and causes

irregular rain and drought-like conditions.

3. Biodiversity loss: Deforestation results in the loss of wild life habitat and biodiversity, disrupting the ecological equilibrium. It leads to the devastation of food chains and food webs, as well as the collapse of ecosystems, which can jeopardise human life on the planet.
4. Pollution: As a result of population pressure, there is a lot of pollution in the water, air, soil, and noise. Overconsumption and indiscriminate exploitation of natural resources are to blame. Pollution poisoning of these natural resources endangers human life by causing diseases such as lung and skin cancer, as well as respiratory and water-borne illnesses.
5. Natural resource stress: As the world's population grows, so does overexploitation and indiscriminate use of non-renewable natural resources such as fossil fuels.
6. Water scarcity: As the world's population grows, so does the need for clean, drinkable water. Water shortage might trigger a third world war.
7. Productivity: Degradation of the environment not only damages human health but also lowers economic productivity. In developing nations like India, dirty water, poor sanitation, air pollution, and soil degradation cause severe illnesses on a massive scale.
8. Urbanization: Rapid population expansion has resulted in urbanisation, which has had a negative impact on the environment. Natural resources in cities are being degraded at an alarming rate as a result of population pressure.

6.2.2 Human Health and Welfare

Economic hardship, environmental degradation, and overexploitation of natural resources are all consequences of population expansion, and the Indian government has launched a number of family welfare programmes to address the problem. India is a welfare state, as evidenced by the Directive Principles of State Policy, which are incorporated in Part IV of the Indian Constitution. The Ministry of Women and Child Development, a department of the Indian government, is responsible for women's and children's welfare as well as the coordination of operations of other ministries and organisations in this area; supports the development and stabilisation of Self Help

Groups (SHGs) as well as awareness campaigns among rural and urban women.

The National Family Welfare Programme (NFWP) was established in 1951 with the goal of stabilising and reducing population increase. The NFWP committee advocated for marriage at a young age, a limited family size, healthy motherhood, and a longer period between childbirths. Several birth control methods have been developed by modern science, including mechanical barriers, surgical procedures, chemical tablets, and physical obstacles to implantation. Methods of family planning are significant because they have resulted in lower birth rates, lower infant death rates, and higher life expectancy rates.

Women's and Children's Welfare: In 1985, the Indian government established the Department of Women and Child Development, which prepares and implements policies, programmes, and assists in the enactment and amendment of legislation for the welfare of women and children. Children and women are particularly vulnerable to exploitation, as they are members of a high-risk category. Many governmental and non-governmental organisations, such as the National Commission for Women (NCW), the National Commission for Children, the National Institute of Public Cooperation and Child Development (NIPCCD), the Rashtriya Mahila Kosh (RMK), UNICEF, and others, work to promote the development, welfare, and protection of women and children.

The Indian government has introduced a slew of social programmes aimed towards the country's overall growth. Antyodaya Anna Yojna, National Gramin Awaas Mission (previously Indira Awas Yojna), Bharat Nirman, and other organisations are examples. All of these programmes have been created in order to alleviate poverty and create jobs so that the economy may grow quickly in this competitive world.

Women Welfare Programmes in India:

1. The Swarnajayanti Gram Swarajgar Yojana (SGSY)
2. The Jawahar Gram Samridhi Yojana (JGSY)
3. The Indira Awas Yojana (IAY):
4. The National Social Assistance Programme (NSAP)

5. Under the Accelerated Rural Water Supply Programme (ARWSP)
6. Rashtriya Mahila Kosh (RMK)
7. Development of women and children in Rural Areas (DWCRA):
8. Child Development Services Scheme (CDS)
9. Welfare of Street Children

6.3 SANITATION AND HYGIENE

6.3.1 Swachh Bharat Mission

It is common knowledge that a clean country is a healthy one. Due to the country's huge geographical covering of 3.2 million square kilometres, India's story of cleanliness and sanitation has been one of steady improvement. While regulatory measures can help to provide universal cleanliness, nothing compares to the influence of a cultural shift among the country's population. The Prime Minister of India, Shri Narendra Modi, inaugurated the Swachh Bharat Mission (SBM) on October 2, 2014, with the objective of making India an open defecation-free (ODF) country by October 2, 2019 as a befitting tribute to Mahatma Gandhi on his 150th birth anniversary.

The Department of Drinking Water and Sanitation is in charge of the Swachh Bharat Mission Grameen (SBM-G) rural component of the mission, as well as the broader SBM. India's rural sanitation coverage has improved from 39% in 2014 to over 95% as of June 2019, and the Mission is on target to meet its goal of an ODF India by 2019. The Swachh Bharat Mission was started with the goal of establishing a clean India by 2019 (encompassing over 4,000 cities and towns) through ensuring sanitation and cleanliness (solid and liquid waste management and making Gram panchayats open defecation-free). SBM (Gramin) is one of the two sub-missions of the overall mission.

6.3.2 Impact of Swachh Bharat Mission

- The Indian government has taken immediate steps to expand sanitation coverage across the country. Since its inception, the Swachh Bharat Mission - Grameen has built 81.55 million toilets across India, resulting in a rural sanitation coverage of roughly 90.33 percent, up from 38.7 percent on October 2, 2014.

- In addition, 4,19,391 communities have been proclaimed open defecation-free since the campaign began.
- Around 4.32 million household toilets and 392,817 community toilets have been built as part of the Swachh Bharat (Urban) Mission. Furthermore, 100% door-to-door collection was achieved in 67,085 wards (Solid Waste Management Rules).
- According to the WHO, if the government achieves 100 percent cleanliness implementation by 2019, the country might avoid 300,000 deaths from diarrhoeal illness and protein-energy malnutrition (PEM)

6.4 RESETTLEMENT AND REHABILITATION OF PROJECT AFFECTED PERSONS

Various development initiatives sometimes result in the eviction of poor and often uneducated local or tribal people. The rehabilitation of these individuals is a serious socioeconomic concern. The purpose of development initiatives is to improve society.

However, over-exploitation of natural resources and environmental damage are common during the development process. The project site's indigenous people are directly impacted. They are the poorest of the poor, the most disadvantaged tribal people. As the local community's socioeconomic and ecological foundation is disrupted, many sorts of projects result in the displacement of native people, who suffer great economic and psychological hardship.

6.4.1 Dam-Related Displacement Issues: Large-scale displacement of local people from their ancestral homes and loss of their customary profession or occupation is one of the most significant socio-economic consequences of the huge river valley projects. India is one of the world's leaders in large dam development, with more than 20 million people believed to have been affected directly or indirectly by these dams over the previous 50 years. More than 20,000 people have been displaced as a result of the Hirakund Dam, who live in 250 communities. The Bhakra Nangal Dam was built in the 1950s, and only half of the displaced people have been rehabilitated to this day. The same may be said about the Tehri Dam on the Bhagirathi River, whose construction was approved following a three-decade struggle headed by

renowned activist and Chipko Movement propagator Sunderlal Bahuguna. The Tehri Dam's immediate impact would be on the 10,000 people of Tehritown.

6.4.1.1 Case Study

The Sardar Sarovar Project, which aims to construct 30 major, 135 medium, and 3000 minor dams on the Narmada River and its tributaries, is expected to engulf nearly as much land as it is intended to irrigate. Due to the flooding, a total of 573 villages with a population of over three lakh people would be impacted. The tribals' communal rights have been violated as a result of the large dams. It is a painful experience to be torn from one's native land, where one's family has lived for centuries, and relocate to a new location as an outsider. The family is frequently disbanded. The tribals are paying a high price for a large dam project that is meant to bring happiness and wealth to the country. The tribals must be adequately compensated in the form of land, jobs, financial compensation, and other forms of recompense in exchange for their great sacrifice, and attention should be taken to improve their quality of life.

6.4.2 Displacement as a result of Mining: Mining is another development activity that causes local people to be displaced. Thousands of hectares of land have been covered by mining operations, and indigenous people have been displaced. Local people are sometimes displaced as a result of accidents that occur in mined regions, such as land subsidence, which frequently results in population shifts.

6.4.2.1 Case Study

Due to subterranean fires, the Jharia coal fields in Jharkhand have become a major source of concern for nearby inhabitants, who have been ordered to leave. The proposed large-scale evacuation of roughly 0.3 million people from Jharia highlights the issue of their relocation and rehabilitation, which would require careful planning. Since 1976, 115 crores of rupees have been spent to put out the flames, yet the problem still exists. The residents of Jharia are being ordered to leave, but no replacement land or rehabilitation plan has been devised as of yet. As a result, the residents of Jharia coalfield have created a "Jharia coalfield Bachao Samiti." According to the latest estimates, the cost of relocating the Jharia people

would be approximately Rs. 18,000 crore, while the cost of putting out the fire will be around Rs. 8,000 crore.

6.4.3 Displacement as a result of the creation of National Parks: When a portion of a forest is designated as a National Park, it is a positive step toward the protection of natural resources. It does, however, have a social element to it that is frequently overlooked. A large section of the forest has been designated as a core-area, making it illegal for locals or tribals to enter. When these people lose their ancestral rights or access to the forests, they typically react by engaging in harmful behaviour. It is necessary to investigate their difficulties and offer them with work.

6.4.3.1 Case Study

Tribals from the Tharu community in 142 villages in Bihar's Valmiki Tiger Reserve region in the West Champaran district believe they have been denied their legal traditional rights to harvest firewood and fodder from the forest. Their jobs have also been lost as a result of the "Project Tiger" programme. The villagers who have lost their jobs are revealed to be destroying the forest and its wealth in collusion with foreign agents who supply them with guns and ammunition for illegal logging and poaching. To prevent local tribals from becoming criminals, planners should prioritise compensating them for their losses by providing them with work opportunities.

The Wayanad Wildlife Sanctuary in Kerala has forced 53,472 tribal households to relocate. It was determined at the time of its inception to give land to these indigenous families in order to settle them. However, only 843 households were able to obtain the land until 2003. As a result, the tribals felt deceived, and in January 2003, they encroached into the forest in large numbers, cutting down trees, erecting houses, and digging wells, resulting in a violent confrontation with forest officials, resulting in injuries and fatalities among the people.

6.5 DISASTER MANAGEMENT

The word "disaster" comes from the French word "disastre," which means "a wicked or evil star." A disaster is an unexpected and unforeseeable tragedy that brings sorrow and

misery to humanity. Human lives, the economy, and the environment have all been severely impacted by the calamities. Natural catastrophes are always unexpected and devastating. A disaster is an unforeseen occurrence that strikes a town with little or no notice, wreaking havoc on people's lives and economies in the area.

Two types of disasters have been identified:

1. Earthquakes, landslides, volcanic eruptions, tsunamis, and cyclones are examples of natural disasters;
2. Man-made disasters include the Bhopal gas tragedy, the Chernobyl accident, dam leakage or collapse, and so on.

India is also vulnerable to natural disasters such as floods, earthquakes, cyclones, and landslides.

Meaning: The effective organisation, guidance, and exploitation of available counter-disaster resources is known as disaster management. For individuals who are unprepared, the events of a tragedy can be highly distressing. Disaster management concepts apply in both normal and emergency scenarios. Disaster mitigation and disaster rebuilding are examples of routine management tasks that take place during non-crisis situations. The term "crisis management" refers to the planning and execution of emergency operations, and it encompasses both the pre-disaster and post-disaster phases.

Post-Disaster management was the focus till now which involved taking care of the situation after its occurrence.

Post- Disaster management involves:

- Evacuation,
- Communication
- Search
- Rescue
- Fire fighting
- Medical
- Food

- Shelter assistance etc.

The need of the hour is to emphasize on Pre-disaster management measures to minimize or prevent the loss. Pre-disaster management strategies involve:

- Disaster-prone regions are identified, and
- Gathering of information about historical dangers, population, and current infrastructure
- Information on the local ecology
- Risk assessment to evaluate the frequency of disasters and the length of time it takes to recover from disasters and return to normality.

Mitigation entails using modern and improved technologies to anticipate, warn, and distribute information fast. GIS (Geographical Information System), GPS (Global Positioning System), and satellite communication are examples of computer and space technologies used in management.

Various national and state-level efforts have been launched with the goal of preventing and mitigating natural catastrophes, as follows:

1. The government has established the National Decades for Disaster Reduction (NDDR). Every year, the Indian government has designated the 29th of October as “National Day for Disaster Reduction.” Its main goal is to raise public awareness about natural catastrophes and to help people prepare for them.
2. Under the chairmanship of Shri J.C. Pant, the High-Power Committee on Disaster Management was established in 1999 at the suggestion of Prime Minister (PM) to create comprehensive model plans for disaster management at the national, state, and district levels.
3. The government established the National Committee for Disaster Management. It proposes the institutional and legal changes that will be required to develop a successful and long-term plan for dealing with severe natural disasters in the near future.
4. Hazard Mapping and Building Vulnerability Assessment- The Ministry of Urban Development created the Vulnerability Atlas of India, which includes maps of earthquake, cyclone, and flood-prone areas.

5. Monitoring and Impact Assessment of Natural Disasters- The Department of Space offered help and support for flood, cyclone, and drought impact monitoring and assessment.

6. The use of contemporary technology, such as remote sensing, the global positioning system (GPS), and database generation through computer modelling, has been popular in recent years. The disaster management control rooms are being actively modernised to make them more effective and community friendly.

6.5.1 Floods

The major environmental mental danger is flooding. The reason for this is due to the vast geographic distribution of river valleys and low-lying coastlines, as well as their long- standing appeal to human habitation. Floods affect every country, and in many cases, the hazard is restricted to floodplains and estuary areas. In Bihar, West Bengal, Uttar Pradesh, Assam, and Orissa, it is a common occurrence. Uttar Pradesh is often regarded as one of India's worst-affected flood-prone states. It covers almost 20% of the country's total 40 million hectares of flood-prone land. Floods are common in rivers such as the Ganga, Yamuna, Brahmaputra, Mahanadi, and Godavari. Human life, livestock, buildings, power supply, agriculture, roads, and water supply are all severely impacted by floods. In such circumstances, an outbreak of a water-borne epidemic illness can develop.

Deforestation plays a significant role in the occurrence of floods. Given that the country's land surface has lost forest cover (including 77 percent of the Himalayan territory), the extraordinary rise in the frequency and intensity of floods, despite no discernible change in rainfall patterns over the previous century, is easy to comprehend. Man's fast urbanisation and building activities have significantly reduced infiltration and increased surface run-off, resulting in local floods in major cities such as Mumbai and Kolkata. Flooding is three times more likely in a city with 40% impervious surface than when urbanisation had not yet taken hold.

Floods are caused by a number of factors, including:

- a. Natural (heavy and prolonged rainfall, river passage obstruction, high tides, tsunamis, landslide, and volcanic eruption beneath the sea bed) and b. man-made (tsunami, landslide, and volcanic eruption under the sea bed)
- b. Created by humans (sudden water release from dam, breakdown of dam or reservoir).

Floods are most commonly caused by excessive rainfall. These can range from semi-predictable seasonal rains across large geographic areas, which cause yearly monsoon floods in tropical places, to seemingly random conventional storms that cause flash floods in local basins.

Ice jam flooding adds to the severity of spring floods. This happens when huge ice chunks float downstream, temporarily damming waterways. This floating ice solidifies when it comes into contact with a constriction in a waterway, causing flooding. Rapid flooding occurs initially upstream, and when the ice melts, it creates havoc downstream as a result of its severe impact.

Flood mitigation measures include wetlands preservation, afforestation, flood forecasting, and flood plan management. Construction of reservoirs to regulate monsoon flow and their regulated release after peak flow are structural steps. Flood control techniques include the construction of embankments and flood barriers, as well as anti-erosion measures and better drainage. Flood plains, or low-lying areas that are inundated during floods, aid in flood reduction. Flood control facilities such as flood barriers and river channel deepening have merely shifted the problem downstream. Building barriers keeps flood water from spilling over flood plains, but also increases the velocity of the water, causing it to have a greater impact on communities downstream. Rather of erecting structures on floodplains, it is proposed that floodplains be used for wildlife habitat, parks, recreational spaces, and other uses that are not vulnerable to flooding. To deal with the flood problem, river-networking across the country is also being considered.

Case studies:

- a. Kedarnath Disaster in 2013,

b. Jammu floods in 2014,

c. Chennai floods in 2015.

6.5.2 Earthquake

An earthquake is a sudden ground disturbance caused by the abrupt displacement of rock masses, generally in the top 15-50 km of the earth's crust. Earthquakes are vibrations in the earth's crust that shake up a portion of the crust, as well as all structures and everything on it. They are extremely short motions that seldom last more than a minute and are highly varied in strength and duration. Earthquakes are defined as brief tremors in the earth's crust.

The majority of earthquakes are caused by the passage of one rock mass past another due to tectonic pressures. Rocks are pliable and can build strain up to a point when surrounding sections of rocks are subjected to pressures pushing or dragging them. When the tension on a rock surpasses its strength, it fractures along a pre-existing fracture plane called a fault.

The severity of an earthquake is generally measured by its magnitude on Richter Scale, as shown below:

Richter Scale	Severity of earthquake
Less than 4	Insignificant
4 - 4.9	Minor
5 - 5.9	Damaging
6 - 6.9	Destructive
7 - 7.9	Major
More than 8	Great

Due to the collapse of high-rise buildings, dams, bridges, and highways, earthquakes have the most devastating consequences in highly populated metropolitan areas. Landslides are caused by earthquakes in mountainous areas, and tsunamis are caused by earthquakes under the sea, such as the Great Tsunami of 2004.

The catastrophic earthquake that struck Bhuj Town in Gujarat caused tremendous devastation, killing 20,000-30,000 people and injuring a large number of others.

Tsunamis, which are caused by earthquakes, may cause significant damage to coastal regions. These massive sea surges may reach speeds of up to 1000 km/hr or even more. They might reach 15 m or even 65 m in height as they approach the seashore, causing tremendous destruction in coastal communities.

Anthropogenic activities can also cause or increase earthquake frequency. Three such operations have been identified:

- Impoundment of massive amounts of water in a lake behind a large dam.
- Nuclear testing underground.
- Liquid waste disposal in deep wells.

Detailed information regarding epicentres and tectonic maps, as well as seismic hazards, are all part of the mitigation procedures taken before an earthquake. Earthquake sensors are being installed to keep track on seismic activity, which can help to prevent loss of life and property.

6.5.2.1 Construction of Earthquake-Resistant Constructions and Buildings

Post-earthquake management entails evacuating people to safe locations as quickly as possible, providing medical care to injured individuals, maintaining law and order, and restoring communication, transportation, and water and food supply lines. Following a disaster, the rebuilding phase entails a survey of the damage, resettlement and rehabilitation of impacted individuals, and the reconstruction of buildings and infrastructure. In earthquake-prone locations such as Japan, wooden homes are recommended.

6.5.2.2 Earthquakes in India

Over 80 earthquakes have struck India's northern, north-western, and north eastern regions in the last two centuries. The worst were those in Assam (1897), Kangra (1905), and Bihar (1907). (1934). The Assam earthquake of 1897 caused catastrophic damage over a 2,800,000- square-kilometer region. Shillong was the hardest hit area. Standing structures were destroyed, the ground was ruptured, the drainage system was dislocated, groundwater erupted, and major landslides were triggered as a result of the earthquake.

On the 15th of August 1950, Assam was struck by another earthquake of comparable magnitude, wreaking havoc. The Kangra earthquake of April 1905, on the other hand, would be known for a long time. It had an 8.9 magnitude and was felt all the way

to Tapti. More than 200,000 people were killed as a result of it. The earthquake in Bihar in January 1934 killed about 12,000 people. It had a magnitude of 8.4 and came from a depth of 20-30 kilometres. It wreaked havoc on nearly all of north Bihar, particularly the Mungher area, and Nepal.

6.5.3 Cyclones

Cyclones are spirally moving storms that form in the Bay of Bengal and Arabian Sea in the tropical belts. Wind vortices the size of spinning tops developed over the sea, spanning horizontally up to 1000 kilometres and vertically up to 12 to 14 kilometres from the surface. They can be found in tropical coastal areas. In other regions of the world, cyclones are known as hurricanes, typhoons, and willy-Willys. Depending on the pace, cyclones can be mild, severe, or extremely severe. Cyclones are very powerful winds that cause widespread destruction by bringing torrential rainfall and storms that flood coastal regions.

During the months of October, November, and December, the eastern coastal belts of Bangladesh, Bengal, Orissa, Andhra Pradesh, and Tamil Nadu are particularly vulnerable to the hazards of surging sea waves and heavy downpours that accompany spirally moving fierce winds. The cyclones are endemic in the Andhra Coast, one hitting every second year.

Three to four severe cyclonic storms form on average in the Bay of Bengal, mostly during the pre-monsoon months of April to June and the post-monsoon months of September to December.

Cyclones create a rapid drop in air pressure, as much as 60 to 100 millibars, over the coastal belt, generating storm surges. Floods, which may rise as high as 14 metres and inundate huge areas reaching deep inside the ground through river ways, exacerbate the effects of strong winds and heavy rainfall. Storm surges inflict more than 90% of the damage to coastal towns by flooding the terrain, sweeping away buildings, destroying crops and fields, and causing widespread salinity in the soil and water supplies.

Tsunamis, which are caused by earthquakes in deep sea trenches, are another devastating force alongside cyclones. More than 80% of the world's total seismic energy is concentrated in the Pacific belts, which see around 200 earthquakes each year.

Both cyclones and tsunamis leave behind huge storm surges and a significant rise in sea level. They can rise to a height of 5-6 metres above normal sea level, wreaking havoc.

6.5.3.1 Cyclones' Effects

1. Pollution of surface water bodies by salty sea water.
2. Agricultural soils become saline and non-productive.
3. Beach sands overrun coastal belt crops, rendering agricultural lands unusable.
4. Bridges, roads, buildings, and telephone lines are all destroyed in large numbers.
5. Deaths as a result of drowning.
6. As a result of the deluge of huge swaths of land, diseases emerge, resulting in additional deaths.

The storm that hit India's coastal region in November 1970 killed over 2 million people and killed over 800,000 animals, damaging over 200,000 homes, 80 percent of the standing paddy crop, and 65 percent of the fishing capacity in 9000 villages.

6.5.3.2 Strategies for reducing the risk:

- Early warning and cyclone monitoring systems aid in the evacuation of individuals in susceptible regions. Wind tides are forecasted by the Indian Meteorological Department (IMD) and include the location, timing, predicted wind speed, and magnitude.
- The Indian coastal belt has been designated as a cyclone threat zone, preventing the construction of significant residential and industrial structures. It spans from Tamil Nadu to West Bengal via Orissa.
- It's critical to keep communication lines open during rescue efforts. Pocket radios, satellite connections, and Morse Code are all useful tools.
- Mangrove trees planted along coastal belts function as wind and tide blockers.

6.5.4 Landslides

Temporary instability of surface rock formations, whether consolidated or unconsolidated, has long been a serious concern in many parts of the world. These

superficial masses move vertically down after suddenly or gradually leaving their initial location. Such movements are referred to as "Landslides" when they occur on slopes.

The word landslide refers to the 'rapid downslope movement' of soil or rocks in general. Gravity continuously pushes the material down, resulting in a process known as "mass waste." Although the movement is gradual and delicate, some slope processes, such as rock slides and avalanches, may be deadly and quick. Landslides are common in mountainous areas. Landslides are common in India's Himalayan and Western Ghats areas. Landslides cause economic damage by blocking roads, disrupting commerce and obstructing people's movement, as well as biodiversity loss. Landslides can occur as a result of local features, climatic rock degradation, and natural earthquakes. In steep areas, man-made activities such as deforestation, land use change, and road building cause landslides.

Landslides are caused by a variety of activities.

- 1) Construction of roads in steep regions
- 2) Mineral and coal extraction (mining operations)
- 3) Forest removal on hill slopes
- 4) Cultivation techniques on slopes in agriculture
- 5) Constructing a home on a slope that is unstable
- 6) Explosions in the earth for rock blasting,

etc. Mitigation of disasters entails:

- Landslide predictions based on soil properties, rainfall, seismic activity, and man-made structures; • an effective warning system is essential.
- Overuse of natural resources should be avoided in development projects, and changes in the balance burden on the mountains should be avoided.
- People should be rehabilitated and relocated to safer locations.
- Landslides can be avoided through proper drainage during rainstorms and the adoption of soil erosion management measures such as grass plantation, masonry wall building, and afforestation.

6.6 ENVIRONMENT MOVEMENTS

Environmental and ecological movements are key instances of several social groupings acting collectively. These movements are concerned with the protection and

recognition of constitutional and democratic rights, which are not defined by law but are an important part of the subaltern masses' day-to-day lives, such as control over their resources, indigenous people's right to preserve their culture, environmental protection, and ecological balance. Within the wider framework of the development debate, the environmental movement is a broad word that is used to define and explain various forms of local struggles and conflicts involving livelihood concerns and ecological security. In reality, these battles questioned and criticised the Indian state's and officials' pursuit of development and conservation ecological from colonial times.

6.6.1 Chipko Movement

The Chipko movement in the central Himalayan area in the early 1970s is credited with establishing contemporary environmentalism and environmental movements in India. The Chipko movement, which was started to safeguard Himalayan forests from destruction before independence, has its origins in the pre-independence era. During the early decades of the twentieth century, several protests against colonial forest policies were organised. People's major demand during these rallies was that the forest's advantages, particularly the right to fodder, be distributed to locals. These conflicts have persisted in the post-independence era, as independent India's forest laws remain identical to those of colonial India.

During the year 1973, 'Chipko' [chipak jayenge - to hug] was born. The forest department declined to give ash trees to the Dashauli Gram Swarajya Sangha (DGSS), a local cooperative centred in Chamoli regions, for the purpose of producing agricultural tools in early 1973. The forest department, on the other hand, assigned ash trees to Symonds Co., a private enterprise. The DGSS was prompted by this occurrence to protest the injustice by lying down in front of lumber trucks and burning resin and timber warehouses, as was done during the Quit India campaign. When these measures were ineffective, one of the leaders, Chandi Prasad Bhat, proposed embracing the trees, and so 'Chipko' was created (for further information, see Bahuguna, 1990 and Guha, 1989). This type of protest was crucial in convincing the private firm not to cut down the ash trees. As a result of its success, the movement expanded to other nearby places, and the movement became known as the Chipko movement globally. From the outset, the Chipko movement focused on environmental concerns such as forest

depletion and soil erosion.

The Chipko movement's success was due to three important factors. First, the tight ties between the livelihoods of the local people and the character of the movement. Chipko is seen by the locals as a battle for fundamental survival, which has been denied to them by the state's institutions and policies. In addition, peculiarity of the location where Chipko movement took place; engagement of women in the contribution to households' subsistence and the overwhelming support to anti-alcohol campaign have contributed to the overwhelming support of women which is unique to the Chipko movement. The kind of agitation is the second point to consider. Chipko, unlike other environmental groups, has closely adhered to Gandhi's nonviolent liberation fight tradition. Third, the simplicity and sincerity of leaders such as Sunderlal Bahuguna, as well as their connections to national leaders such as Mrs. Indira Gandhi, other politicians, and bureaucrats, contributed significantly to the movement's success.

The Chipko movement's demands were as follows:

- i) A full halt to tree cutting for commercial interests;
- ii) Traditional rights should be recognised in accordance with people's basic requirements;
- iii) Bringing the dry forest back to life by encouraging people to plant trees;
- iv) The establishment of local committees to oversee forest management;
- v) The development of forest-related home-based enterprises and the provision of rawmaterials, funds, and technology; and
- vi) Putting afforestation first, taking into account local circumstances, needs, and varieties.

6.6.2 Silent Valley Movement

Palghat is a district in Kerala, India, that is 3000 feet above sea level. The district's geographical area is 8950 hectares. Because of the high altitude and abundant rainfall, this area has developed into an equatorial thick forest zone. This is a distant location that is currently devoid of human activity. The building of a hydropower plant sparked this movement. This project was launched due to irrigation and power. When the real building work began, various NGOs stepped out to voice their opposition to the proposal. Because of the thick forest, this area is rich in wildlife. There are several uncommon flora and animals, as well as birds.

The struggle over the now-famous Silent Valley lasted for more than ten years,

involving thousands of individuals who did not even reside in the region that was to be demolished. Despite the lack of unified organisation, the campaign was extremely successful. Citizens placed persistent pressure on the government, using all available measures at the time – letters to newspaper editors, seminars, extensive awareness programmes, and finally petitions and appeals in court and other high offices – which ultimately proved effective. Silent Valley was designated as a National Park in 1986, a powerful testament to the power of people's activism.

6.6.3 Bishnois of Rajasthan

A similar but less fortunate deed of Bishnois in the early 18th century inspired the first ever recorded environmental revolt, the Chipko movement of 1973. When the royal authorities instructed by the then Maharaja of Jodhpur went to her native hamlet Khejarli to cut down the lush Khejarli trees for the gathering of lumber, an outstanding Bishnoi woman named Amrita Devi took the initiative. To keep the trees from being cut, she and the other 84 villagers clutched them to their bosoms.

Unfortunately, the authorities mistook it for a bluff and chopped several peasants who were hugging the trees in their haste, and the slaughter continued until the King himself arrived to put an end to it. 363 Bishnois had died in that tragic struggle to defend their holy trees and beliefs. However, it was precisely this movement that brought Bishnois to the attention of the state, which then issued a royal edict restricting hunting and wood-cutting operations in Bishnoi-populated regions.

6.7 ENVIRONMENTAL ETHICS: ROLE OF INDIAN AND OTHER RELIGIONS AND CULTURES IN ENVIRONMENTAL CONSERVATION FOR A CLEAN- GREEN POLLUTION FREE STATE

In ancient Indian tradition, people have always valued mountain, river, forest, trees and several animals. As a result, much of the natural world has been preserved. Both in Hindu religion and tribal culture, forests have been associated with the names of forest gods and goddesses. The goddesses of the trees have been linked to certain plants. Tulsi is a plant that may be found in almost every home. The elephant is linked with Bhangwan Ganesha in Indian mythology. Tulsi is associated with Lakshmi and Krushna. Amalaki, mango, and Tulsi shrub are among the trees connected with

Goddess Laxmi. Our traditional culture and religion provide us with environmental education.

The environmental ethics are listed below.

1. Relationship and contact with the environment
2. The variety of the environment
3. Human health and spirit are created by the quality and beauty of nature.
4. Does not wreak havoc on the environment
5. We believe in long-term growth.

6.7.1 Human Ethics

The following are examples of human ethics: environmental protection.

1. The pattern of resource usage and the requirement for equitable utilisation
2. Inequity - the divide between northern and southern countries
3. Issues of urban-rural equality
4. The need of gender equality
5. Animal rights
6. Environmental education and awareness must be based on ethical principles.
7. India's traditional value system and conservation ethics.

6.7.2 Role of Religions and Cultures in Environment Protection and Conservation

All religions and cultures have something to offer in terms of environmental protection and conservation. Several injunctions or exhortations from each faith can be combined to build a guideline for environmentally sustainable development. This is abundantly and comprehensively illustrated in the various religions' codes.

6.7.2.1 Environment and Hinduism

Hinduism is deeply rooted in the sanctity of all life on this earth and elsewhere. All creatures, including humans, are under the Supreme God's total authority. All lives have the same right to exist, according to Hindu texts. Humans have no authority over other living things. They are discouraged from exploiting nature and are advised instead to seek peace and live in harmony with it. To maintain and protect the harmonious harmony of God and nature, the Hindu faith demands devotion, respect, and obedience. The doctrine of Ahimsa (nonviolence) is founded on Hindu philosophy, which implies the doctrines of karma and reincarnation. The Hindu belief in the cycle of life and

reincarnation, in which a person may reincarnate as an animal or a bird, means that Hindus appreciate and revere other animals. This offers a firm foundation for the Hindu idea of ahimsa, or non-violence (or non-injury) against both animals and humans, which Hindus hold dear. Because the soul may return in other living forms, there is a strong resistance to the institutionalised slaughter of animals, birds, and fish for human food. Hinduism is a religion that originated in India. Nature is referred to in Hinduism as "God's body." Different Gods and Goddesses are associated with different birds and animals, and they are worshipped or their protection and preservation is emphasised. Finally, Hinduism offers a moral framework for environmental protection and conservation. Nature abuse and exploitation are seen as unjust and sacrilegious.

Man, Nature, and The God all have an inherent equilibrium, according to Vedic literature (about 1500 BC). Natural forces were seen to be venerable realities and representations of the Lord Himself. The Vedas envision a lovely natural ecosystem on Earth and forbid man from polluting it. The wise are commanded by Veda to keep the environment free of all pollutants, which can be accomplished through Yagnas or sacrificial fire. Yagnas are thought to be the link between humans and the Devatas. These Devatas are the natural forces that must be pampered. Yagnas are performed to honour the deity as well as to purify the air and maintain a healthy environment.

6.7.2.2 Environment and Buddhism

Buddhism is a religion based on love, understanding, and compassion, as well as nonviolent beliefs. Buddhism's essential teachings are simplicity and ahimsa. Man should not overexploit natural resources, according to the idea of simplicity based on sustainability. The ahimsa (nonviolence) philosophy of not killing animals demonstrates a love for biodiversity. The doctrine of Karma and the philosophy of cause and consequence have been central to Buddhist teachings. They show how a willful disregard for these principles of ethical living can result in anarchy and, as a result, environmental disaster. Rivers, forests, and mountains are revered and regarded as bliss providers in Buddhism and the Buddhist followers had great respect for the Sun, Moon and other planets.

In Sutta-Nipata, Buddha also established regulations prohibiting contamination of

rivers, ponds, and wells. "Recognize the grasses and trees... Then know the worms and the various types of ants... Know also the four-footed animals, both tiny and large... the serpents... the fish that swim in the water... the birds that fly through the air on their wings."

The Dalai Lama put it succinctly in the following way: "As a Buddhist, I believe in the interdependence of all things, in the interrelationships throughout the entire spectrum of plant and animal life, including natural components such as mountains, valleys, rivers, sky, and sunshine."

6.7.2.3 Environment and Jainism

The notion of refraining from preventable activities that are damaging to oneself or others is highly valued in Jainism. The essential pillar of the Jain way of life is ahimsa (nonviolence), a concept that is clearly associated with realism, common sense, personal value, and responsibility. Environmental harmony through spirituality should be pursued by all, according to the Jains. This can be accomplished by following three principles: correct belief, correct knowledge, and correct behaviour. Everyone should be kind to all living things, compassionate to the weak, tolerant of the insolent, and happy for the good. This is how the Jain approach to environmental harmony works.

6.7.2.4 Environment and Sikhism

Nature was given divine traits by Guru Nanak, the founder of the Sikh religion. People should respect God's creations and understand the ultimate truth about their place in the cosmos, according to Sikhism. The human race is an inseparable part of nature, bound by inextricable ties to the rest of creation. God's glory is revealed in nature and the environment, according to the Guru Granth Sahib. Sikhs believe that the Almighty God created the universe. For the universe to continue, there must be a balance between all of nature's constituents. Any disturbance in the balance results in distress and calamity.

Many stories about the gurus' love and particular interaction with the natural environment, including animals, birds, flora, the land, rivers, mountains, and the sky, can be found in their history. As a result, Sikhism teaches that the natural environment and the survival of all living things are inextricably intertwined in nature's rhythm.

Many stories about the gurus' love and particular interaction with the natural environment - with animals, birds, flora, earth, rivers, mountains, and the sky - can be found in their history.

6.7.2.5 Environment and Christianity

According to Christianity, there is a harmonious triadic relationship between the divine and mankind, as well as between humans and nature, and failing to maintain this harmony may cause humanity to be alienated from its creator as well as from nature. "I am the Alpha and the Omega, the first and the last, the beginning and the end," the Lord declared. As a result, He has a divine hand in every aspect of creation, and no human creature has the absolute authority to destroy it. "All human endeavour in the world must consequently lead to mutual enrichment of man and creatures," remarked Rev. Father Lanfranco Serrihi (Minister General, Order Friars Minor Conventual, Rome).

In his message to the United Nations Conference on Human Environment in Stockholm in 1972, Pope John Paul VI stated that the environment and resources belong to everyone: they are inalienable property of everyone, and there is no discretionary sovereignty over this universal prosperity exempting from responsibility towards humanity today and tomorrow. ¹² This message from Pope John Paul VI makes it abundantly obvious that Christianity and the environment are inextricably linked, and the emphasis is on sustainable development. As a result, the fundamental spirit of Christianity, which is to keep the environment in ideal shape, is heavily emphasised.

6.7.3 Environment and Indian Culture

India's cultural heritage has a strong commitment to environmental protection and preservation. The earth was regarded as 'Mother' in Indian culture. Lokamata describes rivers. India is a country steeped with rites and traditions. For the survival of life on Earth, Indians have defined the necessity to protect and enhance natural ecological balances through sacred incarnations and systematised rituals. Because almost all of the world's main religions are represented on Indian land, and their religions, in turn, recognised mankind's proximity to nature, they regulated mankind's behaviour in a way that was environmentally friendly.

Indian culture demonstrates an ecological shift toward peace. All aspects of nature

and humans are at peace, and there is harmony between them. The culture lessons were applied on two levels by the Indians. The first is at the level of society's relationship with nature, and the second is at the level of people inside society. Ecocultural socialisation was practised in Indian society. The second lesson was about sustainability and renewable energy. It is founded on the understanding that food comes from the forest, not from man-made towns; food comes from the fields, not from factories. As a result, 'environmentalism' is an integral component of Indian culture.

6.8 ENVIRONMENTAL COMMUNICATION AND PUBLIC AWARENESS

The mass media is a medium that is frequently used to provide information to the general audience. It's also viewed as a technique for influencing public opinion on topics or organisations. The capacity to grasp the surrounding world, including all environmental changes, cause-and-effect linkages between environmental quality and human behaviour, and a sense of responsibility for maintaining them, is referred to as public awareness of the environment. Environmental education plays an important role in raising healthy consciousness and establishing a conducive atmosphere for the growth and preservation of human brains. Environmental education encompasses both formal and informal education and training that improves people's capacity to engage in environmental management and the resolution of environmental crises and issues. This might be accomplished through raising awareness and altering people's attitudes about the environment. We require awareness in our actions, as well as ethical principles, in order to maintain and conserve the environment and improve human life quality.

Citizens influencing political decision-making via action are known as public involvement. Demonstrations, protest gatherings, letters to the editor of publications and to politicians, as well as the distribution of information through flyers, newsletters, and the media, might be used to carry out this activity. Participating in consultation sessions with local governments and working groups formulating laws are examples. Finally, individuals might demonstrate actual instances of alternative behaviour and practises, such as recycling and low-impact agriculture approaches. In the

context of the environment, these activities are intended to influence public policy on issues such as water and air pollution, endangered species protection, and the negative consequences of natural resource extraction. These efforts may push politicians to consider public opinion, politicising environmental issues and eventually leading to the passage of laws and policies that reduce the negative environmental effects of growth. It can also compel firms and industries to adopt more environmentally friendly practises, such as reducing car emissions and industrial pollution.

Methods to create environmental awareness:

- i) .In schools and colleges
- ii) Through mass – media
- iii) Non – government organizations
- iv) Audio - Visual media
- v) Voluntary organizations
- vi) Traditional techniques
- vii) Cinema
- viii) Newspapers
- ix) Arranging competitions

6.8.1 Compressed Natural Gas (CNG) Vehicles in Delhi:

In 1998, three years after a lawyer filed his complaint and as a direct result of it, the Supreme Court issued a Directive setting April 2001 as the deadline for replacing or converting all buses, three-wheelers, and taxis to compressed natural gas (CNG). In addition, the Directive mandated the construction of a 70-station CNG refuelling infrastructure as well as financial incentives for fleet conversions. The National Capital Region of Delhi established a Commission in January 1998 to investigate, produce, and publish a report on the city's air pollution problem. This Commission included CSE as a member.

The government was required by the Supreme Court in 1999 to implement the EUR II standard for gasoline engines by the year 2000 for all new automobile sales. The Court ordered sulphur levels below 30 ppm, as well as particle filters for diesel engines, in response to the diesel vehicle marketing. This reignited the debate about CNG. Cleaner diesel was now available, and the car industry and the Delhi government

argued against CNG using scientific evidence.

In reality, the government and the automobile industry were battling diesel's negative reputation. The question of equal rights between public transportation and private automobiles was also at risk. The government had traditionally preferred diesel as a fuel. It was subsidised at first, then taxed less than gasoline. Despite the Supreme Court's decision from 1998, the government nonetheless permitted 6,000 new diesel buses to enter service in 2000. By April 2001, the initial date, nothing had been accomplished in fulfilling the Supreme Court Directive of 1998.

The automobile industry was opposed to CNG, primarily because any local legislation would threaten worldwide mass manufacturing. It continues to fight for the Supreme Court order to be repealed. Finally, in April 2002, the Supreme Court issued a direction imposing a penalty on the government for wasting the court's time, as well as a daily penalty of 1,000 Rupee per day (about 20 US\$) for each diesel bus still in use. One of the projects was to switch to compressed natural gas for public transportation, which has been in use in Delhi since April 2001. Compressed Natural Gas was found in roughly 2200 buses, 25,000 three-wheelers, 6000 taxis, and 10,000 automobiles in Delhi. More than half of the cars, however, have not yet been converted to compressed natural gas.

According to a study conducted by the World Wide Fund for Nature (WWF) and E3G, the government earned recognition for drafting one of the top 12 best policies in the world once it began preparing a comprehensive action plan by passing the necessary legislation and establishing the infrastructure required for such a transition.

Due to a lack of cooperation from other government agencies in Delhi, the Indian Supreme Court's decision to switch to CNG was difficult to implement and took considerably longer than it should have. But, in the end, all diesel buses were phased out, and air quality improved. However, daily ambient air quality statistics from Delhi's busiest crossing from June 1999 to September 2003 show no overall increase in ambient quality due to point sources of pollution that contribute to SO₂ and mobile sources that contribute to NO₂ concentrations. After the conversion, NO₂ levels increased, but SPM and PM-10 levels decreased very little; CO levels decreased significantly.

CHECK YOUR PROGRESS

Ques. 1 Answer the following Short Answer Questions:

- i. The movement, which was started to safeguard Himalayan forests from destruction before independence, has its origins in the pre-independence era.
- ii. An earthquake is a sudden ground disturbance caused by the abrupt displacement of, generally in the top.....km of the earth's crust.
- iii. State whether the statement is true or false. Give the correct answer in case of a wrong statement

The Ministry of Youth Welfare and Sports supports the development and stabilisation of Self Help Groups (SHGs) as well as awareness campaigns among rural and urban women.

- iv. Match the following Richter Scales (Column A) with the severity of the Earthquakes (Column B)

Richter Scales (Column A)	Severity of the Earthquakes (Column B)
More than 8	Insignificant
5 - 5.9	Great
Less than 4	Destructive
6 - 6.9	Damaging

- v. The major Women Welfare programmes introduced in India are:
 - a. Development of women and children in Rural Areas (DWCRA):
 - b. Child Development Services Scheme (CDS)
 - c. Swarnajayanti Rozgar Yojna (SRY)
 - d. All of the above

6.9 SUMMARY

In this unit, effort had been made to understand the concept of human population and the impact of its growth on the environment. It has been observed that:

- Our planet's ability to support population expansion is far outstripping its ability to support it. Overcrowding, deforestation, and water pollution, as well as eutrophication and global warming, are all linked to overpopulation.

- To promote the objective of sanitation and hygiene in India, the government of India launched the Swachh Bharat Mission on October 2, 2014 with an objective of making India Open defecation Free by October 2, 2019.
- The development of various river valley projects has caused a large scale displacement of various people from their ancestral homes and other socio-economic consequences.
- Similarly development of Mining sites and creation of National Parks also inhibit the prospects of the tribal people to dwell in areas which are otherwise considered important from the point of view of protection of natural resources.
- The major natural disasters like earthquakes, floods, cyclones, landslide, etc potentially cause damage to the human population as well as the Environment and so appropriate Disaster Management strategies ought to be applied so as to mitigate the damage caused by them.
- Historically, various environmental and ecological movements had been carried out to promote the cause of environmental protection and conservation. Chipko movement and Silent Valley were some of the popular movements that aided the objective.
- Apart from the effect of ecological movements on environmental protection, various religions and cultures like the Indian culture have had a significant impact on environment protection.
- Various religions like Hinduism, Sikhism, Buddhism, Jainism and Christianity have always upheld the objective of environment protection in relation to the use of resources for community development.
- Conclusively, it has been realized that it is indeed very important to spread more awareness about the environment.
- Educating people and masses about the need to protect and conserve the environment is becoming increasingly important, especially in the wake of increasing incidence of accidents and disasters that harm the environment as well as the human communities.

6.10 QUESTIONS FOR PRATICE

Ques. 1 Highlight the main issues and concerns of the Environment Movements in India?

Ques. 2 How far have the religions and cultures contributed positively in protecting the Environment?

Ques. 3 Highlight the extent of displacement caused to the tribal communities in an attempt to develop resources for development of the country. Mention two important case studies to support your answer.

Ques. 4 In your opinion, how are the environmental and ecological rights related to democracy and development in India? Explain.

Ques. 5 Using reference from the case of CNG vehicles in Delhi, discuss how and why is the need for environmental education and public awareness so critical to the objective of environmental protection in India?

6.11 SUGGESTED READINGS

- R. Rajagopalan, Environmental Studies : From Crisis to Cure, 2015
- Erach Bharucha, Textbook of Environmental Studies for Undergraduate Courses, 2021
- B.S. Chauhan, Environmental Studies, 2008
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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: ENVIRONMENTAL STUDIES

UNIT – 7: ROAD SAFETY AWARENESS

STRUCTURE

7.0 Learning Outcomes

7.1 Introduction

7.2 Concept And Significance Of Road Safety

7.3 Traffic Signs

7.4 Traffic Rules

7.5 Traffic Offences And Penalties

7.6 How To Obtain License

7.7 Role Of First Aid In Road Safety

7.8 Summary

7.9 Questions For Practice

7.10 Suggested Reading

7.0 LEARNING OUTCOMES

After the study of this unit, the learners will be able to:

- Understand the meaning and importance of the concept of Road safety
- Identify the important signs that are used on roads
- Develop a proper understanding of the significance of the traffic signs
- Acquire knowledge about the various traffic rules that ought to be followed on the road, to ensure safety
- Know about the various types of Traffic offences and penalties that are attached to the violation of various traffic rules
- Gather an insight on the procedure that has to be followed to obtain a licence
- Understand the critical importance and role of First aid in the field of Road Safety

7.1 INTRODUCTION

When it comes to the amount of traffic accidents, India ranks the highest. However, there has been progress in this area in recent years. The traffic conditions are under a lot of strain due to the significant increase in the number of vehicles on the road. As a result, one of the most severe public health challenges in our country is road safety. It affects everyone, whether they drive a car, walk, or ride a bicycle.

Road safety is a multi-faceted and multi-sectoral problem. It encompasses road infrastructure construction and management, the provision of safer cars, legislation and law enforcement, mobility planning, health and hospital services, child safety, and urban land use planning, among other things. In other words, its scope includes road and vehicle engineering on the one hand, and health and hospital services for trauma cases (in a post-crash scenario) on the other. The government and a variety of civil society stakeholders share a multi-dimensional responsibility for road safety.

In order for road safety initiatives to be successful in all nations, they must have widespread support and coordinated effort from all stakeholders. The United Nations General Assembly has designated 2011-2020 as the Decade of Action for Road Safety, with an aim of halving road accident mortality by half over that time period, acknowledging the devastating impact of road accidents on global health. Every year, over 1.2 million people die and 50 million are injured in traffic accidents around the world, costing the global economy 1.2 trillion dollars. Road traffic injuries are anticipated to become the fifth biggest cause of mortality in the world by 2030, according to the World Health Organization, unless coordinated action is taken.

7.2 CONCEPT AND SIGNIFICANCE OF ROAD SAFETY

Road safety means to safely drive on road to ensure that there is no harm or the driver of the vehicle does not cause any harm to any other vehicle moving nearby it. In other words we can say that road safety means to reduce accident causes on the road for proper driving.

Imparting Road Safety Education to Road users specially the vulnerable ones is a high priority area. Prosecuting the errant and undisciplined road users through focused

and concentrated enforcement action and improving the standard of safety on roads remains our priority. To familiarise the people how to remain safe on roads and to respect the rights of others, a small guide to road safety has been compiled for the benefit of the road users, such as the car drivers, the commercial vehicle drivers, the two wheeler riders, the pedestrians etc.

It contains useful information on road safety, which teaches the citizens the safe and secure use of roads.

In the ancient times, there was no transport system. With the passage of time human beings tamed animals and used them as mode of transportation. Invention of wheel marked the turning point in human civilization. Carriages that could carry three -four passengers, driven by animals, came into usage. In the 16th century invention of automatic mechanism and vehicles helped people travel from one place to another faster. The world's first car was invented in 1769 by Nicholas Joseph Cugnot. After that, there was no turning back, vehicles of different shapes and sizes began to be developed and introduced. All this brought with them a new threat to human life i.e. roadside accident. Ways and means were introduced for safety and smoothness of traffic on roads. Several rules were introduced to make the road safe and reduce the number of accidents. Even Manusmriti and Kautilya's Arthashastra contains road rules and regulations in great detail.

The rules have been modified from time to time, keeping in view the local needs and requirements. New regulations have been laid down for different categories of road users.

As wheel got invented in the Mesopotamian Civilization, our own civilization was set to motion, for it wheeled our imagination. In 1645 a sort of cycle was invented by Jean Theson but it had no brakes, pedal for steering and needed feet motion. Laufmaschine cycle was then created by Karl Von (1817). Soon this was made into the regal Dandy Horse by Dennis Johnson. In 1839 the proper cycle was shaped by K. Macmillan. It had iron wheels and wooden frame. The manifestation of automobile horse-power was taught in 1769 by Nicolas Joseph Cugnot, who invented the first 'Steam Truck' which the French army thought was useful.

Then after, automobiles enveloped our life and culture. But the notion called “accident” endangered our future. The first accident of the Steam Truck in 1771 was the eye opener. During 1899 the first fatal accident took place with the death of a driver. Then onward, the world coined several road safety measures. Still today, 12 lakh people are killed and 50 millions get seriously injured all over the world every year. This accident menace makes our citizens an endangered species of the future. So we must follow the road safety culture and be cautious about traffic rules. Today’s informed child can only ensure a safe future.

India has the second largest road network in the world with over 3 million km of roads of which 60% are paved. These roads make a vital contribution to the India’s economy. On the whole the facilities for the road users are not up to the mark leading to a high toll of death victims.

7.2.1 Brief History

7.2.1.1 The First Accident: In 1771 the first accident involving a motor vehicle took place in Paris when Cugnot’s steam tractor hit a low wall in the grounds of the Paris arsenal.

7.2.1.2 The First Act: The Locomotive and Highway Act was the first piece of British motoring legislation. This was also known as the Red flag act of 1865. The act required three persons in one attendance, one to steer, one to stop and one to walk 60 yards ahead with a Red flag to warn the oncoming traffic.

7.2.1.3 First man to be challenged: In 1895, John Henry Knight was convicted and fined for using a motor tricycle on the highway. He was probably the first motorist to appear in court.

7.2.1.4 First fatal car accident: The first motor car accident in Britain resulting in the death of the driver occurred in Grive Hill, Harrow-on-the Hill, London on 25th February 1899.

7.2.1.5 Dusty Road to Tar surface: In 1902 Tar was first used on a macadam surface to prevent dust in Monte Carlo. It was the idea of Dr. Guglieminetti, a Swiss. At first Tar was brushed on cold, but soon it was applied hot.

7.2.1.6 The First number plate of London: The Motor car Act of Britain came into force on 1st January 1904. It required that all cars be registered and carry a number plate, and all motorists to have a driving licence. But there was no driving test to pass and the licence was obtained by filling up a form and paying the fee at a post office. The act made dangerous driving an indictable offence.

7.2.1.7 The First petrol pump: The first petrol pump was installed in USA in 1906.

7.2.1.8 The First traffic light of the world: The world's first traffic lights were installed in Detroit, USA in 1919. The first traffic lights in Britain were installed in Wolverhampton during 1928. However they did not come to London till 1932.

7.2.1.9 Pedestrian crossing: the pedestrian crossing was instituted in Britain in 1934. The roads were marked by dotted lines. On the pavements there were striped Belisha beacon light poles named after Britain's minister of transport L.Hore-Belisha. The zebra crossing with black and white stripes was developed after the Second World War.

7.2.1.10 First Traffic police woman: Police women were employed for traffic control duties for the first time in Paris, in 1964. In Delhi we introduced women traffic police in 1989.

7.2.1.11 First box junction: Box junctions, marked with yellow cross-hatching were introduced in London during 1964. The aim was to prevent traffic blocking junctions when it could not proceed and this was successful.

7.2.2 Basic Principles of Road Side Safety

7.2.2.1 Respect traffic rules/regulations and signs/symbols: As a road user our act should be governed by an inborn, will to be safe and let others be safe on roads. This would come only when we respect the traffic rules and regulations. We must look out for road signs and symbols and follow them.

7.2.2.2 Maintain cool even when in adverse situations: We might be burdened with an unending number of problems at the home or office, but we must keep them aside before we venture on the roads. It is important to keep ourselves fresh and cool.

7.2.2.3 Care and concern for others: We must keep in mind that we are not the sole

owner of roads and others have similar rights on it. It should be remembered that road is not a place to show anger. Prevention of accidents should be a major concern of road users.

7.2.2.4 We must be prepared for or any kind of eventuality: The drivers and pedestrians may behave in an unpredictable manner. As a road user we should judge the situation correctly and act accordingly.

7.2.3 Need for Road Safety

Modern metropolitan living is getting more and more associated with traffic hazards. This can be attributed to complex and complicated road structures as well as increasing human and vehicular population. Enhanced life style and increase in the number of privately owned vehicles especially two wheelers have made traveling on roads the most dangerous tasks to be undertaken. Globalisation, free market economy and free trade policies have had a direct impact on the increase of automobiles on roads, which in turn have led to vehicular congestion. Though the number of vehicles increased, the length and breadth of roads remain static. The only way left with the authorities to cope up with the problem was to make improvisation on the already existing structures. All such hi-tech construction works involved engineering scale of a higher order and traversing on them requires driving skills of the higher order, which only a few road users have. Though this has eased congestion, chances of accidents have increased, and in maximum cases, accidents occurred because of human folly. Free flow of traffic has resulted in increase in speed of vehicles, which in turn has resulted in maximum number of accidents on flyovers because of driver's inability or incompetence to manipulate the speed properly. Most of the drivers lack intuitive judgement and defensive driving skills, the necessary qualities that a driver must possess.

Most of the road users are unaware of road realities and are ignorant about road signs and markings. They have the least hint of things to come by the way they behave. Some such callous behaviour includes improper parking, improper maintenance of vehicle which results in both air and noise pollution causing inconvenience to others, over speeding, rash driving, crossing the road at wrong places, and many more. Any one such act on the part of any one road user may be the cause of chaos and confusion on roads.

And most of the people are either blind or inconsiderate about this and do things according to their whims. In face of all these, road safety education has become an essential aspect of road management. Making people aware of the road situations and giving them precautionary tips would be of great help to redeem the situation.

An ideal road safety education program should be able to:

1. Inculcate a sense of road discipline in the mind of every road user
2. Develop a wilful respect for road rules
3. Help a road user tide over any adverse situation on roads
4. Instil in the minds of road users a sense of fellow feeling.

7.2.4 Specific Road Awareness Programmes

Specific Road awareness programs can be undertaken regarding:

1. Knowledge of road rules
2. An understanding of why road rules are broken and why doing so is dangerous
3. Enrolling students in Road Safety Patrol so that they get a feel of the road and its rules.

7.2.5 Correct Road Attitude Programmes

An understanding that orderliness on roads has nothing to do with low traffic density (many nations like Japan have high density of traffic yet road rules are scrupulously followed). It is important and worthwhile to wait for your turn, on the roads. Rules have to be followed in letter and spirit. Road users have to understand the value of 'Live and Let Live' rather than 'Live and Let Die'!

The art of time management is vital while taking to the roads. Much of the stress is due to having insufficient time to reach the intended destination, which is compounded by the confusion on the roads.

7.2.6 Programmes for Creating Integrated Minds and Sound Value Systems

Specific programs to develop self awareness, self confidence, collective consciousness, critical reasoning, distinguishing right from wrong, a sound value system that steers clear of superficial material values and false sense of worth must

be evolved. Through curricular and co-curricular activities, efforts should be made to inculcate a strong moral and ethical base, a sense of social responsibility, a belief that individual goals are not different from social goals and deep rooted social sensitivity.

7.3 TRAFFIC SIGNS

Traffic signs are very helpful, as they give important information. The proper knowledge of road signs is essential to avoid the risk of accidents. Road signs, markings, traffic signals and other traffic devices are there to guide the road users and hence are the languages of the road. Every road user whether a pedestrian, two wheeler rider, driver of four wheeled vehicle should have knowledge regarding these traffic controlling devices and should be aware of what they signify. Traffic signs are there to regulate traffic, warn about hazards and to guide the road user.

There are three types of traffic signs:

- i. **Mandatory:** Mandatory road signs are the ones that give order regarding do's and don'ts and are to be followed strictly.
- ii. **Cautionary:** Cautionary road signs are the ones that warn the road users regarding the road situation ahead. Cautionary signs are generally in triangular shape.
- iii. **Informatory:** Informatory road signs are the ones that give information regarding directions, destinations etc. Informatory signs are generally rectangular in shape.

7.3.1 Mandatory Signs

1. Straight Prohibited or No Entry

These signs are located at places where the vehicles are not allowed to enter. It is generally erected at the end of one way road to prohibit traffic entering the Roadway in the wrong direction and also to each intersection along the one way road.

2. One Way Sign



These signs are located at the entry to the one-way street and repeated at intermediate intersections on that street.

3. Vehicles Prohibited In Both

Directions:

This sign is used at the approach and off the roads where entry to all types of vehicular traffic is prohibited, especially in areas which have been designed as pedestrian malls.

4. Horn Prohibited:

This sign is used on stretches of the road where sounding of horn is not allowed, near hospitals and in silence zones.

5. Pedestrian Prohibited:

This sign is erected on each entry to the road where pedestrians are to be prohibited.

6. Cycle Prohibited:

This sign is erected on each entry to the road where cycles are to be prohibited.

7. U-Turn Prohibited:

This sign is used at places where vehicles are forbidden to make a turn to the reverse direction of travel between the sign and the next intersection beyond it.

8. Overtaking Prohibited:

This sign is erected at the beginning of such sections of highways where sight distance is restricted and overtaking will be dangerous.

9. Right/Left Turn Prohibited:

These signs are used at places where vehicles are not allowed to make a turn to the right or left. The signs are also used at the intersection of one-way street to supplement the one-way sign.

10. All Motor Vehicles Prohibited:

This sign is used at places where entry to all types of motor vehicles is prohibited.

11. Trucks Prohibited:

This sign is used at the entrance to the road where movement of trucks is prohibited.

 Straight prohibited or No entry	 One way signs Vehicles prohibited in one direction	 Vehicles prohibited in both directions	 No right turn	 No left turn	
 No U-turns	 All motor vehicles prohibited	 Trucks prohibited	 Bullock carts and hand carts prohibited	 Bullock carts prohibited	 Tongas prohibited
 Handcarts prohibited	 Cycle prohibited	 Pedestrians prohibited	 Overtaking prohibited	 Horn prohibited	 No parking
 No stopping or standing	 Speed limit	 Width limit	 Height limit	 Length limit	 Load limit
 Axle load limit	 Compulsory bus stop	 No entry of vehicles	 Restriction ends sign	 Compulsory cycle track	 Compulsory sound horn
 Compulsory Ahead only	 Compulsory Turn left ahead (right if needed is reversed)	 Pass either side	 Compulsory Turn left (right if needed is reversed)	 Compulsory Ahead Or Turn Left	 Compulsory Keep left (right if needed is reversed)
 Stop	 Give way	 One way traffic	 Temporary 'Stop' sign	 Small roundabout (give way to vehicles from the right)	 Compulsory Ahead Or Turn Right

12. Hand Cart Prohibited:

This sign is erected on each entry to the road where hand carts are to be prohibited.

13. Bullock Cart Prohibited:

This sign is erected on each entry to the road where bullock carts are to be prohibited.

14. Tonga Prohibited:

This sign is erected on each entry to the road where tongas are to be prohibited.

15. No Parking:

This sign is erected where parking is not allowed but vehicles can stop for short duration to allow passengers to get into or get out of the vehicle. The sign should be accompanied by suitable kerb or carriageway markings.

16. No Parking Or Standing:

This sign is erected where vehicles are prohibited to stop even temporarily.

17. Speed Limit:

This sign is erected at the beginning of the section of the road or area covered by a speedrestriction, with numerals indicating the speed limit in km per hour.

18. Width Limit:

This sign it is used where entry of vehicles exceeding a particular width is prohibited.

19. Height Limit:

This sign is erected in advance of an overhead structure where entry is prohibited for vehicleswhose height exceeds a certain limit.

20. Length Limit:

This sign it is used where entry of vehicles exceeding a particular length is prohibited.

21. Load Limit:

This sign is used where entry of vehicles is prohibited for vehicles whose laden weight exceeds a certain limit.

22. Axle Limit:

This sign is used where entry of vehicles is prohibited for vehicles whose axle load exceeds a certain limit.

23. Stop Sign :

This sign is used on roadways where traffic is required to stop before entering a major Road. The vehicle shall proceed past the stop line only after ascertaining that this will not cause any damage to traffic on the main road.

24. Give Way Sign:

This sign is used to assign right -of- way to Traffic on certain roadways and intersections, the intention being that the vehicles controlled by the sign must give way to the other traffichaving the right-of-way.

25. Restriction Ends Sign:

This sign indicates the point at which all prohibitions notified by prohibitory signs for moving of vehicles cease to apply.

26. Compulsory Turn Left/Right:

These signs indicate the appropriate direction in which the vehicles are permitted to proceed Compulsory Ahead Or Turn Left /Right :

These signs indicate the appropriate directions in which the vehicles are permitted to proceed. Vehicles are supposed to move either of the given to directions.

27. Compulsory Ahead:

This sign indicates that the vehicle is only permitted to proceed ahead.

28. Compulsory Keep Left:

This sign is most frequently used on Islands and refuges in the middle of the carriageway and at the beginning of Central reserves of dual carriageway. The vehicles are allowed to keep left only.

29. Compulsory Cycle Rickshaw Track:

This sign means only cycles and rickshaws are allowed on this road/ carriageway.

30. Compulsory Sound Horn :

This sign means the motor vehicles shall compulsorily sound horn at the location where the sign is placed. This sign is mostly put at sharp curves on hill roads.

31. Slip Road Ahead:

This sign means the vehicles can either go straight or turn left.

32. Main Road Ahead:

This sign means the vehicles can either go straight or turn right.

33. Pedestrians Only:

This sign means only pedestrians are allowed and traffic is not allowed on this road /carriageway.

34. Buses Only :

This sign means that only buses are allowed and the traffic is not allowed on this road/carriageway.

7.3.2 Cautionary Signs

1. Right/Left Hand Curve: This sign is used where the direction of alignment changes. The sign forewarns the driver to reduce the speed and proceed cautiously along the road.

2. Right /Left Hair Pin Bend: This sign is used where the change in direction is so considerable that it amounts to reversal of action. The symbol bends to right or left

depending upon the road alignment.



3. Narrow Bridge: This sign is erected on roads in advance of bridges where the clear width between the kerbs or wheel guards is less than normal width of carriageway.

4. Gap in Median: This sign is installed ahead of a gap in the median of a divided carriageway other than an intersection.

5. Narrow Road: This sign is normally found in rural areas where a sudden reduction in width of pavement causes a danger to traffic.

6. Road Widens: This sign is normally found in rural areas where a sudden widening of road causes a danger to traffic such as, a two-lane road suddenly widening to a dual carriageway.

7. Cycle Crossing: This sign is erected in advance of all uncontrolled cycle crossings.

8. Pedestrian Crossing: This sign is erected in advance of both approaches to uncontrolled pedestrian crossings.

9. School: This sign is elected where school buildings or grounds are adjacent to

the road where the traffic creates a hazard to children.

10. Men at Work: This sign is displayed only when men and machines are working on the road or adjacent to it or on overhead lines or poles. This sign is removed when the work is completed.

11. Side Road Left /Right: This sign is displayed in advance of the side road intersections where a large volume of entering traffic together with restricted sight distance is likely to constitute a hazard. The driver is warned of the existence of a junction.

12. Major Road: These signs are displayed in advance of crossing with the major road, where a sufficiently large volume of traffic together with the restricted sight is likely to cause a hazard.

13. Y-Intersection: These signs are displayed on the approach to a bifurcation of any road. This sign warns of the existence of a junction and no other indication is given.

14. T-Intersection: This sign is displayed in advance of T- junctions where the nature of intersection is not obvious of approaching traffic. This sign is used to warn the driver of the existence of a junction.

15. Roundabout: This sign is used where it is necessary to indicate the approach to a roundabout.

16. Start of Dual Carriageway: This sign is displayed when a single carriageway ends into a dual carriageway.

17. End of Dual Carriageway: This sign is displayed when a dual carriageway is ending and a single carriageway is starting.

- i. **Reduced Carriageway:** These signs caution the driver of the reduction in the width of the carriage way ahead. This is displayed on undivided carriageway as when some portion of the carriage way is closed or reduced for repair.
- ii. **Two Way Operation:** This sign is used to caution the driver of a changed pattern of traffic operation of the carriageway expected to carry traffic in one direction only.
- iii. **Cross Road:** This sign is displayed in advance of the cross road where a sufficiently large volume of crossing or entering traffic with restricted sight distance is likely to constitute a hazard.

18. Public Telephone: This sign is displayed on long stretches of road in rural areas

indicating the distance to the nearest public telephone on supplementary plate, where it is in inconspicuous position.

19. Filling Station: This sign is displayed on long stretches of roads in rural areas at the entry to the road leading to the facility.

20. Hospital: This sign is used to notify drivers of vehicles that they should take the precautions required near medical establishments and in particular that they should not make any unnecessary noise.

21. First Aid Post: This sign is used to notify drivers on long stretches of roads in rural areas of the first aid facility which may be helpful in case of emergency.

22. Eating Place: This sign is used to indicate where a regular eating place is located.

23. Resting Place: This sign is used to indicate where facilities for resting and lodging are available. It is normally combined with a separate definition plate, indicating whether the place is a Rest House, Motel, and Hotel etc.

24. Airport: This sign is installed where the Airport is situated nearby.

25. Repair Facility: This sign is installed at the places where repair facility is situated.

26. Police Station: This sign is installed at the places where the Police Station is situated nearby.

27. Railway Station: This sign is installed at the places where the Railway Station is situated nearby.

28. Bus Stop: This sign is installed at the places where buses are designated to stop.

29. Taxi Stand: This sign is installed at the places where the taxis are expected to wait when not hired.

30. Cycle Rickshaw Stand: This sign is installed at the places where cycle-rickshaws are to wait.

31. No Thorough Road: This sign is used at the entrance to a road from where there is no exit.

7.3.3 Traffic Lights

The traffic signal passes information using a universal colour code.

i. Red- To stop the traffic

Bring your vehicle to a complete halt behind the stop line cross walk. Wait until the light turns green.

ii. Amber-Caution

If you have entered the intersection and the light turn to amber, move on very carefully. If you see the amber light before entering the crossing, stop the vehicle behind the stop line or cross walk.

iii. Green-Go on

Go through the crossing carefully. You can turn in the direction of the arrow by giving an indicator.

7.3.4 Flashing Signal

A flashing red signal is provided at level crossing, airfield, fire stations, minor roads, bridges etc. It means you must come to a full stop and proceed cautiously after making a safety check on all approaching traffic.

A flashing yellow light is provided where major road meets minor roads. You must slow down and proceed with caution, giving due attention to other traffic and pedestrians.

7.3.5 Pedestrian Signals

These signals help pedestrians cross intersection safely. If we face a steady red human figure, we should not enter the road. If the signal starts flashing, we can cross the road quickly. If we are already on the road, we should stop if we are about to join the road. We must walk ahead cautiously if we face a steady green human figure.

7.4 TRAFFIC RULES

Various traffic rules have been put in force to reduce the incidents of accidents. The general road safety rules are discussed as below:

7.4.1 Negotiating an Intersection Judiciously

- Almost 50% of all city driving collisions occur at intersections.
- We must choose the left lane if we want to turn left, the middle lane if we want to go straight, and the right lane if turning right, at least 100 metres in advance.
- We must give proper indication before we turn.
- While approaching an unmanned intersection, we must cover the brake and be prepared to stop.
- We should slowdown while approaching an intersection.
- Stopping before stop line at red light is advisable.

- Even if the signal allows us to go, we must proceed slowly and cautiously

7.4.2 Negotiating a Round About

- Choose your lane as per your exit, at least 100m in advance.
- Slow down while approaching a roundabout.
- Enter the roundabout at an angle.
- Give way to Traffic on your right.
- Merge slowly with the traffic inside the roundabout.
- Move towards your exit gradually giving proper indications.
- Be watchful of a pedestrian or an animal that may suddenly appear.

7.4.3 While Overtaking

- Never overtake from left, always overtake from right.
- Show your intentions of over taking clearly to your fellow drivers.
- Give proper indications, before overtaking.
- Be watchful of a pedestrian or an animal that may suddenly appear in front of the vehicle you are overtaking.
- On roads having two- way traffic, overtake only when the oncoming vehicle is at a safe distance.

7.4.4 While Turning

- Give proper indications.
- Start changing lane only when the vehicles behind you have understood your intentions.
- Turn only when the vehicle coming from the opposite direction is at safe distance.
- The vehicle coming from the opposite direction has the right of way.
- Watch out for pedestrians as well as vehicles coming from your right side.
- Slow down while approaching the turning point.

7.4.5 Right of Way

- The children and the disabled have the right of way.
- Pedestrians have the first right of way at unmanned intersections.
- At an unmanned intersection traffic on your right has the right of way.
- At a roundabout, traffic on your right has the right of way.
- Traffic on major Road has the right of way.
- On hilly and steep roads vehicles going uphill have the right of way.

- Emergency vehicles like fire brigade, ambulance, police have the right of way.
- These vehicles, during emergency, can jump a red light, drive in non entry areas or on wrong side.
- These vehicles should be given priority and clear passage.

7.4.6 Keep Left:

The driver of a motor vehicle shall drive the vehicle as close as to the left hand side of the road as may be expedient and shall allow all the traffic which is proceeding in the direction to pass on his right hand side.

7.4.7 Turning To Left and Right:

Whether you are going to make a left or right turn, you should be in the correct lane well before reaching the intersection. You should be in the lane closest to the direction in which you are going to turn. Never turn from the wrong lane across another lane of traffic. This unexpected move can be dangerous.

7.4.8 Passing To The Right:

The driver of a motor vehicle shall pass to the right of all traffic proceeding in the same direction as himself.

7.4.9 Passing To The Left:

The driver of a motor vehicle may pass to the left of a vehicle, the driver of which having indicated an intention to turn to the right has drawn to the centre to the road and may pass on either side.

7.4.10 Overtaking Prohibited In Certain Cases :

The driver of a motor vehicle shall not pass a vehicle traveling in the same direction as himself.

7.4.11 Overtaking Not To Be Obstructed:

The driver of a motor vehicle shall not, when being overtaken or being passed by another vehicle, increase speed or do anything in any way to prevent the other vehicle from passing him.

7.4.12 Caution Road Junction:

The driver of motor vehicle shall slow down when approaching such intersection, junction at which traffic is not being regulated, if the road entered is a main road designated as such, give way to the vehicles proceeding along the road, and in any other case give way to all traffic approaching intersection on his right hand.

7.4.13 Giving Way to Traffic At Road Junction:

The driver of a motor vehicle shall, on entering a road intersection, at which traffic is not being regulated, if the road entered is a main road designated as such, give way to the vehicles proceeding along that road, and in any other case give way to all traffic approaching the intersection on his right hand.

7.4.14 Fire Service Vehicles and Ambulance to Be Given Free Passage:

Every driver shall on the approach of a fire service vehicle or of an ambulance allow free passage by drawing to the side of the road.

7.4.15 Right to Way:

The pedestrians have the right of way at uncontrolled pedestrian crossings. When any road is provided with footpath or cycle tracks specially for other traffic, except with permission of a police officer in uniform, a driver shall not drive as such on footpath or track.

7.4.16 Taking “U” Turn:

No driver shall take a “U” turn where “U” turn is specially prohibited and on busy traffic road. If a “U” turn is allowed, the driver shall show signal by hand as for a right turn, watch in the rear view when safe to do so.

7.4.17 Parking of the Vehicles:

Every driver of a motor vehicle parking on any road shall park in such a way that it does not cause or is not likely to cause danger, obstruction or undue inconvenience to other road users and if the manner of parking is indicated by any sign board or markings on the roadside, he shall park his vehicle in such manner.

7.4.18 One Way Traffic:

A driver shall not drive a motor vehicle on the roads declared ‘ONE WAY’ except in the direction specified by sign boards. Drive a vehicle in a reverse direction into a road designated ‘ONE WAY’.

7.4.19 Driving On Channelized Roads (Lane Traffic)

Where any road is marked by lanes for movement of traffic, the driver of a motor vehicle shall drive within the lane and change the lane only after giving proper signal.

7.4.20 Stop Sign on Road Surface:

When any line is painted on or inlaid in to the surface of any road at the approach to the road junction or to a pedestrian crossing or otherwise, no driver shall drive a motor vehicle so that any part of thereof projects beyond that line at any time when a signal

to stop is being given by a police officer or by means of traffic control light or by display of any traffic sign.

7.4.21 Towing:

No vehicle other than a mechanically disabled motor vehicle or incompletely assessed motor vehicle, a registered trailer for a sidecar, shall be drawn or towed by any other motor vehicle, except for the purpose of delivery and to the nearest filling station or garage.

7.4.22 Use of Horns and Silence Zones:

A driver of a vehicle shall not:

1. Sound a horn needlessly or continuously or more than necessary to ensure safety.
2. Sound the horn in silence zones.

7.4.23 Traffic Sign and Traffic Police:

A driver of a vehicle and every other person using the road shall obey every direction given whether by signal or otherwise a police officer, or by notice, Traffic sign or signal fixed or operated.

7.4.24 Distance from Vehicles in Front:

A driver of a motor vehicle moving behind another vehicle shall keep at a sufficient distance from that other vehicle to avoid collision if the vehicle in front should suddenly slow down or stop.

7.4.25 Abrupt Brake:

No driver of a vehicle shall apply break abruptly unless it is necessary to do so for safety reasons.

7.4.26 Vehicles Going Uphill To Be Given Precedence:

On mountain roads and steep roads, the driver of a motor vehicle traveling down hill shall give precedence to vehicle going uphill wherever the road is not sufficiently wide to allow the vehicle to pass each other freely without danger, and stop the vehicle to the side of the road in order to allow any vehicle proceed in uphill to pass.

7.4.27 Obstruction of Driver:

A driver of a motor vehicle shall not allow any person to stand or anything to be placed in such manner or position as to hamper his control of the vehicle.

7.4.28 Speed To Be Restricted:

The driver of a motor vehicle shall, when passing or meeting procession or a body of

troops or police on the march or when passing workmen engaged on road repairs, drive at a speed not exceeding 25 kilometre an hour.

Speed is a relative term. You must aim at a good average speed of travel. Over speeding with reference to a driver control, circumstances and violation of law is dangerous. Speeding with negligence is the direct cause of most road accidents leading to injury and death. Driving at a high speed does not give you sufficient reaction time to observe hazards. Other Road users too, get less time to react. The higher the speed, the greater the stopping distance and larger the chances of an accident. So make sure and drive within the stipulated speed limits. However, speed limit does not mean that it is safe to drive at that speed.

7.4.29 Always drive keeping the following conditions in mind:

- Condition of the road
- Traffic
- Weather and vision
- Type of vehicle
- Restricted areas
- Your own skills and concentration

7.4. 30 Driving Of Tractors and Goods Vehicles:

A driver when driving a tractor shall not carry or allow any person to be carried on tractor. A driver of goods carriage shall not carry more numbers of persons than that is mentioned in the registration certificate and shall not carry passengers for fare.

7.4.31 Projection of loads:

No person shall drive in any public place any motor vehicle which is loaded in a manner likely to cause danger to any person in such a manner that the load or any part thereof of anything extends laterally beyond the body or to the rear or in height beyond the permissible limit.

7.4.32 Restriction to Carriage Of Dangerous Substances:

Except for the fuel and lubricants necessary for the use of the vehicle, no explosive highly inflammable or otherwise dangerous substance, shall be carried on any public service vehicle.

7.4.33 Restriction on Driving Backwards:

No driver of a motor vehicle shall cause the vehicle to be driven backward without first

satisfying himself that he will not hereby cause danger or undue inconvenience to any person or in any circumstances, of any greater distance or period of time than maybe reasonably necessary in order to turn the vehicle round.

7.4.34 Production of Documents:

A person driving a vehicle shall always carry with him his driving licence, certificate of restoration, certificates of taxation and certificate of insurance of the vehicle and in case of transport vehicle the permit and fitness certificate, also, shall on demand by police officer in uniform or any officer of the Motor Vehicles Department in uniform or any other officer authorised by the government, produce the document for inspection.

7.4.35 Driving in dangerous conditions:

Driving at Night

- Be alert: pedestrians, bicycles, animals and hand drawn vehicles that travel without light are difficult to see.
- Drive at a slow speed to get a safe reaction and stoppage time.
- Turn on the headlights when darkness falls.
- Drive with dipped headlights in places where the roads are amply lit.
- Keep your windscreen clean because dirty windscreen can impair your vision.
- The headlights clear and clean and check them frequently. Also carry spare bulbs.
- Avoid looking to the dazzling light if an oncoming vehicle is driving in high beam and gradually slow down your speed.
- To reduce the glare of lights following you, switch your interior rear view mirror to the night position or slightly tilt it or tilt the exterior rear view mirrors.
- Before overtaking ensure that the oncoming vehicle is at a safe distance.

Driving in rain

- Check the working of wipers, windscreen washing fluid system, all vehicle lights, tyres, exhaust pipe.
- Be careful and reduce your speed as people may run across the roads in panic.
- Keep slow or away from water logged areas as water may enter the carburetor, ignition, muffler or distributor causing the vehicle to stop.
- Be considerate of other road users, avoid splashing of water.
- On slippery roads drive carefully and slowly. In case the vehicle slips, stop acceleration and press the clutch, hold the steering in a straight position

and do not break. Wait till you regain the grip.

Driving in foggy conditions

- Drive slow but not so slow that it becomes a hazard to others.
- Distances are hard to judge and low visibility decreases your reaction time.
- Give yourself extra time to respond to any road hazards.
- Do not hit your breaks in panic, you may get hit from the back.
- Turn on your wipers and defroster and turn off the music.
- Drive with dipped headlights, high beams produce too much glare in fog.
- Use the central verge of the road to guide you.
- Never attempt overtaking.
- Honk your horns periodically to let other drivers know you are there.

Don't Drive When Drunk

- Alcohol slows down the mental process.
- It increases confidence but decreases performance.
- It affects brains ability to control and coordinate body movements.
- It slows down the reflex and hence the reaction time increases.
- It impairs vision and hearing.
- It impairs the ability to judge speed and distance.

Seatbelt Saves

- Seat belt saves life and reduces the severity of injuries.
- With belt tied around, become a part of the vehicle, rather than a loose object that can be tossed around inside in a crash or thrown outside.
- If you are thrown out of a vehicle in a crash, your chances of being killed are 25 times greater than if you stay inside.
- If your vehicle goes out of control, with your seatbelt on you may be able to regain control. Without it, you may not even be able to stay in the driver's seat.

7.4.4 Coexisting Peacefully On Road

7.4.4.1 When confronted by an aggressive driver

- Avoid eye contact.
- Stay calm and relaxed.
- Make every attempt to get out of the way safely.

- Avoid confrontation.
- Do not take other driver's behaviour personally, he might have some reasons to drive erratically.
- If you feel you are being followed too closely, signal and pull over to allow the other driver to go by.
- Ignore harassing gestures and name calling, and do not return them.

7.4.4.2 Avoid becoming an aggressive driver

- Allow enough travel time to reach the destination on schedule.
- Alter your schedule to avoid driving during peak congestion periods.
- Do not drive when you are angry, upset or overly tired.
- Make your vehicle comfortable and avoid situations that raise your anxiety.
- Do not make gestures that may offend others.
- Remember, driving is not a contest. Hence, forget about winning.
- Do not follow too closely. Allow at least a 3 second space between the vehicle ahead.
- If you commit any driving error, apologize by simply waving your hand.
- Give others the benefit of doubt; be polite, courteous and forgiving.
- When driving, relax and remain aware of your posture. Sit back in your seat and losing your grip on the steering wheel.

7.4.5 How to React in Case of an Accident

- Always carry a basic emergency kit in your vehicle, containing flares and first aid supplies.
- If involved in a crash you must stop, regardless of the extent of damage.
- It is a criminal offence to leave the scene of an accident involving a fatality or a personal injury.
- Exchange information with other drivers involved. Give your name, address, etc. to the other drivers and police on the scene.
- If a parked vehicle or property other than a vehicle is damaged or if a domestic animal is injured, try to locate the owner or notify the police.
- Do not stop at an accident scene unless you are involved or emergency help is needed. Otherwise, keep your attention on driving and the directions given by traffic police.

- Shift the injured immediately to the hospital in any vehicle available.

7.5 TRAFFIC OFFENCES AND PENALTIES

Indian Road rules, titled “Rules Of The Road Regulation”, were brought into effect since July 1989. These rules are germane to the Indian drivers (all inclusive of 2, 3 and 4 wheelers), while on the road to ensure an orderly traffic and a safer journey. Violation of these rules is a punishable transgression as per the city specific traffic police rules of the “Motor Vehicles Act”.

Enforcement of these traffic laws, rules regulations and acts can bear out the road accidents. These laws are enforced by issuing “challans” in the name of the offenders and teaching them a lesson by making them pay penalties.

The rules and fines were last revised a few months back and have gotten more stringent than ever before. Basically, there has been a steep increase in the punishments both in monetary and imprisonment terms.

For example, in case you are caught driving without a valid insurance for your motor vehicle, the earlier penalty of Rs 1,000 and/or imprisonment of up to 3 months has been changed to a fine of Rs 2,000 and/or imprisonment of up to 3 months for the first-time offence. Subsequently, the punishment is increased to a fine of Rs 4,000 and/or imprisonment of 3 months. A similar increase in severity has been witnessed even with other penalties as per the new Traffic Rules and Fines for violating them. Here is a table of all the required details:

Offence	New Penalty (From September 2019)	Old Penalty
General Offence	First-Time- Rs.500 Second-Time- Rs.1,500	First-Time- Rs.100 Second Time – Rs 300
Road Rules Violation	Rs.500 to Rs.1,000	Nil
Travel without ticket	Rs.500	Rs.200
Disobeying orders of Authorities/Refusing to Share Demanded Information	Rs.2,000	Rs.500
Driving an Unauthorized	Rs.5,000	Rs.1,000

Vehicle without License		
Driving Without License	Rs.5,000	Rs.500
Driving With Disqualified License	Rs.10,000	Rs.500
Over speeding	Light Motor Vehicle: Rs. 1000 to Rs 2000	Rs 400
Medium Passenger or Goods Vehicle	Rs.2,000 to Rs.4,000 and impounding of DL for the Subsequent or Second-Time Offence	Rs.400
Rash Driving	First-Time Offence: Imprisonment of 6 Months to 1 Year and/or Fine of Rs.1,000 to Rs.5,000 Second-Time Offence: Imprisonment of up to 2 years and/or Fine up to Rs.10,000	Nil
Driving Under Influence of Alcohol or Intoxicating Substance	First-Time Offence: Rs.10,000 and/or Imprisonment of up to 6 months. Second-Time Offence: Rs.15,000 and/or Imprisonment of up to 2 years	Rs.2,000
Driving Oversized Vehicles without permission	Rs.5,000	Nil
Driving When Mentally/Physically Unfit	First-Time Offence: Rs.1,000 Second-Time Offence: Rs.2,000	First Time Offence: Rs.200 Second Time Offence : Rs.500
Accident Related Offences	First-Time Offence: Rs.5,000 and/or Imprisonment of up to 6 months Second-Time Offence:	Nil
	Rs.10,000 and/or Imprisonment of up to 1 Year	
Driving Uninsured Vehicle (without valid Insurance)	First-Time Offence: Rs.2,000 and/or Imprisonment of up to 3 months Second-Time Offence: Rs.4,000 and/or Imprisonment of up to 3 months	Rs.1,000 and/or Imprisonment of up to 3 months

Racing and Speed-testing	First-Time Offence: Rs.5,000 and/or Imprisonment of up to 3 months Second-Time Offence: Rs.10,000 and/or Imprisonment of up to 1 year	Rs 500
Vehicle Without Permit	Rs.10,000 and/or Imprisonment of up to 6 months	Up to Rs.5,000
Aggregators (Violations of Licensing Conditions)	Rs.25,000 to Rs.1 lakh	Nil
Overloading	Rs.20,000 and Rs.2,000 per extra tonne	Rs.2,000 and Rs.1,000 per extra tonne
Overloading of Passengers	Rs.1,000 per extra passenger	Nil
Not Wearing Seatbelt	Rs.1,000	Rs.100
Overloading of Two-Wheelers	Rs.2,000 and Disqualification of License for 3 months	Rs.100
Not Wearing Helmet	Rs.1,000 and Disqualification of License for 3 months	Rs.100
Not Providing Way for Emergency Vehicles	Rs.10,000 and/or Imprisonment of 6 months	Nil
Offences by Juveniles	Rs.25,000 with Imprisonment of 3 years for which the Guardian / Owner shall be deemed to be guilty	Nil
Power of Officers to Impound Documents	Suspension of DL under Section 183, 184, 185, 189, 190, 194C, 194D, 194E	Nil
Offences Committed by Enforcing Officers	Double the Penalty under Relevant Section	Nil

7.5.1 Highlights of the New Traffic Fines for Violations – (From Sep 2019)

Regardless to say, driving under the influence of alcohol or substance is a serious offence as it poses a threat to the safety of self and that of other road users. This is due to the fact that chances of a mishap increase by many times in case the driver is not alert due to the intoxication. Hence, as per the new traffic rules and fines, the offender is liable to some serious punishment, which varies as per the alcohol level found in

the blood. Similarly, there has been a higher penalty for most other serious offences. The details have been listed out below:

i. Driving Without License:

In case you are caught driving without licence, you can be fined for Rs 5,000. This is a ten-fold increase from the earlier fine of Rs 500

ii. Driving Without Insurance:

As per the new traffic rules and fines, which came into action through the amendment of motor vehicle act 2019, the penalty for driving without insurance for the motor vehicle has been increased from Rs 1,000 and /or imprisonment of up to 3 months to Rs 2,000 and/or imprisonment of up to 3 months for the first-time offenders and Rs 4,000 and/or imprisonment of up to 3 months for the second-time offenders.

iii. Driving With Disqualified DL:

In case your driving license has been disqualified and you are caught driving, you will have to pay a fine of Rs 10,000. This has been hiked from Rs 500 previously.

iv. Driving Under the Influence of Alcohol or Intoxicating Substance:

Regardless to say, driving under the influence of alcohol or substance is a serious offence as it poses a threat to the safety of self and that of other road users. This is due to the fact that chances of a mishap increase by many times in case the driver is not alert due to the intoxication. Hence, as per the new traffic rules and fines, the offender is liable to some serious punishment, which varies as per the alcohol level found in the blood.

v. Not Wearing a Helmet:

The traffic fine for riding a two-wheeler without wearing a helmet has been increased from Rs 100 to Rs.1,000.

vi. Racing and Speed Testing:

Racing and speed-testing on public roads is a punishable offence and its fine has been increased from Rs.500 to Rs.5,000 and/or imprisonment of up to 3 months for the first-time offence and Rs.10,000 and/or imprisonment of up to 1 year for repeat offenders.

vii. Offences by Juveniles:

There is no punishment to the juvenile for this but the owner of the vehicle or the guardian has to pay a fine of Rs.25,000 with imprisonment of 3 years.

viii. Offences Committed by Enforcing Officers:

While there was no penalty for this offence, the new fine is double the penalty under the relevant section.

ix. Having Two Driving Licences:

In case you are found having two or more driving licenses, you can be penalized. Also, from now, all driving licences that are to be issued will have a smart chip that can be accessed by the traffic police through a QR code.

7.6 HOW TO OBTAIN LICENSE

Driving license is an official document certifying that the holder is suitably qualified to drive a motor vehicle or vehicles. Under the provision of the motor vehicles Act 1988, in India no person can drive a motor vehicle in any public place unless he holds a valid driving licence issued to him, authorising him to drive a vehicle of that particular category.

In India, 2 kinds of driving licence are issued that is learners licence and permanent licence.

Learners licence is valid only for 6 months. Permanent licence can be availed only after the expiry of 1 month from the date of issuance of learners licence.

7.6.1 What do we need to do to obtain a driving licence?

A learner's licence is essential for obtaining a permanent licence. The eligibility for obtaining a learner's licence for a private motor vehicle for a vehicle of 50CC engine capacity and without any gear, is 16 years (if the applicant's parents or guardians give their consent). Minimum age to apply for a permanent licence to drive a private motor vehicle is 18 years.

A person who is at least 20 years old and possesses a learner's licence can obtain a licence for driving a commercial vehicle. Also one has to be conversant with the traffic

rules and regulations in all the cases.

For obtaining learner's licence you will need to apply in the prescribed format to the Local Transport Office in your region, along with your passport size photographs, proof of your age and residence, declaration of medical fitness and the required fee. After verification of your documents, you will have to go through the learner's test. Usually a handbook of traffic rules, signs and regulations is provided with the application form. On passing the learner's test, you will be issued a learner's licence. If you fail the test, you will be given a chance to take the test again.

For obtaining a permanent licence, you must have a valid learner's licence and must apply after 30 days and within 180 days of issue of the learner's licence. You should be conversant about vehicle systems, driving, traffic rules and regulations. You will be put through a driving test, for which you must bring a vehicle with you. On passing the test, you will be issued a permanent driving licence.

7.6.2 How to get a driving licence?

There are two stages to get a permanent driving licence:

Stage 1:- Obtaining a Learner's licence

Applicant for a learner's licence should appear personally before the licensing authority with the following:-

- Application form (available with the department)
- Fees of Rs. 30 for each of the vehicle
- Proof of age
- Proof of residence
- Medical certificate
- Three recent passport size photographs of the applicant.
- Applicants for transport vehicle licence must produce a permanent driving licence for light motor vehicle held by him at least for one year, medical certificate in form and he should attain the age of 20 years.

Applicants for learner's licence shall pass a test regarding basic traffic signs and driver's responsibilities.

The learners licence so issued is valid for a period of six months from the date of issue and is renewable for another period of 6 months, during its validity.

Every applicant for the issue of a learner's licence or permanent licence or an endorsement shall produce as evidence of his address and age any one or more of the following documents in original or relevant extracts thereof duly attested by a Gazetted Officer of the Central government or of a State government or an officer of a local body who is equivalent in rank to a Gazetted officer of the government or Village Administration officer or Municipal Corporation Councillor or Panchayat President, namely:

1. Ration Card
2. Electoral Roll
3. Life Insurance Policy
4. Passport
5. Electricity or telephone bill
6. Pay slip issued by any office of the central government or State government or local body
7. House Tax Receipt
8. School certificate
9. Birth Certificate
10. Certificate granted by a registered medical practitioner not below the rank of a Civil surgeon, as to the age of the applicant.

Provided that where the applicant is not able to produce any of the above mentioned documents for sufficient reason, the licensing authority may accept any affidavit sworn by the applicant before an Executive Magistrate, or a First Class Judicial Magistrate or a Notary Public as evidence of age and address.

Stage 2 : Obtaining a permanent licence:

An application for a driving licence shall be made in Form 4 and shall be accompanied by:-

- An effective learner's licence to drive the vehicle of the type to which the application relates.
- Appropriate fee as specified in Rule 32(CMV RULES), for the test of competence to drive and issue of licence.
- Three copies of the applicant's recent passport size photographs.

- Medical certificate in form 1A where ever applicable. An application for a medical certificate (Form-1A) shall contain a declaration in Form 1.
- Driving certificate in Form 5 in case of transport Licence.

For obtaining a fresh driving licence one has to undergo driving test of the relevant vehicle for which he has applied for and pass the test of competence to drive.

7.6.3 Is there a need to produce a Medical Certificate?

Applicants for the non transport licences, under the age of 50 years do not require a medical certificate. However, those applicants who are over 50 years of age must produce a medical certificate. All applicants for Transport vehicle licence must produce a medical certificate, irrespective of their age.

7.6.4 How do we obtain a learner's licence?

Applicants for learner's licence should appear personally before the licensing authority with the following:-

- Application in Form No.2
- Fees of rupees 30 for each of the vehicle
- User charge of rupees 30
- Proof of age, appropriate for relevant class of vehicle
- Proof of residence like Ration card, electoral roll, electricity telephone bill etc. showing the name of the person.
- Application cum declaration as to the physical fitness in Form 1
- Medical certificate in form No. 1A wherever applicable.
- Three recent passport size photographs of the applicant.
- Applicants for Transport vehicle licence must produce a permanent driving licence for Light motor vehicle held by him, at least for one year.

The Learner's licence so issued is valid for a period of six months from the date of issue.

7.6.5 How do we obtain a permanent licence?

The applicant should appear in person along with a registered motor vehicle of the relevant category before the licensing authority with the following:-

- Application in Form No.4 (available with the department)

- Fees of rupees 35 for test and licence
- Valid learner's licence held by the applicant for the relevant class, which is older than 30 days.
- 4 recent passport size photographs of the applicant

Applicants for Transport vehicle licence should enclose a Training Certificate in Form No. 5 issued by a recognised Driving school.

The applicant shall pass a driving test on a vehicle of the type he has applied for. Licence to drive a non transport vehicle is valid for 20 years from the date of issue or until the holder attains the age of 50 years, whichever is earlier. After that, the licence is renewed every 5 years.

7.6.6 Renewal of driving licence:

An application for renewal of driving licence shall be made in Form No.9 to the licence authority having jurisdiction over the area in which the applicant ordinarily resides or carries on business and shall be accompanied by:-

- Appropriate fee Renewal as specified in Rule 32 CMV RULES (in Form 6 Rs.15 and in Form 7 Rs.40 , Late Renewal Fee Rs.10 after grace period of 30 days for every year)
- Three copies of the applicant's recent passport size photograph, if renewal is made in Form 6
- The driving licence
- The medical certificate in Form 1-a wherever applicable. An application for a medical certificate (Form 1A) shall contain a declaration in Form 1.

7.6.7 Issue of duplicate driving licence:

An application for issue of duplicate driving licence shall be made in form LLD to the licensing authority where the licence is obtained or last renewed.

- Appropriate fee as specified in Rule 18 of APMV RULES (RS.15)
- If the duplicate licence made in Form 7, then fees is rupees 40
- 3 copies of the applicant's recent passport size photographs.

7.6.8 International driving licence/permit:

An application for international driving licence shall be made to the licensing authority having jurisdiction over the area in which the holder of driving licence

ordinarily resides or carries on business along with the following documents:-

- Fees Rs.500
 - Attested photocopy of passport
 - Valid Indian driving licence
 - Copy of valid Visa
 - Three recent passport size photographs
 - Attested copy of birth Certificate
-

7.7 Role of First Aid In Road Safety

Many deaths and impact of injuries can be prevented with First aid if casualties are treated immediately.

First Aid is the initial care given to an injured person. Mostly, this timely care prior to the arrival of the medical help means the difference between life and death.

It must start immediately when the injury or illness occurs and continue until the medical help arrives on the casualty recovers.

The basic aims of first aid are:

- To save life
- To protect the casualty from getting more harm
- To reduce pain and priorities of casualty treatment

7.7.1 Priorities of Casualty Treatment

- Asphyxia
- Shock
- Cardiac arrest
- Severe Haemorrhage
- Other injuries/Illness

7.7.2 Immediate Requirement

- i. Critical four minutes:** One of the most common causes of a road accident death is due to loss of oxygen supply. This is mostly caused by a blocked airway. Normally it takes less than four minutes for a blocked airway to cause death.
- ii. The ‘Golden Hour’:** The first hour after the trauma is called the “Golden hour”. If proper first aid is given, road accident victims have a greater chance of

survival and a reduction in the severity of their injuries.

- iii. **In case of Wound:** The job of first aider is to remove or reduce the problems that hamper healing such as dirt, infection, movement etc. Leave the wound undisturbed. Clean the wound by washing them with running water. If there are splinters, thorns and pieces of glass inside the wound, remove them with the pair of tweezers so as to avoid infection.
- iv. **In case of Profuse Bleeding:** The easiest way to stop bleeding is to apply direct pressure on the wound. This can be done with any clean folded cloth. Lean on the wound with the heel of the hand instead of your fingers.
- v. **In case of a Fracture:** In case of a fracture do not apply direct pressure; instead use a splint, combined with a gentle pressure bandage. It is safer not to give the patient anything to eat and drink. This is to protect the patient from vomiting in case he needs anaesthesia and surgery, or has a head injury.

If the wound on the arm or the leg is bleeding profusely, it can be raised. This reduces the blood flow to the wounded area.
- vi. **In case of Chest or Abdomen injury:** In abdominal wounds the intestine may come out. The only thing you can do as a first aider is to cover the wound with a very wet clean cloth and get the patient quickly to a hospital. The wet cloth will keep the intestine from drying out, and will stick to the intestine.

Open wounds of the chest could be sucking in the air, making it hard for the patient to breathe. Covering and putting a bandage on the top of this may help to reduce air being sucked into the chest. Get the patient quickly to hospital.
- vii. **In case part of a Limb is cut off:** If a part of the limb has been cut off it may be possible to reattach it to the body. Put it inside a clean polythene bag and place this bag in another bag with cold water. If you can easily get ice, put some in the water to keep it cool. Make sure that the limb does not get soaked in water. If nothing else is available carry the amputated part in a clean cloth quickly to hospital.

In large crush injuries or in amputation avoid washing the wounds, as it will lead to more blood loss. Just cover the wound with a clean cloth and tie a pressure bandage quickly. If possible keep the limb raised. Avoid using raw cotton wool

to cover a wound as it gets stuck to the wound, and it is difficult to remove and delayed healing.

- viii. **In case of an Eye wound:** Do not attempt any cleaning or washing of an open eye injury. Cover the eye with the clean soft; place a stiff covering on top to prevent any pressure coming on the eye. This is important because the contents can be squeezed out even through a very small wound.
- ix. **In case of bleeding from Ear:** Bleeding from ears mean either injury to the ear alone, or serious head injury. Avoid putting anything in the ears to stop bleeding as it could further damage the eardrum. The patient be asked to lie down with the injured ear facing down.
- x. **In case of bleeding from Nose:** Bleeding from nose could also mean a head injury. If the patient is conscious and can sit up, ask him to pinch his nose and breathe through his mouth. If he can lean forward, then that could prevent blood from going to his wind pipe choking him. If the patient is unconscious, he should lie with face to one side, for the blood to come out easily, so there is no choking.
- xi. **In case of Injuries to Muscles, Bones and Joints:** When muscles joints or bones get injured, blood collects over the area, and a swelling appears. You can reduce the swelling by bringing down the bleeding. Apply cold water or ice packs if available. It reduces local blood flow and this brings down the internal bleeding and swelling. But remember not to keep ice packs on more than 10 minutes at a stretch as this will lead to something like frostbite, and not to place ice directly on skin. Always wrap it in a cloth first. A muscle injury can be made less painful by putting a splint on the injured limb.
- xii. **In case of Broken Bones and Dislocated Joints:** A fracture or dislocation can be confirmed if there is obvious deformity, abnormal mobility, if the limb cannot be moved at all and if a grating feeling is there. First aid for all fractures and dislocations must aim to reduce movement, which will give relief from pain. Splinting should be done with caution.

7.7.3 Shifting the injured to the Hospital

1. Ensure that he is not hurt more.

2. The patient should be carried on firm board of stretcher so that spine remains stable.
3. While shifting the patient's back, neck and airway need to be protected from further injury. So always take help of another person.
4. If the patient is unconscious, place a large folded cloth or towel gently under the neck so that the neck doesn't sag against the ground.
5. The vehicle used to carry the patient to the hospital should have enough space to keep the patient's back straight and the person a company should be able to care for and resuscitate the patients if necessary.
6. During transportation keep a watch on whether the patient's airway is clear, whether the patient is breathing and whether you can feel the pulse in the patient.

If there is only one limb injury the patient can be safely taken to the hospital on a chair in a sitting position. Take care to splint or protect limb injuries or bleeding.

CHECK YOUR PROGRESS

Ques.1 Answer the following Short Answer Type Questions:

- i. You should use your right hand indicator when:
 - a. You intend to slow down
 - b. You intend to move to the right, at any time
 - c. You are about to stop
 - d. None of these
- ii. What is the minimum age for obtaining a Learner's licence for geared light motor vehicle?
 - a) 18 years
 - b) 17 years
 - c) 20 years
 - d) 19 years
- iii. Except for andnecessary for the use of the vehicle, no explosive highly.....or otherwise dangerous substance, shall be carried on any public service vehicle.
- iv. Match the component in Column A with Column B

Column A	Column
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B

Overtaking	turn the headlights on
Driving in rain	not to be obstructed
Confrontation with aggressive driver	severity of injury
reducesSeatbelt	avoid eye contact

- v. The basic aim of first aid is to:
- Save life
 - Reduce pain
 - Protect the casualty from getting more harm
 - All of the above

7.8 SUMMARY

After explaining the meaning and the concept of Road safety, the unit identifies and explains important signs that are used on roads. The significance of the traffic signs cannot be over looked as they are intrinsic for your own safety on the road. Knowledge about the various traffic rules that ought to be followed on the road, to ensure safety have been discussed in detail. Beside the unit familiarises the reader about the various types of traffic offences and penalties that are attached to the violation of various traffic rules. The procedure to obtain a driving licence has also been discussed as it gives citizens the permission to drive and at the same time acts as a valid identity proof. Apart from this the critical importance and role of First aid in the field of Road Safety has also been brought forth.

7.9 QUESTIONS FOR PRACTICE

- Ques. 1 What are the key points to be kept in mind while shifting the injured to a hospital?
- Ques. 2 How do you obtain a learner's licence?
- Ques. 3 What precautions are to be taken by the driver while driving in foggy conditions?
- Ques. 4 What is the need of road safety?
- Ques. 5 What are the two stages to get a permanent driving licence.Explain?

7.10 SUGGESTED READINGS

- R. Rajagopalan, Environmental Studies : From Crisis to Cure, 2015
- Erach Bharucha, Textbook of Environmental Studies for Undergraduate Courses, 2021
- B.S. Chauhan, Environmental Studies, 2008
- P.S. Jaswal, Environmental Law, 2021
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**BACHELOR OF ARTS (LIBERAL
ARTS) SEMESTER-II**

COURSE: ENVIRONMENTAL STUDIES

UNIT 8: STUBBLE BURNING

STRUCTURE

8.0 Learning Objectives

8.1 Introduction

8.2 Meaning of Stubble Burning

8.3 Impact on Health and Environment

8.4 Management and Alternative Uses of Crop Stubble

8.5 Environmental Legislations and Policies for Restriction of Agriculture

Residue Burning in Punjab

8.6 Summary

8.7 Questions for Practice

8.8 Suggested Readings

8.0 LEARNING OBJECTIVES

After the study of this unit, the learners will be able to:

- Know about the meaning and concept of Stubble Burning
- Examine the impact of Stubble Burning on Health and Environment
- Know how can Crop stubble be managed and what are the alternative uses of Crop Stubble
- Delve deeper into the Environmental Legislations and Policies for restriction of Agriculture Residue Burning in Punjab

8.1. INTRODUCTION

The agricultural industry plays a major role in the overall economic growth of the world. However, there is limited discussion on the management of agricultural waste in the published literature. It could be related to the fact that agriculture industry is not regulated as the municipal solid waste (MSW). The MSW is mainly governed by public

entities such as municipalities and hence the generation and management data are collected, recorded, and analyzed in the public domain. Agricultural waste is predominantly handled by the owners of the agricultural land which is predominantly in the private sector, with little public sector involvement.

The growing demand for food in developing countries, has led to tremendous increase in food production around the world. India accounts for about 2.4 % of the world’s geographical area and 4.2% of its water resources, but supports about 17.6% of its population which highlights the fact that our natural resources are under considerable strain. The need for providing foodgrains for a growing population, while sustaining the natural resource base, has emerged as one of our main challenges. Foodgrains are a major source of energy and are thus vital for food and nutritional security. As such, food grains would continue to be the main pillar of food security and out of various crops grown, rice, wheat, and pulses are still part of the staple diet of most of the rural population. Large stretches of wasteland have been converted to arable lands due to developments in water management systems, modern agro-technologies and large-scale agrochemical deployment. These measures have resulted in environmental pollution and increased complexity in the disposal of agricultural waste. However, the national agencies are continuously developing policies and possible options to manage these wastes, which include their conversion to reusable resources.

Waste materials derived from various agricultural operations are defined as agricultural wastes. As per the United Nations, agricultural waste usually includes manure and other wastes from farms, poultry houses and slaughterhouses; harvest waste; fertilizer run-off from fields; pesticides that enter water, air or soils; salt and silt drained from fields. The harvest waste, which is more popularly termed as crop residue can contain both the field residues that are left in an agricultural field or orchard after the crop has been harvested and the process residues that are left after the crop is processed into a usable resource. Stalks and stubble (stems), leaves, and seed pods are some common examples for field residues. Sugarcane bagasse and molasses are some good examples for process residue.

The following is a tabular presentation of the Crop Residues produced by major crops

Source	Composition
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Rice	Husk, bran
Wheat	Bran, straw
Source	Composition
Maize	Stover, husk, skins
Millet	Stover
Sugarcane	Sugarcane tops, bagasse, molasses

Waste from the agricultural industry can be beneficially utilized in various agro-based applications and other industrial processing. However, the cost of collection, processing and transportation can be much higher than the revenue from the beneficial use of such waste. According to the Indian Ministry of New and Renewable Energy (MNRE), India generates on an average 500 Million tons (Mt here after) of crop residue per year. The same report shows that a majority of this crop residue is in fact used as fodder, fuel for other domestic and industrial purposes. However, there is still a surplus of 140 Mt out of which 92 Mt is burned each year. India is the second largest producer of rice and wheat in the world, two crops that usually produce large volume of residue.

8. 2. MEANING OF STUBBLE BURNING

Stubble burning is a practice of removing paddy crop residues from the field for sowing next crop viz. wheat. Where ‘combine harvesting’ method is applied, there Stubble burning becomes essential because combine harvester leaves crop residue behind. Combines are machines that harvest the crops as well as thresh, means separation of the grain, and it’s cleaning together, but it leaves stubble behind because it doesn’t cut close enough to the ground. These residues put a burden on the farmer because these residues are not so useful for the farmer and moreover, there is pressure on the farmer to sow the next crop in time. Therefore, they clear the field by burning the stubble. According to different studies, the residues of rice and wheat crops are major contributors to the total stubble loads in India. Research studies have observed that the contribution of rice and wheat stubble loads in the total stubble was 36 and 41 %, respectively.

respectively in the year 2000, while the contribution of Punjab in the total burnt stubble of rice and wheat was 11 and 36 %, respectively during the same time period.

India relies largely on its northern states viz. Punjab, Haryana, western Uttar Pradesh and Uttarakhand for wheat production. Now, states in the south are also involved in the wheat production. But the clinching difference is that they don't have the urgency to remove the stubble to make it ready for the next crop. There are two main reasons for crop residue burning-First one is that there is a very short window of time between the harvesting of paddy and sowing of wheat, at the end of the Kharif season. To sow wheat right after paddy, the field needs to be harvested and readied for the next crop timely. In the northern states, the crucial time for the wheat crop to mature is in mid-April, when the temperature is about to cross 35 degrees C. The wheat crop requires 140-150 days to reach full maturity and give maximum yield by then; the farmer has no option but to sow the crop latest by 15 November, so that it grows for the full duration. Added to this complication the Punjab Preservation of Subsoil Water Act 2009 – Punjab's water-saving law, bans sowing of paddy before 15 May and transplanting it before 15 June. Secondly, the removal of the paddy stalk that remains on the field is a labor-intensive process. With labor being unavailable and the time window between the harvesting of paddy and sowing of wheat being limited, the farmer has to burn the residue right on the field to prepare the field for wheat in just about 20 days. So, the farmer is finally left with only one option- Stubble Burning.

8. 3. IMPACT ON HEALTH AND ENVIRONMENT

The burning of crop residues generates numerous environmental problems. The main adverse effects of crop residue burning include the emission of greenhouse gases (GHGs) that contributes to the global warming, increased levels of particulate matter (PM) and smog that cause health hazards, loss of biodiversity of agricultural lands, and the deterioration of soil fertility. Stubble burning is a significant source of air pollutants such as carbon dioxide (CO₂), volatile organic compounds (VOCs), nitrogen oxides (NO_x) and hydrocarbons (HC) accounting for about 10% of the total emissions in the world. The emission contains particulate matter (PM) and harmful gases such as Nitrogen dioxide (NO₂), N₂O (Nitrous oxide), Sulphur dioxide (SO₂), Carbon monoxide (CO), Carbon dioxide (CO₂), and Methane (CH₄), all of which severely affect

human health. This basically accounts for the loss of organic carbon, nitrogen, and other nutrients, which would otherwise have retained in soil. It is reported in a study that burning of 98.4 Mt of crop residue has resulted in emission of nearly 8.57 Mt of CO, 141.15 Mt of CO₂, 0.037 Mt of SO_x, 0.23 Mt of NO_x, 0.12 Mt of NH₃ and 1.46 Mt NMVOC, 0.65 Mt of NMHC, 1.21 Mt of PM during 2008–2009, where CO₂ is 91.6% of the total emissions. Remaining 8.43% consisted of 66% CO, 2.2% NO, 5% NMHC and 11% NMVOC.

The PM emitted from burning of crop residues in Delhi is 17 times that from all other sources such as vehicle emissions, garbage burning and industries. As such the residue burning in the northwest part of India contributes to about 20% of organic carbon and elemental carbon towards the overall national budget of emission from agricultural waste burning. In summary, impacts of burning may be divided into two groups- First, the on-site impact of burning, which includes removal of a large portion of the organic matter, nitrogen, phosphorus, and loss of useful microflora and fauna and second, the off-site impacts are health-related due to general air quality degradation of the region resulting in aggravation of respiratory like a cough, asthma, bronchitis, eye and skin diseases. Chronic heart and lung diseases can also be aggravated by fine particles present in smoke leading to premature deaths of people. The black soot generated during burning also results in poor visibility which could lead to increased incidence of accidents on road.

8. 3.1 Impact on Air Quality

Burning of stubble poses a serious threat to the air quality of the exposed environment. Research has pointed out that air quality is considerably affected by agricultural burning due to the emission of aerosols and gaseous pollutants. PM 2.5 and PM 10 are reported to have the highest effect on the health of the exposed population. In 2001, the World Bank conducted a source apportionment study (1st of its kind) on PM 2.5 for several Indian cities. They discovered that biomass burning contributes 9-28 %, 23-29%, 24%, 37-70% to the PM_{2.5} concentrations in Delhi, Mumbai, Chandigarh, and Kolkata respectively. In 2011, PM_{2.5} concentration, in Delhi, increased by 78% and 43% during the rice and wheat stubble burning periods, respectively. A comparison of the burning and non-burning periods in Delhi has found a 300 mg/m³ increase in the hourly concentration of PM₁₀ during the burning episodes. In 2015, PM₁₀ and PM_{2.5} concentrations increased by 86.7% and 53.2% for rice and wheat burning periods

respectively in Mandi-Gobindgarh city, Punjab. A source apportionment study conducted in Patiala city discovered that stubble burning contributes about 100-200 $\mu\text{g}/\text{m}^3$ of PM_{10} to the air pollution of the city.

Despite not being the main source of pollution, stubble burning is a significant source of air pollution in India. A combination of point and nonpoint sources constitutes the composite emissions. These sources include the industries, power plants, vehicles, construction, and indoor emissions and out of these, emissions from industrial sources comprise 15% of CO, 14% of $\text{PM}_{2.5}$ and 23% of SO_2 , while transportation emissions contain 17% of $\text{PM}_{2.5}$, 13% of PM_{10} , 53% of NO_x and 18% of CO. On the other hand, stubble burning emissions are relatively lower comprising of 14% CO and 12% $\text{PM}_{2.5}$.

The air quality becomes austere mostly in November of each year across the north Indian states. The air quality of the urban areas is more affected by stubble burning emissions because of the presence of the accumulated pollutants from vehicular and industrial emissions leading to a severe air quality condition.

The air quality of a region can be categorized in terms of a parameter termed as the air quality index or AQI, which is a range of categorical measurements of the pollution level which helps in interpreting the quality of air in a region on a scale of 0-500 (Central Pollution Control Board, 2014). Most of the regions in North India have AQI beyond the safe limit, especially during the burning episodes. For example, in November 2019, Delhi recorded a peak AQI of 487, Ghaziabad reported an AQI as high as 493, and Greater Noida recorded 480. These AQI values are clearly in the “severe” region as the CPCB AQI. This prompted the government of Delhi and other northern states to close schools at primary levels and warned citizens against early morning outdoor exercises.

Table: Central Pollution Control Board, India's AQI and particulate standards (Central Pollution Control Board, 2014)

AQI Ranges	PM_{10} (24-hr)	$\text{PM}_{2.5}$ (24-hr)	Category
0-50	0-50	0-30	Good

51-100	51-100	31-60	Satisfactory
101-200	101-250	61-90	Moderate
201-300	251-350	91-120	Poor
301-400	351-430	121-250	Very Poor
AQI Ranges	PM₁₀ (24-hr)	PM_{2.5} (24-hr)	Category
401-500	430+	250+	Severe

8.3.2 Impact on Climate

Emissions from stubble fires have a direct effect on weather and climate through the release of greenhouse gases such as carbon dioxide (CO₂) and methane (CH₄) which may potentially lead to global warming. About 17% to 32% of the total annual greenhouse gas emissions in the world are contributed by the agricultural sector. It has been found that in 2017, crop stubble burning had resulted in the emission of 171.37 Tg of CO₂, 0.706 Tg of CH₄, and

0.073 Tg of N₂O India contributes about 12.2% to the global greenhouse gas emissions, which is about 658.823 Tg CO₂ equivalent. It was reported that India lost about 36% of its expected annual wheat yield in 2018, which was linked to the poor quality of air and change in the weather patterns.

8.3.3 Impact on Soil Fertility

Stubble burning also affects soil productivity by burning the essential nutrients inside the soil. It also raises the soil temperature to about 42 °C, thus displacing or killing the important microorganisms in the soil at a depth of about 2.5 cm. This generates an additional expense of regaining back the soil fertility through the application of fertilizer or compost. Stubble burning strips the soil of the essential nutrients, i.e. Nitrogen, Phosphorus, and Potassium (NPK) as well as other micro-nutrients. For instance, the burning of rice stubble leads to a loss of about 0.445 Mt of NPK, 0.144 Mt in the case of wheat stubble burning, and 0.84 Mt in the case of sugarcane waste burning each year. It is estimated that burning of one tonne of rice straw accounts for loss of 5.5 kg Nitrogen, 2.3 kg phosphorus, 25 kg potassium and 1.2 kg sulphur

besides, organic carbon. Generally crop residues of different crops contain 80% of Nitrogen (N), 25% of Phosphorus (P), 50% of Sulphur (S) and 20% of Potassium(K). If the crop residue is incorporated or retained in the soil itself, it gets enriched, particularly with organic Carbon and Nitrogen.

Nutrient	N	P	K	C
Nutrient Content in Stubble (g/kg)	6.5	2.1	17.5	400
Nutrient	N	P	K	C
Percentage Lost due to burning (%)	90	25	20	100
Amount lost per hectare (kg/ha)	35	3.2	21	2,400

8.3.4 Impact on Agricultural Productivity

The effects of burning crop stubble extend to the agricultural sector. There is convincing empirical evidence that air pollution affects food production. The pollutants may affect agricultural productivity directly or indirectly. Direct effects entail injury to leaves, grains, or assimilation of heavy metals. For example, Nitrogen oxide can damage the tissue of plants and cause discoloration. SO₂ may lead to the formation of acid rain which has severe effects on plants and soil, and may lead to plant mortality. Prolonged exposure of plants to particulates pollution may lead to Chlorosis or Bifacial Necrosis. Indirect effects include the provision of favorable conditions for the growth of pests or diseases. For example, the growth of aphid pests is favored by high concentrations of SO₂ and NO₂.

Stubble burning releases VOCs and NO_x which combine to form ground-level ozone. Ozone is formed in the immediate atmosphere by the reaction of nitrogen oxide and volatile organic compounds in the presence of solar radiation. Ground-level ozone affects plant's metabolism, penetrates, and destroys leaves causing serious effects on crops in the northern parts of India. Ozone was reported to greatly affect the performance of some crops such as wheat and soy, while crops like barley were known to possess some resistance to the same. Rice and maize were reported to be moderately affected. Hence, stubble burning negatively impacts agricultural productivity and

economy and needs to be dealt with appropriately to improve agricultural production to meet the increasing food demand.

8.3.5 Impact on the Economic Development

Apart from its effects on health and the environment, air pollution also affects the growth of a country's economy. The effectiveness of air pollution management in a country is dependent on the economic and technological development of the country, which implies that increased pollution affects the country's economy in many ways. In recent years, tourists' inflow has decreased in Delhi by about 25-30% due to the increase in the level of air pollution. Ghosh et al. (2019) inferred that the accumulated effects of air pollution cost the economy of India about 4.5 to 7.7 % of its GDP in 2018, and when projected to 2060, the percentage rose to about 15%. The productivity of workers in different disciplines is also affected by air pollution through sickness and poor visibility. The World Bank reported that air pollution cost the global economy about \$225 billion in 2013 most of which came from the developing countries (World Bank, 2016). The Indian government had delineated the cost of air pollution management and welfare to be around \$14 billion annually.

The cost of air pollution management and welfare also has an impact on a local scale. For example, the economic benefit of maintaining air quality at a safe limit in a typical household in Kolkata and Delhi was measured to be 950 (about 12.7 USD, assuming 1 USD = 75 rupees) and 2086 rupees (about 27.8 USD) per annum, respectively. A similar study was conducted for the city of Kanpur and the rural areas of Punjab, and economic benefit/loss of about 255 and 76 million rupees were reported, respectively.

8.3.6 Impact on Health

Many studies have established a link between air pollution and the risk of several health problems especially among children, pregnant women, elderly persons, and people with pre-existing health issues. The harmful effects caused because of exposure to air pollution range from skin and eyes irritation to severe neurological, cardiovascular and respiratory diseases. In some cases, it may also lead to lethal effects especially when the exposed victim is having pre-existing respiratory problems. In chronic cases, exposure to a high level of air pollution may cause permanent health injuries such as the development of lung diseases like asthma, Chronic Obstructive Pulmonary Disease

(COPD), bronchitis, lung capacity loss, emphysema, cancer, etc. (Ghosh et al., 2019). Most of the farmers exposed to stubble smoke complain about eye and lung irritation and had spent a considerable amount of money on medical expenses.

Fine particulate matter (PM_{2.5}) has more effects on humans than the larger sizes, for the former can penetrate through the trachea into the lungs and subsequently to the bloodstream. An epidemiologic study conducted by reported a decline of pulmonary and lung function especially in children exposed to a high level of particulate pollution. PM_{2.5} pollution alone accounts for about 21% of the total deaths in the southern part of Asia. Its effects range from a runny nose, coughing, and difficulty in breathing to chronic effects such as asthma and coronary diseases. A study showed that exposure to a high level of particulate emissions may lead to a decrease in the functionality of the human lungs. The effect is more austere in children as prolonged exposure may lead to asthma or chronic pulmonary diseases. Other effects of exposure to polluted air include; tuberculosis, stroke, lung cancer, cardiac arrest, and acute infections in the respiratory system. The black soot generated during burning also results in poor visibility which could lead to increased road side incidences of accident.

8.3.6.1 Increase in Mortality

The rates of death as a result of air pollution have been gradually increasing over recent years. For example, in South Asia, the number of deaths attributed to air pollution had increased from 1.1 million to 1.2 million between 1990 and 2015. Dwellers of the Indo- Gangetic Plain (IGP) regions were reported to have lesser life expectancy compared to the other Indian regions with about seven years difference. It was reported that air pollution had increased by about 65% from 1998 to 2016 in the IGP, and the particulate matter concentration in the region was also twice the average levels for other regions in the country (Energy Policy Institute at the University of Chicago (EPIC) 2020). Particulate matter especially PM_{2.5} is reported to be the most lethal of all the pollutants, and about 50% of India's population is exposed to a high level of the PM_{2.5} with a concentration above the WHO limit (35 µg/m³), while about 49% of the exposed population do not have access to good healthcare. This is why the South Asian countries are characterized by the highest number of premature deaths due to prolonged exposure to high concentrations of particulate matter emissions.

The first and primary target of toxic substances inhaled through the air is the respiratory system causing disorders, cancer, or even death in extreme cases. Prolonged exposure to particulate emissions may lead to an elevated rate of cardiovascular mortality.

Estimates on global effects of air pollution have shown that in India, more than 600,000 people die prematurely each year due to exposure to polluted air. The life expectancy of the Delhi inhabitants has decreased by about 6.4 years due to exposure to a high level of pollution. Delhi populace could live 9 more years if the WHO standards are met, and 6 more years if the national ambient air quality standards are met (EPIC, 2020). In Pakistan, the air pollution problem is the leading cause of diseases and premature deaths causing the deaths of nearly 135,000 people each year. In India, air pollution had claimed the lives of about 1.24 million people, in 2017, out of which 0.67 million were attributed to particulate matter emissions. Also, 51% of the total deaths in India were caused by air pollution most of which were people under 70 years of age. It has been strongly stated that the rate of trauma death increases by about 2.3% when suspended particulate matter concentration rises by 100 $\mu\text{g}/\text{m}^3$.

8.4. MANAGEMENT AND ALTERNATIVE USES OF CROP STUBBLE

8.4.1 Steps taken for Management of Crop Stubble

Several efforts have been made to reduce crop residue burning by various state and central administrations and regulatory bodies so far:

1. *Banning Crop Residue Burning:* Crop residue burning has been notified as an offense under the Air Act of 1981, the Code of Criminal Procedure, 1973 and other appropriate Acts. In addition, a penalty is being imposed on any offending farmer. Enforcement is being done by the village and block-level administrative officials.
2. *Detection and prevention:* For detection and prevention of burning in real time, a combination of remote sensing technology—use of satellite imagery—and a team comprising local officials—Sub-Divisional Magistrates (SDM), Tehsildars, Block Development Officers (BDO), Patwaris and village-level workers is effective.
3. *Establishment of a marketplace for crop residue burning:* Efforts have been and are being made to increase the possibilities for the alternate usage of paddy straw and other crop residues. For instance, paddy straw has a considerable calorific

value, so, it can be used as a fuel in biomass-based power plants. Similarly, it can be further utilized for the preparation of biofuels, organic fertilizers and in paper and cardboard making industries. The strategy, behind all of these measures, is to assign a real economic and commercial value to the agricultural residue and making burning it an economic loss to the farmer.

4. *Outreach and public awareness campaigns:* There are ongoing efforts to highlight the health effects of crop residue burning. As has been mentioned earlier, it produces extremely high levels of toxic particulates, which affect the health of the people. Moreover, efforts are also have been and being made through Kisan camps, training and workshops, apart from campaigns through various print media, T.V. shows, and radio jingles, in informing farmers about the alternative usage of crop residue.
5. *Subsidy on agri-implements:* The state governments, in collaboration with the Centre, provides subsidy on mechanical implements that help tillage of the soil, so that the crop residue can be retained in the soil, adding to its fertility, or alternately, a collection of crop residue for putting it to commercial usage. Still, these implements cannot be afforded by the majority of farmers because of high cost only a small number of farmers have access to these implements at the moment.
6. *Crop Diversification:* Cultivation of alternate crops (apart from rice/paddy and wheat) that produce less crop residue and have greater gap periods between cropping cycles, may be prompted. Various efforts are being made for diversification of cropping techniques resulting into prevention of crop residue burning.

8.4.2 Suggested Alternatives for Management of Stubble

Various approaches have been developed for management of rice stubbles but no one alone can substitute stubble burning effectively. Therefore, these all approaches must be used simultaneously and there is strong need for other innovative approaches for the effectivesubstitution of stubble-burning.

1. *In Situ Incorporation:* Incorporation of stubbles into the field is the easiest way to manage it. But, farmers don't prefer in-situ incorporation as the stubble takes time to decompose in the soil that may adversely affect the wheat productivity in

various ways such as late sowing of wheat and immobilization of inorganic nitrogen and its adverse effect due to nitrogen deficiency. Incorporation of crop stubble requires more tillage operations than of post burning. It has been observed that the in-situ incorporation is the best alternative available to burning of rice residue. It is believed that if the rice residue is incorporated in the soil 10, 20 or 40 days before sowing the wheat crop, then the productivity of the subsequent wheat and rice crops is not adversely affected.

The incorporation of the straw in the soil has a favorable effect on the soil's physical, chemical and biological properties such as Ph, organic carbon, water holding capacity and bulk density of the soil. On a long-term basis it has been seen that it increases the availability of zinc, copper, iron and manganese content in the soil and it also prevents the leaching of nitrates. By increasing organic carbon it increases bacteria and fungi in the soil. In a rice-wheat rotation, it is observed that soil treated with crop residues held 5– 10 times more aerobic bacteria and 1.5–11 times more fungi than soil from which residues were either burnt or removed. Due to increase in microbial population, the activity of soil enzymes responsible for conversion of unavailable to available form of nutrients also increases. Mulching with paddy straw has been shown to have a favorable effect on the yield of maize, soybean and sugarcane crops. It also results in substantial savings in irrigation and fertilizers. It is reported to add 36 kg/ha of nitrogen and

4.8 kg/ha of phosphorous leading to savings of 15–20 % of total fertilizer use.

2. *Happy Seeder*: Happy Seeder is a technique, used for sowing wheat without any burning of rice residue. This technology is eco-friendly with the environment; make the good health of soil as well as it also saves water. Dasmesh Turbo Happy Seeder has been considered as the most successful implement for sowing wheat in rice residue without burning rice residue.
3. *Stubble-burly Scheme*: In order to curb stubble burning, the districts of the Punjab state with the help of Agriculture Department had started a 'stubble-burly' scheme for small and marginal farmers. Under the scheme, the farmers can remove paddy stubble from the main field and bury it in a pit either in their own agricultural land or wasteland. The District Administration has a responsibility to provide workers to farmers under the Mahatma Gandhi National Rural Employment

Guarantee Scheme (MGNREGA) to dig up the compost pits. Moreover, under the scheme of MGNREGA, small farmers are also provided job cards for getting compost pits dug up on their land. But this scheme requires at least seven to ten days to manage stubble in a pit, so farmers may be unhappy with it.

4. *Straw Decomposing Bacteria and Fungi:* Straw burning can be substituted with efficient decomposition. Microorganisms which are efficient to degrade cellulose and lignin, required for Straw decomposition. This decomposition of rice straw recovers the soil fertility by recycling the carbon, nitrogen and other nutrients back to the soil. Under both aerobic and anaerobic conditions, general microbial processes may take place. But for most soils, the aerobic pathway is of greater importance than the anaerobic one. In addition to rice straw, other agricultural wastes such as coir pith, banana sheath (dried), sugarcane trash, millets and pulse waste, cotton stubbles can be decomposed with white rot fungus (*Pleurotus sp.*). Some widely used species of white rot fungus are *eous*, *platypus*, *djamor* or *sajorcaju*.
5. *Use of Rice Residues as Fodder for Animals:* Rice residues can be used as a fodder for animals. But, this is not a very popular practice among farmers in Punjab because of the high silica content in the rice residue. However, almost 40 % of the wheat straw produced in this state is used as dry fodder for animals. However, to encourage the use of rice residue as fodder for animals, a pilot project was taken up by Punjab State Council for Science & Technology PSCST at PAU, Ludhiana. Trials on natural fermentation of paddy straw for use as protein enriched livestock feed was conducted at PAU. The cattle fed with this feed showed improvement in health and milk production.
6. *Use of Crop Residue in Bio Thermal Power Plants:* Rice residue can also be used for generation of electricity. The thermal plant at Jalkheri, District Fatehgarh Sahib is the first Plant in India which is based on the use of Biomass i.e. renewable energy source. This plant can utilize rice husk, waste wood chips, the straw of various plants e.g. paddy, wheat, etc. for the generation of electricity. The project is providing additional income to thousands of farmers from the sale of agricultural waste as well as reducing the release of smoke and other pollutants caused by burning of wastes.
7. *Use of Rice Residue as Bedding Material for Cattle:* Studies on rice residue as

bedding material have been conducted by the Department of Livestock Production and Management, College of Veterinary Sciences, Punjab Agricultural University (now Guru Angad Dev Veterinary And Animal Sciences University) farmers of the state have been advised to use paddy straw as bedding material for crossbred cows during winters. This paddy straw bedding provides comfort, udder health and leg health to the animals resulting the increased quality and quantity of milk. It helps the animals to keep themselves warm and to maintain the reasonable rates of heat loss from the body. It also provides a clean, hygienic, dry, comfortable and non-slippery environment, which prevents the chances of injury. The use of paddy straw as bedding material was also found to result in increased net profit per animal per month from the sale of an additional amount of milk. The PAU has been demonstrating this technology to farmers through training courses, radio/TV talks and by distributing leaflets.

8. *Use of Rice Residues for Mushroom Cultivation:* Paddy straw is also being used for the cultivation of mushrooms such as *Agaricusbisporus*, *Volvariellavolvacea*, and *Pleurotus spp.* One kg of paddy straw yields 300, 120–150 and 600 g of these mushrooms, respectively. Paddy Straw Mushrooms (*Volvariellavolvacea*) also called grass mushrooms are so named for their cultivation on paddy straw. In addition to paddy straw, this mushroom can be grown on a variety of agricultural wastes for preparation of the substrate such as water hyacinth, oil palm bunch waste, dried banana leaves, cotton or wood waste. Paddy straw mushroom accounts for 16 % of total production of cultivated mushroom inthe world.
9. *Use of Rice Residues in Paper Production:* Paddy straw is also used as an ideal raw material for paper and pulp board manufacturing. The paddy straw is also being used in conjunction with wheat straw for paper production. The technology is already operationalin some paper mills, which are meeting 60 % of their energy requirement through this method.
10. *Use of Rice Residues for Making Bio Gas:* Biogas production from agricultural wastes canbe used as an alternative fuel to replace fossil fuels. Agricultural crop residues, such asrice straw is a chief source of lignocellulose which is required for biogas production.
11. *Production of Bio-oil from Straw and Other Agricultural Wastes:* Wheat straw and rice hull-shave been and is being used for the production of Bio-oil. But, the

feasibility of this technology with paddy straw needs to be assessed. Bio-oil is a high-density liquid produced from agricultural biomass through rapid pyrolysis technology. Bio-oil can be stored, pumped and transported like petroleum-based product and can be combusted directly in boilers, gas turbines and slow and medium speed diesel for heat and power applications.

12. Mixing of Green Waste and Brown Waste for the Production of Bio-Compost:

Initiation of composting process depends upon the carbon and nitrogen ratio (C: N ratio) of 30:1 has been considered ideal for composting. To get a narrow C: N ratio (30:1), carbon and nitrogen-rich material should be mixed together. Nitrogen-rich sources are green colored waste materials like gliricidia leaves, parthenium, freshly harvested weeds; sesbania leaves whereas brown colored waste material like straw, coir dust, dried leaves and dried grasses are rich in carbon. To get a quicker result in composting, alternating layers of carbon-rich material, animal dung, and nitrogen-rich material need to be heaped while making heap formation. Regular addition of bio-compost to the field improves the physical, chemical and biological properties of the soil.

13. Bio-Char: PAU, Ludhiana has come up with an innovation to convert stubble into

‘biochar’ which would help in reducing the environmental pollution upto a great extent and would also help in increasing the fertility of the soil. Dr. RK Gupta, a senior soil chemist, Department of Soil Sciences at the PAU, said the burning of the rice and wheat stubble leads to a loss of nutrients and the smoke caused by leads to air pollution. "We have been working on this project for the past three years and the experiments conducted have given a positive result. We found that making ‘biochar’ from stubble, instead of burning it will help in reducing the environmental pollution caused by it by 70 percent," said Dr. Gupta. "After successful experimentation for three years now, we will be asking the KVK of the PAU to make biochar and disseminate knowledge about it to the farmers so that they can also adopt this method," he said. He said apart from curbing the pollution, using biochar as manure would help in improving the soil health, along with 10 percent increase in the grain yield. It also leads to the improvement in the infiltration rate and water-holding capacity of the soil. Bio-char will help in improving the grain yield indirectly by improving the soil health (infiltration rate and water holding capacity of soil).

8.5 ENVIRONMENTAL LEGISLATIONS AND POLICIES FOR RESTRICTION OF AGRICULTURE RESIDUE BURNING IN PUNJAB

The core administrative bodies regulating emissions and promoting air quality in India are the Ministry of Environment, Forest and Climate Change (MoEF&CC), the Central Pollution Control Board (CPCB), and its subsidiaries at the state level. The board coordinates with the MoEF&CC and other institutions to provide efficient monitoring and control of air pollution-related problems. The major air quality legislation in India is the Air (prevention and control of pollution) Act established in 1982, under which the guidelines for air quality control were clearly outlined. The Air (prevention and control of pollution) Act together with the environmental (protection) Act provides the basis for monitoring air quality across the country. Other guidelines were stated by the Environment (protection) rule, 1986.

The Indian air quality monitoring program was initiated in 1967 and later established as the National Air Quality Monitoring Scheme (NAQMS). Under this scheme, the number of air quality monitoring stations was increased from 28 (in 1985) to 731 (in 2016). The stations were designed to measure sulfur dioxide (SO₂), NO_x, PM_{2.5}, PM₁₀, and meteorological parameters such as wind speed, wind direction, ambient temperature, ambient pressure, and relative humidity. Other pollutants like lead, ammonia, CO, H₂S, and aromatic hydrocarbons were later added. The national air quality index AQI in India was established on the 17th of November, 2014 by the MoEF&CC under the Swachh Bharat Abhiyan (Clean Air Campaign). It constituted 8 main criteria pollutants namely; PM₁₀, PM_{2.5}, NO₂, SO₂, CO, O₃, NH₃, and lead.

The Hon'ble Delhi High Court, on October 8, 2016, compelled the states of Uttar Pradesh, Delhi, Punjab, Haryana, and Rajasthan to execute an exhaustive policy to curb the issue of outdoor stubble burning at their respective provinces. Following this directive, the above states immediately enacted strict policies including fines on the burning of any stubble in their respective states. For example, in Haryana, on 26th November 2016, 1406 farmers were fined a total of 1.375 million rupees after being caught violating the policy.

In 2014, the Union government released the National Policy for Management of Crop

Residue. Since then, crop residue management has helped make the soil more fertile, thereby resulting in savings of Rs 2,000/hectare from the farmer's manure cost.

The Indian government in 2019, established the national clean air program (NCAP) to be implemented in the coming 5 years. The program was focused on bringing down the particulate matter emission to 20-30 % by 2024 taking 2017 as the base year. The program mandates a collaborative and participatory approach between agencies at various levels and all the stakeholders. It was also planned to address the transboundary transport of pollutants, by planting trees, worth 2.3 billion tons of CO₂ equivalent by 2060. Studies have reported that successful implementation of this goal would increase the average life expectancy of the country's populace by up to 2 years for the Northwest India's residents.

Male' declaration (1998) was focused on the promotion of clean air through the control and prevention of air pollution especially at the trans-boundary level in the southern part of Asia which covers the countries of India, Pakistan, Bangladesh, Nepal, Iran, Srilanka, Maldives, and Bhutan. After about 22 years of establishment, several policies were made by the Indian government but were, however, ineffective in tackling most of the pollution issues.

8.5.1 Steps taken in Punjab to Restrict Agriculture Residue Burning

In 2017, the Punjab government distributed direct seeders to many farmers which helped in easily incorporating the paddy straws into the soil. The government also proposed to reduce the cultivated area for paddy farming by about 7 Lakh acres by 2020, which is about 10% of the total paddy area cultivated in 2019.

The Ministry of New and Renewable Energy (MNRE), Government of India has installed about 500 power plants across the country fueled either completely or partially by biomass. Agricultural stubbles form a significant portion of the biomass used in many of these plants. For instance, the 10 MW thermal power stationed at Jalkheri, Fatehgarh Sahib District (established in 1992) is India's first plant focused on the use of biomass for power production.

The plant has an estimated total biomass requirement of 82,500 Mt annually at 100% capacity. The farmers (within the plant's vicinity) sell their crop stubble to be used in the plant at 350 rupees/ton (around 5 USD). This plant uses rice husk, waste wood chips, the straw of different plants e.g. paddy, wheat, etc. The project offers additional

revenues, through the sale of biomass stubbles, to thousands of farmers and also lessens the discharge of particulates and other gases resulting from the waste burning.

Another plant with an installed capacity of 7.5 MW was established by Malwa Power Pvt. Ltd. in 2002 at Gulabewella in district Mukatsar, Punjab. The plant was set up to utilize the crop stubble (available in the area) such as mustard and cotton stalks, rice husk, and sawdust. It was designed with an estimated biomass requirement of 72,270 Mt annually to supply 465.1 GWh to the grid within 10 years (2005-2015).

In Bhatinda district the paddy straw was totally burnt with no other end use. In Amritsar district the use of rice residue for other uses apart from burning is the maximum with 18.2 % being used for fodder, 19.6 % being sold in the market and 9.4 % given to poor landless families. In the Gurdaspur district, 20.6 % of the rice residue is provided to poor landless families, 12.9 % used as fodder almost the rest of the rice stubble burnt. In Patiala district

11.7 % of the rice stubble is used as fodder for animals and 5.9 % sold in the market and the rest 81.5 % being burnt. In the Ferozepur district, 18.8 % of the rice stubble is provided to poor landless families, 8.8 % is incorporated in the soil and the rest 68.1 % is burnt. It can be observed that except Ferozepur district, the rice stubble is hardly incorporated in the soil in rest of the state.

However, for the wheat crop, a significant proportion of the stubble is used as fodder for animals, in 7 districts of Amritsar, Bhatinda, Faridkot, Gurdaspur, Kapoorthala, Ludhiana and Sangrur, the average being 47 %. Only in the Gurdaspur district 2.4 % of the wheat stubble is incorporated in the soil. From the literature it is clear that farmers seldom incorporate rice and wheat stubble in the soil. Wheat stubble is used as fodder for animals, but the usage of rice stubble as fodder for animals is not much. The paper mills procured rice-straw at a rate of Rs. 200–300 t⁻¹. The wheat straw was generally sold after making chaff. The price of chaff varied between Rs. 2,500 and 3,700 ha⁻¹.

Different management techniques for rice and wheat stubble in Punjab, India

Management method	Rice (Percent Total stubble)	Wheat (Percent Total stubble)
Incorporation into soil	1	<1
Fodder	7	45
Rope making	4	0
Burnt	81	48
Miscellaneous	7	7

In cognizance of this fact, Department of Farm Power and Machinery, Punjab Agricultural University has developed Happy Seeder machine to solve the problem of straw management in collaboration with CSIRO Land and Water Resources, Australia, under financial assistance from Australian Centre for International Agricultural Research (ACIAR). The machine is compact and lightweight and is tractor mounted. It consists of two separate units, a straw management unit and a sowing unit. The Happy Seeder can handle the paddy straw and do the sowing job without any tillage. It consists of straw cutting and chopping unit and a sowing drill combined in one machine. It sows the seed of next crop in one operational pass of the field, while retaining the rice residue as surface mulch.

Though there are some apprehensions such as increased chances of rodents, etc., the many advantages of adopting the technology are as under:

1. Allows sowing of wheat even when stubble is standing in the field. This is finally incorporated into the soil.
2. Mulching effect of straw causes weed suppression.
3. Possibility of saving first irrigation by sowing wheat in residual moisture.
4. Leads to conservation of water due to moisture retention. There is no loss of nutrients.

This environment friendly technology will prove a boon to the farmer community and the state can help them in making provision of this tool for improving soil health and environment for sustainable agriculture. The Happy Seeder machine has low adoption because of its high price and less popularity among the farmers. The state although is providing subsidy on Happy Seeder but it needs to make the farmers

educated on the various benefits of Happy Seeder machine. The state needs to undertake demonstration of this technology to make the farmers understanding this technology appropriately. There is also need to encourage farmers adopting Happy Seeder by developing cooperatives or farmers groups and provide the facility to the small and marginal farmers through custom hiring bas

CHECK YOUR PROGRESS

Ques. 1 Answer the following Short Answer type Questions:

- i. The residues ofand crops are major contributors to the total stubbleloads in India.
- ii. can damage the tissue of plants and cause discoloration inthem.
- iii. The states of India which are the largest producers of wheat are:
 - a. Punjab, Haryana, Western U.P and Uttrakhand
 - b. Punjab, Uttar Pradesh, Gujarat, Maharashtra
 - c. U.P, Uttarakhand, Haryana, parts of Delhi
 - d. None of the above
- iv. Paddy straw can be used forwhich is another way of wealth generation.
- v. The Act that makes it mandatory for farmers in Punjab to transplant paddy lateduring the Kharif season to prevent loss of water is the:
 - a. The Punjab Preservation of Subsoil Water Act, 2009
 - b. Farmers and Farm Workers Commission Act, 2017
 - c. The APMC Act, 1961
 - d. None of the above

8.6 SUMMARY

After studying this chapter, it has been observed that:

- Stubble burning is a practice of removing the crop residue from the field for sowingthe next crop.
- Since the combine harvester leaves crop residue behind, so the farmers clear the fieldby burning the stubble.

- The burning of crop residues generates numerous environmental problems like emission of greenhouse gases (GHGs) that contributes to the global warming, increased levels of particulate matter (PM) and smog that cause health hazards, loss of biodiversity of agricultural lands, and the deterioration of soil fertility
- Several steps can be taken to reduce crop residue burning such as finding an alternate usage of paddy straw and other crop residues, providing subsidy on mechanical implements that help tillage of the soil
- Alternatively, the stubble or the crop residue can be managed by in-situ incorporation, i.e. allowing the stubble to decompose in the field itself, using Happy Seeder technique, allowing the decomposition of rice straw, selling off the crop residue for electricity generation by thermal plants, etc.
- Stubble or crop residue can also be used for making paper, bio-gas and bio-oil which can further augment the incomes of the farmers.
- Various regulatory measures and legislations have been adopted by the govt of India to control the level of pollution and gas emissions that are released into the air because of stubble burning.
- However, there is still need for more efforts and support to be provided by the state governments in the form of financial incentives and subsidies so that the farmers are encouraged to either allow their stubble to decompose naturally or are facilitated so as to use their stubble as an additional source of income generation.

8.7 QUESTIONS FOR PRACTICE

Ques 1. Why is the issue of Stubble Burning so significant from the point of view of Environment protection?

Ques. 2 Discuss the impact of crop residue burning on the

environment? Ques 3. How does stubble burning cause health hazards

to the human beings?

Ques. 4 What kind of policy measures should be adopted to prevent stubble

burning? Ques. 5 Examine the main causes of stubble burning in the northern

states of India?

8.8 SUGGESTED READINGS

- R. Rajagopalan, Environmental Studies : From Crisis to Cure, 2015
- Erach Bharucha, Textbook of Environmental Studies for Undergraduate Courses, 2021
- B.S. Chauhan, Environmental Studies, 2008
- P.S. Jaswal, Environmental Law, 2021
- S.R. Myneni, Environmental Law, Asia Law House, Hyderabad



**The Motto of Our University
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SKILL ENHANCEMENT

EMPLOYABILITY

WISDOM

ACCESSIBILITY

**JAGAT GURU NANAK DEV
PUNJAB STATE OPEN UNIVERSITY, PATIALA**
(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

**BACHELOR OF ARTS (LIBERAL ARTS)
COMPULSORY NON-CREDIT COURSE**

SEMESTER-II

**HRDB31208T
HUMAN RIGHTS AND DUTIES**

Head Quarter: C/28, The Lower Mall, Patiala-147001

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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counselling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



BACHELOR OF ARTS (LIBERAL ARTS) HUMAN RIGHTS AND DUTIES

SEMESTER-II (HRDB31208T) (COMPULSORY NON-CREDIT COURSE)

MAXMARKS:100

EXTERNAL:70

INTERNAL:30

PASS:35%

Objective:

The objective of the course is to impart Learners basic knowledge about human rights as well as duties, and to enable them to meet challenges of human rights violations.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

Section A

(Introduction to Human Rights)

Unit I- Foundational Aspects: Meaning, Characteristics; Classification; Generations of Human Rights.

Unit II-Constitutional-Legal Recognition in India: Fundamental Rights; Directive Principles of State Policy.

Section B

(Introduction to Human Duties)

Unit I- Conceptual Perspective: Meaning, Nature & Characteristics of Human Duties; Classification of Human Duties; Relevance of Human Duties.

Unit II- Recognition to Human Duties in India: Fundamental Duties in Indian Constitution Part IV A.

Suggested Readings:

1. United Nations. The United Nations and Human Rights 1945-1995. Geneva: United Nations Blue Books Series, Vol. VII, 1996.
2. Sastry, S. N. Introduction to Human Rights and Duties. Pune: University of Pune Press, 2011.
3. Mertus, Julie. The United Nations and Human Rights-A Guide for a New Era. London: Routledge, 2009.
4. Donnelly, Jack. Universal Human Rights in Theory and Practice. New York: Cornell University Press, 2013.

5. Hammarberg, Thomas. Taking Duties Seriously- Individual Duties in International Humanitarian Law. Versoix: International Council on Human Policy, 1999.
6. Miller P. Frederic, et al. Fundamental Rights, Directive Principles and Fundamental Duties in India. New York: VDM Publishing, 2009.
7. Deol, Satnam Singh. Human Rights in India-Theory and Practice. New Delhi: Serials Publications, 2011.



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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

HRDB31208T: HUMAN RIGHTS AND DUTIES
COURSE COORDINATOR AND EDITOR: DR. GURLEEN AHLUWALIA

SECTION A

UNIT NO:	UNIT NAME
UNIT 1	FOUNDATIONAL ASPECTS
UNIT 2	CONSTITUTIONAL-LEGAL RECOGNITION IN INDIA

SECTION B

UNIT NO:	UNIT NAME
UNIT 1	CONCEPTUAL PERSPECTIVE
UNIT 2	RECOGNITION TO HUMAN DUTIES IN INDIA

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: HUMAN RIGHTS AND DUTIES

UNIT 1: MEANING; CHARACTERISTICS; CLASSIFICATION; GENERATIONS OF HUMAN RIGHTS

STRUCTURE

1.0 Objectives

1.1 Introduction

1.2 Defining Human Rights

1.3 Nature of Human Rights

1.4 Check your Progress - I

1.5 Classification of Human Rights

1.5.1 Classification from Social Sciences Point of View

1.5.2 Classification from Enforceability Point of View

1.5.3 Classification from Historical Point of View

1.5.4 Classification on the Basis of Individual and collective rights

1.5.5 Classification from Philosophical Perspective

1.6 Check your Progress - II

1.7 Three Generations of Rights

1.7.1 First Generation Rights

1.7.2 Second Generation Rights

1.7.3 Third Generation Rights

1.8 Summary

1.9 References

1.10 Further Readings

1.11 Model Questions

1.0 OBJECTIVES:

The objective of this lesson is to demonstrate an understanding of the meaning and nature of human rights. It further provides details about various types of classification of human rights. It will also apprise the reader with the historical evolution of human rights as three generations of rights.

1.1 INTRODUCTION:

In last few decades human rights have come to the centre stage within the theory and practice of international law and politics. Human rights are an integral part of every human being and form an integral part of the social cultural fabric of mankind. These are essential rights which every human being requires to lead a dignified life. Rights are the touch stones of political legitimacy. Their possession by citizens of a state qualifies it as a democratic and non-democratic state. Rights as a Bosanquet stated “is a claim recognised by the society and enforced by the state”. The society recognises the claims of individual but it is the coercive sanction of the state that gives the right the legal recognition. Leski stated that “Rights in fact are those conditions of social life without which no man can see in general to be himself at his best”. He further added “every state is known by the rights it maintains”. According to Article 1 of the Universal Declaration of Human Rights “All human beings are born free and equal in dignity and rights.” This substantiate the fact that everyone is entitled to these rights irrespective of their caste, class, race, religion, gender, place of birth, or any other consideration. These are rights that allow us to develop fully and use our human qualities, our intelligence, our talents and our conscience to satisfy our spiritual and other needs. The purpose of this chapter is to give a brief outline of the meaning, nature and scope of human rights. It will also elaborate how various rights have been classified internationally.

1.2 DEFINING HUMAN RIGHTS:

The concept of human rights is based on the belief that every human being is entitled to enjoy her/his rights without discrimination. Various academicians and Jurists have defined Human Rights differently. **Milne** argues that “Human rights are simply what every human being owes to every other human being and as such represent universal moral obligations. These rights can be summarised as the right to life, to freedom from unprovoked violence and arbitrary coercion, to be dealt with honestly, to receive aid in distress, and to be respected as a human person”. Some of the other definitions of human rights have been mentioned below.

Susan Moller Okin states that human rights is “*a claim to something (whether a freedom, a good, or a benefit) of crucial importance for human life*”.

According to the United Nations Centre for Human Rights: “*Human Rights could be defined as those rights which are inherent in our nature and without which we cannot live as human beings*”.

According to DD Basu: “*Human rights are those minimum rights which every individual must have against state or other public authorities by virtue of his being a member of human family, irrespective of any other consideration*”.

According to MH Beg (former Chief Justice of India): “*Human Rights imply justice, equality and freedom from arbitrary and discriminatory treatment. These cannot be subordinated to the interest of the rulers. No one can be subjected to coercion for holding particular religious beliefs. The doctrine of national sovereignty cannot justify violation of human rights*”.

A very comprehensive definition of human rights has been found in the **Protection of Human Rights Act, 1993**. According to this Act “*Human Rights mean the rights relating to life, liberty, equality and dignity of individual guaranteed by the Constitution or embodied in the international covenants and enforceable by courts in India*”.

1.3 NATURE OF HUMAN RIGHTS:

The concept of Human Rights defines basic dignity and worth of human being and his or her most fundamental entitlement. The denial of human rights and fundamental freedoms not only is an individual and personal tragedy but also creates conditions of social and political unrest sowing the seeds of violence and conflict within and between society and Nations. The key characteristics of human rights are:

- **Universal:** These rights are called universal in nature as every human being is equally entitled to these human rights. The entry into force of the UN Charter on 24 October 1945 marked the formal recognition of human rights as a universal principle, and compliance with human rights was mentioned in the Preamble and in Articles 55 and 56 as a principle to be upheld by all states. In 1948, it was followed by the adoption of the Universal Declaration of Human Rights (UDHR), and in 1966 by the International Covenant on Economic Social and Cultural Rights (ICESCR) and the International Covenant on Civil and Political Rights (ICCPR). The UDHR emphasized on the universality of human rights. Its universality is underlined by the fact that in 1948 it was formulated and agreed upon not only by Western states, but also by representatives from countries such as China, the Soviet Union, Chile, and Lebanon. It was moreover adopted without any objection: no votes against and only eight abstentions. The preamble of UDHR proclaimed that Universal Declaration of Human Rights as a common standard of achievement for all peoples and all nations and has been reasserted in many international human rights conventions, declarations, and resolutions.
- **Inalienable:** Human rights are inalienable. It means that they cannot be taken away, except in specific situations and according to due process. The inalienability of human rights has a base in the principle of natural rights. The state is the protector of these rights. All human being are entitled to these rights just by virtue of being born as a human being.
- **Indivisible and Interdependent:** The various Declarations and Conventions on human rights have provided a comprehensive list of rights including civil and political rights as well as economic, social and cultural rights. However, it has to be understood that all these are indivisible and interdependent. This means that one set of rights cannot be enjoyed fully without the other. For example, right to effectively participate in the local self-government in India may seem to be a civil and political right of women; however, its effective enforcement lies in the ensuring economic, social and cultural rights to women. Similarly, violating economic, social and cultural rights can negatively affect many other rights. The interdependence of various human rights was also stressed upon in the Vienna Declaration and Programme of Action (1993). As stated in the 1993 Vienna Declaration and Programme of Action: ‘All human rights are universal, indivisible and interdependent and interrelated. The international community must treat

human rights globally in a fair and equal manner, on the same footing, and with the same emphasis.'

- **Human Rights are not absolute:** Human beings are social animal and we live in civic society and there are certain restrictions in the enjoyment of various rights and freedoms. Human rights are not absolute in nature and there are certain restrictions imposed on the enjoyment of these rights for greater public good. However, all these restrictions must be based on the principle of natural justice.
- **Dynamic and Subjective:** Human rights are not static. As human rights deal with human beings, the understanding and scope of human rights keep on changing with the changing socio-cultural milieu. This makes the human rights dynamic as well as subjective.

1.4 CHECK YOUR PROGRESS I:

- (a) Do you agree that human rights are interrelated? Explain by giving an example from your day to day experiences.
- (b) If human rights are universal, what leads to enjoyment of these rights only by few? Introspect.

1.5 CLASSIFICATION OF RIGHTS:

Though all human rights are indivisible and interrelated, the human rights have been classified in a number of ways by various scholars. Some of the major classification of human rights has been discussed below.

(a) Classification from Social Sciences Point of View:

(i) Civil and Political Rights:

Civil rights are those rights which provide opportunity to each person to lead a civilized social life. Civil rights are attached to people simply because they are human beings. They're guarantees of equal social opportunities and protection under the law, regardless of race, religion, or other characteristics. These rights have been listed in the first eighteen articles of the UDHR. Later on these rights were made legally binding for the State Parties through International Covenant on Civil and Political Rights. Some of these rights are: right to freedom from torture; right to a fair trial; the right to freedom of assembly and association; the right to freedom of thought, conscience and religion; the right to freedom of expression; the right to effective remedy; the right to privacy; right to liberty and security; right to asylum; right to freedom from discrimination etc.

Political rights are those rights by virtue of which citizens get a chance in the political process. These enable citizens to take an active part in the political process. The degree of political freedom enjoyed by the citizens of a country has two prerequisites. The first one is whether the Constitution of the country extends these political rights to individuals and the second one is how effectively the people are able to enjoy these rights in reality. The second issue is equally relevant from human rights perspective as it ensures that the State is able to provide the rights mentioned in the Constitution to the citizens in actual sense. Articles 19 to 21 in UDHR enumerated various political rights. These rights were later codified in the ICCPR.

These rights include: right to vote; to get elected; a right to hold public office and right to criticize.

(ii) Economic, Social and Cultural Rights

Economic and social rights are human rights that relate to the ability of a person to live with dignity and participate fully in the society. These rights provide the conditions necessary for prosperity and wellbeing. Social rights often deal with the allocation and distribution of resources. Social rights are primarily private rights requiring government intervention and sacrifice, rather than a negative right that implicates government inaction. The economic and social rights have been listed in Articles 22 to 26 of the UDHR, and were further developed and set out as binding treaty norms in the ICESCR. Economic rights refer, for example: right to property; the right to work; the right to a fair wage; a reasonable limitation of working hours; and trade union rights. Social rights are those rights necessary for an adequate standard of living, including rights to health; shelter, food, social care, and the right to education. These rights have been enumerated under Articles 6 to 14 in the ICESCR.

Cultural Rights are rights related to art and culture, both understood in a large sense. The objective of these rights is to guarantee that people and communities have an access to culture and can participate in the culture of their choice. Cultural rights are human rights that aim at assuring the enjoyment of culture and its components in conditions of equality, human dignity and non-discrimination. They are rights related to themes such as language; cultural and artistic production; participation in cultural life; cultural heritage; intellectual property rights; author's rights; minorities and access to culture, among others. The UDHR lists cultural rights in Articles 27 and 28: the right to participate freely in the cultural life of the community, the right to share in scientific advancement and the right to the protection of the moral and material interests resulting from any scientific, literary or artistic production of which one is the author. These rights have also been mentioned in Article 15 of ICESCR and Article 27 of ICCPR.

(b) Classification from Enforceability Point of View:

In general understanding, civil and political rights are called 'Negative' rights as enjoyment of these rights require the non-intervention of the state (negative obligation) while economic, social and cultural rights are called 'positive rights' as these rights can be enjoyed by the people through active intervention on the part of the state (positive obligations). In other words, negative rights entail an obligation for the state to refrain from certain actions, while positive rights oblige it to provide certain guarantees.

There has always been a dichotomy between civil and political rights, and economic, social and cultural rights. As civil and political rights can be expressed in very precise language, imposing merely negative obligations which do not require resources for their implementation, these rights are easily enforceable. On the other hand, economic, social and cultural rights are considered to be expressed in vague terms, imposing only positive obligations conditional on the existence of resources and therefore involving a progressive realisation. As a consequence of these alleged differences, it has been argued that civil and political rights are justiciable whereas economic, social and cultural rights are not. In other

words, this view holds that only violations of civil and political rights can be adjudicated by judicial or similar bodies, while economic, social and cultural rights are 'by their nature' non-justiciable. However, in the last one decade, economic, social and cultural rights have been re-examined. Various international documents have stressed upon the indivisibility and interdependency of human rights.

(c) Classification from Historical Point of View:

Human rights, both conceptually and practically are hardly new. The rules for the protection of human rights may be traced as far back as in the Babylonian laws. Babylonian King Hammurabi issued a set of laws to his people which are called Hammurabi's codes. The codes though offered harsh punishments, it provided standards by which Babylonian could order their lives and treat one another. The historical evolution of human rights is also rooted in ancient art and in philosophical concepts of natural law and natural rights. The basic principles of human rights can be found in all religious traditions, ancient and modern, as well as in all philosophical traditions dating from the ancient text of the Upanishads and the early Buddhist and the later in the writings of Plato, Saint Thomas Aquinas and the enlightenment philosophers. The term civil and political rights however evolved lately specifically in 13th century in English common law with the introduction of Magna Carta in the year 1215. Although the Charter applied to privileged elite, gradually the concept was broadened to include all Englishman in the Bill of Rights in 1689 and eventually all citizens. The political and economic rights of people recognised under English laws laid the groundwork for the French Declaration of the Rights of Man and of the Citizens (1789) and the US Bill of Rights (1791).

The Second World War was a turning point in the history of human rights. The problem of the Holocaust accompanied by the perception that the world's nations needed to unite to prevent another catastrophe led to the foundation of United Nations in 1945. Shortly after this, a committee chaired by former US first lady Eleanor Roosevelt set to work to draft the Universal Declaration of Human Rights. The task was completed in 1948 and was proclaimed by General Assembly on December 10, 1948 making that day International Human Rights Day. The declaration was later divided into two treaties known as International Covenant on Civil and Political Rights and International Covenant on Economic, Social and Cultural Rights. These two documents got ratified and came into force in 1976. Besides this international legal framework, various regional mechanisms have been established in various regions across the world to protect and promote human rights.

(d) Classification on the Basis of Individual and collective rights

Although the fundamental purpose of human rights is the protection and development of the individual (individual rights), some of these rights are exercised by people in groups (collective rights). Freedom of association and assembly, freedom of religion and, more especially, the freedom to form or join a trade union, fall into this category. The collective element is even more evident when human rights are linked specifically to membership of a certain group, such as the right of members of ethnic and cultural minorities to preserve their own language and culture. One must make a distinction between two types of rights, which are usually called collective rights: individual rights enjoyed in association with others, and the rights of a collective. The most notable example of a collective human right is the right to self-

determination, which is regarded as being vested in peoples rather than in individuals (Articles 1 ICCPR and ICESCR). The recognition of the right to self-determination as a human right is grounded in the fact that it is seen as a necessary precondition for the development of the individual. It is generally accepted that collective rights may not infringe on universally accepted individual rights, such as the right to life and freedom from torture.

(e) Classification from Philosophical Perspective

One way of classifying human rights is from philosophical point of view. It can come under two major heads that is in liberal sense and strict sense. Theological theory of human rights as well as theory of natural law can be broadly considered as theories from liberal perspective. The reason for the same is that theological theory is based on the perception that source of human rights is God or religious scriptures. Similarly the natural rights theory is based on the perception that source of human rights is nature. Both these theories are highly un-codified and lead to subjectivity and different interpretation which can vary from person to person. On the other hand, the concept of positive law can be considered as a theory in strict sense. According to the legal positivism, the source of human rights is law. The positive law is the foundation of the present day codified concept of human rights. In today's world all the human rights which have been provided through the constitution or under international law are considered to be the codification of human rights in true sense. Though there is no denying to the fact that human rights exist even if there is no codified law to enforce the same. As stated earlier state is not the provider of these rights, in fact state is the protector of these rights. Another major theory in the strict sense can be the Marxian concept of human rights. The entire struggle of communism has been a struggle for human rights and to abolish economic exploitation of the proletariat by the bourgeois. The Marxian Communism propagated for the classless society. The state has been considered duty-bound to abolish the economic exploitation and human right should prevail in society for all without any discrimination.

1.6 CHECK YOUR PROGRESS II:

- 1. Which right is more crucial for a person: right to vote or right to employment? Justify your answer.**
- 2. What make Directive Principles of State Policy in India non enforceable in India?**

1.7 THREE GENERATIONS OF RIGHTS:

Framework of human rights is often described in terms of generations of rights. The division of human rights into three generations was first proposed by Karel Vasak at the International Institute of Human Rights in Strasbourg.

(a) First Generation Rights:

The formalisation of civil and political rights sometimes termed as first generation rights began in England with the Magna Carta (1215) and the Bill of Rights (1689). Civil and Political Rights are often referred to as negative rights because they came to protect the individual against the state. These are related to liberty and refer fundamentally to civil and political rights. These rights represent the first generation of subjective rights, and more precisely those rights that refer to personal autonomy of the individual and the rights that enable citizen participation

in a society. The rights of this generation are mainly political and civil rights and freedoms. Rights such as freedom of speech, free choice of residence and freedom of religion are among the first generation rights. The first generation of rights is generally about the person against political power and typically, maintains the originality of the human. This has been considered in article 2 to 21 of the Universal Declaration of Human Rights. Martin Golding called these rights as “selective” rights which mostly deal with the concepts of freedom and choice. They are the same traditional freedoms and citizenship privileges which have been formed as political and civil rights. The first generation rights mainly match the Liberalism Tradition; because these are the inalienable rights of people which have immunity against aggression of common goods and state authority; the point emphasized by Liberalism. In the modern age, these rights have found their consecration in constitutions and in the laws of most countries, as well as in international documents.

(b) Second Generation Rights:

The second generation rights are related to equality, including economic, social and cultural rights. The second generation of rights, against the first generation of rights requires institutional support from the state, the first generation rights can be exercised independently and singular. The state must intervene through legislation to create an institutional system that allows the exercise of these second generation rights. Rights such as education, dwelling, hygienic protection, employment and an appropriate level of living, are considered as the rights of second generation. The rights of second generation guarantee an active life along with health. These rights are also called “welfare” rights. On the contrary to the rights of first generation which generally emphasize non-intervention of the government and non-existence of obstacles (negative freedom), rights of second generation not only stress the nonexistence of obstacles, but also demand facilities and necessities from government (positive freedom). The basic idea of such division is that, the rights of first generation are ascertained by avoiding any action and rights of second generation by doing some actions; but the most important commonality between these two generations, is the emphasis of both on humanity of everybody or in other words, the rightfulness of human.

(c) Third Generation Rights:

Third generation rights came to the fore in the second half of the 20th century as more Nations became independent and the western centric colonial perspective weakened. The establishment of the third generation is the result of new needs of human. The developing human, international, social procedure and moralizing the international rights and human rights and also weaknesses of the first and second generations led to appearance of the third generation of human rights. The rights of third generation or unity rights do not talk about human; but put emphasis on the universal citizen. In contrast with the first and second generations which are products of theories (liberalists and socialists), the third generation of rights is the result of human experience and human life realities that has caused them to form. For instance, environmental pollution became an issue of grave concern after the Second World War and due to unsustainable production and consumption patterns. Hence, right to clean environment emerged as a third generation right.

In this generation of rights, the beneficiaries are society and social groups. The most important features of the third generation of rights are: establishing a powerful feeling among members of the universal society, putting emphasis on subjects higher than the geographical

areas or special economic and political systems, and specifying the rights which are made as the results of human presence in the human society. Most instances of the third generation of human rights (collective/solidarity rights) are: development right, peace right, right of human in choosing his destiny, right to have a healthy environment, right to human common wealth, right to philanthropic aids and the right to communication.

The rights in this category cannot be exerted individually, but only by groups of people. The third generation rights require not only the need to create an institutional support by the State, but, as in the case of second generation rights, they need to restrict the first generation of rights, through a so called “positive discrimination”, in the sense that these rights, like the rights of any minority, require a limitation of rights of first generation. The environmental law allows social groups to live in a healthy environment, clean, without harmful agents to health but, at the same time, imposes a number of limitations on the rights of first or second generation, like owning a forest. The only third generation right which so far has been given an official human rights status - apart from the right to self-determination, which is of longer standing - is the right to development. The Declaration on the Right to Development, adopted by the UN General Assembly on 4 December 1986, and the 1993 Vienna Declaration and Programme of Action (Paragraph I, 10) recognizes right to development. The Vienna Declaration confirms the right to development as a collective as well as an individual right, individuals being regarded as the primary subjects of development.

While the classification of rights into ‘generations’ has the virtue of incorporating communal and collective rights, thereby overcoming the individualist moral theory in which human rights are grounded, it has been criticised for not being historically accurate and for establishing a sharp distinction between all human rights. Indeed, the concept of generations of rights is at odds with the Teheran Proclamation and the Vienna Declaration and Programme of Action, which establish that all rights are indivisible, interdependent and interrelated.

1.8 SUMMARY

Human rights are the vehicles for human solidarity because they are the claims that all people are entitled to make and the obligations and responsibilities that all people share. Moreover, human rights allow us to generalize across national borders and across social settings. Human rights encompasses soft rights such as right to education for freedom from poverty and hard rights which fall under criminal law such as right not to be tortured. Humans have equal rights to enjoy political and civil freedom, to have economic and social security, to participate in community and family life, to have an education and to benefit from scientific research. In addition, humans have equal rights to dignity and to self-determination; to have their own distinctive identity and personality; to participate in culture; and to express themselves through their faith ideology and concessions. These two principles: the right to equality and the right to human uniqueness motivate our discussion and frame our purposes. The pursuit and achievement of human rights need to be considered as woven into social life at all levels including the local community and national laws and policies and international relations.

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1.11 MODEL QUESTIONS

1. What do you understand by the term human rights?
2. Do you agree that human rights are Universal rights?
3. Why human rights are not absolute?
4. Name any four historical events which are significant for the growth of human rights.
5. What is the difference between individual and collective rights?
6. Who gave the concept of three generations of rights?
7. Why third generation rights are called solidarity rights?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: HUMAN RIGHTS AND DUTIES

Unit 2: Fundamental Rights and Directive Principles of State Policy

STRUCTURE

- 2.0 Objectives**
- 2.1 Introduction**
- 2.2 Fundamental Rights**
 - (a) Right to Equality (Articles 14-18)**
 - (b) Right to Freedom (Articles 19-22)**
 - (c) Right Against Exploitation (Articles 23-24)**
 - (d) Right to Freedom of Religion (Articles 25-28)**
 - (e) Cultural and Educational Rights (Articles 29-30)**
 - (f) Right to Constitutional Remedies (Articles 32)**
- 2.3 Check your progress-I**
- 2.4 Directive Principles of State Policy**
 - (a) Welfare State Principles**
 - (b) Gandhian Principles**
 - (c) Liberal-Intellectual Principles**
- 2.5 Check your Progress- II**
- 2.6 Summary**
- 2.7 References**
- 2.8 Further Readings**
- 2.9 Model Questions**

2.0 OBJECTIVES:

The objective of this lesson is to get a better understanding of Indian Constitution. It further provides details about various rights provided under Fundamental Rights and Directive Principles of State Policy in Indian Constitution.

2.1 INTRODUCTION:

The Constitution of any country is the political document which is adopted by the people of that country or is given to them showing what system of the government they are having in that country. Our Constitution proclaims to have been adopted and enacted and given by its own people to themselves. It is in pursuance of a solemn resolution to constitute India into a sovereign, socialist, secular, democratic republic. The constituent assembly which drafted the Constitution of India was constituted under the cabinet mission plan in 1956. It consisted of several national leaders such as Dr Rajendra Prasad, Pt Jawahar Lal Nehru, Dr BR Ambedkar. Dr Rajendra Prasad was the Chairman of this constituent assembly. On November 26, 1949 the new Constitution was finally adopted by the constituent assembly. The Constitution of India is supreme. Belief in the secularism, socialism and in peace and progress are the commitments given by our Constitution. The Constitution of India is the largest constitution in the world (initially 395 articles and 8 schedules). The Indian Constitution as Granville Austin states is “first and foremost a social document”. The core of its commitment to a fundamental change in the social order lies in the sections of Fundamental Rights and the Directive Principles of State Policy. In this lesson we will learn about two major parts of the Constitution that is Part III, which deals with Fundamental Rights and Part IV which deals with Directive Principles of State Policy

2.2 FUNDAMENTAL RIGHTS:

The Fundamental Rights reflect both India's assimilation to western liberal tradition and its desire for the political freedom it was denied under colonial rule. The Fundamental Rights, embodied in Part III of the Constitution, guarantee to each citizen basic, substantive and procedural protection against the state. These rights are fundamental in the sense that they have been incorporated in the Constitution of India. They are fundamental in the sense that they are justiciable rights and enforceable by the courts and are available to all citizens.

Provisions of Part III of the Indian Constitution which enumerates the Fundamental Rights are more elaborate than those of any other existing written constitution relating to Fundamental Rights. It covers a wide range of topics. The Constitution itself classifies the fundamental rights in six groups as follows:

- (a) Right to Equality (Articles 14-18)
- (b) Right to Freedom (Articles 19-22)
- (c) Right Against Exploitation (Articles 23-24)
- (d) Right to Freedom of Religion (Articles 25-28)
- (e) Cultural and Educational Rights (Articles 29-30)
- (f) Right to Constitutional Remedies (Articles 32)

The original Constitution had seven groups of rights. Of these, the right to property was eliminated by the 44th Constitutional Amendment Act 1978 so only six rights now remain as fundamental rights. These six rights have been discussed below.

(a) **Right to Equality:** Articles 14 to 18 of the Indian Constitution deal with the right to equality. Equality is one of the basic postulates of democracy and is therefore rightly made the foundation of Indian polity by the Constitution.

- (i) **Equality before law** (Article 14 of the Constitution) provides that “The State shall not deny to any person equality before the law or the equal protection of the laws within the territory of India.” Equality before the law is an expression of English common law, while equal protection of laws poses its origin to the American Constitution. Both the expression seems to be identical but in fact they mean different things. While equality before the law is somewhat negative concept implying the absence of any special privilege in favour of an individual and the equal subjection of all classes of the ordinary. Equal protection of the law is a more positive concept, implying equality of treatment in equal circumstances. **Equal protection of laws** would mean that among equals, the law should be equal and equally administered. That is like should be treated alike. In other words, it means the right to equal treatment in similar circumstances both in the privilege conferred and in the liabilities imposed by the law. It does not mean that every person should be taxed equally, but that person under the same character should be taxed by the same standard.
- (ii) **Prohibition of Discrimination:** Article 15 (1) prohibits discrimination based on the place of birth, religion, race, caste or sex. Certain provisions can be made for the women, children, and citizens from any socially or educationally backward class for their upliftment (such as reservation and access to free education). However, it has to be understood that it cannot be read as prohibiting discrimination based on residence. Residence as a qualification for certain purposes such as employment may not be classed as discrimination based on caste and place of birth. The significance of the Article is that it guarantees against every form of discrimination by the state on the basis of religion, race, caste or sex. It also strikes at the root of provincialism of prohibiting discrimination based upon one’s place of birth. It also goes well with the ideal of the single citizenship which the Constitution establishes for the entire country.
- (iii) **Equality of opportunity in matters of public employment:** Article 16 guarantees equality of opportunity in matters of public employment. The state is prohibited from showing any discrimination against any citizen on ground of religion, caste, sex, and place of birth or residence. The only exceptions to the above rule of equality are:
 - Residence within the state may be laid down by the Parliament as a condition for particular classes of employment or appointment under any state or other local authority;
 - The state may reserve any post of appointment in favour of any backward class of citizens who, in the opinion of the state, are not adequately represented in the services under the state;

- The claim of the members of the Scheduled Castes and Scheduled Tribes shall be taken into consideration in the matter of appointment to services and force under the Union and the states, as far as may be consistent with the maintenance of efficiency of the administration (Article 335).
- (iv) **Abolition of Untouchability:** Article 17 abolishes untouchability and its practice in any form is made an offence punishable under the law. Parliament is authorised to make a law describing the punishment for this offence under Article 35 and in exercise of this power, Parliament has enacted the Untouchability Offences Act, 1955, which has been amended and renamed in 1976 as the Protection of Civil Rights Act. The acts of offences include:
- Preaching untouchability directly or indirectly.
 - Preventing any person from entering any shop, hotel, public place of worship and place of public entertainment.
 - Refusing to admit persons in hospitals, educational institutions or hostels established for public benefit.
 - Justifying untouchability on traditional, religious, philosophical or other grounds.
 - Insulting a person belonging to Scheduled Caste on the ground of untouchability.
- (v) **Abolition of titles:** In India, the practice of British government conferring the number of titles every year mostly on their political supporters and government officers, had already created a peculiar class of nobility among the people. It was difficult for independent India to recognise and accept these titles apart from consideration of the merit of those who had them. Article 18 abolishes all titles and the state is prohibited from conferring titles on any person. The only exception made to the strict rule of non-recognition of title is that provided in favour of academic or military distinctions and it has made four provisions in this regard:
- It prohibits the state from conferring any title on any citizen or a foreigner (except a military or academic distinction).
 - It prohibits a citizen of India from accepting any title from any foreign state.
 - A foreigner holding any office of profit or trust under the state cannot accept any title from any foreign state without the consent of the President of India.
 - No citizen or foreigner holding any office of profit or trust within the territory of India can accept any present, emolument or office from or under any foreign State without the consent of the president.

(b) Right to Freedom: Personal liberty is one of the fundamental human rights in Indian Constitution. Article 19 to 22 deal with the different aspect of this fundamental right.

Taken together these four articles form a charter of personal liberty which provides the backbone of the chapter on fundamental rights.

- (i) **Fundamental Freedoms:** There were seven freedoms under our original Constitution. Later on, one of them 'the right to acquire, hold and dispose of property' was omitted by the Constitutional 44th Amendment Act 1978 leaving only six freedoms in that Article. These are:
- **Freedom of speech and expression:** Expressing one's own views, opinions, belief and convictions freely by word of mouth, writing, printing, picturing or in any other manner.
 - **Right to assemble peaceably and without arms:** It includes the right to hold public meetings, demonstrations and take out processions which can be exercised only on public land. It does not protect violent, disorderly and riotous assemblies or strike.
 - **Freedom of association:** It includes the right to form political parties, companies, partnership firms, societies, clubs, organisations or trade unions.
 - **Freedom of movement:** The freedom of movement has two dimensions, viz, internal (right to move inside the country) (article 19) and external (right to move out of the country and right to come back to the country) (article 21).
 - **Right to reside and settle in any part of the territory of India:** Though the citizens have right to reside and settle in any part of the territory of India, the right of outsiders to reside and settle in tribal areas is restricted to protect the distinctive culture and customs of scheduled tribes and to safeguard their traditional vocation and properties against exploitation.
 - **Freedom of profession, occupation, trade or business:** It doesn't include the right to carry on a profession that is immoral (trafficking in women or children) or dangerous (harmful drugs or explosives, etc.).
- (ii) **Protection in Respect of Conviction for Offences: Article 20** grants protection against arbitrary and excessive punishment to an accused person, whether citizen or foreigner or legal person like a company or a corporation. It provides that:
- No person shall be convicted of any offence except for violation of a law in force at the time of the commission of the act or subjected to a penalty greater than that prescribed by the law.
 - No person shall be prosecuted and punished for the same offence more than once.
 - No person accused of any offence shall be compelled to be a witness against himself.
- (iii) **Protection of Life and Personal Liberty: Article 21** declares that no person shall be deprived of his **life or personal liberty** except according to the procedure established by law. This right is available to both citizens and non-citizens. The right to life is not merely confined to animal existence or survival but also includes the right to live with human dignity and all those aspects of life which go to make a man's life meaningful, complete and worth living.

(iv) **Right to Education: Article 21 (A)** declares that the State shall provide free and compulsory education to all children of the age of six to fourteen years. This provision makes only elementary education a Fundamental Right and not higher or professional education. This provision was added by the **86th Constitutional Amendment Act of 2002**. Before the 86th amendment, the Constitution contained a provision for free and compulsory education for children under **Article 45 in Part IV** of the Constitution.

(v) **Protection against Arrest and Detention:** Article 22 grants protection to persons who are arrested or detained. Detention is of two types, namely, **punitive** (punishment after trial and conviction) and **preventive** (punishment without trial and conviction). The first part of Article 22 deals with the ordinary law and includes: Right to be informed of the grounds of arrest; Right to consult and be defended by a legal practitioner; Right to be produced before a magistrate within 24 hours, excluding the journey time and Right to be released after 24 hours unless the magistrate authorises further detention.

The second part of Article 22 deals with preventive detention law. Protection under this article is available to both citizens as well as aliens and includes: the detention of a person **cannot exceed three months** unless an advisory board (judges of high court) reports sufficient cause for extended detention; the grounds of detention should be communicated to the detained person and the detained should be afforded an opportunity to make a representation against the detention order.

(c) Right Against Exploitation:

Articles 23 and 24 deal with right against discrimination. This right seeks to ban trafficking in human beings, begar or any other form of forced labour. Employment of children below 14 years of age in any factory or mine or other risky occupation is also prohibited by law. Exploitation means misuse of services of others with the help of force. In India, prior to the promulgation of the Constitution, services of backward communities and weaker sections of the society were used without any payment. This was known as a practice of begar. For instance, in villages, landless labours were supposed to work for the most part of the year on the jagirs without any compensation in cash or kind. The Constitution has, therefore, abolished this practice. The Constitution also prohibits forced labour. A bold step towards the abolition of forced labour and the economic and physical exploitation of the weaker sections of the people has been taken by the enactment of the Bonded Labour System Abolition Act, 1976 by Indian parliament.

(d) Right to Freedom of Religion:

India is a secular state. A state which observes an attitude of neutrality and impartiality towards all religions. The attitude of impartiality is secured by the Constitution of India under Article 25 to 28. Article 25 states that all persons are equally entitled to freedom of conscience and the right to profess, practice and propagate religion. There are only three restrictions to the freedom of religion namely: public order, morality and health.

Article 26 is, in fact, a corollary to Article 25 and guarantees the freedom to manage religious affairs. According to this, every religious denomination is given the right:

- to establish and maintain Institutions for religious and charitable purposes;
- to manage its own affairs in matter of religion;
- to own and acquire movable and immovable property; and
- to administer such property in accordance with law.

Article 27 provides an additional protection to religious activity by exempting funds appropriated towards the promotion or maintenance of any particular religion from the payment of taxes. Article 28 prohibits religious instruction in any educational institution wholly maintained out of state funds whether such instruction is given by the state or by any other body. Even though religious instruction be imparted in educational institutions recognised by or receiving aid from the state, no person attending such institution shall be compelled to receive that religious instruction without the consent of himself/herself or of his/her Guardian (in the case of a minor). Thus while the secular character of the state is demonstrated by all state educational institutions, private or denominational institutions, even when they receive state aid, are given freedom to maintain their religious character.

(e) Cultural and Educational rights:

The Constitution provides that a minority shall have the right to conserve its own language, script, literature and culture. Admission to any state aided educational institution shall not be refused to anybody on grounds of religion, race, caste or language under Article 29. Article 30 provides that all minorities whether based on religion or language, shall have the right to establish and administer educational institutions of their choice. The state shall not in granting aid to educational institutions, discriminate against any educational institution on the ground that it is under the management of a minority, whether based on religion or language. With the guarantee of these rights, the Constitution ensures the protection of the rights of the minorities.

(f) The right to Constitutional Remedies:

The right to constitutional remedy is covered under article 32 of the Indian Constitution. This article guarantees the individual the right to move the Supreme Court by appropriate proceedings for the enforcement of his/ her fundamental rights. The Supreme Court is empowered to issue directions or orders or writs including writs in the nature of *Habeas Corpus*, *mandamus*, *prohibition*, *quo warranto* and *certiorari*, whichever it considers appropriate. Further, without prejudice to the powers of the Supreme Court, the Parliament may by law, empower any other Court to exercise within the local limits of its jurisdiction or any of its powers exercisable by the Supreme Court. The right to constitutional remedies may be suspended as provided by the Constitution under article 353 and 359.

The inclusion of a detailed scheme of fundamental rights in the Constitution marks the culmination of a long and sustained desire of the Indians to be bestowed with the basic liberties of free and happy life. These rights, therefore, have been given a very esteemed

position in the constitutional law of the country, for, all laws in force in the territory of India immediately before 26 January 1950, and all legislations enacted thereafter, have to conform to the provisions of Part III of the Constitution. Moreover, the scope of the fundamental rights are wide enough to encompass practically all those rights which human ingenuity has found to be essential for the development and growth of the personalities of the citizens of the country. Significantly, the focus of attention of the framers in this regard was on the citizens mainly, if not exclusively, as many of these rights are not guaranteed to the aliens.

2.3: CHECK YOUR PROGRESS 1:

- (a) Which Fundamental right is most significant according to you?
- (b) Exploitation is worst form of human rights exploitation? Try to understand it from the perspective of child labour in India.

2.4 DIRECTIVE PRINCIPLES OF STATE POLICY

Part IV of the Constitution (Articles 36 to 51) provides the Directive Principles of State Policy. These principles may be classified under several groups. It shall be the duty of the state to follow these principles both in the manner of Administration as well as in the making of laws. They embody the object of the state under the republican constitution, namely, that it is to be a welfare state and not a mere police state. Most of these directives, aim at the establishment of the economic and social democracy which is pledged for in the Preamble of Indian Constitution. The framers of the Constitution were influenced most by the Constitution of the Irish Republic which embodies a chapter on Directive Principles of State Policy. A number of these principles are entirely Indian and Gandhian in nature like setting up of village panchayats and cottage industries, prohibition, protection against cow slaughter etc. Dr Ambedkar called Directive Principles of State Policy as a novel feature of the Constitution of India. These Directive principles are in the nature of general directions or instructions to the state. They embody the objectives and ideals which Union and State governments must bear in mind while formulating policy and making laws.

Indian Constitution has not originally classified DPSPs but on the basis of their content and direction, they are usually classified into three types-Welfare State Principles, Gandhian Principles and Liberal-Intellectual Principles. The DPSPs have been discussed below under these three principles

- (a) **Welfare State Principles:** They are the principles that aim at providing social and economic justice and set the path towards the welfare state.
- (i) **Article 38:** Promote the welfare of the people by securing a social order through justice—social, economic and political—and to minimise inequalities in income, status, facilities and opportunities.
- (ii) **Article 39:** Secure citizens:
- Right to adequate means of livelihood for all citizens
 - Equitable distribution of material resources of the community for the common good
 - Prevention of concentration of wealth and means of production

- Equal pay for equal work for men and women
 - Preservation of the health and strength of workers and children against forcible abuse
 - Opportunities for the healthy development of children
- (iii) **Article 39A:** Promote equal justice and free legal aid to the poor
- (iv) **Article 41:** In cases of unemployment, old age, sickness and disablement, secure citizens: Right to work, Right to education and Right to public assistance.
- (v) **Article 42:** Make provision for just and humane conditions of work and maternity relief.
- (vi) **Article 43:** Secure a living wage, a decent standard of living and social and cultural opportunities for all workers.
- (vii) **Article 43A:** Take steps to secure the participation of workers in the management of industries.
- (viii) **Article 47:** Raise the level of nutrition and the standard of living of people and to improve public health
- (b) **Gandhian Principles:** These principles are based on Gandhian ideology used to represent the programme of reconstruction enunciated by Gandhi during the national movement.
- (i) **Article 40:** Organise village panchayats and endow them with necessary powers and authority to enable them to function as units of self-government.
- (ii) **Article 43:** Promote cottage industries on an individual or co-operation basis in rural areas.
- (iii) **Article 43B:** Promote voluntary formation, autonomous functioning, democratic control and professional management of co-operative societies.
- (iv) **Article 46:** Promote the educational and economic interests of SCs, STs, and other weaker sections of the society and to protect them from social injustice and exploitation.
- (v) **Article 47:** Prohibit the consumption of intoxicating drinks and drugs which are injurious to health.
- (vi) **Article 48:** Prohibit the slaughter of cows, calves and other milch and draught cattle and to improve their breeds.
- (c) **Liberal-Intellectual Principles:** These principles reflect the ideology of liberalism.
- (i) **Article 44:** Secure for all citizens a uniform civil code throughout the country.
- (ii) **Article 45:** Provide early childhood care and education for all children until they complete the age of six years.
- (iii) **Article 48:** Organise agriculture and animal husbandry on modern and scientific lines.
- (iv) **Article 49:** Protect monuments, places and objects of artistic or historic interest which are declared to be of national importance
- (v) **Article 50:** Separate the judiciary from the executive in the public services of the State.

- (vi) **Article 51:** Promote international peace and security and maintain just and honourable relations between nations; Foster respect for international law and treaty obligations and Encourage settlement of international disputes by arbitration.

42nd Amendment Act, 1976 added four new Directive Principles in the list i.e.

- To secure opportunities for the healthy development of children (**Article 39**);
- To promote equal justice and to provide free legal aid to the poor (**Article 39A**);
- To take steps to secure the participation of workers in the management of industries (**Article 43A**) and
- To protect and improve the environment and to safeguard forests and wildlife (**Article 48A**).

A perusal of various principles reveals interesting features regarding the scope and diversity of the directive principles. As pointed out earlier, provision of directive principles afforded various shades of perspectives an opportunity to provide their ideals a place in the Constitution. First, the substantive numbers of directive principles are aimed at the establishment of a welfare state by bringing about a subtle socio-economic transformation in the country. Second, a large number of directive principles aspire to implement the Gandhian principles of social life. Last, certain directive principles deal with the streamlining of governance in the country and promotion of international peace.

2.5 CHECK YOUR PROGRESS-II

- **How Gandhian Ideology played a significant role while framing DPSP?**
- **The DPSP are called less enforceable than Fundamental Rights in India? Do you agree with this belief?**

2.6 SUMMARY

The Directive Principles of State Policy and the Fundamental Rights constitute the most important features of Indian Constitution. The Directive Principles, the fundamental in the Governance of the country, are not enforceable by any court in terms of the express provision of article 37 of the Constitution while Fundamental Rights are enforceable by the Supreme Court and the high courts in terms of the express provision of Article 32 and 226 of the Indian Constitution. In the well-known case *A. K. Gopalan vs the State of Madras* (1950) Fundamental Rights were held as paramount. In case of conflict between Directive principles and Fundamental Rights the latter are enforceable by the courts. This shows the dichotomy between these two. However both constitute essential features of the constitution. Although these two may appear in the Constitution as distant entity, the leaders of freedom struggle had drawn no distinction between the positive and negative obligations of the state. Both types of rights had developed as a common demand products of the national and social revolutions of their almost inseparable inter twinning and of the character of Indian politics itself. In the words of Mr Justice Deshpande, “the Constitution is not only a legal but also a social and political document. Its legal aspect namely the Fundamental Rights is enforceable by the individual through writ

petitions and otherwise in the courts. Its social aspect can, however, be amended only by legislation to carry out the objectives of the Directive Principles of State Policy”.

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2.9 MODEL QUESTIONS

Q 1: What is the significance of Fundamental Rights in protecting and promoting human rights in India?

Q 2: How right to freedom has been incorporated into Indian Constitution?

Q 3: Which Fundamental Right according to you is the most significant and why?

Q 4: Why Directive Principles of State Policy were incorporated in the Indian Constitution?

Q 5: Name the Gandhian Principles provided under DPSP.

Q 6: Do you feel that DPSP are less effective than Fundamental Rights? Justify your answer.

BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER-II
COURSE: HUMAN RIGHTS AND DUTIES

**UNIT 3: MEANING, NATURE & CHARACTERISTICS OF HUMAN DUTIES;
CLASSIFICATION OF HUMAN DUTIES; RELATIONSHIP BETWEEN RIGHTS
AND DUTIES**

STRUCTURE

3.0 Objectives

3.1 Introduction

3.2 Meaning

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3.0 Objectives:

The objective of this lesson is to understand the meaning, nature and characteristics of Human Duties. It further provides details about various types of Classification of Human Duties.

3.1 Introduction:

Everyone has rights, but the very desire to enjoy one's rights also puts an onus on each individual, institution and the state to recognise the responsibility of respecting the rights of others. Responsibility in relation to rights is becoming increasingly significant as the nature and scope of human rights expands and the search for a new global culture of human rights accelerates. In a global village, the Gandhian ideal of "all rights reserved and preserved come from duty well done" resumes renewed significance. Responsibility in the context of human rights has been a subject of debate for long. The notion that individuals, while having particular human rights, also have particular duties in relation to the social entity in which they live have been a constant feature of the United Nation's work and predates the UN Charter's entry into force in 1945.

3.2 Meaning of Human Duties

The concept of Duty arises from fulfillment of a requirement. It arises in several ways and means, such as moral duties, legal duties, parental duties, societal duties, and civil duties etc. However from the point of view of law, duties arise from legal norms or requirements. They have to be discharged, the way it was prescribed. Accordingly, the actions are constituted as right or wrong. The word duty is also said to be derived from the word 'debt' which means 'loan'. Thus duty is a kind of loan which a citizen pays in return for the rights. In this sense, it becomes an obligation. A person is said to have a duty to perform towards other in any matter by being under an obligation to do or not to do something.

- According to **Prof. Dicey**, "a duty is a species of obligation. People obey it due to indolence, deference, sympathy, fear and reason. And due to psychological, social and moral pressures. Most duties are supported by State. The breach of the duty leads to imprisonment or fine."
- **Keeton** defines duty as an act of forbearance which is enforced by the state in respect of a right vested in another and breach of which is a wrong.
- **Salmond** defines duty as roughly speaking an act which one ought to do, an act the opposite of which would be a wrong.
- According to **Frazier**, "To have a duty is, above all, to be subject to a binding, normative requirement. This means that unless there are exculpatory reasons someone who has a duty is required to satisfy it, and can be justifiably criticized for not doing so. Having a duty to do something is like having been given a command by someone who has a right to be obeyed: it must be done".

3.3 Nature and Characteristics of Human Duties

The word obligation commonly referred to as a synonym of duty or vice versa. C. H. Whiteley, for instance, while he does not propose any explicit definitions, says that 'duty' and 'obligation' are approximate synonyms and that "a duty or obligation is a consequence of a contract or undertaking, either explicit or implicit. However strictly speaking there exists a difference

between the two. According to H.L.A. Hart, duty and obligation are distinct to each other. A right exists without any correspondence to an obligation incurred or created at times. What distinguishes obligations from duties is that "they may be voluntarily incurred or created" (whereas duties arise from position, status, and role), and that "they are owed to special persons (who have rights)". This means every time a duty has a connection with the position of person, which is linked with right. Hence, an obligation may not correspond to a duty at all times. It is only usage or practice of referring to write as a synonym of duty. Cicero, an early Roman philosopher who discusses duty in his work "On Duty", suggests that duties can come from four different sources:

- as a result of being a human;
- as a result of one's place in life (one's family, one's country, one's job);
- as a result of one's character;
- as a result of one's own moral expectations for oneself.

Reciprocity plays a key role in Fuller's account of duty. According to him, the existence of duties depends partly on the behavior of others. In particular, it is fair to expect me to act in certain ways only if similar expectations hold with respect to those judging my behavior. In the legal context, citizens have a duty to follow legal rules provided those rules outline a standard that citizens are knowledgeable of, capable of following, and that is actually used to judge their conduct.

3.4 Check your Progress I:

- (a) What is more important according to you: 'Human Duty or Human right'?
- (b) How Prof Dicey denied duty?

3.5 Historical Evolution of the Concept of Human Duty

Eastern jurisprudence encompasses all the aspects of human behavior within 'Dharma' for which it is said '*Dharmo Rakshati Rakshita*' (respect dharma; dharma will respect you). Dharma in its core involves duties as its subject matter. Even the King is said to have duties falling under Raj dharma. Duties have prevalence and predominance in Eastern Jurisprudence while the right is subservient, collateral and relative in contrast to western jurisprudence. In Bhagwat Geeta, various verses emphasize on the significance of duty by stating that: 'Your right is to work only, but never to the fruit thereof. Let not the fruit of action be your object, nor let your attachment be to inaction'. Though the message apparently talks about the right but here the right itself is in the form of duty to work. In subsequent verse it unequivocally speaks about duty, where the message says: 'Arjuna, perform your duties: dwelling Yoga, relinquishing attachment, and indifferent to success and failure; equanimity is called Yoga'. The jurisprudence of west and Dharma of east is law and/or science of law. Once it is arrived at that jurisprudence is in relation to law, it is imperative to deliberate inter-alia upon the 'Right and Duties' as concept of law (Bhagwat Geeta, verse 47 & 48). Mahatma Gandhi also laid great emphasis on performance of duty and has stated that – "The true source of right is duty and if we all discharge our duty, right will not be far to seek. If leaving duty unperformed, we run

after rights, they will escape us like Will-o-the-wisp. The more we pursue them, the farther they will fly”.

3.6 CLASSIFICATION OF HUMAN DUTIES:

The duties can be classified in a number of ways. Some broad classifications of human duties have been discussed below.

(a) Moral and Legal Duties:

Moral duties are those obligations which we should observe but we are not legally bound to observe them. It is our moral duty that we should serve our parents, teachers, brothers and sisters and the relatives. It is the moral duty of every one that he should lend a helping hand to the poor and down-trodden. On the other hand, an individual is legally bound to perform legal duties. A legal duty is adversary of a legal wrong and it is recognized by the law for administration of justice. If he does not perform them, he will be punished by the state. It is an act, the opposite of which is a legal wrong. It is an act recognised as duty by law. Law ensures performance of legal duties and punishes disregard to this duty. For example, it is the legal duty of every citizen to show obedience to the constitution, commands of law and pay taxes regularly and honestly. It is our legal duty to remain loyal to our country. There is a marked difference between legal duties and moral duties. It depends entirely on the conscience of the individual to perform moral duties or not to perform them. A duty may be moral but not legal or legal but not moral, or both at once. For example, the act of not wasting paper is our moral duty but not legal.

(b) Positive and Negative Duties:

When a person is enforced to perform a duty, the duty is called positive duty. Whereas, when the law asks the person from refraining in involving or undertaking a particular act, such duty is called negative duty. For example – to pay debt is a positive duty whereas, not to trespass on third person’s land is a negative duty. In positive duties performance extinguishes both duty and right. A negative duty can never be extinguished by fulfilment. In the words of Dr Zakir Hussain “Duty is not dumb obedience; it is an active desire to fulfil obligations and responsibilities”. Negative duties require that we refrain from harming and injuring others, while positive duty requires that we render assistance to those in distress. The two most plausible positions on this issue can be labelled as ‘conventionalism’ and ‘equivalence’. Conventionalists maintain that we have both negative and positive duties towards others and positive duties are restricted to rendering assistance when doing so involves a minimum expenditure of effort and resources; positive duty requiring a maximum sacrifices are considered supererogatory. Hence our requirement to aid the needy is a duty only if the sacrifices and expenditure of resources on our part is minimal - if it does not place a burden on our basic life interest. Conventionalists also recognise, of course, negative duty towards others. They maintained that violation of negative duties are morally worse acts, other things being equal, than violations of correlated positive duties.

(c) Primary and Secondary Duties

Primary duty is one which doesn’t need to be stated, it exists on its own. A primary duty is that which exists per se and independent of another duty. According to W. D. Ross, people mostly discharge their duties to live up to their promises as goodwill. This means, many a times people perform their duties basing on the advantages and disadvantages. This being the primary

concept of duty, Ross calls individuals to be rational in discharging their duties in a proper manner without harming the interests of others. The duty not to cause personal injury to another is a primary duty. A secondary duty is one which exists only for giving the way to other duties and has no independent existence. The duty to pay damages for the injury already done is a secondary duty.

(d) Absolute and Relative Duties:

Absolute duties are the one which are not followed by a right which means a right is not corollary of a duty in the case of absolute duties, whereas relative duties are the duties which come with a bond and are followed by right. Thus, a relative duty cannot exist without a right. Austin distinguished between absolute and relative duties. According to him, while every right is relative and has a correlative duty, every duty need not necessarily have a correlative right. In Austin's opinion some duties are absolute duties to which no corresponding rights are attached. Austin stated four kinds of absolute duties:

- (i) Duties not regarding persons (those owed to God and the lower animals),
- (ii) Duties owed to persons indefinitely (duties towards the community e.g. Duty not to commit nuisance),
- (iii) Self-regarding duties (duty owed to one self e. g. Duty not to commit suicide or duty not to become intoxicated),
- (iv) Duty towards State.

As indicated above absolute duties are those which have no corresponding or correlative rights. Relative duties are those to which there is a corresponding right in some person or definite body of persons e.g. duty to pay one's debt to the creditor. All these four kinds of absolute duties as mentioned by Austin are really reducible to one head – Duties towards the State. Man's relation to God is a matter of religion and not of law. If the legal system protects certain religious duties with a sanction, then that duty is part of the law and amenable to same analysis as other legal duties. So far as duties towards animals are concerned, if the law prohibits cruelty, one may owe a duty to the State. In case of duties towards the community or the public, duty is merely the correlative of the right inhering in each member of the community. As for self-regarding duties, there cannot be a legal duty owed to oneself. The duty not to commit suicide is not a duty I owe to myself but is part of the criminal law and subject to the same analysis as any other duty imposed by the criminal law. In Austin's view, the duties of the subjects towards the State are absolute. This argument leads to the rejection of the notion that there can be a right-duty relationship between the subject and the state. Austin maintained that when the state imposes a duty on a subject, it is a misuse of language to say that the State has a corresponding legal right. The state has physical power. The exercise of a legal right is regulated, whereas the power of the sovereign is not. Austin's thesis of 'absolute duties' is generally rejected in modern times.

Salmond did not support this concept of absolute and relative duties. According to Salmond, all duties are relative and there can be no absolute duties, for there must be a right in another when one is under a duty. He believed there is no duty without a right. Salmond also believed that no right can exist without a corresponding duty. Every right or duty involves a bond of a legal obligation by which two or more persons are bound together. Thus, there can be no duty unless there is someone to whom it is due; there can be no right unless there is someone from whom

it is claimed, and there can be no wrong unless there is someone who is wronged, that is to say, someone whose right has been violated.

However, Prof. C.K.Allen supported Austin's view. He was of the view that where the State imposes duties in virtue of its sovereign character, the duties are absolute without correlative rights in the State. For example, a State compels children to go to school, or to be vaccinated, prohibits the sale of liquor. In these cases there are no corresponding rights. According to Allen, the duties imposed by the criminal law are absolute duties. Duty is the correlative of a right which can be understood as an obligation to do something. It is an act whose opposite would be wrong. Whenever law ascribes duty to a person, a corresponding right also exists with the person on whom the duty is imposed. Hibbert also refers to absolute and relative duties. The former duties are owed only to the state, breach of which is generally called a crime, and the remedy, therefore, is punishment. The latter kind of duties is owed to any person other than the one who is imposing them, the breach of which is called a civil injury which is redressable by compensation to the injured party.

(e) Classification in African Charter:

The African Charter under Chapter II deals with the duties of the individuals of the Contracting Parties in detailed manner. These duties are as follows:

- Duty towards his family and society, the State other legally recognized communities and international communities (Article 27, Para 1).
- Duty to respect and consider his fellow beings without discrimination and to maintain relations aimed at promoting, safeguarding and reinforcing mutual respect and tolerance (Article 28).
- Duty to preserve the harmonious development of the family and to work for the cohesion and respect of the family, to respect his parents at all times, to maintain them in case of need (Article 29).
- Duty to serve his national community (Article 29).
- Duty not to compromise the security of the State whose national of resident he is (Article 29).
- Duty to preserve and strengthen social and nation security (Article 29).
- Duty to preserve and strengthen the national independence and the territorial integrity of his country (Article 29).
- Duty to work to the best of his abilities and competence, and to pay taxes imposed by law in interest of the society.
- Duty to preserve and strengthen positive African cultural values in his relations with other members of the society (Article 29).
- Duty to contribute at all times to the promotion and achievement of African unity (Article 29)

3.7 CHECK YOUR PROGRESS-II

(a) Give one example of moral and legal duty each.

(b) What was Austin's view o duties.

3.8 RELATIONSHIP BETWEEN RIGHTS AND DUTIES:

It is commonly held that rights "correlate" with duties. By this is usually meant at least that rights imply duties (even if not all duties imply rights) and also that claims of individual rights need not be recognized unless backed by proof that corresponding obligations obtain. Such a doctrine of correlativity also forms part of the view that rights must be understood or analysed in terms of duty or obligation. The relationship between rights and duties has been elaborated below.

(a) Right is a Duty in Itself:

Rights and duties are closely related and cannot be separated from one another. Both go side by side. These are the two sides of the same coin. One's right is one's duty also. If a citizen wants to exercise and enjoy a right, he must also know, realize and concede that others also have a similar right, and as such he must not temper with a similar rights of others. It becomes the duty of every citizen to exercise his rights in a manner which must not be prejudicial to the free exercise of the same rights by others. For example if I have the right to move freely in any part of the country or express my views freely, than others have also the same rights. Therefore, I must also let others exercise their rights properly. At the same time, I must not misuse my rights to the detriment of others. If the state gives the right to life to a citizen, it also imposes an obligation on him to not to expose his life to dangers, as well as to respect the life of others. If I have a right to work and earn, it is also my duty to recognize the same right of others. Rights are not the monopoly of a single individual. Everybody gets these equally. This means that "others also have the same rights which I have, and it is my duty to see that others also enjoy their rights." Laski has rightly said that one man's right is also his duty. It is my duty to respect the rights of others as well as the duty to use my rights in the interest of society.

(b) Every right has a Corresponding Duty

Rights can be enjoyed only in the world of duties. For every right there is corresponding duty. When the people fail to discharge their duties properly, the rights become meaningless. A right, belonging to one person, imposes a corresponding duty on others to give due respect to his right. If I have the right to property, then correspondingly it becomes the duty of others not to steal, take away or interfere with my property. And if anybody tries to curtail or abridge my right then I can seek the protection of the laws of the state and get the culprit suitably punished. Rights are to be enjoyed by all citizens living in a social setup. If disregard is shown to the rights of some by others, then confusion or chaos will follow in which nobody would be able to exercise his rights. If I have a right to live then it is the duty of others to let me enjoy this right properly. In fact, in the observance of such a duty lies the right of others to live. Besides this non-interference in and acceptance or recognition of others' rights bestow upon you the similar rights. In this way, we find that one's right is another's duty. I can enjoy my rights only if the others allow me to do the same. I have the right to life and it is the duty of others to respect my life and not to cause any harm to me.

(c) Rights carry Social Obligations:

Since it is the state which grants, maintains and protects the rights of individuals, individuals too has a duty towards the state. He has to be loyal to the state. We must obey the laws of the state and be always prepared to sacrifice everything for the sovereignty and integrity of the state. It is also expected that citizens would use their rights in a befitting manner. There improper exercise may prove harmful and dangerous to the society and to the political system.

If the right to speech is exercised to the extent of provoking or instigating others to revolt against the political system, then anarchy would prevail which would ultimately endanger the rights of all the citizens. Rights are, therefore, to be enjoyed in a democratic spirit and at no point of time the public good should be ignored. It is only in the society that people get their rights. Therefore, they have a duty towards society which protects their rights. An individual must not keep on furthering his own interest at the cost of the general interest of the society. He must try to contribute his best to the common good because he cannot enjoy rights independent of society.

3.9 SUMMARY:

Then the question is how the duties have to be performed? The answer lies in our culture and that is, 'the duty is to be performed not only for the sake of the duty but with a feeling that it is a sacred entrustment by almighty and for breach of the same, the individual is answerable to his own conscience'. When such concept of duty is engrained in the minds of people, the country is bound to progress. There are number of factors which retard the progress of duties. These are lack of values, education, poverty and corruption and require to be tackled on war footing. For this, social attitudes of the people have to be changed. The parents, teachers, civil servants, professional and those who are engaged in administration of justice have to act as role models so that the people may learn and imbibe the concept of duty from them. Rights and duties are the very important elements of law. Their administration of justice, in most part, consists of the enforcement of rights and the fulfilment of duties. Rights and duties are correlated to each other in such a way that one cannot be conceived of without other. In other words, the existence of the one depends on the existence of the other. When we speak about the right, it correlates to a duty upon another individual, employer, government, authority. In other words, the right of one is an obligation of another. Thus right is always against someone upon whom the correlative duty is imposed. In the same way, duty is always towards someone in whom the core relative right vests. There are some jurists who do not agree to this view. They say that there can be duties without a corresponding right. They call such duties as absolute duties. The duties which are always correlated with the right are called the relative duties. Thus we find that the rights and duties are closely related to and dependent on each other. One cannot exist without the other. They are the two aspects of the same thing. If there are rights, they are there because certain duties are performed. Rights imply duties and one cannot be even conceived of without the other.

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3.12 MODEL QUESTIONS

Q 1: Define the term Human Duty.

Q 2: What is the nature of human duties?

Q 3: What is the difference between moral and legal duty?

Q 4: Do you agree with Austin that there is a difference between absolute and relative duty? Justify your answer.

Q 5: What is the role of an individual while performing negative and positive duties?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-II

COURSE: HUMAN RIGHTS AND DUTIES

UNIT 4: FUNDAMENTAL DUTIES IN INDIAN CONSTITUTION

STRUCTURE

4.0 Objectives

4.1 Introduction

4.2 Historical Evolution

4.3 Fundamental Duties in Indian Constitution

4.4 Check your Progress-I

4.5 Enforceability of Fundamental Duties

4.6 Relevance of Fundamental Duties

4.7 Summary

4.8 References

4.9 Further Readings

4.10 Model Questions

4.0 OBJECTIVES:

The objective of this lesson is to discuss the scope and significance of Fundamental Duties provided under Part IV in the Indian Constitution. Besides studying the historical development of the concept of Fundamental Duties in Indian Constitution, it will also discuss the enforceability of these duties by referring to various case laws.

4.1 INTRODUCTION:

Constitution being supreme in itself creates the fundamental right with remedy to enforce them under Article 32 or 226 of the Constitution of India. The right may be that of citizens and/or aliens. The corresponding duty is with the state. The right is enforceable against the state and/or against the instrumentalities of state as the case may be. Likewise Directive principles though were said to be non-justiciable but their justiciability in some situations has not been ruled out. Likewise the Constitution creates some aspect of democratic process and also provides mechanism for compliance. The said mechanism may be by a constitutional process itself or through statute (s). The fundamental Duties are the latest addition to the Constitution, making such duties explicit. Among the various constitutions in Indian Sub-Continent some duties on citizens are inbuilt in the Constitution while in others they are by law, custom and/ or precedent. Impregnating the high sounding and zealously guarded domain of fundamental rights with a moderate dose of ethical citizenship responsibilities, the fundamental duties were inserted in

the Constitution in 1976 through the Constitution's Forty-second Amendment. Placed in Part IV-A of the Constitution under Article 51-A, the set of ten fundamental duties is supposed to be only moral exhortation to the citizens of the country to inculcate a sense of patriotic and sensible citizenship, without any legal justiciability.

The inclusion of Fundamental Duties brought our Constitution in line with article 29 (1) of the Universal Declaration of Human Rights which states that "Everyone has duties to the community in which alone the free and full development of his personality is possible" and with provisions in several modern Constitutions of other countries. Similarly, the constitution of many other countries has enumerated many duties of the citizens. For instance, Article 17 of the Constitution of Morocco of December 1962, Article 48(1) of the Constitution of Somalia of July 1960, Article 16 of the Constitution of Tunisia of June 1959, Article 44 of the Constitution of UAR of March 1964, Article 102 of the Constitution of People's Republic of China of September 1954, Article 48 of the Constitution of State of Kuwait of November 1962 emphasize duties of citizens, in particular the duty to pay taxes and to contribute to the public exchequer according to his capacity. The concept of Fundamental duties was taken in Indian Constitution from the former USSR. Fundamental duties are intended to serve as a constant reminder to every citizen that while the constitution specifically conferred on them certain Fundamental Rights, it also requires citizens to observe certain basic norms of democratic conduct and democratic behaviour because rights and duties are co-relative.

4.2: HISTORICAL EVOLUTION:

Mahatma Gandhi always emphasized on the relevance of duties in an individual's life. He always stated that: '*the true source of rights is duty, if we all discharge our duties, rights will not be far to seek*'. However, the fundamental duties were not part of the Indian Constitution when it came into effect on 26 January 1950. After laying down fundamental rights, it goes on to say that '*all these rights shall be contingent on the performance of the following fundamental duties*'. It is interesting to note that while fundamental rights were given immense constitutional importance in both the historical constitutions and the constituent assembly debates, there were only few instances when members of the Constituent Assembly deliberated upon the Gandhian idea on rights and duties. Fundamental duties became part of the Constitution as Part – IV A through the 42nd amendment in 1976. The then Prime Minister Mrs Indira Gandhi set up a committee chaired by then-External Affairs Minister Swaran Singh '*to study the question of amendment of the Constitution in the light of experience...*' The All India Congress Committee (AICC) suggested to the Swaran Singh Committee to '*formulate some proposals for inclusion in the Constitution certain fundamental duties and obligations which every citizen owes to the nation...*'. The Committee suggested that steps needed to be taken to ensure that the individual did not overlook his duties while in exercise of his Fundamental Rights. The Committee then drew up a list of fundamental duties. By November 1976, both Houses of Parliament passed the 42nd amendment, which included a new fundamental duties chapter to the Constitution containing ten duties. The rationale behind introducing the 42nd amendment was that the Constitution is a living document that evolves with the society. Considering the erosion of culture and ethics at that time, the parliamentarians thought it best to introduce Part IV-A to spell out explicitly the implicit characteristics of our Constitution. According to them, incorporating these duties would be helpful in removing the

difficulties that create hindrance in social-economic revolution of removing poverty, diseases and inequality of opportunity. In 2002, one more duty was added to the list. It said that every citizen '*who is a parent or guardian, to provide opportunities for education to his child or, as the case may be, ward between the age of six and fourteen year*'. This lesson will study these Fundamental Duties in detail.

4.3: FUNDAMENTAL DUTIES IN INDIA

The Directive Principles of State Policy and Fundamental Duties are sections of the Constitution of India that prescribe the fundamental obligations of the State to its citizens and the duties of the citizens to the State. The Fundamental Duties are defined as the moral obligations of all citizens to help promote a spirit of patriotism and to uphold the unity of India. These duties, set out in Part IV–A of the Constitution concern individuals and the nation. Citizens are morally obligated by the Constitution to perform these duties. The Fundamental Duties are however, not legally enforceable, i.e. without any legal sanction in case of their violation or non-compliance. Each Fundamental Duty along with its significance as elaborated by the Kerala Legal Services Authority has been discussed below.

It shall be the duty of every citizen of India:

- (a) **To abide by the Constitution and respect its ideals and institutions, the National Flag and the National Anthem:** It is the Fundamental Duty of every citizen to respect the National Flag and to desist from any act which would subject it to ridicule or that which would diminish its value. The Fundamental Duty to respect the National Flag is augmented by separate statutes enacted to ensure that National symbols including the National Flag are respected and honoured. Violation of those legal mandates would attract punishment. Just as the National Flag, our National Anthem evokes in us patriotic fervour and reminds us of the diversity, unity and integrity of our great Nation. The National Anthem too commands respect and the Constitution makes it the Fundamental Duty of every citizen to respect the National Anthem. Whenever the National Anthem is sung in public, respect to the same is to be demonstrated either by standing up respectfully or by joining in the singing. Intentionally preventing or causing disturbance to any assembly engaged in singing the National Anthem is a punishable offence.
- (b) **To cherish and follow the noble ideals which inspired our national struggle for freedom:** India's freedom struggle is unique when compared to other freedom struggles across the world. The Constitution deems it to be the Fundamental Duty of every citizen of India to retain, cherish and follow all those ideals and principles which were the bedrock of our freedom struggle.
- (c) **To uphold and protect the sovereignty, unity and integrity of India:** To cherish the noble ideals of India as a sovereign, socialist, secular, democratic, republic, its sovereignty, unity and integrity should not be allowed to be eroded. The Constitution envisages each citizen to realize this fact as his basic duty and act accordingly.
- (d) **To defend the country and render national service when called upon to do so:** Every citizen is liable to serve the nation in such emergent situation for protection of the vegetation, livestock and natural resources. It is one of the Fundamental Duties as per the Constitution. We shall wholeheartedly take pledge to serve the Nation in

emergent situation for defending the Nation and for rendering national service when called upon to do so.

- (e) **To promote harmony and the spirit of common brotherhood amongst all the people of India transcending religious, linguistic and regional or sectional diversities; to renounce practices derogatory to the dignity of women:** We find every facet of diversity in our country – be it geographical, linguistic, social, cultural or religious – and such diversity or heterogeneity is often described as an amazing peculiarity of our country by those who have seriously studied the Indian history and culture. In order to achieve harmony and common brotherhood, the status of women, who account for almost fifty per cent of the population, also has to be seriously considered. The Indian citizen should realize and recognize that women are entitled to equality and dignity in all spheres of life. It is, in fact, a pre-condition for the natural growth of humanity, and formation of unity, in our society.
- (f) **To value and preserve the rich heritage of our composite culture:** Compassion and equality are the two fundamental tenets of Indian culture, and citizens have a duty to strengthen those ideals in our society by following them and nurturing them in all spheres of their personal life.
- (g) **To protect and improve the natural environment including forests, lakes, rivers and wild life, and to have compassion for living creatures:** A country that protects and preserves environment, birds and animals alone will have wholesome development. Human beings and Nation are irreparable from environment. Uncontrolled exploitation of natural and common resources is a serious danger to the existence of the country. So is annihilation of other living creatures. Hence, protection of environment is imperative for the national development.
- (h) **To develop the scientific temper, humanism and the spirit of inquiry and reform:** Constitutional goal is not only confined to build a strong and permanent Nation. It also strives to ensure that her citizens are intellectually superior. Scientific temper, humanism and the spirit of inquiry and reform are fundamental to individual development.
- (i) **To safeguard public property and to abjure violence:** Every citizen of our country has the obligation to protect public property and it is not the responsibility of the public authorities alone. Article 51A (i) has identified the said responsibility of a citizen as his important and key constitutional obligation. Our Constitution mandates that each and every citizen has an obligation and bounden duty to stay away from violent protests and also from committing damage to public properties.
- (j) **To strive towards excellence in all spheres of individual and collective activity so that the nation constantly rises to higher levels of endeavour and achievement:** This is a Fundamental Duty which mandates that we have to go all out, selfless, for raising our standards in every activity in which we are engaged so that our achievements will be a part of the national achievement. Excellence in common parlance means surpassing merit and virtues. Article 51(A) (j) requires every citizen to perform his duties in a more superior way or in way that the citizen has surpassed in performance of his duties. In *Dr. Dasarathi v. State of Andhra Pradesh*, the Court held that it is the duty of every citizen to constantly strive towards excellence in the various spheres of

life and continuously make relentless efforts to achieve accolades and that is how the nation as a collective body of its citizens will constantly move towards new levels of excellence.

- (k) Who is a parent or guardian to provide opportunities for education to his child or, as the case may be, ward between the age of six and fourteen years:** It is the duty of every parent or the guardian to provide opportunities to the child for educating him and make him understand the complexities of life, need for education and also to guide him so that he/she can choose his/her own path to contribute his/her best to the development of the Nation. Article 51A(k) is sufficiently supported and supplemented by Article 21A of the Indian Constitution which provides that “the State shall provide free and compulsory education to all children of the age of 6 to 14 years in such manner as the State may, by law, determine”.

4.4 CHECK YOUR PROGRESS-I

- (a) Explain the Fundamental Duty “To uphold and protect the sovereignty, unity and integrity of India”.**
- (b) What does Article 51A(k) talk about?**

4.5 RELEVANCE OF FUNDAMENTAL DUTIES

The Fundamental Rights, the Directive Principles of State Policy the Fundamental Duties in must be read together to understand the spirit of Indian Constitution. The Fundamental duties are essentially taken from the Indian tradition, mythology, religions and practices. Essentially these were the duties that are the codification of tasks integral to the Indian way of life. These are statutory duties, not enforceable by law, but a court may take them into account while adjudicating on a matter. The idea behind their incorporation was to emphasise the obligation of the citizen in exchange for the Fundamental Rights that he or she enjoys. It reminds every citizen that besides being conscious about our rights, we should also comply with our duties.

The fundamental duties are reflection of the ancient developed concepts of east but least adhered in modern era. Some are mere declaratory, while few can be treated as remedial duties and some others as hybrid of declaratory and remedial duties. The declaratory duties declare the right without providing any remedy for its breach. The remedial duties create the duties and/or affirm the duties with remedy for the breach either in same statute or in already existing statute. For hybrid duties remedy may address only to part of breach and not whole of the duties. Applying this criteria, the declaratory duties fall under Article 51-A(b),(d),(f),(h) & (j) while remedial duties seem to be covered by Article 51-A(c),(e) & (g) . The duties referred to as hybrid are the amalgam of both the declaratory and remedial duties falling under 51-A (a) & (i).

Some of the duties and their breach do create a statutory offence for prosecution. For example the breach of remedial duties under 51-A(c), (e) & (g) constitute offences under Indian Penal Code and like law, besides this, the breach of duty under 51-A(k) is again strengthened by Section-10 of the Right to Free and Compulsory Education Act, 2009 where it says ‘It shall be the duty of every parent or guardian to admit or cause to be admitted his or her child or ward, as the case may be, to an elementary education in the neighbourhood school’. The remedy for breach is provided in Chapter VI of the Act read with Article 21-A of the constitution of

India. The remedy is curative and not punitive, perhaps in view of the delicate relations. But for declaratory duties in other areas, there does not seem to be any corresponding remedial statute whether curative or punitive to prevent the breach and/or punishment for any deviation. In the words of Austin: “*There do exist laws which may not be command but still are within the province of jurisprudence*”. To this category he refers to declaratory or explanatory laws, laws to repeal laws, besides laws of imperfect obligation meaning the law which does not have sanction. The analytical approach can make declaratory duties as not a law while the remedial duties as perfect law with sanctions in other statutes. The hybrid duties fall under both the arenas.

It is the basic principle of jurisprudence that every right has a correlative duty and every duty has a correlative right. But the rule is not absolute. It is subject to certain exceptions in the sense that a person may have a right, but there may not be a correlative duty. Though these duties are not obligatory in nature and no legal sanction is attached to the violation or non-performance of Fundamental Duties and there is neither specific provision for enforceability nor any specific prohibition; these Fundamental Duties have an inherent element of compulsion regarding compliance. Out of the eleven clauses in article 51A, six comprise of positive duties and the other five are more in the nature of negative duties. Clauses (b), (d), (f), (h) and (j) require the citizens to perform these Fundamental Duties actively. It is said that by their nature, it is not practicable to enforce the Fundamental Duties and they must be left to the will and aspiration of the citizens. However, in the case of citizens holding public office, each and all Fundamental Duties can be enforced by suitable legislation and departmental rules of conduct.

4.6: ENFORCEABILITY OF FUNDAMENTAL DUTIES

The Indian Penal Code does not cover all the breaches of Fundamental Duties, but provides criminal remedy for breach at 51-A (c), (e) & (i) related to the sovereignty, unity and integrity of India, harmony and the spirit of common brotherhood, besides, practices derogatory to the dignity of women. As far as Articles 51-A (e) & (k) are concerned, law exists for the protection of environment including compassion for living creatures and also for safeguarding public property and to abjure violence, besides the Right to Education Act . The provisions for criminal remedy towards 51-A (c), (e) & (i) is covered in respective statutes especially the Indian Penal Code while those for environment referred to in 51-A(g) have the remedy under the Environmental Protection Act ,1986. Besides this, the remedy in part for Fundamental Duties under 51-A(a), is covered by respective Acts of parliament relating to National Flag and the National Anthem. There seems no remedy for the breach under Article 51-A b),(d),(f),(h) & (j). Even for those Articles of Fundamental Duties where remedy is provided in statutes, they appear to cover the acts /omissions of gravity making such acts / omissions an offence which can be put under trial by court of law as bailable / non-bailable and summon/warrant case. Accordingly difficulties do emerge as far as burden of proof and components of offence are concerned. Firstly motive and intention is to be established and secondly burden of proof on the person in whom right vests and/or collectively resides. Keeping all this aside, there is a need for adopting curative measures for inculcating duties instead directly adopting coercive measures except in exceptional cases squarely and clearly satisfying the components of offence. All this depends on gravity of breach of duty. Thus a need arises to make the act as an

actionable wrong of a 'civil misconduct' desired to be cured rather punished. Accordingly, innovative solutions may be carved out.

As discussed above, Fundamental Duties play a key role in the interpretation of various statutes. Although, the judiciary restrained itself from enforcing these duties initially but the recent trend in judicial decision shows that judiciary is actively enforcing these duties. The Supreme Court through various judgements has made these duties enforceable. For example in *M.C. Mehta v. Union of India* (1988), the Supreme Court has held that to enforce Article 51-A (g) of Indian Constitution i.e. "to protect and improve the natural environment including forests, lakes, rivers and wild life, and to have compassion for living creatures", it is the duty of the Central Government to introduce compulsory teaching of lessons at least for one hour in a week on protection and improvement of natural environment in all the educational institution of the country.

In *AIIMS Students Union v. AIIMS*, The Supreme Court emphasized on the significance of Fundamental Duties provided in Article 51-A and struck down the institutional reservation of 33% in AIIMS coupled with 50% reservation discipline wise by stating that fundamental duties, though not enforceable by a writ of the court, yet provide valuable guidance and aid to interpretation and resolution of constitutional and legal issues. In case of doubt, peoples' wish as expressed through Article 51-A can serve as a guide not only for resolving the issue but also for constructing or moulding the relief to be given by the courts. The fundamental duties must be given their full meaning as expected by the enactment of the Forty-second Amendment and they are equally important like fundamental rights.

Fundamental Duties help in the interpretation of the law/statutes made by the legislature. It is held in many cases that the need for Fundamental Duties in interpreting the Fundamental Right is pivotal. In the case of *Mohan Kumar Singhania v. Union of India*, a governmental decision to give utmost importance to the training programme of the Indian Administrative Service selectees was upheld by deriving support from Article 51-A (i) of the Constitution, holding that the governmental decision was in consonance with one of the fundamental duties. The court held that statutes made according to Article 51(A) of our Constitution are valid. The Court further stated that one should resort to Article 51-A in situations where the constitutionality of any legislation has been questioned and need to be determined.

In *Chandra Bhawan Boarding v. State of Mysore*, the Supreme court made the following observation prior to the insertion of Article 51-A: "It is a fallacy to think that in our Constitution, there are only rights and no duties. The provisions in Part IV enables the legislature to build a welfare society and that object may be achieved to the extent the Directive Principles are implemented by legislation."

In *Rural Litigation and Entitlement Kendra v. State of Uttar Pradesh*, a complete ban and closing of mining operation carried on in Mussoorie hills was held to be sustainable by deriving support from the fundamental duty as enshrined in Article 51-A (g) of the Constitution. The court held that preservation of the environment and keeping the ecological balance unaffected is a task which not only government but also every citizen must undertake. It is a social obligation of the state as well as of the individuals.

The scope of the article 51A was extended in *Ashoka Kumar Thakur v UOI*, Justice Bhandari said that "State is all the citizens placed together and hence though article 51A does not expressly cast any fundamental duty on the State, the fact remains that the duty of every citizen

of India is the collective duty of the State” and also the Court held that it is the duty of State to make sure that free education is given to children between the age of six to fourteen years and compulsory duty of parents or guardians to give education to their respective wards (children). In the case of *KRK Vara Prasad v UOI*, the High Court has said that the Constitution commands the citizens of India to follow the duties enumerated under the article 51A of PART – IV A.

The purpose behind having fundamental duties was explained by the committee headed by Justice J.S. Verma in its report (1999): *“In order to strike the balance between the citizen’s demands and the civil society’s claims, it is necessary to educate and update citizens regarding their social and civil responsibilities. This would help shape the modern civil society”*.

On analysing the case laws of the Supreme Court and different High Courts, it can be seen that the interpretations so made are not in line with the main purpose with which these duties were introduced, i.e., to deal with the anti-national activities in the nation. Rather, judiciary is stepping forward to enforce these duties in a manner that it ends up curtailing the Fundamental Rights of other citizens. The fundamental duties provided in the Constitution are not enforceable by law but they are to be made enforceable by the citizens themselves. An onerous responsibility is, thus, cast upon the citizens and they can either make or mar the destiny of this country. As the citizen is going to be answerable to his own conscience, his inner sense should be developed to such an extent that he may himself perform the duty without fear of any sanction or reminder.

4.7: SUMMARY

There is a need to make the Fundamental Duties obligatory for all citizens, subject to the State enforcing the same by means of a valid law, or else the law stands in a very disadvantageous position. The Supreme Court has finally, issued directions to the State in this regard, with a view towards making the provisions effective and enabling a citizens to properly perform their duties properly.

Though not justiciable and therefore, with little consequence in practical terms, the provision of fundamental duties was opposed by many people who also brought out several inconsistencies in these duties. For instance, one of the fundamental duties asks every citizen of the country to develop a scientific temper and spirit of enquiry. But with bulk of the people still illiterate, how is it possible to imbibe the habit of thinking with clarity and precision if they are unable to get the basic inputs of such thinking. The duties ought to be respected otherwise law becomes paper tiger when it loses the sanction and enforcement. As such the fundamental duties to be the form of law ought to have sanction in whatsoever form. To make India great, emphasis must be laid to inculcate obedience to duty. Nevertheless, the fundamental duties have become a part of the Constitution and despite their non-justiciability; they continue to exercise some sort of social and collective restriction on those who are fond of enjoying unfettered rights without discharging even an iota of duty to the society and the nation. For the proper enforcement of duties, it is necessary that it should be known to all. This should be done by a systematic and intensive education of people that is by publicity or by making it a part of education.

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4.10: MODEL QUESTIONS:

1. What is the significance of Fundamental Duties?
2. Whether Fundamental Duties are enforceable or not? Justify your answer by referring to various case laws.
3. When were Fundamental Duties added in Indian Constitution?
4. Discuss the Fundamental Duties provided in Indian Constitution in detail.
5. Discuss the ideology behind introducing the concept of Fundamental Duties in Indian Constitution.

ਜਗਤ ਗੁਰੂ ਨਾਨਕ ਦੇ ਨੂਰ ਚ ਰੋਸ਼ਨ ਹੈ ਇਹ ਵਿਸ਼ਵ ਵਿਦਿਆਲਾ
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ਸ਼ਬਦ ਗੁਰੂ ਨਾਨਕ ਦੇਵ
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ਸ਼ਬਦ ਸੁਰਤ ਦੀ

ਸੰਗਤ ਪੰਗਤ
ਵੰਡ ਛਕਣ ਦੀ

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