



**Forging Ahead Toward an
Inclusive and Sustainable Globalisation:
Selected Articles from the 2017 Lien International Conference**

Editors:

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Preface

It has been a great pleasure for the Nanyang Centre for Public Administration (NCPA) at Nanyang Technological University (NTU) to organise the Lien International Conference on Good Governance 2017 in collaboration with the American Society for Public Administration (ASPA) and the International Institute of Administrative Sciences (IIAS). Themed “Forging Ahead towards an Inclusive and Sustainable Globalization”, the two-day conference explored five interrelated topics, including good governance and public sector reform, anti-corruption strategies, sustainable and inclusive economic development, social welfare and integration and the “Belt and Road” Initiative. Generously sponsored by the Lien Foundation, we have been organising this biennial international conference since 2013, and it has attracted thousands of delegates and participants from around the world, providing a platform for academics and practitioners to have in-depth and timely discussions on major issues and challenges in governance and policy-making.

The Nanyang Centre for Public Administration is a leading institution in Asia that provides public governance and administration training programmes for regional and international organisations. It is the first higher learning institution in Singapore certified by China’s State Administration for Foreign Experts Affairs to conduct executive development programmes for Chinese government officials and professionals.

As a premier education, research and training institution, NCPA promotes good governance and public services, facilitating knowledge exchanges, and strengthening cooperation among governments across the world. NCPA offers four graduate programmes, namely the Master of Science in Managerial Economics (Chinese), the Master of Public Administration (English, Chinese), and the Master of Arts in Contemporary China (English). In addition, the Executive Development Programmes provide theme-based learning in public administration and public policy, urban planning and management, social management, and higher education management and internationalisation development. Among its 17,000 alumni, many are holding decision-making positions at all levels of government in their countries, including ministerial-level leaders, mayors and heads of organisations. Over the past two and a half decades, NCPA has welcomed participants from all over China and other nations such as Vietnam, Myanmar, Cambodia, the Philippines, Laos, Malaysia, Thailand, Ukraine, and the USA.

While NCPA is fully aligned with NTU’s high-quality teaching, it places equal emphasis on its policy-oriented research and has formed strategic collaborations with world-renowned institutions and governments in various emerging fields worldwide. Currently, the Centre has three main thematic research programmes, namely, the Lien Research on Belt and Road Initiative (BRI), the Lien initiative on Good Governance, and Transnational Knowledge Transfer and Dynamic Governance. The first programme focuses on research relating to the BRI from the perspective of Singapore, Maritime Silkroad, and their roles in the initiative. The second programme focuses on public administration research that has impacts on an international and global scale, particularly through a comparative

perspective between Asia and other parts of the world. And the Transnational Knowledge Transfer programme is funded under Ministry of Education (Singapore) Tier 2 grant and led by myself as the Principle Investigator to examine the origins, rationale, process, mechanisms and effectiveness of South-South transfer and cooperation between Singapore-China, Singapore-Southeast Asia and China-Africa in the arenas of knowledge transfer and industrialization strategy.

NCPA also conducts and facilitates interdisciplinary fellowship and research programmes focusing on public administration, economic policies, environmental issues, health care and social welfare policies, as well as economic development. It will tirelessly continue to pursue excellence in academic and research standards as it sets the foundation to build a world-class institution in public administration.

To showcase the output of the conference, we have hereby compiled a selection of papers into conference proceedings. The ten papers (including both English and Chinese papers) cover all five themes featured in the conference, and are produced by scholars at different stages of their careers. Focusing on countries in Asia and Africa such as China, India, Vietnam, Singapore and Nigeria, these papers are not only a timely reflection on some of the pressing governance issues in the “Global South”, but also an attempt to draw lessons from each other, rather than merely looking towards the West for solutions. In an era of “power transformation ... from the West to the East” – to use Joseph Nye’s words – these endeavour appear all the more significant and thought-provoking.

In addition to the conference proceedings, we are also working with prominent journals in the field to publish quality conference papers. With these efforts, we hope to carry forward the wonderful discussions we enjoyed during the conference, and stimulate more exchange on envisaging good governance for an inclusive and sustainable globalisation. Please note that the views reflected in these papers are solely of the respective authors’ and do not represent the views of NCPA or its funding agency.

I would like to take this opportunity to thank the Lien Foundation for its continued support and to all the conference participants for their enthusiasms. My colleagues at NCPA did a superb job in organising the Lien Conference, with Dr Celia Lee playing an important role in the academic program execution. As Co-Editors of this collection, Dr Wang Tingyan and Ms Ma Sirui put in great efforts throughout the liaising and editorial process, for which I am grateful.

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Contents

Section One: Governing for Inclusiveness

1. Fighting Corruption in Nigeria: Lessons from South Korea - 1 -
2. Governing the anti-immigrant sentiment: A Singaporean case to promote immigrant integration - 23 -
3. A Comparative Study of Social and Economic Aspect of Migration - 47 -
4. An Empirical Study of Right to Services Act in the State of Rajasthan: Impact and Challenge - 64 -
5. Inclusive Growth through Financial Inclusion in India - 74 -
6. 低收入家庭生活保障与贫富差距治理——新加坡的启示
A Study on Social Security Policy of Low-income Families in Singapore - 96 -

Section Two: Governing for Sustainability

7. Ethical Choice Making and Social Equity: A Pathway to Sustainable Governance? - 111 -
8. An Empirical Testing of Capital Asset Pricing Model in Vietnam Stock Market - 135 -
9. Sustainable Municipal Solid Waste Management in Context of Smart Cities: A Study of Role of Stakeholders in Chandigarh – the City Beautiful, India - 158 -
10. “一带一路”：全球治理的中国方案
Belt and Road Initiative: Chinese Approach for Global Governance - 181 -
11. 论上海服务和参与一带一路建设的条件与对策
On the Main Tasks and Specific Measures of Shanghai Service and Participation in the Construction of the Belt and Road Initiative - 192 -

Fighting Corruption in Nigeria: Lessons from South Korea

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Abstract

Corruption has become endemic and institutionalised in Nigeria. It has eaten deep into the fabric of the political, socio-economic and religious facets of the country. The war against corruption is on course but the question agitating the mind of most Nigerians is how sincere is this fight by successive administrations in Nigeria? In Nigeria, the Economic and Financial Crime Commission (EFCC) an anti-corruption agency was established by the former President Olusegun Obasonjo in 2003 to fight corruption. Unfortunately, since inception, corruption has been on the increase as no case has been logically concluded to punish offenders. What became manifest is the use of the Agency to witch-hunt vocal opponents of a particular administration. According to Chinua Achebe in his book, *The Trouble with Nigeria*, “Keeping an average Nigerian from being corrupt is like keeping a goat from eating yam.”

South Korea, like Nigeria had just gone through several years of military dictatorships and former dictators turning elected presidents. It no doubt provides Nigeria with useful lessons if the war against corruption can be won. Besides the present suspension, arrest and prosecution of a serving President Park Geun-hye, in 1993, Kim Young-Sam the opposition leader of South Korea used his one term opportunity to clean up corruption in South Korea. He arrested his two predecessors, Roh Tae-woo (1988-1993) and Chun Doo-hwan (1980-1988). Roh was sentenced to seventeen years in prison and Chun was sentenced to life in prison. Kim Young-Sam’s anticorruption crusade did not spare his own son. In 1997, Kim Hyon Chol his son known as the “Crown Prince” was indicted for bribery and tax evasion. He was sentenced to three years in prison. That is what a transparent and sincere anti-corruption agenda should be.

This empirical study investigated corruption in Nigeria with a view to recommending the necessary panaceas towards nipping corruption in the bud in the country. The study made use of interview and questionnaires and by random sampling elicited information that informed the conclusion in this study. Data generated were analysed using simple percentage. The Public Choice Theory will nourish our appreciation of the causes and effects of corruption. The study among other findings reveals that insincerity, lack of political will are some of the contributing factors hampering the war against corruption in Nigeria. It was also identified that the crusade has been reduced to a witch-hunt of the members of the opposition party.

INTRODUCTION

Whatever the argument on the nature and context of corruption are globally, the fact cannot be overemphasised that corruption has become endemic in Nigeria. It has eaten deep into the fabric of the political, economic and religious facets of the country. Corruption in government and in business has constituted a serious bane to sustainable economic development in Nigeria. Unfortunately, since the establishment of the Economic and Financial Crime Commission (EFCC) and other anti-corruption agencies in 2003 to fight corruption, there is no end in sight of corrupt practices. No doubt, targeted war against corruption is on course but the question agitating the minds of most Nigerians is, how sincere has this fight against corruption by successive administrations in Nigeria been? Presently, the Buhari's administration with the much orchestrated strategy of whistle-blowing towards fighting corruption still have nothing much to be desired. Suffice to state that the fight so far wears the faces of witch-hunting, sectionalism, prejudices partisan and nepotism. This empirical study on corruption investigated and found out from our respondents that the above assumptions are among the problems bedevilling the war against corruption in Nigeria and also suggested that those steering the tide of government in Nigeria should show commitment and sincerity necessary for nipping corruption in the board in Nigeria.

The causes of corruption in Nigeria are multiple. But it is imperative to observe that the complexity of the phenomenon makes it impossible to provide a comprehensive account of the causes of corruption. Corruption stems from a number of causes ranging from poverty and complicated by underemployment conspicuous in terms of low salaries and poor working conditions of both civil, public servants and private employees. Corruption has become institutionalised in the Nigerian society such that everybody winks at public officials asking for gratification before performing their duties. On Nigerian roads, police and other security agents prefer taking bribe from motorists rather than do the normal routine stop and search. This to a large extent shows that corruption is despicably entrenched in almost all the Nigerian institutions and remains the most insidious and ubiquitous social quagmire hindering development.

Volumes of literature giving attention to the question of what corruption is abound. It is obvious that every discourse and research articles on corruption starts with many definitions. Here, I have chosen to operationally adopt this definition of corruption: "behaviour of public officials which deviates from accepted norms in order to serve private ends" (Huntington, 1989). One thing is noticeable about this definition that is, its emphasis on social

constructivism: corrupt is that which is considered corrupt at a certain place and at a certain time. In a report by Graaf (2007) “...After all, ‘accepted norms’ change over time.”

THEORETICAL CONSTRUCT

The more we enquire about the causes and effects of corruption, the better we decide on the best policy instruments and strategies to combating this phenomenon. Suffice to observe that any theoretical framework adopted determines, for a large part, the direction of the proposed solutions in tackling the problem. Instead of synthesizing on many theory groups, I decided to look for an alternative causal theory. One such possibility is the public choice theory.

The causal chain is that of an individual making a rational decision that leads to a predetermined outcome. Central to the public choice literature is the individual corrupt official who attempts to maximize his or her utility. The individual is portrayed as a rationally calculating person who decides to become corrupt when its expected advantages outweigh its expected disadvantages (a combination of possible penalty and the chance of being caught). This causal theory is popularized by Rose-Ackerman (1978), who posits that public officials are corrupt for a simple reason: they perceive that the potential benefits of corruption exceed the potential costs. Klitgaard (1988) states, if the benefits of corruption minus the probability of being caught times its penalties are greater than the benefits of not being caught, then an individual will rationally choose to be corrupt. This theory can be expanded when conditions that influence the cost-benefit calculations are taken into account. For instance, trust can play an important role. When the state cannot be trusted to manage private property transfers, corruption might become more appealing (Gambetta, 1993). Also, trust within close personal relationships increases the chance of getting the benefits from the delivered corrupt ‘services’ or reduces the chance of getting caught. Explanation inherent in this theory is that actions of corrupt officials are caused by a rational, conscious and deliberate weighing process of an individual.

Public choice theory leads to a discourse on corruption control that maximizes the costs of corruption and minimizes the benefits. Since the benefits of corruption are much harder to influence, most of the focus is on the costs of corruption. These costs can be increased by improving the chances of corrupt individuals getting apprehended and the imposition of precipitous penalties. This can easily lead to discourse on re-strategising on a more comprehensive system of control based on sincerity, openness, surveillance, massive but cautious information gathering, auditing, and aggressive enforcement of a wide array of

criminal and administrative sanctions irrespective of whose ox is gored (Anechiarico and Jacobs, 1996).

Schinkel (2004) helps us to appreciate the advantage of public choice theory as he states that it has relatively close focus. Instead of looking for general determining factors, it concentrates on a specific situation of a corrupt individual who calculates pros and cons. In the case of Nigeria unlike South Korea, a corrupt official has better chances of not being caught or even bribing his or her way out of the authority's net following prolonged litigations whose prosecuting members are also corrupt thirsty. However, it is pertinent to note that public choice theory has often been criticized for its incapability to account for triggering causes within the situation. Be that as it may, we have observed that poverty and greed are the main triggering causes of corruption in Nigeria. When a worker cannot be paid as at when due, even the meagre amount when paid, is unable to sustain the family; at retirement, payment of gratuities are delayed and may never be paid until ones death; pension arrears accumulates to a staggering amount that may never be paid. In the face of all the above, politicians amass wealth for themselves, live flamboyantly with the public incapable of bringing them to accountability, the individual (s) is then predisposed to embrace corruption at the slightest opportunity.

WAR AGAINST CORRUPTION IN NIGERIA: A SHAM?

To prove the insincerity of the present administration towards the fight against corruption, in 2015, during the screening of would be cabinet members of Buhari's administration most of those who made the list and were finally appointed had corruption cases against them which president Buhari turned a blind eyes on. When will Buhari's government turn its anti-corruption searchlight on members of the All Peoples Congress? This is the question agitating the minds of many Nigerians. Until then, he needs to stop distracting Nigerians with the so called anti-corruption war and focus more on the economy that is falling apart under the weight of his ineptitude. Most of our respondents are of the view that this much orchestrated war against corruption is a war against political opponents. This has been the nature of the war against corruption in Nigeria since the inception of Economic and Financial Crime Commission (EFCC). When inordinate ambitions of the high and mighty in government fail to be accommodated, the EFCC becomes the available tool of witch-hunting in the hands of those controlling it.

Just as usual, most of all behind the EFCC's net presently are all former members People's Democratic Party. I am not a member of any political party and do not intend to become one at the moment. This has been the nature of this game which did just begin with the Buhari's

administration. But the problem is that this particular administration made most Nigerians believe they were going to tackle corruption head on, unfortunately, it has proved itself as the same old wine in a new wine skin.

Most of our respondents from the survey conducted in Lagos state are of the view that the fight against corruption in Nigeria is a drama as no one leader since 1999 has shown the political will needed towards a sincere prosecution of this war. An anonymous respondent is of the view that since the inception of the present administration in May of 2015, they have gradually reneged on all their promises to Nigerians and have used the anti-corruption crusade as a way of distracting Nigerians from the serious economic and security problems that the country is facing. Fighting corruption is a noble and courageous act in a country like Nigeria which can only be prosecuted by a courageous, firm and strong leadership. Unfortunately, none of the leaders so far has proven to possess these qualities.

Most Nigerians were fed up with the impunity characterizing the Peoples Democratic Party (PDP) led government beginning with Olusegun Obasanjo to Goodluck Jonathan's administrations and went out to vote for an opposition party. They believed Buhari would clean up the system; I cannot be more sceptical now than I was then that he has not the will power to fight corruption. It is obvious, that one has to first remove the speck in his or her eyes to be able to see clearly the beam on another. It is also deceptive to think oneself as an anticorruption fighter when major benefactors turned cabinet members of the current administration are among the most corrupt Nigerians. By appointing them and continuously insisting on confirming the appointment Ibrahim Magu as the EFCC boss irrespective of his disqualification and rejection by the parliament due to the corruption case hanging on his neck is a clear indication that the fight against corruption in Nigeria is a drama.

Two years and seven months since the present administration assumed the leadership of this Nation, no member of the All Progressive Congress (APC) has been arrested or prosecuted. Yet, a substantial number of the members of the ruling APC were formerly members of PDP who enriched themselves from the government coffers during the sixteen years that PDP ruled Nigeria.

Investigations of the activities of some loyalists of the immediate past Jonathan's administration are ongoing. The claim is that the past administration was characterized by impunity and large scale corruption. No doubt that has been the case even during the military era including the Obasanjo's civilian administration. What has happened to the activities of

these past administrations before Jonathan's government nobody dare to ask. Were they less or not at all corrupt? Apart from the probe and the recovery of ₦7.6 billion from the past Nigerian National Petroleum Corporation boss (Mrs. Diezani Allison Madueke), the present administration is also beaming its searchlight on the arms purchase scandal and the management of the Excess Crude Account under Jonathan. Some former aides of the ex-President such as his National Security Adviser, Col. Sambo Dasuki (rtd); his Chief Security Officer, Mr. Gordon Obuah; and the former Director-General of Nigerian Maritime Administration and Safety Agency, Dr. Patrick Akpobolokemi amongst others, are a few that have either been arrested, detained, investigated or facing trial. Where are the likes of other corrupt individuals in the present administration or administrations before the immediate past? I think this scenario points to the fact that the fight so far has been a mere witch-hunting, sectarian based, prejudices oriented, partisan and nepotism motivated.

There is no gainsaying the fact that Administration of Criminal Justice Act (ACJA) 2015 which came into force towards the end of former President Goodluck Jonathan was hailed as a boost to the anticorruption war in Nigeria, unfortunately judicial corruption have not allowed it to thrive. For example the ban on granting of stay of proceedings by the Administration of Criminal Justice Act, 2015, is not being observed by the courts. The implication therefore, is that the problem confronting anticorruption war in Nigeria among others is not really limited to policy problem but lies heavily on implementation of available policies.

Regimes Corrupt Cases in Nigeria at a Glance

The rationale for this report is to show that corruption has an age long history in Nigeria from the pre-independence till date. But for exigency of space, this report will terminate at Good Jonathan's administration. During the pre-independent era and First Republic, corruption though prevalent, was kept at manageable levels (Achebe, 1960). However, cases of corruption during the period were sometimes clouded by political infighting. When compared with the nature of anticorruption war today in the country, the scenario is still the same.

Regime	Year	Individual	Case (s)/Allegation
Pre-independence	1944	Nnamdi Azikiwe (Eastern Region)	Alleged that a firm belonging to Azikiwe and family bought a Bank in Lagos. The bank was procured to strengthen local control of the financial industry. Albeit, a report about

			transactions carried out by the bank showed though Azikiwe had resigned as chairman of the bank, the current chairman was an agent of his. The report wrote that most of the paid-up capital of the African Continental Bank were from the Eastern Regional Financial Corporation.
		Adegoke Adelabu (Western Region)	Investigated following charges of political corruption levelled against him by the opposition. The report led to demand for his resignation as district council head.
		Some native authority officials in Bornu (Northern Region)	Corruption allegations levelled against some native authority officials.
		British Administration	Accused of corrupt practices in the results of elections which enthroned a Fulani political leadership in Kano, reports later linking the British authorities to electoral irregularities were discovered (Tignor, 1993).
Yakubu Gowon	1966 - 1975	Gowon's Administration	Corruption scandal surrounding the importation of cement in which many officials of the defence ministry and the central bank of Nigeria. Officials were later accused of falsifying ships manifestos and inflating the amount of cement to be purchased (Turner, 1976)
Murtala Mohammed	1975 - 1976	Murtala Mohammed and Obasanjo Administration	Following major projects consisting of building new refineries, pipelines, expanding the national shipping and airlines as well as hosting FESTAC, it was alleged these national projects were conduits to distribute favours and enrich connected politicians. Added to the above are the Operation Feed the Nation Program, and the associated land grab under the Land Use Decree Act used as conduits to reward cronies, and his now famous Otta Farm Nigeria (OFN) was supposedly a project borne out of this scandal
Second Republic	1979 - 1983	Shehu Shagari	Mathey Bank of London was used during the second republic as a conduit to transfer hard currency for some party members in Nigeria. (Washington Post, 1983)

Mahammadu Buhari	1983 - 1985	Mahammadu Buhari, Abubakar Atiku and Major Mustapha Jokolo	The 53 suitcases saga arose in 1984 during the currency change exercise ordered by the Buhari. The 53 suitcases were, however, ferried through the Murtala Muhammed Airport without a customs check by soldiers allegedly at the behest of Major Mustapha Jokolo, the then aide-de-camp to Gen. Buhari. Atiku was at that time the Area Comptroller of Customs in charge of the Airport (<i>alexsamade, 2011</i>).
Babangida Administration	1985 - 1993	Ibrahim Babangida	Unaccountability allegation of the Gulf War windfall, which was estimated at \$12.4 billion. The annulment June 12, 1993 election. Vehicles and cash gifts disbursed to earn loyalty characterised his administration hence the emergence the popular slogan “IBB boys” (<i>nigerianvillagesquare.com</i>)
Gen. Sani Abacha	1993 - 1998	Abacha Administration	Alleged to have deposited \$600 million US dollars in Swiss Bank and another \$1 billion US dollars were found in various accounts throughout Europe including alleged payment of bribes to government officials to ease the award of a gas plant construction in Nigeria (<i>Igbikiowubo, 2004</i>).
Abdusalami Abubakar	1990 - 1999	Abdusalami Administration	The major corruption case over this administration was the Halliburton scandal implicated his administration, and this might have financed his opulence (<i>Guardian, 2000</i>)
Third Republic	1999 - 2007	Olusegun Obasanjo	his vice president was caught in cahoots with a US Congressman stashing cold hard cash (literally) in freezers. The KBR and Siemens bribery scandals. The alleged payment by Marubeni Corporation a \$54.6 million criminal penalty for allegedly bribing officials of the Nigerian government to facilitate the award of the \$6 billion liquefied natural gas contract in Bonny, Nigeria to a multinational consortium, TSKJ. The Transcorp shares scandal and the failed lobbying the National Assembly to amend the constitution to allow him run for a third term. (<i>Pallister, 2000</i>).
Fourth Republic	2007 - 2010	Yar'Adua Administration	Wikileaks documents revealed the staying power of corruption under Yaradua, with illegal payments from NNPC to Presidents. Lack of

			political will to investigate his friends like Governor Ibori, Igbinnedion and Odili alleged to be among the most corrupt governors during his administration (Vanguard News, 2011).
Fourth Republic	2010 - 2015	Goodluck Jonathan Administration	Failure of NNPC to remit US\$20 billion in oil revenues owed to the state. BMW purchase scandal by his Aviation Minister amounting to \$250 million. In addition to the Malibu Oil International scandal is the Central Bank scandal of cash tripping of mutilated notes where it was revealed that in a four-day period, 8 billion naira was stolen directly by low-level workers in the CBN. Massive scam in weapons and defence procurements, and misuse of 3 trillion naira defence budget since 2011 under the guise of fighting Boko Haram, Police Service Commission Scam investigated by ICPC that revealed misappropriation of over 150 million naira related to election related trainings. ICPC made refund recommendations, but many analyst indicated prosecution was more appropriate, etc. (Iweala, 2012).

The above table is not a comprehensive list of corruption allegations/cases in Nigeria but a tip in the ice bug. The intention here is to show that none of the administrations from pre-independent Nigeria till date is free of corruption allegations. The list of corruption cases in Nigeria is so lengthy that it cannot be accommodated in the present research.

LESSONS FROM SOUTH KOREA'S STRATEGIES AGAINST CORRUPTION

South Korea outlined a wide-range anticorruption strategies that I believe will be of interest for Nigeria. In setting up the anticorruption commission, a 15 member committee was constituted consisting of lawyers, professors, representatives of business, civic and religious organisations. They are to serve as an advisory body to the president and will evaluate the implementation of government anticorruption policies and programmes (Hong, 1999). Nigeria has a lesson to learn from the composition of the anticorruption infrastructure of Korea, if the war on corruption must be taken seriously. In the Nigerian case, the anticorruption agency is headed by one man appointed by the president who feels he is only responsible to the president. Little wonder this commission since inception is yet to successfully conclude any high profile case of corruption.

To prove the seriousness and pragmatic approach to fighting corruption in Korea, a special anticorruption commission serving as the Special Anticorruption Investigation Headquarters was established within the Supreme Public Prosecutor's Office. The aim was for a speedy crackdown on corrupt individuals and timely prosecution of anticorruption cases among businessmen, ranking government officials, politicians and local leading figures. Added to this was the codification of basic laws on the prevention of corruption by providing rules, regulations and organisational charters. This measure included the establishment of special anticorruption codes of conduct for government officials and support for whistleblowers. Let me quickly add that Nigeria recently under the Buhari's administration setup a whistle blower office which encourages people with useful information on corruption case to approach the office and this has led to the discovery in Apr 13, 2017 the sum of \$38m, £27k, ₦23m in a house in Gerrard Road Ikoyi, Lagos state. Two days after EFCC operatives recovered €547,730 and £21,090 as well as N5,648,500 from a Bureau de Change operator in Balogun Market and Lagos. and six days earlier ₦449, 000, 860 hidden in an abandoned shop in Lagos (Punchng.com, 2017).

Another area which is of great interest was the promotion of administrative reforms in the corruption prone sectors such the police, housing, tax administration, food and sanitation, etc. The reforms focused primarily on deregulation implementation, online procedure enhancement for civil applications system, increasing overall accountability. Still on prevention strategies, the citizen's associations and civic groups were encouraged to participate in government committees and commissions (Hong, 1999). Nigeria must learn from this as it encourages transparency in government and reduces the chances of corruption.

The need to foster public awareness of the consequences of corruption through the mass media was given adequate attention. Through this means, anticorruption awareness campaigns were carried out. And issues of corruption and bribery were incorporated into the elementary and secondary school curriculums. With all these strategies, the results were conspicuous from 1992 when Kim Young-Sam' was elected the President of South Korea. These strategies since the 90s has been enforce and resulted in the indictment and the subsequent impeachment and prosecution of a serving President in 2016. Below are few cases from South Korea which should serve as lesson for Nigeria if the populace and the international community must consider our fight against corruption serious. Political leadership no doubt have not shown enough strong will needed to prosecute this fight against corruption and we hope that hereafter, the Nigeria government will go back to the drawing board with a view to borrowing from South

Korea. Most of our respondents from the southeast are of the view that the problem is not on strategies or policies but on personalities. They are of the view that virtually every leader in the country is corrupt therefore, are incapable of vehement condemnation of corruption or logical prosecution of its offenders. One of my respondents from Abuja the federal capital, states “we need to see just one high profile corruption case logically concluded and the offender punished accordingly then others will learn their lessons.” Corroborating the above, Mr Ewah Gabriel residing in Kaduna state decried the recent move by the National Assembly demanding for immunity from criminal prosecution at a time when most Nigerians are calling for the withdrawal of immunities from serving governors. In his opinion, Nigerians are waiting to see the day when a serving governor or President will be impeached based on corruption charges. He added that it is near impossible and leave a gigantic question mark on the anticorruption crusade in Nigeria.

For the war against corruption to be taken seriously and to be successful, there are useful lessons we must learn from South Korea. The present administration needs to first clean up his own house. History tells us that it is possible to do this. For instance in 1990, Kim Young-Sam the opposition leader of South Korea merged his Democratic Reunification Party with the ruling and corrupt Democratic Justice Party to form the Democratic Liberal Party. Running under the platform of this new party, he won the presidency in the 1992 elections. He served for only one term as promised and used that opportunity to clean up corruption in South Korea. In fulfilment of this promise he arrested his two predecessors, Roh Tae-woo (1988-1993) and Chun Doo-hwan (1980-1988). Roh Tae-woo were sentenced to seventeen years in prison and Chun Doo-hwan was sentenced to life in prison. Kim Young-Sam’s anticorruption crusade did not spare even his own son. In 1997, Kim Hyon Chol, the son of the then President Kim Young-Sam known as the “Crown Prince” was indicted for bribery and tax evasion. He was sentenced to three years in prison. That is what a transparent and sincere anti-corruption agenda should be like. South Korea, like Nigeria had just gone through several years of military dictatorships and former dictators turning elected presidents. Unfortunately, till date no former presidents of Nigeria have been brought before any court of competent jurisdiction to answer for cases of corruption. It is on record that the famous Justice Oputa Panel on Truth and Reconciliation Commission setup by the former president Olusegun Obasanjo in 1999 was unable to bring any of the former presidents to appear before it.

In 1998 also, President Kim Dae-jung took varieties of initiatives to combat corruption. At the instruction of the President after assuming office in 1998 demanded that the Prime Minister

draws up a comprehensive and systematic anticorruption programmes targeted at prevention of corruption rather than punishment of offenders.

Starting from October 2016, a series of protests against a serving President Park Geun-hye of South Korea began throughout South Korea to the presidential palace. After the initial demonstrations on October 26, 2016, thousands of South Korean protesters denounced the Park administration's political scandal and called for her to resign. Following these series of protests, President Park Geun-hye was impeached by the parliament in December 2016. The allegation for which she is standing trial after her impeachment is among others, her undisclosed link with an old family friend Choi Soon-sil. It was alleged that Choi, who has neither security clearance nor official government position, was revealed to have access to confidential documents and information for the president, and acted as a close confidante for the president. Choi and President Park's senior staff used their influence to extort ₩77.4 billion (\$774 million) from Korean chaebols - family-owned large business conglomerates - setting up two media and sports-related foundations, the Mir and K-sports foundations (Times Magazine, 2016).

Drawing from the above scenario in South Korea, it is obvious that the administrations are committed to the fight against corruption. These achievements so far serve as a lesson for Nigerian and Nigerians are waiting to see when Korea's experience can be replicated in Nigeria.

PURPOSE OF STUDY AND METHODOLOGY

In this research, the focus is on both eliciting responses from Nigerian on their views concerning the fight against corruption in the country as well as providing information on South Korea's anticorruption strategic success as a lesson for Nigeria. The material presented here focuses on the overall responses of Nigerians to questions that treat:

1. Views regarding the fight against corruption in Nigeria and the extent of the success so far
2. Views on the nature of the fight and constraints to the fight against corruption in Nigeria.

This study on anticorruption fight in Nigeria made use oral interview and questionnaires to elicit and generate relevant data that provided the bases for the results and discussions in this study. Considering the enormity of the population of this study which is over 140 million Nigerians, the study through random sampling was able to reduce the sample size to a manageable size of 500. The sample is purposive in nature and we believe to some extent that it is representative of all Nigerians. However, the interviews were conducted in the 6 geopolitical zones of the country: Abia state in the southeast, Lagos state in the southwest,

Benue state in the north/central, Rivers state in the south/south, Kaduna state in the Northwest and Yobe state in the Northeast. The interview in the northeast state of Yobe was conducted by Gabriel Akwen - a colleague lecturer in the Federal University situated in the state. All other interviews were conducted personally and data generated were objectively analysed using simple percentage. Taking into consideration the multiethnic diverse nature of Nigeria, we decided on using the lingua franca best understood by most Nigerians as our interview language except in Yobe state where it was a mixture of Hausa and English languages.

Table 1 : Respondents' Age (N-500)

Age Group (in year)	No.	%	Cumulative %
Less than 21	28	5.6	5.6
21-25	82	16.4	22.0
26-30	148	29.6	51.6
31-35	106	21.2	72.8
36-40	82	16.4	89.2
Over 40	54	10.8	100.0

The respondents also are a composition of both male and female. Table 1 presents the age of the respondents grouped into five-year intervals. We observe that slightly more than half of the sample falls between the ages of 26 and 35. In short, the respondents are relatively young and likely to be most affected in term of the impact of corruption on the Nigerian economy.

Table 2: presents the distribution of respondents among the six geopolitical zones.

Geopolitical zone	States	No of Respondents	%	Cum/%
North/east	Yobe	60	12	12
N/central	Benue	65	13	25
N/west	Kaduna	65	13	38
South/south	Rivers	100	21	59
Southeast	Abia	105	20	79

Southwest	Lagos	105	21	100
Total	6	500	100	

GENERAL ORIENTATION TOWARDS ANTICORRUPTION FIGHT IN NIGERIA

The view held by most of our interviewees is that Nigeria cannot win the war against corruption in view of the challenges and constraints bedevilling the fight. Identifying that corruption has become endemic and institutionalized. They say progress is too sluggish and Nigeria to show enough commitment to the crusade. With the adoption of the new national policies on whistle blowing, they expressed scepticism and advised for caution. To them, there seems to be insincerity and lack of transparency surrounding the so called whistle blower policy. The general attitudes possessed by drivers of the anti-graft agency with respect to fighting corruption shape and condition the policies and tactics adopted by government agencies involved in the process.

In general, the survey in all the states:

(1) favour restructuring of the anticorruption agency in order to promote and encourage rapid result rather than slow pace being witnessed;

(2) are of the view that credible individuals should be considered and appointed to head the anticorruption commission to show she is sincere in the fight against corruption; and

(3) agrees that poverty eradication will translate to eradication of corruption in Nigeria.

With this background picture in mind, we now consider there is need to learn from the success experiences of South Korea regarding anticorruption strategies and handling of cases. These strategies and few cases to learn from have been highlighted above. In order to gain insight into the nature and character of the anticorruption crusade by the Nigerian government, we asked respondents to identify the factors bedevilling the fight against corruption in Nigeria they view as coming under the purview of Nigerian government and the anticorruption agency.

Table 3: Nigeria is sincere in the fight against corruption in Nigeria

Geopolitical Zone	States	Agree	Strongly Agree	Disagree	Strongly disagree
Northeast	Yobe	37	13	6	4

North/central	Benue	15	16	19	15
Northwest	Kaduna	19	36	5	5
South/south	Rivers	5	3	39	58
Southeast	Abia	9	3	34	54
Southwest	Lagos	15	7	40	43
Total	6	100	78	143	179
Percentage total (%)		20.0	15.6	28.6	35.8

Discussion of Results on Table 3

From the above table, the result shows that 143 respondents which represent 28.6% disagree that that Nigeria is sincere in the fight against corruption. 179 respondents which correspond to 35.8% strongly disagreed to the above statement. While 100 respondents (20%) and 78 respondents (15.6%) respectively agreed and strongly agreed to the above statement.

Therefore, since more than half of the 500 respondents across the six geopolitical zones of the country that is 322 out of 500 respondents which correspond to 64.5% disagree/strongly disagree to the statement that Nigeria is sincere in the fight against corruption, I therefore conclude that this finding shows that Nigeria is indeed not sincere in the anticorruption fight.

Table 4: The war against corruption can be won by the current Federal Government policies and strategies.

Geopolitical Zone	States	Agree	Strongly Agree	Disagree	Strongly disagree
Northeast	Yobe	32	10	9	9
North/central	Benue	12	15	13	25
Northwest	Kaduna	22	31	7	5
South/south	Rivers	3	1	47	54
Southeast	Abia	5	2	22	71

Southwest	Lagos	9	7	56	33
Total	6	83	66	154	197
Percentage total (%)		16.6	13.2	30.8	39.4

Discussion of Results on Table 4

In the above table, the result shows that 83 respondents which represent 16.6% and 66 respondents representing 13.2% out of 500 sample size chosen across the six (6) geopolitical zones agreed and strongly agreed respectively that the war against corruption can be won by the current Federal Government policies and strategies while 154 respondents which correspond to 30.8% and 197 respondents representing 39.4% disagreed and strongly disagreed respectively to the above statement.

Therefore, since 351 respondents (70.2%) altogether out of 500 respondents across the six (6) geopolitical zones disagreed/strongly disagreed that the current Federal Government strategies and policies can win the war against corruption, I therefore conclude that the current Federal Government policies like her predecessors cannot win the war against corruption hence the need to learn from South Korea's experience and strategies.

Table 5: The configuration of the EFCC is the best for the anticorruption fight in Nigeria

Geopolitical Zone	States	Agree	Strongly Agree	Disagree	Strongly disagree
Northeast	Yobe	24	27	6	3
North/central	Benue	14	10	17	24
Northwest	Kaduna	17	36	8	4
South/south	Rivers	2	2	23	78
Southeast	Abia	1	2	9	88
Southwest	Lagos	11	8	45	41
Total	6	69	85	108	238
Percentage total (%)		13.8	17.0	21.6	47.6

Discussion of Results on Table 5

From the result above, it can be observed that only 154 respondents (30.8%) agreed/strongly agreed that configuration of the EFCC is the best for the anticorruption fight in Nigeria. This 154 out of the 500 respondents which corresponds to 30.8% constitutes of 69 respondents (13.8) and 85 respondents (17.0%) respectively which agreed/strongly agreed to the above statement. Furthermore, 108 respondents (21.6%) and 238 respondent representing 47.8% disagreed and strongly disagreed respectively.

There is therefore no doubt that the current composition of the Economic and Financial Commission (EFCC) needs to be reformed along the Korean pattern comprising of committee members consisting of lawyers, professors, representatives of business, civic and religious organisations which serve as an advisory body to the president and will evaluate the implementation of government anticorruption policies and programmes. Besides, the anticorruption commission is directly under the Supreme Public Prosecutor's Office. Nigeria must learn from this strategy if this war must be won.

Table 6: Nepotism, Sectarianism and Prejudice are factors hampering the anticorruption war in Nigeria.

Geopolitical Zone	States	Agree	Strongly Agree	Disagree	Strongly disagree
Northeast	Yobe	6	8	19	27
North/central	Benue	18	13	15	19
Northwest	Kaduna	9	7	11	38
South/south	Rivers	37	59	6	3
Southeast	Abia	39	55	4	2
Southwest	Lagos	30	63	8	4
Total	6	139	205	63	93
Percentage total (%)		27.8	41.0	12.6	18.6

Discussion of Results on Table 6

This table above shows that 139 respondents which corresponds to 27.8% and 205 respondents representing 41.0% out the 500 respondents agreed and strongly agreed respectively to the above statement that nepotism, sectarianism and prejudice are factors hampering the anticorruption war in Nigeria. While a smaller section of the respondents that is 63 (12.6%) and 93 (18.6%) respondents disagreed and strongly disagreed respectively to the above statement across the six (6) geopolitical zones of the country.

Based on the results above, showing 344 respondents out of 500 sample across the federation, representing more than half of the respondents who agreed/strongly agreed to the above statement. Therefore, I can vehemently conclude that nepotism, sectarianism and prejudice are factors hampering the anticorruption war in Nigeria.

Table 7: Personal idiosyncrasy and lack of political will are impeding the success of the fight against corruption

Geopolitical Zone	States	Agree	Strongly Agree	Disagree	Strongly disagree
Northeast	Yobe	5	2	21	32
North/central	Benue	20	12	17	16
Northwest	Kaduna	6	5	31	23
South/south	Rivers	35	62	4	4
Southeast	Abia	45	50	2	3
Southwest	Lagos	42	56	5	2
Total	6	153	187	80	80
Percentage total (%)		30.0	37.4	16.0	16.0

Discussion of Results on Table 7

Based on the findings presented in the table above, it shows that 153 respondents corresponding to 30.6% and 184 respondents representing 37.4% agreed and strongly agreed respectively to the statement that personal idiosyncrasy and lack of political will are impeding

the success of the fight against corruption in Nigeria. While 80 respondents (16%) disagreed, another 80 respondents strongly disagreed to the above statement. This research can conclude that personal idiosyncrasy and lack of political will on the part of the Nigerian leadership are impeding the success of the fight against corruption in Nigeria. This conclusion is informed by the above result which shows that more than half (i.e. 340) the total sample size (500) responded in the affirmative to the above statement across the six (6) geopolitical zones of the country.

Based on the interviews also conducted, this research found that poverty and greed are also among the factor predisposing individuals especially in Nigeria to corrupt practices. Hence the need for the government to pay adequate attention to poverty eradication programmes.

CONCLUSION

On August 30th 2017 the current Economic and Financial Crime Commission acknowledged that Nigeria is losing the fight against corruption and maintains that a lot needs to be done to revive the war against corruption. According Magu (2017), “the way we are going we have already failed I am telling you we have already failed. It is almost lost. The battle against corruption is not only evil, it is poison.”

Kazeem (2016) citing one of Nigeria’s foremost human rights activist, Femi Falana, posits that the Nigerian government is not yet winning the war on corruption despite the overwhelming evidence available to it. He further observes “the federal government was yet to understand that the anti-corruption battle could not be won through regular courts owing to judicial corruption. According to him:

Apart from the class solidarity usually extended to politically exposed persons by judges in all capitalist societies, the situation is compounded in Nigeria by judicial corruption and professional misconduct on the part of senior lawyers involved in the defence of corruption cases. Owing to lack of coordination in the trial of politically exposed persons, corruption is fighting back. Painfully, the federal government is on the defensive as it has failed to counter the deliberate manipulation of the criminal justice system by the indicted looters of the public treasury.

The above expressed views corroborates the results of this research which is that corruption in Nigeria has become institutionalised and endemic and that the fight against it will difficult

to win under the present strategy hence the need to draw lessons from South Korea's experience. I stated earlier that this anticorruption crusade in Nigeria is characterised by insincerity, nepotism, witch-hunting, sectionalism and prejudices. Until these forces are eradicated, Nigeria can never win the war against corruption.

RECOMMENDATIONS

Owing to an unending court cases and judicial corruption evidenced in the manner in which judges are granting interlocutory or perpetual injunctions to restrain the anti-graft agencies and the police from arresting, investigating and prosecuting politically exposed persons, there is the need for the Federal Government to review the anti-corruption policy with a view to setting up a Special Anti-Corruption Court to try all economic and financial crimes including other corrupt cases. Judges with track records should be considered to head this special anticorruption court with a view to ensuring a speedy, fair and transparent administration of justice. We are not envisaging that this will mark an end to corruption in Nigeria but will mark a turning point in the fight against corruption in the country.

To ensure that this special anticorruption court is not being hijacked, we advocate for the establishment of watchdog machinery towards ensuring that the appointed judges to this special court are not entangled in the web of corruption. The criticism that we also envisage from this recommendation is the view that this special court may turn to become a tool of witch-hunting in the hands of a government pursuing an opposition when the provisions of the Administration of Criminal Justice Act 2015 (ACJA) are put into consideration. For example, **Section 221** stipulates that objections shall not be taken or entertained during proceeding or trial on the ground of an imperfect or erroneous charge. **Section 306** of the ACJA also prohibits the entertainment of an application for a stay of proceedings in respect of criminal matters. The interesting aspect of this Act in **Section 396** which stipulates that upon arraignment, the trial of the defendant shall proceed from day to day until the conclusion of the trial. Where impracticable, no party shall be entitled to more than 5 adjournments from arraignment to final judgment. Unfortunately these provisions are not being observed proving the fact that corruption is seriously fighting back efforts at defeating it.

Good governance should be entrenched at all levels of government in Nigeria with a view to providing the dividends of democracy and equitable distribution of the available resources to ensure development especial in the rural areas. This is of utmost importance in the fight

against corruption in Nigeria. We believe good governance will go a long way to addressing the issue of poverty which is one of the driving forces behind corruption in Nigeria.

Transparency and accountability in governance and business should not be only on paper but practical. And for Nigeria to get it right, the present administration should call to account of all past administrations beginning from the military regimes. This will in no small measure portray Nigeria in the light of sincerity and commitment in the fight against corruption.

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Governing the anti-immigrant sentiment: A Singaporean case to promote immigrant integration

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Abstract

As a part of the backlash against global migration trend, the anti-immigrant sentiment has been gone viral across many immigrants receiving societies including Singapore. To address this emergent phenomenon and evaluate how this sentiment being managed and whether it would potentially impede the immigrant integration in the city-state Singapore, this paper extracts data from in-depth interviews and published documents and tries to make the following arguments (1) The anti-immigrant sentiment is most probably overestimated as it is basically virtual rather than physically existed and causes intra-ethnic conflict. (2) The unique residential patterns of Singapore that built through the precise social engineering in terms of public housing schemes with Ethnic Integration Policy further provided a manageable platform to promote intra-ethnic communication both at neighborhood and community level. It shows new Chinese immigrants are well co-habitant with local residents thus help to decrease the alleged anti-immigrant sentiment rather than growing. (3) Having new immigrants as grassroots leaders and volunteers who are willing to serve and contribute back to the community would probably inject in new blood and take a step up to build co-ethnic integration and meanwhile to alleviate the anti-immigrant sentiment at the host society.

Key words

Anti-immigrant Sentiment, Residential Patterns, Intragroup Contact, Host Society, Singapore

Introduction

Singapore has caught academic attention as one of the main sojourning/transiting destinations for Mainland Chinese since early 19th century followed by the British established it as a free port (Wang, 1991, p. 166). As a city-state, which located in the south point of Malay Peninsula, Singapore achieved full independence in 1965. With regards to its population, Singapore accommodates the highest percentage of ethnic Chinese in the world which recorded 74.3% out of its nearly 4 million resident populations as in June, 2016 (Department of Statistics Singapore, 2016, p. 5) other than the Mainland China and its hinterland, Hong Kong, Macau and Taiwan. Even until today, new Chinese immigrants' inflow to Singapore is still on going with a considerable amount of them under the name of "foreign talents" which can be traced back to then Prime Minister's Goh Chok Tong's National Day Rally speech 1999. It says: "As in everything else, it is talent that counts. We can be neither a first-world economy nor a world-class home without talent. We have to supplement our talent from abroad" (Goh, 1999).

As Singapore keeps adopting relatively liberal immigration policy to attract relatively big amount of skilled/unskilled workers on yearly basis whom come to Singapore and join its 1.67 million non-residents pool (Department of Statistics Singapore, 2016) that out of 5.61 million total population pool (See Table1). Discontent has therefore been caused in terms of the overwhelming volume and speed rather than the numbers of foreigners who entry *per se* (Koh, Soon, & Yap, 2014). As an example, it is not a surprise that online anxiety as well as the emergence of the anti-immigrant sentiment catalyzed by the changing polity and politics outside this island country over international student especially from Mainland China outnumbered local student in local autonomous universities by anonymous netizen(s) could go viral through online channel (STOMPer, 2010) and ignite less friendly comments over the inflows of international students which could possibly impede their progress of integration here in Singapore. Most recently, Singapore tumbled five places to 15th in the World Talent Report 2016 released by IMD (Deloitte's 2016 Global Manufacturing Competitiveness Index) in earlier December, 2016 - largely due to lower scores in appeal to overseas talent, and investment and development of home grown talent (TODAY, December 2, 2016).

Table 1 Singapore Population Size and Growth by Residential Status

Year	Number ('000)					Average Annual Growth ¹ (%)				
	Total Population	Singapore Residents			Non-Residents	Total Population	Singapore Residents			Non-Residents
		Total	Citizens	PRs			Total	Citizens	PRs	
2010	5,076.7	3,771.7	3,230.7	541.0	1,305.0	1.8	1.0	0.9	1.5	4.1
2011	5,183.7	3,789.3	3,257.2	532.0	1,394.4	2.1	0.5	0.8	-1.7	6.9
2012	5,312.4	3,818.2	3,285.1	533.1	1,494.2	2.5	0.8	0.9	0.2	7.2
2013	5,399.2	3,844.8	3,313.5	531.2	1,554.4	1.6	0.7	0.9	-0.3	4.0
2014	5,469.7	3,870.7	3,343.0	527.7	1,599.0	1.3	0.7	0.9	-0.7	2.9
2015	5,535.0	3,902.7	3,375.0	527.7	1,632.3	1.2	0.8	1.0	-	2.1
2016	5,607.3	3,933.6	3,408.9	524.6	1,673.7	1.3	0.8	1.0	-0.6	2.5

Theoretical Discussion

With regard to the definition of integration, it is “the process by which members of immigrants groups and host societies come to resemble one another” and integration is a two-way process (Waters & Pineau, 2016, p. 2). As for Singapore, followed by the founding of the People’s Republic of China (PRC) in 1949, a thirty-years virtually suspension of inflows of new Chinese immigrants pushed the settled and local-born generations of ethnic Chinese to become politically oriented toward the host societies. It is because their linkage with China was viewed as a liability especially in a nationalistic Southeast Asia which embarked on its nation-building projects (Liu, 2011). Since the late 1970s, the Reform and Opening-up Policy has been adopted in China, and for many Mainland Chinese immigrants who seeking opportunities in foreign countries, Singapore became a natural choice. Interestingly and necessarily, Tsang (2001, p. 352) does not take the generally perceived culturally similar for granted and further proclaims that Singapore and China are very different in political and economic systems and Mainland Chinese immigrants “need to undergo an adjustment process when settling down in Singapore” as well.

Unfortunately, it might be too general to reach out to the fundamental disputes in terms of the struggles of how new Chinese immigrants integrate to Singaporean society. Inherited from the colonial practices, every Singaporean is a member of one distinct racial group and thus also classified as Chinese, Malay, Indian or others of the multiracial nation (CMIO Model). What is fortunate as Chua (2009, pp. 240, 248) reminds us that the reasons behind the “very different” that “an increasing proportion of the ethnic-Chinese population born in Singapore”, grown up with relatively lesser “knowledge of the traditional culture of their ancestors and have no truck

with the contemporary China” in that sense “became formally named *Huaren* and the language, *Huayu*, to signify the difference in national identity between themselves and the citizens of the PRC” who are working in Singapore. These PRC citizens are just economically necessary and invariably seen as foreign workers and therefore are meant to “be tolerated rather than accepted as fellow Chinese”. (Chua, 2009). Therefore, Liu (2014, p. 1) believe new Chinese immigrants were perceived not only “socially and culturally different” from earlier immigrants and the Singaporean mainstream, but also “intensified the competition for scarce resources” and “politically attached to China” which “rise as a global power only serves to reinforce such linkages”.

The “relentless increase in non-native residents, especially among PRs and transient” labor, “has led to heated debates on issues related to immigration, integration, and the meaning of citizenship” in Singaporean society (Leong, Rueppel, & Hong, 2014, p. 60). Mieriņa and Koroļeva (2015, p. 184) reported that “economic insecurity (resource stress and perceived competition) is one of the most important factors behind xenophobia and they are at least partly responsible for the comparatively high prevalence of anti-immigrants’ sentiments in East-Central Europe”. This perfectly matched the situation in Singapore in the recent decade. In the year 2009, there was a high level of publicly expressed unhappiness with the influx of immigrants and their impact on the country’s cultural landscape, the level of physical congestion and the competition for jobs with the locals. That leads to a gradual build-up of anxiety about the physical and the social capacities to absorb immigrants (Koh et al., 2014).

In addition, Mieriņa and Koroļeva (2015, p. 198) pointed out that media further worsen attitudes towards minorities and immigrants. It is understandable that unlike Singapore, media industry like TV and newspapers in United States and other countries may relatively have more free wills as they may be controlled by different stakeholders. In Singapore, as local media giants like Singapore Press Holding and MediaCorp are both government link corporations and the only dominant actors participated in the real world, it would not be desirable for them to invoke anti-immigrants sentiment but coincidentally, there were some negative news reports featuring new immigrants that turned out ignited online xenophobic comments went viral by the local netizens (Liu, 2012; Yow, 2013). Gomes (2014, p. 21) gives us more evidences on how “Singaporeans have been incredibly critical of new immigrants entering their country and have been expressing their anger through xenophobic comments online. Despite strict laws against racial vilification, these comments can be seen in online forums such as those from

Asiaone.com, the Online Citizen, Sam's Alfresco Haven and the TR Emeritus, in personal weblog entries and on social media platforms”.

Problems Statement and Gaps

King (2012, p. 9) shows that there are three core groups in terms of temporary labor migrants, settler-migrants, and refugees “have dominated the study of migration in the past and still do so to some extent”. It needs to be pointed out that the new Chinese immigrants studied in this paper belong to the group of settler-migrants incorporated with high-skills. As the globalization of the modern world stimulates migration (Abazov, September 2013), the anti-immigrant sentiment may be regarded as in a way that reversing globalization.

While studies on the anti-immigrant sentiment tends to be based on the data from online forums and local media that voiced by ethnic Chinese Singaporean, how anti-immigrant sentiment being governed and new Chinese immigrants' response to the newly evolved immigration policies and practices in the context of Singaporean society are relatively missing in the literature. Since it has received insufficient attention as compared to the voices projected by ethnic Chinese Singaporean, it is equally important to examine how new immigrants experience and response to the anti-immigrants' sentiment. Therefore, this study has taken a step further and meant to close the knowledge gaps through the lens of new Chinese immigrants to analyze their barriers of integration in Singapore in the post-2011 era so as to shed new lights on governing the anti-immigrant sentiment and theorization of the challenges on immigrants' integration and answer the two questions as follows: How does the host society govern the anti-immigrant sentiment and how do new Chinese immigrants adapt to the anti-immigrant sentiment and immerse themselves to the host society by their individual experience?

Data, Sampling and Methods

Due to the controversial data regarding immigrants' country of origin in Singapore, this paper switches to use interviews and published documents as a way to collect data. Questions used in the interviews were well designed to collect new immigrants' points of views regarding their individual integration experience to the host society here in Singapore. In total, I have managed to complete 20 interviews with 32 participants from February to April, 2016. These participates are recruited through the personal network of my family and myself. These participates are born in China from 1960s to 1990s, and have gone through tertiary education as well. There are 21 out of 32 participates continue to study rather than starts working immediately after their arrival in Singapore. Among the aforesaid 21 participates, besides 1

participate currently pursues PhD, 9 of them have obtained PhD, 7 of them have obtained M.A. or M.Sc. and the rest 4 of them have obtained B.A. or Diploma aiming to be a Chinese language teacher and they are the Chinese language teacher by the time of this study. All the interviews are designed to be the semi-structured interviews and conducted in Singapore soil subject to interviewees' availability. Each of the interview lasts from one to two hours with digital recorded. The recordings were then reviewed and all the sections of the interviews were transcribed for later discussion. All the interviews were conducted in Mandarin Chinese as the interviewees are all predominant Chinese speakers and all the data collected will then be coded according to the research concerns stated above so as to fulfill the research goals.

Lincoln and Guba (1985, p. 61) define "document as any written or recorded material not prepared for the purposes of the evaluation, or at the request of the inquirer". In other words, these documents must be collected before the study starts. Therefore, this study would use e-newspaper and online forums to carry on document studies. To the best of our knowledge, local newspapers such as *The Straits Times*, *Today* and *My Paper* published a lot of articles concerning new immigrants and their points of views regarding recent change of immigration, education and housing policy and their stories of integration process in the past few years. Besides, local Chinese written online forums like *SGCN* and *Huasing* would also be included and regularly visited for this study. Through key words searching such as "foreign talent", "integration", comments regarding the local language environment and their individual immigration experience are evaluated. We also differentiated comments that made by new immigrants and local netizens, and categorized them for later analysis with e-newspaper and cross reference with the data we have from in-depth interviews.

Regarding the methods, qualitative based methods in terms of content analysis of interview transcripts will be used to elucidate the arguments which have been made through the problem statement and the knowledge gaps of this study. To answer the aforesaid research questions and close the knowledge gaps, this paper intends to analyze how anti-immigrant sentiment involved in the integration process of new Chinese immigrants with the empirical data gathered from them directly in addition to online news reports and forum comments. In detail, this paper tries to argue that the anti-immigrant sentiment acts as a barrier of immigrants' integration was most probably overestimated and can be managed through societal governance (e.g. residential pattern). And as an alternative way of governing anti-immigrant sentiment, recognition should be worthy given to new Chinese immigrants' willingness to interact with neighboring people. And many of them even served as a grassroots leader voluntarily working among other native

grassroots leaders so as to integrate into the host society meanwhile showcase the efforts to alleviate the anti-immigrant sentiment. A case study of a new Chinese immigrant that later became naturalized Singaporean whose personal experience as a grassroots leader would be introduced to strengthen how individual efforts could ease the stereotype against the new immigrants.

Overestimated Sentiment of Anti-immigrant

This section intends to argue that the sentiment of anti-immigrant against the new Chinese immigrants in Singapore was most probably overestimated as this notorious sentiment has been perceived as another barrier for integration that was hotly debated in recent years' scholarships (Liu, 2012, 2014, 2016; Zhou & Liu, 2016). It is worth to be emphasized that the current debate regarding the anti-immigrant sentiment in Singapore are generally based on intra-ethnic relations rather than interethnic relations. In other words, the sentiment of anti-immigrant that I am going to revisit is arisen mainly between new Chinese immigrants and ethnic Chinese Singaporeans that was borrowed from a large literature on interethnic relations in terms of native-immigrants relations (Liu, 2014) that rooted in a multidimensional social setting. For example, economic and social competition between outgroups (based on foreign country of birth instead of citizenship) might "play a lesser role in the explanation of cross-national differences in anti-immigrant attitudes than often assumed" (Schneider, 2008, p. 53) while Zamora-Kapoor (2013, p. 3) believes that "anti-immigrant sentiment will not be exclusively manifested in one form or another; quite to the contrary, natives who view immigrants as a material threat are likely to view them as a cultural threat as well". Back to the context of Singapore, the literature has been shown the anti-immigrants' sentiment was basically arisen from local online forums and played a negative role for immigrants' integration; furthermore, it needs to be mentioned that the local media are responsible for featuring negative sides of new immigrants and turned out ignited online xenophobic comments went viral with the help of the local netizens (Gomes, 2014; Liu, 2012).

But having checked with the existing data like media reports and polls; the anti-immigrant sentiment portrays by media reports are mostly to include all foreign-born population because it is hardly for the general public to discriminate who is naturalized Singaporean and who is not thus not fit for this study. For example, Gallup poll on Potential Net Migration Index (PNMI) declines in Singapore from 219% to 129% in 2014 as well only shows the points of views of migrants who yet to be in Singapore (Esipova, Pugliese, & Ray, January 17, 2014). And the local think tank the Institute of Policy Studies (IPS) survey across Singapore &

integration of immigrants 2014 as well target at all the foreign-born population in Singapore (Mathews & Zhang, 2016). To this cause, I must confess that the new Chinese immigrant in this study has been confined to settlers or settlers to be rather than all China born population in Singapore. To make it clearer, most of these people are talented migrants and do possess advanced degrees even naturalized Singapore citizenship because they are the ideal population that Singapore wants to integrate. To study how these people would be affected by the anti-immigrant sentiment may be shed new lights to the immigrants' integration in Singapore.

Since most reported anti-immigrant sentiment was basically virtual and arisen from local medias and online forums that happens to echo the Mieriņa and Koroļeva (2015) viewpoint that media further worsen attitudes towards minorities and immigrants, therefore, it leaves us a puzzle that the media industry of Singapore should be unlike those in United States and other countries where TV and newspapers often have been caught expressing more controversial points of views regarding the sentiment of anti-immigrant as they may be controlled by different stakeholders. However, local media giants like Singapore Press Holding and MediaCorp are both government-linked companies (GLC) and the only dominant actors participated in the real world, it would be the last thing for them to invoke anti-immigrant sentiment but coincidentally, there were some negative news reports concerning new immigrants that contribute to the online xenophobia which have been recorded by existing research (Liu, 2012; Yow, 2013). As an example that has been mentioned in the background chapter, online channel like STOMPer could easily contribute to anti-immigrant sentiment by posting news feed anonymously stating international student from Mainland China likely outnumbering local student in local autonomous universities (STOMPer, 2010), which could possibly impede their progress of integration after graduation here in Singapore.

As it is not fair to blame the media for initiating the sentiment of anti-immigrant because they are considered to be still bounded by the media's principal as well as their professionalism in terms of "Journalistic Objectivity" (Boudana, 2011; Thorsen, 2008), unfortunately, fell into what Barker's theory of *New Racism* that depicting immigrants as a threat (Barker, 1981) may be acted as a plausible explanation. Under the ideology of *New Racism*, "even potentially neutral topics, such as immigration, housing, employment or cultural immigration, soon tend to have a negative dimension: immigration may be topicalized as a threat, and most ethnic relations represented in terms of problems and deviance if not as a threat as well" (Van Dijk, 2000, p. 38), Van Dijk further concludes:

The New Racism of western societies is a system of ethnic or racial inequality consisting of sets of sometimes subtle everyday discriminatory practices sustained by socially shared representations... This is especially the case for media discourse in general and the news in particular. Systematic negative portrayal of the Others, thus vitally contributed to negative mental models, stereotypes, prejudices and ideologies about the Others, and hence... is able to provide insights into the discursive mechanisms of this role of public discourse in the reproduction of racism, and how also the news systematically conveys positive images (mental representations) of Us, and negative ones about Them (Van Dijk, 2000, pp. 48-49).

Nevertheless, it has been clearly claimed that the source of the sentiment of anti-immigrant is based on the comments left on the online forums and negative sides of new immigrants featured by local media. But, what this study intends to investigate is how new Chinese immigrants act towards this sentiment on their way of integration into Singaporean host society? Through the data gathered from in-depth interviews, it helps to draw out many facets that how new Chinese immigrants interact with their ethnic Chinese Singaporean counterparts. Regarding media reports featuring new immigrants, Dr. Shang, one of my interviewee, shares his viewpoint below:

... of course, they [ethnic Chinese Singaporean] will be influenced by some media reports, for example, a China billionaire drove a fancy car but hit people to death on Singapore road and another China tour guide scamming incident. Through the media's series reports and commenting, it was no wonder local people would generate negative impression against Chinese immigrants in Singapore. (Dr. Shang, 37, Researcher).

As the media has the rights to choose what to report and who it reports to, the readers have their rights to decide what to believe and to what extent the article can be trusted. Mr. Zhao, 48, came from Northern China and works in Singapore since 2004, he is a researcher and a naturalized Singapore citizen. He talked about the news reports over how opposition parties attacked new Chinese immigrants during the last two general elections: "I did not believe those media stuff, it was just the opposition parties' political tactics to attract votes; and I guess, they are smart enough and understand very well why the ruling party continues to bring in new immigrants. How would this country survive in the future without us immigrants?" Clearly, new immigrants like Mr. Zhao does not worry about those political nonsenses against new

Chinese immigrants in Singapore because he is pretty sure about the Singapore's political system that those anti-immigrants to some extent even xenophobic discourse proclaimed by the opposition parties and diffused by the media would not become policies in his lifetime. In addition, Mrs. Zhang, a new Chinese immigrant who graduated from NUS with a master's degree, further confirmed Mr. Zhao's point of view with her own elaboration in relation to media's depiction of new immigrants in Singapore:

... News reports often magnify certain issue, dilate on the voices coming out from few people because it is the so to speak typical or representative voice. Therefore, it makes the new immigrants themselves believe that they are not welcomed by the mainstream host society. Nevertheless, in the real life, you won't have many chances to have many locals dislike you whether you go out for shopping or take a taxi... While you met with local people, many even will show you Singapore's scenery spots, bring you to the scene... I might not know what is in their mind, however, at the bottom line, they are friendly and easy to approach... on the contrary, I often read many more negative reports from TV and newspapers, only few people's unhappy voices being reported, magnified, I haven't seen kind of phenomenon in my real life. (Mrs. Zhang, 27, Educator).

Another interviewee who is a linguist, attributing the sentiment of anti-immigrant or little bit unfriendly attitude as she spoken to excuses that made by local people so as to ask for more benefit and welfare from their government:

In fact, there is basically nothing about he (local people) does like me just because I am a new immigrant stuff. The only reason he might say so is the inflows of the new Chinese immigrants as a community, changed his life in one way or another that he does not like. Fortunately, one thing is really good is they, the local ethnic Chinese community, they will turn to their government to express their concerns and wait for their government to work out a solution rather than directly against me as the new immigrant. They trust their government, and I don't think there are any big conflicts happening between the two communities in real life. (Dr. Li, 34, Researcher).

With respect to the sentiment of anti-immigrant, Ms. Yang, a Beijing local who chose to spend 4 years at a northwestern university in China, joined her husband in Singapore in 2009, left for postgraduate study in Hong Kong in 2011, and working in Beijing for another 2 years

until she decided to pursue her PhD back in Singapore in 2015 gave us an unusual perspective that could probably ignite the anti-immigrant sentiment:

My teacher used to remind me that as a matter of fact, Singapore is an economically north country however a culturally south country. It means some new Chinese immigrants would voluntarily treat Singapore as a culturally inferior country rather than a representative of western civilization. More or less, it represents a civilization of Southeast Asia. In that case, some Chinese immigrants might become arrogant when interact with local community which in turn being hostile by the locals. (Ms. Yang, 30, PhD student).

Along with the high economic performance in China, there are many more Mainland Chinese people come across the country border and be exposed to the whole world as this study discussed in the introduction chapter, whether jealousy or discontent, any errant comments or behavior done by Chinese national would be soon put under the media's spotlight and being accused in the name of their country which has been ranked No. 2 in the world. "Unlike in 1990s, while China still less developed, new immigrants kept humble", Ms. Yang further added, "but now, things have changed, some of the new immigrants even treat immigration as consumption, they are proud of being coming from China, in a very high pitch. I have no idea where on earth this sense of proudness came from? They speak anything they want, make fun of Singapore, the little dot. They live in this country, but in a very high profile. They speak Mandarin to everyone they met, not feeling ashamed of their inability to speak English. Although they were able to speak English. I think their attitude changed."

Nevertheless, Dr. Long's experience tells us a refresh story concerning how ethnic Chinese Singaporean helps her while she was uncomfortable:

Personally, I don't have any feelings of unwelcome from Singaporeans around, or any maliciousness. I do not have any bad feelings, on the contrary, in many a time, while I felt nauseated, there were many Singaporean aunties coming to help me out. Sometimes I forgot to bring the EZ-link card, I have had Singaporean uncles to give me a favor... I think it looks like everyone welcomes me here. However, from news reports and TV, there are points of views shows the locals do not like us, or some others opinions alike. I do not have kinds of stuff in my life, really seldom to witness kind of situation. (Dr. Long, 31, naturalized Singapore citizen).

In short, what I claim the anti-immigrant sentiment was most probably overestimated in the perspective of my designated population: highly educated new Chinese immigrants, settlers or settlers to be, holding EP, PR even naturalized Singapore citizenship did earn its reasons. I discussed the reason that the anti-immigrant sentiment from the literature does not fit into my population when it comes to integration. My in-depth interviews have also shown these group of people are not bothered by the anti-immigrant sentiment that largely based on media reports and online forums and partly due to the *New Racism* ideology went viral with the pressure both covertly and overtly brought in to host society by the immigrants. More importantly, the unique Singapore residential pattern and ways of interacting with the resident community built through the precise social engineering can be considered as the insurance that prevent virtual online xenophobia turning into physical collisions in the real world which will be discussed in the next two sections.

The Residential Patterns

As discussed in the previous section, anti-immigrant sentiment against new Chinese immigrants was mostly exaggerated by the media reports and online forums rather than physical collisions between the new Chinese immigrants and the ethnic Chinese Singaporean in the real world. In this section, I intend to bring in another perspective which contributes to alleviate the so to speak anti-immigrant sentiment. It is as I argue that new Chinese immigrants are well co-habitant with local residents and the reason behind is partly due to the public housing schemes that act as influentially residential patterns which enhance the intergroup contact (Iceland, 2013; Massey & Fong, 1990) as well as the intragroup contact. However, my discussion would only focus on the latter as the new Chinese immigrants and the ethnic Chinese Singaporean are nevertheless considered having the same ethnical origin.

When it comes to the residential patterns, it is better to have a quick review of some precedent cases before Singapore. As one may be well informed as the Chicago School claimed in 1920s, immigrants might be living separately from the host society and “via recurrent cycles of migration into peripheral areas and the progressive movement of upwardly mobile groups from those areas to better locations in town”, while new immigrants took their place (Tomba, 2004, p. 12). It is no wonder “Denmark’s immigrant families are concentrated in larger urban municipalities with 61% living in public rental accommodation compared to 17% of the general population” that have potential being marginalized (Harrison, Law, & Phillips, 2005, p. 64). Nevertheless, with the government intervention in Finland, as Harrison et al. (2005, p. 28) further report, regardless of the citizenship or employment status, housing in Finland falls under

the “social security system and residence-based”, which means “all residents are guaranteed equality, democracy, human rights and basic social security”. Clearly, it is the social engineering behind the scene which “through the allocation of housing to new migrants in order to achieve an acceptable social mix” (Bolt, Phillips, & Van Kempen, 2010, p. 131). The German case which demonstrated by Bolt et al. (2010, p. 131) reveal that for a better integration of the immigrants, German housing and urban policies therefore have fostered housing market aiming at “achieving desegregation and including local quotas for non-German households for many housing estates”.

Back to Singapore, it needs to be mentioned that with 90% for resident households are homeowners, 77% of housing which usually being called Housing Board flats are developed and dominated directly by the Housing & Development Board (HDB) of Singapore (Phang, Lee, Cheong, Phoon, & Wee, 2014). Since 1989, HDB implemented an Ethnic Integration Policy (EIP) and under which racial limits in terms of “the Chinese, Malay, Indian/Others limits at 84%, 22%, and 10% respectively were set for the HDB blocks and neighborhoods” (Phang & Helble, 2016, p. 17). This helps to enhance the intergroup contact as the “HDB’s objective has always been to integrate the various income and racial groups within the public housing program and to avoid the emergence of low-income or ethnic ghettos” (Phang & Helble, 2016, p. 17). For intragroup contact, as Phang and Helble (2016, p. 18) further add that starting from “March 2010, in response to the increase in the number of SPRs living in public housing estates, the HDB introduced a new SPR quota for non-Malaysian SPR families buying flats to facilitate better integration and to prevent new SPR enclaves from forming in public housing estates where the SPR quota is set at 5% and 8% at the neighborhood and block levels, respectively”. With the institutional establishment in housing supply and management, intragroup contact between the new Chinese immigrants and the ethnic Chinese Singaporean become available, as Dr. Shang shares with us:

Since you live in the Singaporean society, it does not matter whether on residing, studying or working, you are always together with Singaporeans. Let me take my living estate as an example, I am surrounded by Singaporean, and it is quite common for me to interact actively with fellow Singaporeans and it is unavoidable as well. It is impossible to integrate into this society without interact with local Singaporeans... Another example is about taking care of my kids. As my parents cannot come to Singapore to take care of my kids, we have got our neighbor to help to take care of the kids for nearly two years. I sent the kids to

her flat every morning and she took care of the kids from morning to evening. We have built up very good relationship with Singaporean neighbors around and we have a lot of Singaporean friends as well. (Dr. Shang, 37, Researcher).

Although Dr. Shang still holds PR status, not yet prepared to be a naturalized Singapore citizen, he has shown a full appreciation to his local neighbors and willing to be part of the local community through various activities whether private or public. It is the establishing residential pattern made him surrounded by local residents become possible, and through the mutual help and communication, he is totally immunized from the sentiment of anti-immigrant. Another interviewee, a government primary school teacher shares a similar experience regarding how she mingles with her local neighbors because they live in the same block:

... of course it is possible to talk a little bit with local neighbors while I bring my kid to the attached playground. I think it is much easier to chat with ethnic Chinese Singaporeans. We would talk more if we often meet at the same playground. As I have been taking care of my kid for 3 years as a home maker, I often bring her to the block playground. It is quite natural to talk with local neighbors as all our children are from the same residential block. I was even not aware that they are Singaporean Chinese, and I really don't care whether they are the new Chinese immigrants or the ethnic Chinese Singaporean. (Ms. Shen, 35, Educator).

Nevertheless, based on the EIP, the Singapore's residential pattern is not perfect and it has rightfully drawn criticism for being too prescriptive that was deliberately engineered by the government's intrusive housing policies; as the Deputy Prime Minister Tharman Shanmugaratnam further added: "If we believe in social inclusion, if we believe in opportunities for all, we have to accept it doesn't happen automatically because of the invisible hand of the market or the invisible hand of society (Quartz, June 24, 2015). Therefore, it is hardly to deny that Singapore's residential pattern does provide the opportunities for interpersonal communication especially between the new Chinese immigrants and the ethnic Chinese Singaporean as once they live together, they're not just walking the same corridors every day, they're not just taking the same elevators up and down, their kids go to the same schools... and they grow up together (Quartz, June 24, 2015). Ms. Zhou, one of my interviewee, a kindergarten teacher, provides another example to echo the aforesaid policy vision behind the unique Singaporean residential pattern that local Singaporean neighbors may also take initiative to communicate with the Chinese immigrants:

As my flat locates at the corner of the corridor, we need to walk through many other flats along the long corridor. Just after we moved in, we found that one family in the middle was truly friendly.... The hostess was very kind, and she came to tell me where to buy cheaper vegetables.... We have talked about education as I knew she nurtured a very successful kid. A few days before, she even advised me not sending my kid to a tuition center named "I Can Read", the reason was my kid was too young to receive the instructions from the tutors. She asked me to read my kid stories instead. And if I did not have enough confident on certain topic, I could bring my kid to attend reading activities at National Library. (Ms. Zhou, 35, Educator).

In a word, with the admittance of the residential patterns of Singapore still being questioned as a controversial matter as the EIP works on the assumption that by living in close quarters, residents of different ethnicities will be forced to mingle and interact with each other, thereby strengthening the racial harmony and unity in Singapore (99.co, December 1, 2016), this study prefers to take on its positive stand which definitely not comprehensive but to some extent promotes intra group contact at a slow pace. Even for one of my interviewee, Dr. Feng, 37, who usually has a really busy schedule thus does not have much time to interact with his neighbors, still values the occasions to communicate with his neighbors rather than his relatives at Mainland China. He has experiences of neighbors distributing gifts which they had a newborn baby. And while Dr. Feng's family need to travel abroad together, he would even leave his keys to Singaporean neighbor and ask them to take care of his cat. And this made him felt necessarily to keep helping each other when possible. Therefore, by and large, it can be anticipated that most probably the residential patterns would hardly contribute to the growing of anti-immigrant sentiment rather than decrease.

Interacting with Community

In this section, I shall continually focus on the discussion of new Chinese immigrants interacting with the ethnic Chinese Singaporean in the level of community that act as another pillar to prevent the virtual online xenophobia turning into physical collisions in the host society. In addition to the evidence quoted from in-depth interviews, I also intend to bring in a small case study which comes from one of my interviewee, which would then help to showcase how new immigrant voluntarily working as grassroots leader and contributing to her resident community in terms of building co-ethnic integration and alleviating the sentiment of anti-immigrant on the other hand at the host society. Unlike other societies that a resident

community may tend to be self-organized; community in Singapore is well-established and highly organized in line with the unique residential pattern. The community entities like community clubs in Singapore generally under the leadership of the Peoples Association (PA) which chaired by the incumbent Prime Minister Lee Hsien Loong. It was established on 1 July 1960 as a statutory board to promote racial harmony and social cohesion in Singapore and has a network of 1,800 grassroots organizations (GROs), over 100 Community Clubs and five Community Development Councils (The People's Association, 2017a); more importantly, community based grassroots organizations not only help new citizens and PRs settle in the community, but also provide platforms to bond immigrants with the local residents (The People's Association, 2017b). Therefore, it is essential to mobilize new Chinese immigrants to interact with their designated community where various programs and interesting activities have been held from time to time.

First of all, new Chinese immigrants need to be educated the importance of involving themselves into the community and have such sense of willingness to be part of the resident community instead of sedentary at home after work. With such willingness in the mind, as a new immigrant of Singapore, it is worth of embracing the large local community like community club and public library by all means so as to take a step-up of integration into the host society. Dr. Lu, one of my interviewee, appeals to his fellow new Chinese immigrants as follows:

In fact, I have a strong feeling that the cultural activities in Singapore would be considered much affluent. You'd better make good use of these opportunities. ... It is an open society, as a new immigrant, you should actively participate in the activities rather than stay at home and complain about Singapore's inferior to China. Nevertheless, you may still be able to recall in what percentage of the public activities really open to the members of the public in China. In Singapore, including the public libraries, all they want is to persuade your presence there and browsing books. In what reason you don't want to come down to the libraries to borrow some books home from the beginning of the year all the way to the end of the year? Why not? Therefore, new immigrant really should readjust their mindset as the whole society is open to them. Better go out to participate, make out some time, do not just stay at home. (Dr. Lu, 50, adjunct lecturer).

Obviously, the resident communities neither have the authority nor necessary to force their immigrant residents to attend the activities. However, they can appoint individual immigrant like Dr. Lu to encourage his fellow friends to participate in the event. The difficulty lies on how to identify a great many of “Dr. Lu”. Next, interacting with the Singaporean community requires new immigrants’ commitment to the host society which regard as a step-up in comparison to the simple sense of willingness being part of the community. However, it needs to be mentioned here that this commitment would not last long if it is driven by political propaganda that treated as an obligation over the inflow of new immigrants. Rather, it is better to be built through time, skill and hundred percent voluntarily based as Dr. Zhang shares her experience with us:

I often participate in the activities host by the community. To be honest, I was not forced to attend, rather, I really believe I would be benefit from those activities. Of course, those activities were really interesting too.... As you live your life in this place for quite a long time, you have already treated this place as part of your life. You are neither purposely to segregate yourself from the society, nor participate in the society; you have regarded here as home of your life. There are no different for me to attend activities in China or Singapore, the way I made friends in China, the way I can do it in Singapore too... Sooner or later, you would slowly integrate into the host society instead of purposely to show others that you are not local. (Dr. Zhang, 37, Researcher).

Admittedly, not every immigrant has the same commitment like Dr. Zhang does. New Chinese immigrants came from many non-traditional immigrant homelands as in Fujian or Canton. Many new immigrants do not have blood ties in Singapore. It is not realistic for immigrants to treat Singapore as their permanent home instantly. To integrate these settled new immigrants, what the community can rely on is time, skill and many others. Thirdly, new immigrants’ interacting with resident community could be motivated by their kids. That is to say the motivation behind immigrant parents’ involvement in the resident community is to find local friends for their young kids. It is nearly a common sense that unlikely parents from other countries, parents who from mainland China would sacrifice much more of self so as to benefit their kids. Mr. Qi, father of two school age sons, stressed that children could act as a catalyst for their parent to build good relationship with the local community:

... To me, interact with the local community became more necessary after I have kids. Wishes of becoming part of the community were not that strong while I had

no kids or kids were really young. After you have kids, and as the kids grow, they need friends. Therefore, you have to help to find friends for the kids. While your kids successfully having local friends from the same age group, you would become a friend of their parents.... Recently, I feel comfortable to have local friends through this way. And I come with them to participate in the activities that hosted by the community. I used to bring in two of my kids to attend the activities, and in most of the time, only we three can play with each other. Now, things have changed as my kids' friends, their parents and us three are able to play together.... What's more, the parents of my son's friend who know more Singaporeans, and they are all locals, so I also have the opportunities to know more locals with time goes on. (Mr. Qi, 43, Educator).

Comparing to educating immigrants and commitment building up by the resident community that hardly to reaping the harvest in a short period, what Mr. Qi has told us may be inspiring. One brings in kids, bringing their parents too. It is feasible for the resident community to facilitate more kids-involved activities and invite immigrant kids to join in. If the immigrant kids can bond with the local kids, so can their parents, the immigrants themselves. Last but not least, I intend to discuss why the community should put in efforts to attract new immigrants to serve as a volunteer even grow him/her to be a grassroots leader in a later time. According to the official definition, Peoples Association (PA) grassroots volunteers are people who want to make a difference in the community and contribute to the lives of the people around us (The People's Association, 2017c); and grassroots leaders (GRLs) are volunteers appointed by the PA to serve in various grassroots organizations (GROs), as at July 2016, there are about 38,000 GRLs. (Government of Singapore, 2017). By and large, one cannot denial that a new immigrant volunteer would be easy accepted by his/her fellow immigrant. I have many interviewees who are aware of volunteering stories, some have been served as grassroots leaders for years, while some prefer to stay on as a normal volunteer only as the former will be formally appointed by the Chairman of the Peoples Association (PA), the Prime Minister of Singapore thus symbolically involving into the local politics. I quote Ms. Shen's words as follows:

I believe being a volunteer for the resident community is a good channel for me to better integrate into this society. However, what I mean is not purposely to join the so-called local mainstream society, instead, as I have been living in Punggol for many years, I like this place. And I will really happy if I can do

something for my community as well as help out some people in one way or another. This is the reason why I applied to be a volunteer....I also attend the scheduled committee meeting with other volunteers, and help out during the community events as assigned. (Ms. Shen, 35, Educator)

Similarly, a grassroots leader will shoulder more responsibilities in community maintenance, budget management and events planning. This requires effective communication with other local grassroots leaders of the resident community so as to discharge their duties. Therefore, it can be expected to have both inter-ethnic contacts and intra-ethnic contacts to emergent between the new immigrant and the local ethnic Chinese Singaporeans. Below is Ms. Ma's experience as an immigrant grassroots leader:

I have been appointed as a grassroots leader since I became a Singapore citizen many years before. I was asked to be in charge of finance matters, and even sent for formal training so as to be qualified to conduct the duty. ... I still help out the events hosted by the community... Being a grassroots leader, it helps me to better understand this society. I even brought my daughter to help out in the "Meet the people session" where the designated Member of Parliament came down to meet with public who need certain help. Some of these people were from the bottom of the society, and some were encountered financial embarrassment. It made me realized that the Singapore government has been doing a lot of work in relation to those less fortunate. (Ms. Ma, 47, educator).

For example, she continuously to add while the grassroots leaders met to discuss how to improve certain facilities like added in a small lane in their community, they really meant it and would carry on the job until it has been done. Why this society become so sophisticated? Because there are voluntary grassroots leaders who really concern their community and willing to rectify anything imperfect. What they did made her trust this society more. It is therefore when they need her, she is more than happy to contribute her time and efforts to the community. Since she has the ability to serve, why not to make this society become much better through her own efforts.

In conclusion, resident community is a feasible platform to engage the new immigrants. When it comes to integration, immigrants can be educated and their commitment to be part of the community can be nurtured, however, it takes time, skill and many others. To many new Chinese immigrants, kids are one of the main reasons why they choose to settle down in

Singapore. Successfully engaging immigrant kids into resident community, in the meantime, their parents will join in together. Last but not the least, having new immigrants as volunteers and grassroots leaders would help to enhance the community interaction and at the same time served as an essential pillar to alleviate the sentiment of anti-immigrant with the unique residential pattern discussed early.

Limitation and Conclusion

As mentioned before, one of the limitation of this study is the sampling. This is because with a limited resource in terms of the lack of official data and financial inadequacy could be invested into this study, there are only 32 new Chinese immigrants has been successfully approached to participate the in-depth interviews. As I adopted snowball sampling, all 32 interviewees were recruited through the personal contacts of my wife and myself. Therefore, one may be easily noticed that many of the interviewees were from similar occupation, namely, educator. In other words, many of them were teachers by the time of the interviews, nevertheless, they taught in different schools, including but not limited to kindergarten, government schools, private institutes and universities. However, as I cannot provide reasonable incentives, I cannot directly tease out interviewees with much similar backgrounds but try my luck and pray to have their interesting story so as to be worthy of my time and energy put in. With more research funds being allocated, future study may set a much workable plan to attract more new immigrants with more diversified professions so as to retrieve more unknown patterns of immigrants' integration into host society and other designated research purposes.

As for conclusion, this paper finds out that the anti-immigrant sentiment was most probably overestimated the perspective of my designated population: highly educated new Chinese immigrants. Because it is largely based on media reports and online forums and partly due to the *New Racism* ideology went viral with the pressure both covertly and overtly brought in to host society by the immigrants. My in-depth interviews have also shown these group of people are not bothered by the anti-immigrant sentiment. More importantly, the unique residential patterns of Singapore further provided a workable platform to promote intra-ethnic communication both at neighborhood and community level thus would help to decrease of the anti-immigrant sentiment rather than growing. Resident community is a feasible platform to engage the new immigrants. When it comes to integration, immigrants can be educated and their commitment to be part of the community can be nurtured. To many new Chinese immigrants, kids are one of the main reasons why they choose to settle down in Singapore.

Successfully engaging immigrant kids into resident community, in the meantime, their parents will join in together. In addition, having new immigrants as volunteers and grassroots leaders would help to enhance the community interaction and at the same time served as an essential pillar to alleviate the sentiment of anti-immigrant with the unique residential pattern that has been discussed early. In one word, barriers in terms of anti-immigrant sentiment which perceived impeding progress of integration for new Chinese immigrants in the past would be alleviated if not collapse as time goes by. And more importantly, reviewing the barriers of integration is worth doing constantly with the ever-changing immigration and integration practice in Singapore as the immigrants' host society.

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A Comparative Study of Social and Economic Aspect of Migration

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Abstract

India is a country of immense diversity. It is home to people of many different racial, languages, ethnic, religious and national backgrounds. Groups of people in India differ from each other not only in physical or demographic characteristics but also in distinctive patterns of behaviour and these patterns are determined by social and cultural factors like language, region, religion and caste. Apart from behaviour, economic development, level of education and political culture of the people in various social segments differ from region to region. More you can say that economy and cultures have been enriched by the contributions of migrants from round the globe. In an increasingly globalised world, migratory movements is continuously shaping the countries all over the world. Some countries like India and Ireland, which set the example of economic development and social integration, have the positive impact of the migration by globalisation and some countries like USA, which recently witness racism, xenophobia and discrimination have the negative impact on the migrants. It does not mean India do not face fragmentation and USA do not have cohesion. USA have many stories which show successful integration process, that facilitated the lives of immigrant communities, but being a developed country it still suffers from cultural alienation. In these countries, borders are built within borders to create cultural divides that do not allow people to integrate. Recently, this problem has become more prominent due to the rise of terrorism, clash of cultures in the world, leading to the glorification of stereotypes. People are becoming less accepting towards anyone who does not belong to their region. Migration does not stop after people move from one place to another place. The main question start after that 'now what' they will do. That is why this topic needs to be discussed thoroughly in order to find better solutions. This paper will begin with an analysis of different approaches to Migration, discuss the target groups for integration policies, provide indicators of the current situation of migrants and proceed to an analysis of integration tools: legislation, social policies and participatory processes. It will focus not only on the impact of migration but also on social integration, mix culture like indo-western culture in a comparative basis.

Introduction

Migration refers to the movement of population from one place to another. A variety of factors can cause migration of individuals. In general, people take decisions to migrate based on push and pull factors. Push factors are events and conditions that force individuals to move to other locations. They include a variety of motives from the idiosyncratic, such as an individual's dissatisfaction with the facilities at home, to the dramatic, such as war, economic dislocation or ecological deterioration. On the other hand, pull factors are those conditions that attract people to move to a particular new location. It is, however, important to note that both push and pull factors operate simultaneously in any migration, though with varying magnitude. Apart from this, migration involves crossing over of the boundary of an administrative unit. When the national boundary of a country is involved, such movement is known as international migration. Similarly, if migration takes place within the national boundary of a country, it is termed as internal migration. According to International Migration Report 2015, two-thirds (67 per cent) of all international migrants were living in just twenty countries. The largest number of international migrants (47 million) resided in the United States of America, equal to about a fifth (19 per cent) of the world's total. Germany and the Russian Federation hosted the second and third largest numbers of migrants worldwide (12 million each), followed by Saudi Arabia (10 million). In 2015, India had the largest "diaspora" in the world (16 million), followed by Mexico (12 million). Apart from this, India has one of the highest internal migrant i.e. 450.36 million. To analyse these data, one can find out India with largest diaspora is a place where highest internal migration occur and USA is a place where maximum international migrants resides. In both of case i.e. international migration and internal migration, people get migrated to that place where they can find better opportunities, better employment, better living conditions when compared to the native place. Being a developed country, USA provides a better platform so that international migrants get the better standard of life but in case of internal migration, opportunities are almost same all over the country so internal migration is not as prevalent as international migration in USA. In case of India, being in a developing stage international immigration does not take place as internal migration.

Internal Migration: Those who move within national boundaries - are several times more significant in terms of the numbers involved when compared to those who move across countries. According to the International Organisation for Migration Report 2015, the number of those who moved within their countries was nearly three times larger (763 million) than those who moved internationally (244 million). Further, internal migration remains grossly

underestimated due to empirical and conceptual difficulties in measurement. Somehow, it can be calculated by growth of urban population and the urban growth is the result of a number of factors like net rural-urban migration, natural increase, net increase in new towns and jurisdictional changes. In India, about 60 per cent of growth in the urban population is due to natural increase, while rural-urban migration has contributed to about 20 per cent of increase in urban population. Because of this 20 percent increase in population, according to census 2011, Internal migrants in India constitute 450.36 million (37 percent of total population). In 2001, the figure stood at 310.45 million (30 percent of total population). In India, Constitution gives free movement, as a fundamental right to the citizens of India, is one of the factor responsible for high rate of internal migration in India. According to the Article 19(1) (d) and Article 19(1) (e), Part III, Fundamental Rights, The Constitution of India “All citizens shall have the right (...) to move freely throughout the territory of India; to reside and settle in any part of the territory of India”. This is not the only reason for which India has one of the highest internal migrants. India has a single constitution all over the states, which gives the rights to Indian citizen to enjoy all rights all over the country. On the other side, other developed country like USA also gives that freedom to move to their citizen but does not single constitution. That is why in USA citizen of other state does not enjoy that much right, which they can enjoy in their native state.

Migration in India is primarily of two types: (a) Long-term migration, resulting in the relocation of an individual or household and (b) Short-term or seasonal/circular migration, involving back and forth movement between a source and destination. Lead source states of internal migrants include Uttar Pradesh, Bihar, Rajasthan, Madhya Pradesh, Andhra Pradesh Chhattisgarh, Jharkhand, Odisha, Uttarakhand and Tamil Nadu, whereas key destination areas are Delhi, Maharashtra, Gujarat, Haryana, Punjab and Karnataka. Estimates of short-term migrants vary from 15 million to 100 million (NSSO 2007–2008). Yet, macro surveys such as the Census fail to adequately capture flows of short-term migrants. Several studies have pointed out approximately three out of every ten Indians are internal migrants and this intensity of migration is expected to increase in the future as a response to economic crises, political instability and global environment change. In particular, global environment change, especially climate change impacts will directly affect population mobility. Estimates indicate that by 2050, 200 million people worldwide may become permanently displaced due to environmental factors such as sea level rise, floods, more intense droughts, and other climate-driven changes. Although, Government of India provides social and financial security to migrants yet migration

should be seen as an appropriate and manageable adaptation strategy to cope with environmental, socio-economic and political stress. There is an urgent need to develop a governance system for internal migration in India, i.e. a dedicated system of institutions, legal frameworks, mechanisms and practices aimed at internal migration and protecting migrants. So that one can avoid socio-economic imbalance in source's and destination's society.

International Migration:

In today's increasingly interconnected world, international migration has become a reality that touches nearly all corners of the world, often making distinctions between countries of origin, transit and destination obsolete. Modern transportation has made it easier, cheaper and faster for persons to move. At the same time conflict, poverty, inequality and lack of decent occupations are among the reasons that compel people to leave their homes in search of better future for themselves and their families.

When migration supported by appropriate policies, it can contribute to inclusive and sustainable economic growth and development in both home and host countries. In 2014, migrants from developing countries sent home an estimated US \$436 billion in remittances; a 4.4 percent increase over the 2013 level (World Bank 2015). In 2015, India receives more remittances from migrants than any other country. Indian diaspora sent about \$69 billion to home, amounting to roughly 3% of the country's gross domestic product, according to the World Bank estimates. Most of the remittances comes from Indians living in Persian Gulf countries as well as the U.S.A., the UK and Canada. India has been the world's top recipient of migrant remittances since 2008, when it overtook China on this measure. These funds are often used to improve the livelihoods of families and communities through investments in education, health, sanitation, housing and infrastructure. Countries of destination can also benefit from migration. In countries of destination, migrants often fill critical labour shortages, create employments as entrepreneurs, and contribute in terms of taxes and social security contributions. Migrants, as dynamic members of the society, can also forge new paths in science, medicine and technology and enrich their host communities by upholding cultural diversity.

In spite of the many benefits of migration, migrants themselves remain among the most susceptible members of society. They are often the first to lose their job in the occasion of an economic downturn (economic crisis of 2008 in USA). They often work for less pay, for longer hours, and in worse conditions than native workers do. While for many migration is an

empowering experience, others endure human rights violations, abuse and discrimination. Migrants, particularly women and children, are too often victims of human trafficking and the terrible forms of exploitation that human trafficking entails. Despite all these exploitation, migration remains one of the few options for people, particularly young people, to find decent work, and escape poverty, discrimination and violence.

For this, accurate, consistent and timely data on international migration are essential for assessing current and future needs and for setting policy priorities to promote inclusive and equitable development. In order to track systematically levels and trends in international migration all over the world, the Population Division of the Department of Economic and Social Affairs of the United Nations issues estimates of the number of international migrant stocks disaggregated by age, sex and place of origin for all countries and areas of the world. This report presents the highlights of the International Migration Report 2015, which contains the latest estimates of international migrant stock for 232 countries or areas from 2000 to 2015. The annex in these Highlights provides data for 2000 and 2015 on the estimated number of international migrants, the percentage of migrants in the total population, the percentage of female migrants, and the median age of migrants for 232 countries or areas of the world.

According to International Migration Report 2015, India is also one of the world's top destinations for international migrants. As of 2015, about 5.2 million immigrants live in India, making it the 12th-largest immigrant population in the world. The overwhelming majority of India's immigrants are from neighbouring countries such as Bangladesh (3.2 million), Pakistan (1.1 million), Nepal (540,000) and Sri Lanka (160,000). Even though the country is the top source of the world's migrants in total numbers, India has one of the world's lowest emigration rates. Only about 1% of India's population lives outside of the country, a similar emigration rate to that of the U.S.A. Having 1.32 billion population, India's population is the second largest in the world behind China. Consequently, it would take tens of millions more people to leave India before its emigration rate reached the world's 3% average.

Challenges of Migration

Increased levels of migration cause cities to face many socio-economic and environmental challenges that worsen urban poverty and intensify inequalities in access to income and services, and thereby deepen social segregation. On the other side, the expansion of rights based approaches- increasingly enshrined in law- to ensure that basic services are accessible to all citizens is a process to making social policy inclined to promote social inclusion. However,

migrants face numerous constraints, including: a lack of political representation; inadequate housing and a lack of formal residency rights; low paid, insecure or hazardous work; limited access to state-provided services such as health and education; discrimination based on ethnicity, religion, class or gender; extreme vulnerability of women and children migrants to trafficking and sex exploitation. Because of this, all over the world the migrants feel isolation from the society. Migrants, especially seasonal and circular migrants, constitute a “floating” population, as they alternate between living at their source and destination locations, and in turn lose access to social protection benefits linked to the place of residence. There are some problem, which are face by migrants and how Government of India tackling these problems are discuss below:

Registration and Identity: Usually, in the absence of documentary proof of identity and local residence, administration exclude migrants from access to legal rights, public services and social protection programmes accorded to residents, because of which they are often treated as second-class citizens. As a result, migrants face barriers in accessing subsidised food, housing and banking services.

To overcome this problem, India started the new Unique Identification programme (Aadhar) in 2009 for internal migrants. The Unique Identification Authority of India (UIDAI) was formulated to issue to every resident (migrants and non-migrants) a unique identification number (Aadhar) linked to the resident’s demographic and biometric information, which they can use to identify themselves anywhere in India, and to access benefits and services. The process of enrolment of migrants in the Aadhar programme needs to be closely monitored because in practice they may be enrolled after than native population. In the meantime, NGOs have started to make efforts to provide identity cards. Before Aadhar Card, The Migrant Labour Support Programme (MLSP) implemented by the Gramin Vikas Trust in Madhya Pradesh and Gujarat. It issued the ID cards to migrant workers for the first time. The scheme was successful in helping migrants to establish their identity when questioned by the police and other authorities. These informal ID cards were accepted and were endorsed by the district administration in several districts of Madhya Pradesh. For example, Jhabua district issued 30,000 ID cards to migrants in collaboration with MLSP in 2005-06.

AAJEEVIKA BUREAU as a response to the identity crisis that a migrant faces – especially during inter-state migration - Aajeevika Bureau undertakes a process of registration of migrants and issues identity cards. It provides a range of services to migrants and their households. These services include registration and photo id, skill training and placement, legal aid,

collectivisation, social security, financial services and family support. It started in 2005, the registration and identity service achieved a significant milestone in December 2007. After two years of advocacy efforts, the Ministry of Labour and Employment of Rajasthan recognised the card as a valid proof of identity. Aajeevika Bureau states that over a span of ten years, they have been able to register a total of over 80,000 migrants.

LABOURNET-The Bangalore based LabourNet programme has also issued identity cards. Through its network of Worker Facilitation Centres in Karnataka, LabourNet undertakes the registration of unorganised sector workers, including migrants, through referrals and direct field-based registration drives. LabourNet has registered approximately 44,000 workers since 2006.

TRADE UNION CARDS FOR MIGRANTS- Disha Foundation in Nashik has issued identity cards to 15,000 migrants enrolled in the trade unions of various sectors. Migrants are provided with official membership and a photo identity card for the union, based on a detailed registration form that includes basic demographic information.

In case of immigrants, United Nations High Commissioner for Refugees (UNHCR) started a programme to issue the new cards in July 2011. The new ID cards have an electronic chip that contains information about the holder, including biographical details. The UNHCR issues ID cards to registered refugees helped to prevent arbitrary arrests, detention and deportation. As of December 2014, there are some 31,000 refugees and asylum-seekers registered with UNHCR in India. In 2017, when Rohingya were in news, the West Bengal government distributed identity cards issued by UNHCR to Rohingya children lodged in the juvenile justice homes of the state. The UNHCR says some 16,500 Rohingya from Myanmar are registered with it in India. The government will also issues long-term visas to refugees, which ease their access to public services and employment in the private sector.

After getting registration and identity cards, it will be easier to them i.e. internal migrants and immigrants, to access the public services and jobs. Apart from this, on the socio-economic perspective, these identity cards will be helpful to get the recognition in society. This is the main reason India does not have any major case of social fragmentation. Even India set an example of social integration because India is a country of many culture so it is easier in India to blend with other culture because it is east to combine with a diverse society than to a single society.

Political and Civic Inclusion- Democratic elections are an important medium through which the poor are provided with a formal channel to express their satisfaction or grievances against the ruling political party. However, due to seasonal migration, migrants often remain absent from their source constituencies during the time of elections. In India, there is no concept of proxy voting for internal migrants but government of India is planning to give proxy voting right to NRIs. On the other hand, Indian government is working on settle down the problems and grievances of migrants. A number of Urban Local Bodies and Municipalities in India, including New Delhi, Vishakhapatnam and Coimbatore, have declared citizen's charters to recognise the rights of citizens and have taken responsibility for responding to their needs. An upcoming bill pending in Parliament - The Right of Citizens for Time Bound Delivery of Goods and Services and Redressal of their Grievances Bill, 2011- could further ensure a mechanism of accountability of public authorities. The bill mandates every public authority to publish a citizen's charter, outlining timelines for delivery of goods and services. This will also provide equal status to the migrants as the natural citizen have and this status will give them social security and encourage social inclusion.

Labour Market Inclusion: Migrants are mostly employed in the informal economy, often working as construction workers, agricultural labourers, hawkers and vendors, domestic help, rickshaw pullers, electricians, plumbers, masons and security personnel. Lacking of social security and legal protection, they work in poor conditions and face labour market discrimination. Minimum wages are often flouted and employers bear no responsibility for health, shelter and other basic requirements of migrants.

In order to improve the employability of migrants, The International Labour Organisation (ILO) has collaborated with the Ministry of Labour and Employment and state governments in India to promote decent work, especially in the brick kiln sector, with the aim of preventing seasonal migrants to becoming bonded labour. Since seasonal migrant labourers are often provided cash advances by labour contractors in return for their labour and, in turn, contractors retain financial and often physical control of labourers. Because of this arrangement some migrants remain locked in debt-migration cycles, using earnings from migration to alleviate past debt. Based on the outcomes of a pilot program undertaken in Tamil Nadu, the project aims to cover the brick kiln sector in the states of Andhra Pradesh, Uttar Pradesh, Odisha, Jharkhand and Chhattisgarh. The project aims to reduce household vulnerability to bondage among migrants in the brick kiln sector, which has thus far continued despite the Bonded Labour System (Abolition) Act (1976). The promotion of decent work includes improvement

of workplace conditions, transparency in wage payments, social dialogue to resolve workplace problems, enrolling migrant workers in government schemes at source and destination states, unionising workers and providing migrant children with schooling opportunities.

LabourNet seeks to create a more productive workforce comprised of trained and certified workers, ensuring them easy and institutionalised access to jobs. This is done by providing training to workers, with the aim of increasing employability and improving remuneration

Operating within the framework of the National Rural Livelihoods Mission, Jeevika, Bihar Rural Livelihoods Project, is an initiative from the Government of Bihar, supported by The World Bank. It is a community driven poverty alleviation project, working in 400 villages and covering 700,000 households. Jeevika promotes market-linked skills enhancement and placement of Bihari migrant workers, by collaborating with private companies, such as Vardhaman Spinning (Oswal group), Orient Craft Fashion Institute of Technology and Matrix Clothing Pvt. Ltd, Gurgaon

The Tribal Development Department, Government of Maharashtra and Disha Foundation, Nasik have joined efforts to establish a Migration Resource Centre with support from the Revenue, Urban Land Ceiling, Municipal Corporation, and Public Works Departments. The Migration Resource Centre plans to generate data on migrant flows for better-informed programmes and policies. It also intends to address migration at both destination and source. From all the above-mentioned program, Government of India is planning to provide financial security to migrants. It is usually seen that once the people get the financial stability they encourage themselves for social integration.

Legal Aid and Dispute Resolution: Migrants are predominantly engaged in the informal sector where labour laws and safety measurements unimplemented, and minimum wages are not given, particularly for women. Further, poor literacy levels act as an impediment in claiming rights and entitlements for internal migrants. In India, as per Census of India 2011, the overall literacy rate was 74.04 percent, with male literacy rate being 82.14 per cent and female literacy rate being 65.46 per cent. Regarding migrants, data from Census of India 2001, reveals that more than half of the female migrants (57.8 per cent) and 25.8 per cent of the male migrants were illiterate (Rajan, 2013). Further, NSSO data (2007-08) reveals that 52 per cent short-duration migrants were either illiterate or had not even completed primary education.

Since migrants mostly have restricted access to education, they remain unaware of their legal rights and are unable to access an unbiased forum to register their grievances. Women

migrants are even more vulnerable to exploitation, possessing negligible or often lower educational qualifications than their male counterparts. As a result, they face harassment and other aspects of labour market discrimination. Due to their mobile status, migrants face difficulties in unionising, and remain a fragmented workforce of society.

In Rajasthan, Aajeevika Bureau has been providing legal counselling for migrants with a view to support workers who face the vagaries of the informal labour market. The legal aid service encompasses dedicated programmes for legal literacy and direct legal help through mediation and litigation in special cases. In the case of a dispute, workers can approach the walk-in resource centres (*Shramik Sahayata evam Sandarbha Kendras* or 3SKs) to register their case and seek counsel and aid. This process of intermediation is institutionalised through regular legal clinic days. Legal clinic days are adaptations of the formal court mechanism, wherein a trained lawyer gives disputing parties an objective hearing and advice. The resource centre plays the role of an objective mediator between the complainant and the offenders. There is an emphasis on resolving disputes through intermediation and negotiation rather than litigation, which can be expensive and time consuming for workers to pursue.

Aajeevika Bureau has launched a phone-based help line for workers called Labour Line in Udaipur, Rajasthan. The helpline involves a dedicated phone line answered by a trained counsellor. It allows workers to reach out for counsel in case of any problem related to wages, retrenchment or abuse. A network of walk-in resource centres supports Labour Line. Since it was launched in August 2011, Labour Line has received over 1100 phone calls from across the state.

PEPUS or *Paryavaran Evam Prodyogiki Utthan Samiti* (Society for Environmental and Technical Upliftment), based in Jhusi, Allahabad, Uttar Pradesh, facilitates the process of dispute resolution for migrant labourers, and aims to reach a settlement through mutual dialogue. PEPUS has promoted the formation of groups of migrant labourers working in brick kilns, known as *Bhatta Parivar Vikas Sewa Samiti* (Association for Development of Families of Brick Kiln Workers), which is registered under the Indian Societies Registration Act 1860. To resolve disputes, migrant labourers first submit a written complaint at the Migrant Resource Centre (*Shramik Sahayata Kendra*).

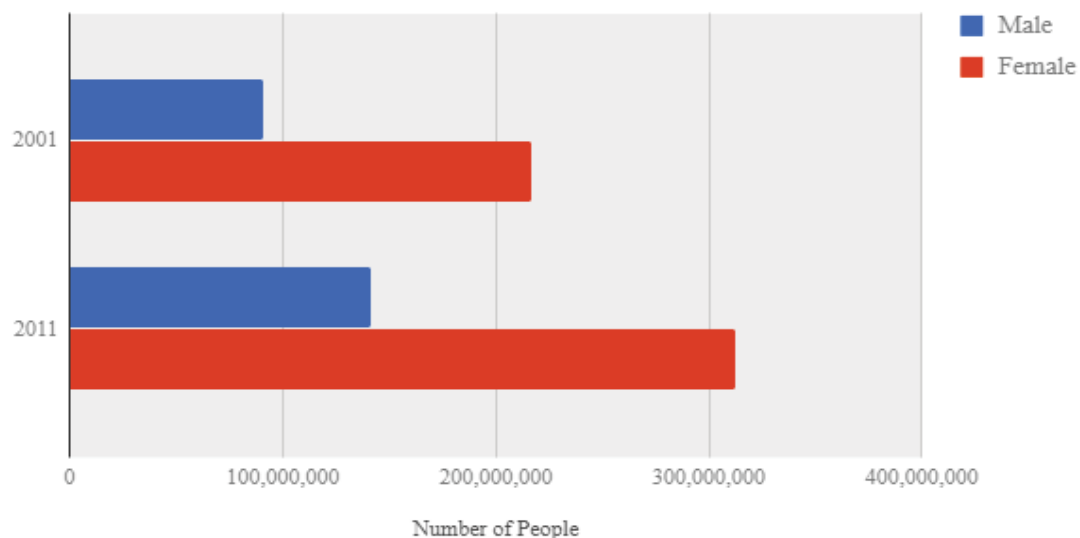
A grievance-handling cell has been initiated by the Department of Labour, Maharashtra, with the support of Disha Foundation, for specifically handling migrants' employment, wages

and related grievances. A complaint form is dropped into a complaint box, one of which has been placed at each of two labour markets.

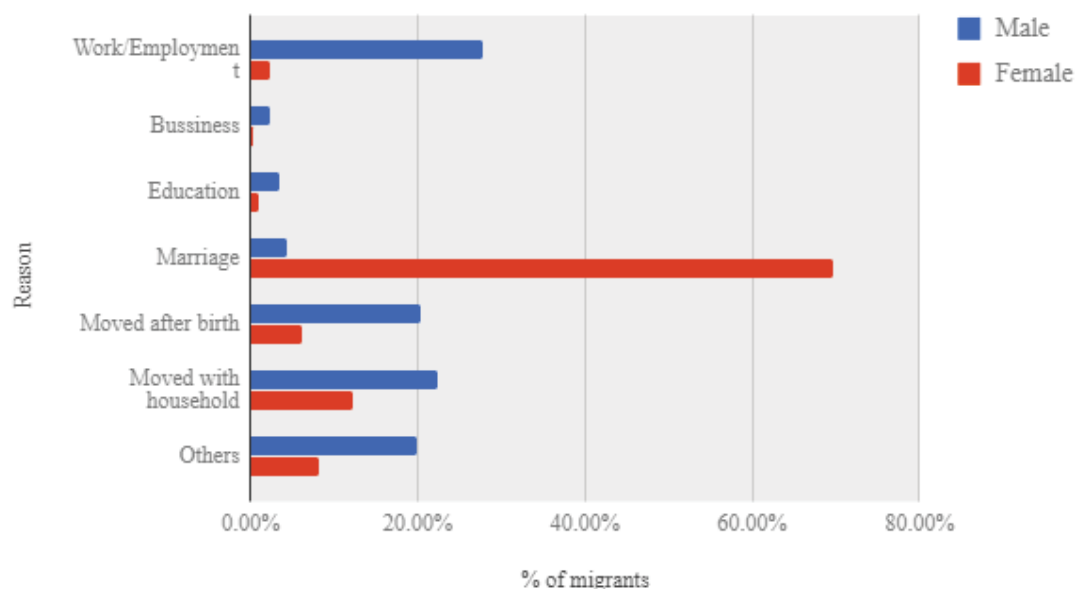
Increasing number of Women migrants: Migrants do not constitute a homogenous category, and migrants are differentiated according to gender, class, ethnicity, language and religion. Women constitute an overwhelming majority of migrants, 70.7 per cent of internal migrants as per Census 2001, and 80 per cent of total internal migrants as per census 2011 (chart-1). Women give marriage as the most prominent reason for migration. The research on migration has failed to adequately address gender-specific migration experiences. A gender perspective on internal migration is vital since women have significantly different migration motivations, patterns, options and obstacles than men.

Marriage is given the most prominent reason by the women migrants: cited by 91.3 percent of women in rural areas and 60.8 percent of women in urban areas (NSSO 2007–08). However, several researchers are working to uncover the more complex reality lying behind statistics and consider that “this narrow picture painted by government statistics fails to grasp the complexity of both the scale and motives of women who migrate for [other] reasons [...], or who may enter the labour force after migrating as a member of a migrating household.” (Agnihotri et.al, 2012b).

Migrants, by gender



Women migrate for marriage, men for work (2011)



Women migrants, especially those in lower-end informal sector occupations, remain invisible and discriminated in their workplace. Female migrants are less well represented in regular jobs and more likely to be self-employed. In India, occurrences of gender-based violence of women are widespread: as per the National Crime Records Bureau, between 2006 and 2010, the total number of crimes against women increased by 29.6 percent. Further, according to the National Family Health Survey (NFHS-III), one third of women aged 15 to 49 had experienced physical violence, and one in 10 had been a victim of sexual violence (Planning Commission 2012).

For this, government of India started a project named Sanlaap, which rebuild the lives of young girls and women who were survivors of trafficking. It also provides training to girls for life skills and educate them about their rights. At home, the girls are provided to vocational trainings to ensure they are able to make a living, look after themselves and educate others about trafficking. This ongoing project has been run by Sanlaap since 2010, with the support of UN Women and the NGO, Child Rights and You (CRY). Sanlaap initially started out by only providing rehabilitation support to survivors who have been rescued and preventing second-generation prostitution, they slowly realised the need to get involved in the source areas and carry out prevention activities to combat the challenge of trafficking. Sanlaap generates awareness of safe migration, trafficking and violence against women at the community level by involving community leaders and ensuring community policing.

In case of international migrants, India is a signatory of the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) and ratified the convention in 1993. However, in practice CEDAW General Recommendation No. 26 on Women Migrant Workers (2008) remains largely unimplemented. CEDAW General Recommendation No. 26 especially outlines recommendations that respect, protect and fulfil the human rights of women migrant workers, against sex- and gender-based discrimination. Apart from this, India is also a signatory to the United Nations Convention against Transnational Organized Crime (UNTOC), which has as one of its Protocols as the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children. The Protocol obligates State Parties to undertake measures for prevention of trafficking as also for providing physical, psychological and social recovery of victims of trafficking.

The Government of India has also signed and ratified the SAARC Convention on Preventing and Combating Trafficking in Women and Children for Prostitution. The Convention deals with the various aspects of prevention and suppression of trafficking in women and children; repatriation and rehabilitation of victims of trafficking and prevention of use of women and children in international prostitution networks, particularly where countries of the SAARC region are the countries of origin, transit and destination. Though all these protocols and instruments pertain to the international migration of women workers, there is an urgent need to create awareness of their provisions and broaden their implementation, and to adapt responsibilities for relevant stakeholders to similarly promote and facilitate internal migration of women migrant workers.

Urbanisation

“... cities should be able to provide basic services to migrant workers, their families and other vulnerable sections of society including women and children.”

Twelfth Five-Year Plan (2012–2017)

India's urban population has increased from about 286 million in 2001 to 377 million in 2011, and is expected to increase to 600 million (out of a total population of 1.4 billion) by 2030 (Census of India, 2011 and Planning Commission, 2011). The increase in the migration rate to urban areas has primarily occurred due to an increase in migration rate for females, which has been rising from 38.2 per cent in 1993 to 41.8 percent in 1999-2000 to 45.6 per cent in 2007-08. As discussed earlier, although women migrants declare to migrate because of marriage, many of them take up work, joining the pool of migrant workers in urban areas. Male

migration rate in urban areas has remained constant over this period (between 26 and 27 per cent), but employment-related reasons for migration of males increased from 42 per cent in 1993 to 52 percent in 1999-2000 to 56 per cent in 2007-08. This shows people are migrating to urban areas because of employment. This can give positive as well negative effect on cities. It can be key actors of prosperous cities, boosting economic activity and economic growth. That mean better inclusion of migrants in cities is a necessary step towards sustainable and planned urban development, based on cultural diversity, social cohesion and human rights. There is a pressing need to ensure that urban settlements become inclusive spaces as they expand in size and diversity. This would require adequate and affordable housing, health and education services as well as infrastructure and sanitation. Improving migrants' access to government services and welfare programmes can improve the quality of life of migrants. This will in turn lay the foundations for a more inclusive and integrated society and balance economic prosperity and social diversity.

Inclusion through food

To overcome this problem, Indian government started Public Distribution System of India (PDS), which provides essential food items at subsidised rates in order to ensure access to food for those who cannot afford to buy it at market rates. With a network of more than 462,000 fair price shops distributing commodities worth more than 30,000 crore (USD 5,357 million) annually to about 160 million families, the PDS in India is perhaps the largest distribution network of its kind in the world. Under the PDS scheme, each family below the poverty line is eligible for 35 kg of rice or wheat every month, while a household above the poverty line is entitled to 15 kg of food grain on a monthly basis. In order to access grain and other supplies, beneficiaries must present a ration card that is given to them at their usual place of residence and is not transferrable. For this, State Government started to issue temporary ration during their stay in a destination city so that they can access their rights.

Hindustan Petroleum Corporation Limited (HPCL), a leading petroleum company, has embarked upon a program to set up community kitchens or Suvidha Rasoi Ghars, through its Corporate Social Responsibility (CSR) initiative. These community kitchens are spaces with stoves and LPG cylinders where groups of migrants can cook on an hourly basis. The installation cost is borne by the company and require no paper work. Over the past two years, Aajeevika has collaborated with HPCL to provide this service to migrant workers in different parts of Ahmedabad. More recently, the centre has also started a mobile kitchen initiative for migrant workers, who are homeless and hence cannot access this facility inside a physical space.

Currently, this service is being run at ten different locations, benefitting more than 400 migrant workers across the city of Ahmedabad.

Conclusion

Migration itself is an unpleasant fact. It is one of the oldest human phenomena. Humans have always moved across communities, states and continents. However, numbers are going up and this number come with the result of large political, demographic and economic imbalance and climate change. A basic overview of this complex phenomenon makes clear that in spite of the vast contribution of migrants to India's economy, the social protections available to them remain meagre. As far as reasons of migration are concerned employment among males and marriage among female is the main reasons of migration in the country. Therefore, the Indian government needs to develop a strategy for the development and integration of migrant as a matter of urgency. Its demography, projected migration trends, the continuing exclusion experienced by some migrant communities into the second and third generations have ensured that this issue is should be on the political agenda. Integration is a two way process that requires adaptation by migrants but also by the society. Integration policies need to be targeted at the whole of society, not just at migrants and minorities. In practice, this means policies must address the institutional barriers to integration, including discriminatory practices, and not only migrants' need to adapt and develop their skills. Exclusion and inequality have multiple causes and require a range of economic, social, cultural and political levels to address them: policies should not focus only on integration into the labour market, or on cultural attitudes, but take a holistic approach. To do so effectively, the specific needs and experiences of different racial, ethnic and religious groups need to be identified first. Secondly, it is necessary to assess the different economic and social barriers they encounter, including discrimination. In that context, steps should be taken to equalise the legal status of long-term residents and nationals. In some cases, policies targeted at certain disadvantaged groups are appropriate, but most can be achieved by incorporating specific inclusion and equality objectives within employment, education, housing, regeneration and health programmes. The social and economic progress of migrants needs to be monitored to provide an evidence base for future policymaking, and the impact of these policies on different communities needs to be assessed. Finally, participation in civic and political decision-making -integration into the rights and responsibilities of residency and citizenship – is a vital if often neglected integration goal. It will give migrants a stake in the future of their society and expresses the acceptance on the part of the majority that migrants' and minorities' participation in shaping that future is possible and desirable.

Finally, the government should establish procedures to evaluate the effectiveness and impact of the integration measures proposed, and carry out assessments of all its policies, programmes, projects and own employment practices to establish their impact on migrants and ethnic minorities. A concerted attempt to develop and implement a comprehensive integration strategy in this way, in which integration objectives are mainstreamed into the government's policies and programmes, coupled with effective political leadership to address public concerns, could make a significant contribution to the future stability and to equality of opportunity within its borders.

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An Empirical Study of Right to Services Act in the State of Rajasthan: Impact and Challenge

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Abstract

State has the mandatory responsibility for timely dispense of services to its citizens. The elected executives shall be accountable to the public in reaching out them through the bureaucratic mechanism. Concept of Good Governance has brought various changes in the relationship between the ruler and the ruled. Globalization paved way for market forces and later challenged the state institutions in delivery of services to the public.

At this juncture, mechanisms established by the state proved to be inadequate to meet the market forces. Rulers started to transform the existing structures and if found deficient, created anew through legislations. Comparisons started between private and government sector in service delivery and later has to prove itself as a better service delivery institution. The ultimate aim of the state is to meet the requirements of its beneficiaries at their door steps. Citizens will topple the government through popular mandate if it fails to satisfy them.

To prove its mettle in governance, one such act enacted across the states in India is “Right to Public Services Act”, which transforms the state and its mechanism into transparent, accountable and responsible institutions. Legislation assures reduction in corruption, credibility in functioning of departments and officials.

This paper discusses about the legislation enacted in Rajasthan, India’s largest state. The objectives of this study are to i) to identify the impact of this act on the beneficiaries and how far they are aware of this legislation. ii) Critically analyze and to find out the limitations in its implementation. iii) To study the legislation empirically with other similar statutes.

Epistemological questions raised while discussing this paper were- whether this act is going to reduce corruption and bring transparency in administrative institutions or not? If so, what impact is there on the officials and the citizens? How far the citizens were aware of this service and whether they are really utilizing this service? What steps the government has taken to create awareness in the public? Whether this legislation brings good governance as envisaged, if so, how far it has transformed in the social life? If not, what is the administrative lacuna?

Introduction

A nation is said to be democratic when its citizens are able to exercise the right to vote, enjoy the fundamental rights enshrined in the sacred document and get protection from the courts when the state encroaches up on their rights. The meaning of “**Democracy**” has transformed itself over a period of time which depends on the situation and the aspirations of the ruled. The administrative changes across the nations, international institutions established after the World War II and awareness among the public were also responsible for the change in the scenario. Post 1950’s the regulatory state paved way for the development administration in most of the newly liberated nations from the colonial clutches.

The third world nations with reference to India, the state took the responsibility of providing the basic amenities to all its citizens. It was a welfare state (Some call it as “Nanny State, coined by British Conservative politician, Ian Macleod”) where state intervened the lives of the public from birth to death. The ever growing of state’s intervention was challenged in 1960’s by the **Public Choice Theorists** (Buchanan, 2000) who proposed for anti-hierarchical and anti-bureaucratic administrative systems. In UK and USA, Thatcher and Regan respectively adopted the concept of privatization in early 80’s. This became the starting point for private players to play predominant role in service delivery along with the state.

There aroused a competition between the state and private players as citizens looked for the quality of services, which they (public) think that the latter will provide better. The state went on consistent reforms from then, to draw the public faith back to its institutions and promised an assurance in delivery of its services. This paved in UK during John Major as Prime Minister, who started a new reform called as **Citizen’s Charter** (Guy Standing, 2013). The aim of this initiative is to ensure quality of services to its citizens in transparent and accountable way. This was paradoxical initiative at that time, as privatization initiative taken by Major’s predecessor, who provided greater role to non-governmental agencies and he introduced responsibility on the departments to prove its efficiency and effectiveness.

Citizen’s charter wanted to regain the public trust on government departments by promising timely delivery of services. Transparency, accountability and openness became the buzzwords of the charter. Every department in UK has got the charter displayed about the time needed to get the services delivered. The concept of Good Governance runs synonymous with the charter act. Nations across the globe started adopting Citizen’s Charter and it became a yardstick to measure how democratic the state is?

Good Governance and Citizen's Charter

Anne Mette Kjaer defined Governance as “*Governance was traditionally associated with government, with the exercise of power by political leaders*”. As the state transformed from regulatory to welfare, it became the responsibility of rulers to satisfy the necessities of the ruled. Governance is also what the rulers will do for its citizens which lead to development of the nation. They will frame the laws, established institutions to enforce the laws, monitor its implementation and address the grievances. “*In broad terms, governance is about the institutional environment in which citizens interact among themselves and with government agencies/officials*”(ADB, 2005, UNDP, p .8).

World Bank gave a broader definition “*Governance encompasses the form of political regime; the process by which authority is exercised in the management of a country's economic and social resources for development; and the capacity of governments to design, formulate and implement policies and discharge functions*” (World Bank 1991 1992 1994; World Bank 2000a). It includes not only political but also social and economical. Then what makes the difference between Governance and Good Governance?

Governance stresses upon the power of decision on the state in particular, the political arena. It emphasizes on the establishment of institutions by the government and utilization of resources where decisions taken will enhance the relationship between the former and its citizens. Governance in one way gives more prominence to quantity, thinking that whatever the state establishes it is in the good of its public. Good Governance focuses on quality, apart from establishing the institutions, timely delivery, quality of services and openness were expected from the government. States felt the responsibility of serving its citizens with utmost care.

As comparison started, implementation of Citizens Charters ran synonymous to Good Governance. Reduction of “Formalism” (Riggs, 1961, 1962, 1964) and ability of the state to connect its people became the variables for measuring whether the state is governed well or not. State also strived hard to rebuild the confidence of its citizens in service delivery assuring transparency, accountability and efficiency. One such initiative was taken in establishing “**The Rajasthan Guaranteed Delivery of Public Services Act, 2011**”, which makes the state government accountable to its citizens and promises a redressal for non-delivery of services.

Citizen's Charter in India

Initiative of Citizen's Charter was introduced in the year 1997 in India primarily an adoption of UK model with some amendments. **"Expectations from the citizens"** was included in the Indian Charter which is not in the UK model. Citizen's Charter is a document which represents a systematic effort to focus on the commitment of the Organisation towards its Citizens in respects of Standard of Services, Information, Choice and Consultation, Non-discrimination and Accessibility, Grievance Redress, Courtesy and Value for Money. This also includes expectations of the Organisation from the Citizen for fulfilling the commitment of the Organization (DARPG, n.d).

The UK's Citizen's Charter initiative aroused considerable interest around the world and several countries implemented similar programmes e.g., Australia (Service Charter, 1997), Belgium (Public Service Users' Charter 1992), Canada (Service Standards Initiative, 1995), France (Service Charter, 1992), India (Citizen's Charter, 1997), Jamaica (Citizen's Charter 1994), Malaysia (Client Charter, 1993), Portugal (The Quality Charter in Public Services, 1993), and Spain (The Quality Observatory, 1992) (OECD, 1996, Citizen's charter handbook, 2008).

This gives prominence to the citizens as what services they are expecting from the government. The **Department of Administrative Reforms and Public Grievance (DARPG)** in Government of India became the nodal agency in coordinating, formulating and implementation of Charters. Most of the states passed the acts for introducing charters in their respective legislatures by the end of 1998.

The Rajasthan Government adopted the concept in all the departments by 1997. All the departments in the secretariat and directorates at the field level were made mandatory to display the charters. This gave the public authorities to deliver time bound services to the citizens. At the first instance of this charter, failure to satisfy the citizen, won't whip the official with a penalty. Though initially it was successful, gradually never the implementation was done on laid objective.

The Administrative Reforms and Co-ordination Department became the nodal agency in implementing this programme. The major lacunae in implementation is most of the departments just displayed the charters as it was imposed from above and it lacks the novelty and focus. Government schools, hospitals and three tier level offices neither were not displayed nor were the officials not trained properly to frame one as such. The following report by DARPG highlights the situation of the charters, which is more or less applicable Rajasthan also.

In 2002-03, the DARPG has engaged a professional agency to set up a standard evaluation for Charter implementation. The agency conducted the survey in 5 central departments and 15 departments/organizations of 3 states (The states covered are Andhra Pradesh, Maharashtra and Uttar Pradesh). The findings of this report were i) Charters were not formulated through consultative process, ii) service providers were not familiar with the philosophy of the charter, iii) publicity was not adequate to reach the people and finally iv) funds were not there to create the awareness (Handbook-DARPG, 2005, p. 6).

Initially the charters were not justiciable and no legal binding on the officials to timely delivery of services. If a law is not able to implement with true spirit mentioned in the objective, then very meaning of democracy has to be re-defined. Pressure came on the government bodies to review the charters for its proper implementation. This pressure was not only at the central level but also in all the states. The second Administrative Reforms Commission (ARC) has highlighted “*It is well recognized that every democracy requires the empowerment of citizens in order to hold those in authority to account*” (2nd ARC, p 10: 1.10).

At the central level the DARPG took the initiative to draft a bill “*The Right of Citizens for Time Bound Delivery of Goods and Services and Redressal of their Grievances Bill, 2011 (Citizens Charter)*”. The difference in the earlier bill in 1997 and 2011 is the adjudication of grievance and in case of non-delivery the public official is held responsible. A citizen may file a complaint regarding any grievance related to: (a) citizens charter; (b) functioning of a public authority; or (c) violation of a law, policy or scheme. The Bill requires all public authorities to appoint officers to redress grievances. Grievances are to be redressed within 30 working days. The Bill also provides for the appointment of Central and State Public Grievance Redressal Commissions. A penalty of up to Rs 50,000 may be levied upon the responsible officer or the Grievance Redressal Officer for failure to render services (PRS, 2011).

The bill was passed in the Lok Sabha (Lower House of Indian Parliament) on 20th Dec 2011 and referred to the respective Parliamentary Standing Committee. The latter gave its report by August 2012. But unfortunately the bill never transformed into an act as it was not introduced in the Upper House. Over a period of time it got lapsed. But many of the states passed the similar bills in their respective state legislatures and in Rajasthan, it received the assent of the Governor on 21st Sept 2011.

The state of Bihar also passed the similar act in 2011 and along with this the state legislature also enacted “*Bihar Right to Public Grievance Redressal Act-2015*”. The Right to services act

will deliver what has been promised to the citizens, on time. If not, the public authority is liable to face penalty and the citizens will receive compensation. The Bihar Public Redressal bill will ensure the redressal of public grievances within the stipulated time. The former will serve what was assured by the government and latter will provide redressal what the public faces in day to day life.

Rajasthan Public Service Delivery Bill

The Rajasthan Citizens Charter bill paved way for the display of mandatory service charters across all the departments, directorates and public institutions. It appointed the designated officers, first appeal and second appeal officers in the public offices. The designated officers will look over the proper implementation of assured services on time and the appellate officers will look through the complaints failed by the public when they are not satisfied with the service provided.

The stipulated time limit shall start from the date when the application required for obtaining a notified is submitted to the designated officer or to a person subordinate to him authorized to receive the application (RGPSA, 2011, p.3.5). The designated officer on receiving the application either he may provide the service or may reject the same while providing the reasons for not delivering the service. The applicant has got the opportunity to claim in first appeal within the 30 days of rejection or expiry of the stipulated time limit.

Sufficient reason satisfied by the first appeal officer will make the latter to accept the application exceeding the 30 day period. After receiving he may order the designated officer to provide the service or reject the appeal. If rejected, the applicant can file the complaint with the second appeal officer within the period of 60 days rejected by the first appeal officer. If satisfied with valid reason from the complainant, the second appeal officer can accept the application even beyond 60 days. He can order the designated officer to provide the service or reject the application.

If the second appeal officer is satisfied that, the designated officer has failed to provide the service without sufficient and reasonable cause then, a penalty of not less than five hundred rupees and not more than five thousand rupees shall be imposed. If the second appeal authority is of opinion that the designated officer has done considerable delay in providing the service without reasonable cause, then a penalty of two hundred and fifty rupees per day and not exceeding five thousand shall be imposed. The penalty shall be recovered from the salary of the designated officer.

If the second appeal officer is satisfied that the first appeal officer failed to decide about the appeal within stipulated time, he can impose a penalty between five hundred to five thousand rupees. If he is satisfied that first appeal and designated officers failed to discharge their duties assigned to them, he may recommend for departmental disciplinary action. The officers were given an opportunity of being heard before imposing the penalty.

Implementation of this act

The secondary sources collected to frame this paper analyses the implementation of this act in the state of Rajasthan. The epistemological questions raised after the study of the act and the reports submitted by various organizations has revealed the loopholes in its enforcement. This act if implemented will bring transparency and accountability in the government circles. Personal experience made me to understand that, even after 6 years of enactment, still most of the public institutions were yet to display the charters. Universities, colleges, schools, hospitals and some directorates were reluctant to display.

Whether this act will bring transparency with reduced corruption

The first question raised is whether this act will bring transparency with reduced corruption? The CMS India Corruption study report of 2017 which analyzed during the period of 2005-17 has covered the 20 states of India which includes Rajasthan also. The services which they covered in the study are in Table 1 (CMS-India, 2017 P.13). The general perception of households about corruption in public service during 2016 in the state of Rajasthan is Increased (43%), decreased (33%) and remained same (25%). According to Santhanam Committee, not performing action when it is required leads to corruption. *Administrative delay must be reduced to the utmost extent possible and firm action should be taken to eliminate all such causes of delays as provide scope for corrupt practices*(CMS-India, 2017p.44, 6.6.4).

Sl.NO	Services Covered in the study	% of House Holds interacted during last one year. 2017
1	Public Distribution System (PDS)	74
2	Banking Services	75
3	Electricity	70
4	Health/Hospital	72
5	Judicial Services	10
6	School Education	62
7	Land/ Housing	25
8	Tax (Income/Sales/Excise in Urban areas)	06

9	Police	14
10	Water Supply	32

Table 1: Source CMS-India Corruption Study 2017 Perception and Experience with Public Services & Snapshot View for 2005-17

Non display of charters will give scope for administrative delays and authority has considerable opportunity to hide administrative wrong doings. In most of the departments and institutions, deliberately they avoid to display of the charters and limit the citizen's awareness. An anonymous officer has revealed that, his superior won't take a campaign of creating awareness as it leads the public questioning the authority for delay of services. When there is scarcity of human resource, timely delivery of services is not possible. If they display charters, it will become a problem for the administrative staff to handle the cases. So, better not to display the charters was the initiative taken by most of the departments.

Awareness and Utility of this service among the citizens

Rajasthan has the maximum number of services under its RTPS Act (RTPS, 2012, p.4). According to the Centre for Organisation and Development (COD), which took a study in Sanganer block and tehsil of the state, it includes finance for service related to retired employees and the local self government department. It is the most comprehensive in current standards and covers 153 services across 18 departments (as in 2014). *In 2012, a sum of 2 lakh was allotted to each district collectorate for the awareness campaign. The awareness campaign was carried out in districts through meetings amongst Ministers incharge of districts and officers, elected representatives of the Panchayats, 'Nukkad Natak', local TV, village Pracharaks and Nehru Yuva Kendras, and Head Masters of Schools [in prayer assemblies (RTPS, 2012, p.13)].*

The awareness campaign was not taken seriously and never this was given importance in implementation. *For RTPS to be effective, citizens must know a) Content of the service, b) eligibility, c) process and cost of accessing the service, d) process of approval, delivery and maintenance of service. In most cases the service announcements declare eligibility in broad terms. Thousands of eligible citizens cannot access a service, not because they are not eligible but because they cannot produce evidence to that effect, as asked. There must be clear eligibility statements (RTPS, 2012, p.13).* In most of the cases, public were in misconception that, even they don't have the proper documents still the act will holds good for them.

Lack of awareness about this charter, creates confusion among the public as many times they charge the officials for wrong reasons even though fault lies with them. Awareness programme took a backstep over a period as other government programmes like poverty alleviation, employment and housing became important. As awareness programme is only a means to an end, this was given a little importance. Funds were diverted to other noble causes and reluctance of officials to spread the campaign were the reasons for non awareness among the public. Marginalized, poor and weaker sections of the state were far away in utilizing the act.

The public were reluctant to file a complaint against the official to the appellate authority, as they fear it may leads to rejection of their application altogether. Problem in getting service, public will depend on the local leaders who act as mediators between the official and citizens. Grievance will be redressed at once by the mediators rather than the citizen moving around the appellate authority which is time consuming. Service requests not the complaints against the failure of service delivery, is a common feature. Is it mandatory to have a charter to regain faith of citizens on the government institutions? Or can't the government do serve better without this?

Conclusion

Functioning of a public institution depends upon the personnel working in the organization. One has to be committed to the law of the land in discharging his duties towards the citizens. If implemented with commitment, Citizens Charter will leads to Good Governance. For this inculcation of work ethics among the officials, awareness of the citizens and mobilization of resources is necessary. There is no necessary to reiterate about the functions of the government which were obligatory to be performed by them.

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Inclusive Growth through Financial Inclusion in India

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Abstract

Inclusive Growth (IG) alludes to both the pace and pattern of growth which are interlinked. Under this, the policies should be framed in such a way that will enhance the pace of the economic growth while reducing the inequalities (Commission on Growth and Development, 2008). On the other hand, Financial Inclusion (FI) expounds as the way of providing and corroborating the access to financial resources to the impuissant groups such as waeker and people of low income at an affordable cost (Rangarajan Committee Report on Financial Inclusion in India, 2008). Many studies have emphasized that the policies related to FI are both pro-poor and pro-growth. Better financial services not only brings growth but also reduces the poverty gap and trap (Beck, Kunt & Honohan, 2009).

Indian census 2011 has mentioned that only 58.7 percent of households avails banking services. Merely 55 percent of the people have saving accounts, 9 percent have credit accounts and 20 percent of the population possesses any kind of life insurance coverage. 18 percent of the citizens have debit cards and merely 2 percent have credit cards (RBI, 2013).

This paper studies various documents that depicts how financial inclusion complements inclusive growth in India. This paper will focus on various initiatives taken by the Indian Government and their role in improving the level of FI. Initiatives are of Reserve Bank of India (RBI), Prime Minister Jan Dhan Yojana (PMJDY), and Direct Benefit Transfer (DBT) scheme, among others.

Keywords: Inclusive Growth, Financial Inclusion, India, DBT, PMJDY

Inclusive Growth (IG) and Financial Inclusion (FI) are important challenges that any nation faces. Inclusive Growth implies an unprejudiced distribution of resources and services with benefits provided to every sections of the society. In current era, need of the hour is to provide with financial services to every household inclusively in India. Financial Inclusion means literally providing the basic banking/financial facilities at an affordable cost to the people of lower income group. The service which comes under Financial Inclusion consists of micro-credit, micro-savings, micro-insurance and small payments and most importantly remittance among others. These micro services are likely to connect the desired citizens to the formal banking system with adequate benefits.

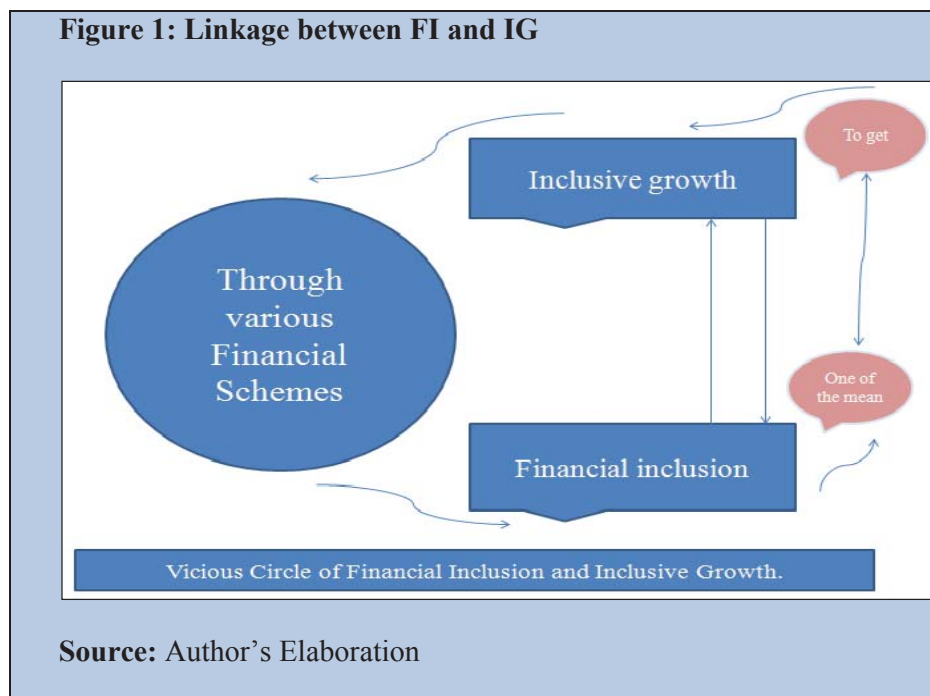
Amartya Sen (2000) have argued that, “Poverty is not only insufficient income, but it is the deprivation of various services, which includes security and ability to engaged in Financial as well as Political systems. When we say about Financial Inclusion, we cannot ignore growth aspect. By financially covered people can accentuate the growth of a country (Kakkar, 2014).”

Both Demand and supply factors have always been considered upon which Inclusive Growth is based. Among financial services, banking services provided by copious financial institutions play an important role. Under Supply side factors, institutions are providing access to basic financial services to help the poor section. Still, People are constrained by various factors that are lack of awareness, high transaction costs at Mobile/Internet Banking, inconvenient products among others. Under Demand side factors, factors like lower income of people, least stake in asset holdings also have a significant countenance on inclusive growth (Karmarkar, 2011). Poor people find difficulties in accessing formal banking sources of credit and are always totally dependent on their small savings. They always have small amount of internal sources through which they put their monies in health, education and various entrepreneurial activities. With these small savings they make use of different growth opportunities. For them, Financial Inclusion promotes prudence and cultivates the culture of saving and small investments. It further enables efficient way of payments and provides easier mechanism to save small funds. Therefore, it can be stated that it is impossible to reach the goal of financial, economic stability and inclusive growth without the intervention of financial inclusion.

Inclusive growth preferably ensures the economic & financial progress with stability which should penetrates through the various strata of the society. Financial Inclusion can be seen as a process whereby it is ensured that viable financial services and products are provided to the poor and weaker section at affordable costs.

According to the United Nations, “the main goals of ‘Inclusive Finance’ refers to, in short, the access at a reasonable cost of all households and enterprises to the range of financial services including savings, short and long-term credit, insurance etc (Ramnath & et. al., 2011).”

Sound institutions with good internal management systems along with proper monitoring and regulations, also required numerous providers of FI services, wherever and wherever required, so as to bring the cost-effective and a wide range of variety of options to the various customers at various regions. Thus, it can be observed from the above that, growth via Inclusive finance leads to the growth which can be termed as IG through FI. The below Figure 1 depicts the link between FI and IG.



In the last two decades, Indian per capita GDP at 2000 constant prices increased from \$317 to \$588 between 1990 and 2005 to \$ 720.20 in 2016, growing at an annual rate of 6.12 percent, a pace with few parallels in history (World Bank Website). Still there is a need of Inclusive Growth because the wealth is segregated in the few hands. In India, government is also on the forefront to increase inclusive growth. For which, Indian Government have taken various initiatives. The GOI has adopted peculiar ways for bringing about FI. The ways are through various key schemes namely Pradhan Mantri Jan-Dhan Yojana (PMJDY), RuPay card, and Direct Benefit Transfer scheme (DBT) among others. These various schemes ensure that its FI led drive benefits all strata.

India being one of the developing nations where need of the hour is socio-economic development of diversified societies. It has become a biggest challenge. More than 70 per cent of the Indian population of lives in villages. Amongst that, around 6,50,000 villages do not have a single bank branch. The above data depicts that, this condition leads to financial exclusion¹ amongst rural people (RBI Speech on Financial Inclusion, 2014). Financially excluded (FE) people depend upon middlemen, agents and follow the age old tradition of money lenders for their basic and regular needs. They always borrow at higher rates which further leads them to the debt trap. As a result of that, they are unable to repay the loans. Main concern here is that these people don't have any knowhow about financial products and services like insurance, micro credit and other services which might protect them in the situations of difficulty and need. From the above it is here stated that the in current scenario, the task is to bring the unbanked population within the coverage of formal banking system. On the other hand, as per the Inclusive Growth & Development Index (IDI)² ranking (see Table 1), Around the world, Amongst the various countries, Lithuania stands 1st in the list of 79 developing economies followed by the Azerbaijan and Hungary at 2nd and 3rd positions, respectively. In comparison to other countries, India is placed at the 60th in the list. India could only score only 3.38 on the IDI index. It can be noticed that despite of the fact that growth rate of India is among the top ten countries still there is mismatch for FI. To ensure India's grow financial and sustainable in FI, each section of the society shall be included in the growth process. All shall be provided the equal opportunities and should come under the ambit of the financial processes.

Financial Inclusion is a broad term which covers the access to financial services by all sections of people irrespective of caste, religion, region etc. Any organization or Institution can help the financially excluded people by engaging them in growth orientation through various micro services. With this motive, the present study focuses on the part played by financial institutions towards inclusive growth of our nation. The following are the objectives of the study:

- To exhibit the contribution of FI towards IG of India; and

¹ Financial Exclusion means that the inability of the people of different groups such as weaker sections, who are not linked with the formal banking system and are unable to have access to the basic banking system and various financial schemes.

² IDI is based on 12 performance indicators. In order to provide a more complete measure of economic development than GDP growth alone, the index has three pillars — Growth & Development, Inclusion & Intergenerational Equity, and Inclusiveness & Sustainability. IDI scores are based on a scale of 1-7.

- To evaluate the role played by Financial Inclusion towards inclusive or broad based growth of Indian economy through various schemes like PMJDY, DBT, and Digital India among others.

To pursue the above objectives, various government reports, research papers, newspaper and websites have been referred. A broad framework has been constructed on the role of FI in IG of India.

Table 1: IDI Index Ranking of Developing Economies (out of 79)	
Country Name	Position
Lithuania	1
Azerbaijan	2
Hungary	3
Poland	4
Romania	5
Uruguay	6
Latvia	7
Panama	8
Costa Rica	9
Chile	10
Russia	13
China	15
Nepal	27
Brazil	30
Bangladesh	36
Pakistan	52
India	60
Source: Inclusive Growth Index Report 2015	

CRISIL's INCLUSIX: India

CRISIL Inclusix in India is a comprehensive index for measuring the progress of FI in the country. This index shows data from top to bottom and concludes to the state and district level. The objective of this is to analyze and measuring inclusion. CRISIL Inclusix, whose methodology is similar to UNDP's Human Development Index. This index measures FI on the three parameters related to basic banking services such as branch penetration, deposit penetration, and credit penetration (CRISIL Inclusion, 2015). The important finding of this index presents financial inclusion metrics in 632 districts of the country over a three year time frame. CRISIL's Financial Inclusion Index (Inclusix) is based on the above three parameters to which it combines and further represents into a figure between 0 and 100. In this 100 indicates ideal inclusion. Table 2 presents the values of this index for Indian economy.

Table 2: Inclusix Index for India					
Region	Inclusix 2013	Inclusix 2012	Inclusix 2011	Inclusix 2010	Inclusix 2009
India	50.1	42.8	40.1	37.6	35.4
Southern Region	76.0	66.1	62.2	58.8	54.9
Western Region	48.2	40.9	38.2	35.8	33.9
Northern Region	44.0	39.5	37.1	34.8	33.3
Eastern Region	40.2	30.8	28.6	26.3	24.3
North-Eastern Region	39.7	30.9	28.5	26.5	23.8
Source: CRISIL Index of Financial Inclusion					

Table 2 depicts that in the year 2013, the overall Inclusix is 50.1 percent where as it is highest in the southern region with 76 percent. Almost every year southern India is standing at 1st position followed by the Western India. The situation in the North-eastern part of India is at the bottom level with 39.7 percent in the year 2013 and in the year 2012 I has been 30.9 percent.

NEED OF FINANCIAL INCLUSION

For the socio-economic growth and development of any nation, it has always demanded an effective financial system which should always act as backbone of the nation. This backbone termed as financial system or banking sector should always targets or aims towards mobilizing the savings, investments and allocates it in an effective manner for productive growth and further investments. The foremost financial and basic needs of the different strata are mentioned in the Box 1 according to various income levels. For each of these three segments, there is a need to deepen and sharpen FI.

Box-1: Different Income strata related to Financial Inclusion Process		
Stratas based upon Income	Option	Example
Strata of Upper income people	It is an/a option/choice	For these people, it has become choice to buy products, often with innovative features which give high net worth individual (HNIs).
Strata of Middle income people	It is thinking and planning	This stratum invests their savings in a way that they are able to beat inflation in the long-term and get the profits out of their minimal savings.
Strata of Lower income people	Micro loan, credit or investment	This stratum has to get small credit and small loans to raise their small businesses.
Source: IBEF Report 2017 retrieved from https://www.ibef.org/Ebook/IBEF-Dec-2016-Jan-2017.pdf		

Lower Income group

From the history, India has always been a savings oriented nation and each stratum is motivated towards the savings. Savings can only be happened if the broader base of nation gets the appropriate financial services. In this context, demand and supply of financial resources plays an important role.

On the supply side, various steps and initiatives have been taken so far to spread the penetration of financial access to the country. In the banking system, institutions and RBI have tried so far to put Business correspondents (BCs). Various types of digital setups have been made in the country through proper channel to have an access over financial services. Centralized banking framework (CBF) has been implemented years ago for enabling the various remotest locations for the rural stratum regarded as the lower income strata. In the small lending process, various small incentives have been given to the poor population through subsidies and lower rate of interest. Bank officials have been given various targets to promote deposits.

On demand side, RBI and GOI have invested in different financial awareness programmes. More concentration has been tilted towards the financial education through corporate social responsibility (CSR). Proper monitoring systems have been designed so far to check the targets which have been given to bank officials to raise bank savings and deposits. RBI is trying to educate people about financial and digital literacy, so that they can avail better options. Many lower income strata people do not have credit access in the past; moreover they do not even have any habit of doing basic banking. But once they are shown the benefits of the banking and financial system, they can get better access to the formal banking system in the form of credit access. It is rather cheaper than the loans which they are otherwise taking from the middlemen's and the moneylenders (IBEF Report, 2017).

Middle Income people

According to the global wealth report 2016, "The top 1% of India's adults held 58% of its wealth, up from 36% in 2000. Many middle-class people in India still associate investments with only bank deposits, that too in savings whose average rate has been less than inflation for years. Even fixed deposits have seen interest rates below the inflation at times between 2008 and 2014" (The Global Wealth Report, 2016).

In the financial system of savings, merely bank deposits are not only an option to start the FI. Banks deposits are not sufficient. There is need to allocate more credit and liquidity to this

strata for more financial options like insurance, mutual funds among others. There is need to launch more products which might helps them future to earn more, save more and also getting better returns. For the middle income people, more than anything else, they have been taught to do the proper planning for the future investments because it is only this stratum that is consistent in saving s and investments. Advice on proper planning on financial products and services gives them on what combination and how to invest on various products will increase the returns and in future will become savior in the time of need. These few suggestions might deepen FI in this stratum (IBEF Report, 2017).

Upper Income people

Most of them are well versed with the financial products and financial investments. They are always looking forward for the next thing coming in the way of their investments. In terms of both asset and liabilities, these stratum already have a sorted FI. These people have already taken lot many credits and have various types of investments in the market in the form shares, fixed deposits among others. Despite of all these major and deep investment, one can always explore the various options for these people (IBEF Report, 2017).

Table 3 depicts the number of Public sector Bank Branches status from 2011 to 2015. It states that there has been continuous increase year by year. It was 62,937 functional branches in the year 2011 and in 2015 it has reached to 85,895. Rural Branches are more functional as compared to the Semi-urban, Urban and Metropolitan.

Table 3: Number of functioning branches of Public Sector Banks Population Group wise					
As on:	Rural	Semi-Urban	Urban	Metropolitan	Total
31-03-2011	20,658	16,217	13,450	12,612	62,937
31-03-2012	22,379	17,905	14,322	13,244	67,850
31-03-2013	24,243	19,642	15,055	13,797	72,737
31-03-2014	27,547	21,952	16,319	14,644	80,462
31-03-2015	29,634	23,549	17,387	15,325	85,895
Source: Reserve Bank of India Website					

INCLUSIVE GROWTH THROUGH FINANCIAL INCLUSION IN INDIA

Inclusive Growth is on the national priority for the Indian government. The government and various financial institutions are putting their efforts to include the diverse network of financially excluded people of India to a continuous and basic banking system. As a result of this, the concept of FI was first taken care by RBI in the year 2005 when an idea of FI was introduced by Dr. K.C. Chakrabarty (Charan Singh & et. al., 2014). In India, The Mangalam Village of Tamilnadu was the first to be brought under FI. All of the households in this village have been provided with the basic banking facilities. General Credit Cards (GCCs) were provided to the poor. The all time easy access of credit and liquidity has been provided with the time savvy techniques. Box-2 presents some of the landmark policy measures in India to achieve FI.

Box 2: Landmark policy measures in India's path to achieving Financial Inclusion

- The concept of Zero Balance account has been launched for the unbanked people.
- Business Correspondents (BCs) were being introduced.
- Aadhar card Enabled Payment System known JAM trinity model has been launched.
- RuPay cards were being introduced.
- PMJDY has been initiated to cover the unbanked villages.
- Last mile reach of financial services have been activated.
- Launching of Unified Payments Interface.

Phases of Financial Inclusion in India

Various committees have been estimated the FI so far in India. It has been estimated on the basis of the banking access being given to the people and what benefits they are getting out of it. It can be here observed that only 34 percent of India's population has access to basics banking facilities and services (Pandey and Katiyar, 2013). The vision of Eleventh Five Year Plan (2007-12) had been inclusive growth. Therefore, therefore GOIs and RBIs main aim and motive is to take 600 million people of rural and semi rural into the mainstream and under one umbrella known as FI through IG. So, one of the means to reach IG is via FI (Pandey and Katiyar, 2013). In India, the progress report of FI from 1960 to till date can be classified into four phases in the below Table 4:

Table 4 : Different Phases of IG and FI in India		
Phases	Year	Initiatives and Work Done
I	1960-90	Emphases was laid channeling the loans and credit to the poor and marginalized sections of the country.
II	1990-2005	- Financial Sector reforms have been initiated. - Emphasized was more on the reinforcement of building financial institutions more strong. - SHG-bank linkage program (SHG-BLP) have been launched in the early 1990's - Kisan Credit Cards (KCCs) launched in for providing easy of cheap credit to marginalized farmers.
III	2005-2010	- As a Policy Objective "<i>Financial Inclusion</i>" has been given priority. - Concept of no-frill account has been launched.
IV	2010 onwards	- Era of Digitalization. - Various programmes like PMJDY, DBT, Digital India among others have been launched.
Source: Various Government reports and elaborated by author		

The data in following Table 5 shows the progress of some of the instruments of financial inclusion in India in the third phase of financial inclusion. The Credit Deposit Ratio of Indian Banks it 78.2 percent in 2015-16 as compared to 79.1 in 2012-13. Number of New branches opened is high in the year 2014-15 where as in Number of Banking outlets in villages are highest in the year 2015-16. These two instruments are showing the rising trend of financial services in India over the years.

Table 5: Credit Deposit Ratio of Indian Banks				
Year	2012-13	2013-14	2014-15	2015-16
Percentage	79.1	78.9	78.3	78.2
Number of New Bank Branch opened				
In Lakh	7,757	11,315	8,598	6,693
Number of Banking Outlets in Villages (Total)				
In Lakh	268,454	383,804	553,713	586,307
Source : Reserve Bank of India				

Further, Table 6 Depicts the State wise Rural Urban Data on Monthly Spending according to the census 2011. It has been found that urban spending is more than rural with 66.7 percent and 64.5 percent respectively.

Table 6: State wise Rural Urban Data on Monthly Spending (Data from the Census 2011)				
State	Rural		Urban	
	Average Monthly Spending	% Below This	Average Monthly Spending	% Below This
Arunachal Pradesh	1546	64.0	1947	61.9
Assam	1003	59.4	1755	60.2
Bihar	780	60.6	1238	66.2
Chandigarh	784	62.1	1674	66.0
Delhi	2068	62.1	2654	63.2
Goa	2065	61.2	2644	62.5
Gujarat	1110	60.6	1909	60.0
Haryana	1510	60.6	2321	69.2
Himachal	1536	64.5	2654	64.9
J &K	1344	61.0	1759	66.6
Jharkhand	825	64.6	1584	67.9
Karnataka	1020	62.8	2053	64.6
Kerala	1835	67.3	2413	69.0
MP	903	64.0	1666	66.8
Maharashtra	1153	61.0	2437	69.1
Manipur	1027	60.1	1106	68.7
Meghalaya	1110	61.0	1629	59.8
Mizoram	1262	59.5	1947	58.0
Nagaland	1476	60.8	1832	60.8
Orissa	818	62.4	1548	67.0
Punjab	1649	65.9	2109	65.5
Rajasthan	1179	67.0	1663	65.3
Sikkim	1321	68.7	2150	53.5
Tamilnadu	1160	63.3	1948	64.9
Tripura	1176	63.8	1871	64.4
Uttar Pradesh	899	62.8	1574	70.0
Uttarakhand	1747	83.6	1745	62.6
West Bengal	952	60.6	1965	68.4
All India	1054	64.5	1984	66.7
Source: Census 2011, RBI Website				

Table 7 depicts that there is still need for the promotion of banking services as 54.4 percent of the rural persons are availing banking facilities. For proper financial inclusion and inclusive growth, there is need to put more efforts in the rural areas.

Table 7: Summary of households availing Banking Services						
	2001			2011		
Areas	Total no. of households	Banking services availed by the Number of Household	Percent	Total no. of households	Banking services availed by the Number of Household	Percent
Rural	138,271,559	41,639,949	30.1	167,826,730	91,369,805	54.4
Urban	53,692,376	26,590,693	49.5	78,865,937	53,444,983	67.8
Total	191,963,935	68,230,642	35.5	246,692,667	144,814,788	58.7
Source : Census 2001 and 2011, RBI Website						

Table 8 depicts that the number of ATMs and number of branches per 1 lakh population stood at 5.44, Bank Credit and Bank Deposit as a percentage of GDP stood at 43.62 percent and 60.11 percent respectively for India.

Table 8: India's Position Compared with Other Countries				
Country	Total Number of Branches	Total Number of ATMs	Bank Credit	Bank Deposits
	(per 1 Lakh Adults)		(as % of GDP)	
India	10.91	5.44	43.62	60.11
Austria	11.81	48.16	35.26	32.57
Brazil	13.76	120.62	29.04	47.51
France	43.11	110.07	56.03	39.15
Mexico	15.22	47.28	16.19	20.91
UK	25.51	64.58	467.97	427.49
USA	35.74	173.75	46.04	53.14
Korea	18.63	250.29	84.17	74.51
Philippines	7.69	14.88	27.57	53.02
Afghanistan	2.25	0.50	11.95	21.4
Source: World Bank, Financial Access Survey (2014)				

Table 9 shows that in the southern India there is 27.44 percent of coverage of banking services as compared to the North east where merely 2.3 percent is. GOI should put the overall efforts to promote equitable growth in whole India.

Table 9: Coverage of Banking Services in India					
Region	Current Account	Savings Account	Total Population	Total no. of Accounts	Total no. of Accounts (%)
North	4,215,701	52,416,125	32,676,462	56,631,826	17.65
North East	476,603	6,891,081	38,495,089	7,367,684	2.3
East	1,814,219	47,876,140	227,613,073	49,690,359	15.48
Central	2,202,217	64,254,189	255,713,495	66,456,406	20.71
West	3,178,102	49,525,101	149,071,747	52,703,203	16.42
South	4,666,014	83,386,898	223,445,381	88,052,912	27.44
All India	16,552,856	304,349,534	1027015247	320902390	100
Source: National Sample Survey Organization 2013 (70 th Round) http://mospi.nic.in/sites/default/files/publication_reports/nss_577.pdf					

Ongoing Measures of Financial Inclusion in India and Their Benefits

Under the Phase IV, from 2010 onwards, the GOI has taken number of steps especially to realize the objective of financial inclusion for inclusive growth in the country. Box-3 presents some notable financial inclusion schemes in India.

Box 3: Some notable financial inclusion schemes

Direct Benefit Transfer (DBT): The direct benefit scheme have been launched to remove the role of Middlemen's from the system and to maintain the transparency in the system. Providing benefits to the citizens through digitalization. Under this scheme, Cash is directly deposited to the accounts of the people. Till now 26 schemes have been launched till 2016 (Shrama, 2017).³

Pradhan Mantri Jan Dhan Yojana (PMJDY): The PMJDY has been launched to cover all the citizens of India where special focus has been given to the poor people to have a bank account, a loan facility, credit and insurance cover and to have a debit card. The slogan of this scheme is “*Mera Khata – Bhagya Vidhaata*”. This scheme intends to have no frill accounts for the unbanked people along with the insurance coverage. It had been intended to eliminate the role of money lenders and agents. Its basic vision is to remove corruption from the system and brings transparency (Aurelie, Larquemin, 2015).⁴

JAM (Jan Dhan-Aadhar-Mobile): The GOI and RBI have implemented several financial inclusion schemes and initiatives through digital platform. One of them is Jam model. It aims to make an environment that give rise to a system which focuses on technology part. It will

³ Sharma, Neha (2017),” Impact of Direct benefit scheme in lieu of Public Distribution system: A case study of Chandigarh”. *IJSER*. 8(6).

⁴ Aurelie, Larquemin (2015),” An overview of the financial inclusion policies in India”. Retrieved from https://www.microfinancegateway.org/sites/default/files/publication_files/larquemin_a_an_overview_of_the_financial_inclusion_policies_in_india_ifmr_lead_august_2015.pdf

help in long run the unbanked to people to have an access of the financial resources through digitalization (PM India Website)⁵

Adhar Card Drive: The Aadhaar Card is a document that carries a 12-digit identification number. It provides every citizen of the nation a Unique id with biometrics of a person through Unique Identification Authority of India (UIDAI) (PM India Website)^{6,7}

Digital India: The vision of this mission is to provide high-speed internet connectivity for fast delivery of public services. Apart from this, it also creates digital identity of the citizens of the nation. It further enhances the pros of using the cloud computing. It focuses on the cash less currency model (Digital India Website of Government of India).⁸

RuPay card: It is a new card payment scheme offering a domestic, open-loop, multilateral card payment system which will allow all Indian banks and financial institutions in the country to participate in electronic payments. RuPay symbolizes the capabilities of the banking industry to build a card payment network at much lower and affordable costs to the Indian banks so that dependency on international card schemes is minimized. The RuPay Card works on ATM, point of sale terminals, and online purchases (Digital India Website).⁹

USSD-based mobile banking: This scheme provides with the facility of mobile banking using Unstructured Supplementary Service Data (USSD). Basic banking facilities such as; transferring the money online, Payments of the bills, enquiry about the balance, merchant payments among others. In this scheme, there is no need to have a data connection through mobile internet facility (Cashless India Website).¹⁰

Pradhan Mantri Jan-Dhan Yojana (PMJDY)

PMJDY is one of the avid projects to reach the holistic FI. It encompasses the approach which provides with an integrated approach to reach the comprehensive FI of all households with primarily focused on rural India. PMJDY foresee the access to basic banking facilities with knowledge of financial literacy. This scheme has a focus on certain measures that all strata in the country should at least have one bank account, knowledge of basic finances and accounts,

⁵ PM India Website retrieved from http://www.pmindia.gov.in/en/government_tr_rec/leveraging-the-power-of-jam-jan-dhan-aadhar-and-mobile/

⁶ PM India Website retrieved from http://www.pmindia.gov.in/en/government_tr_rec/leveraging-the-power-of-jam-jan-dhan-aadhar-and-mobile/

⁷ Op. ct.

⁸ Digital India Website of Government of India. Retrieved from <http://digitalindia.gov.in/>

⁹ Op.ct,

¹⁰ Cashless India retrieved from <http://cashlessindia.gov.in/ussd.html>

financial literacy, credit access, insurance, pension facilities among others. These measures would strengthen the unbanked poor to become an integral part of the formal banking system thereby making people more self dependent and reliable. If further helps beneficiaries to get out of clutches of greedy moneylenders. This scheme would also provide RuPay debit cards along with an in built accidental insurance coverage of Rs. one lakh per person. PMJDY scheme also envisages and channeling in connecting all other government schemes to the bank accounts of beneficiaries. It further embracing the linkage of these schemes with Aadhar card and pushing it towards connecting to DBT scheme (Shettar, 2016).

Table 10 : Pradhan mantra Jan Dhan Yojana (PMJDY) (Accounts Opened as on 11.01.2017)							
Bank Type	Rural	Urban	Total	Number of Rupay Cards	Aadhar Seeded	Balances in Accounts	Percentage of Zero Balance Accounts
Public Sector Banks	11.82	9.49	21.31	16.82	12.69	53,760.47	25.07
Regional Rural Banks	3.88	0.61	4.50	3.36	2.28	12,747.93	20.66
Private Banks	0.52	0.35	0.87	0.82	0.39	2,518.77	33.68
Total	16.22	10.46	26.68	21.00	15.36	69,027.17	24.60
Source: PMJDY Website, India							

Box 4 here depicts the PMJDY scheme with reference to the case study of Chandigarh.

Box 4: PMJDY: A Case Study of Chandigarh PMJDY drawing upon the experience of past Financial Inclusion efforts has sought to address both demand and supply side issues, envisaging universal access to banking facility with Financial Literacy. The first phase commenced in August 2014 and set a target of opening of one Basic Savings Bank Deposit Account (BSBDA) per household by 26 January 2015, embedded with RuPay Debit Card and Accidental Insurance Cover. As the Yojana progressed Overdraft (OD) facility and credit guarantee to cover the default OD accounts, Micro Insurance and Pension for unorganized sector have been added in steps. The study observed that almost all the respondents could have bank accounts as a significant number of households (about 60 to 65 percent) opened accounts under PMJDY across the Chandigarh. However a number of accounts had no balance and the incidence of zero balance accounts. There was wide variation among selected locations in respect of the receipt of Rupay cards as the same was received by about 26 percent respondents in Rural, 49 percent
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in Urban in Chandigarh. The use of Rupay card even once was even lower in Rural (15 percent) and Urban (44 percent). BCs were the main source of information on PMJDY. Awareness of insurance cover under PMJDY was low in Chandigarh.

Source: Author's Elaboration

Direct Benefits Transfer (DBT)

The Direct Benefit Transfer (DBT) scheme, started on January 1, 2013, has now become truly a visionary and transformative project with respect to FI. DBT is an endeavor to change the mechanism of transferring subsidies to the beneficiary's bank account by the eliminating the intermediaries. The scheme provides subsidies, scholarship to students, benefits to women and micro credit to poor women in rural areas. Subsidies are in the form of cash which are directly credited to the beneficiary account through a biometric based Aadhaar Card/Number link to their bank account. It has reengineered the various government delivery system and mechanism and also facilitated the process so simple and fast. The flow of information and funds has been transferred to the beneficiaries making it the best project in avoiding duplication and fraud (Sharma, 2017). This project has been implemented in different phases with the first phase of DBT has been implemented in 43 districts in India and later on 78 more districts were added. The total number of 26 schemes at initial stage has been covered related to scholarships to different people, women welfare among others. In the year 2014, its growth and reach have been further expanded. As a result of it 7 new scholarship schemes along with the Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) were also brought under DBT. This process has identified the 300 districts in India with high Aadhaar card enrolment ratio. DBT has started with the 29 schemes and now it has reached to a sum of 84 schemes. In the financial year 2016-17, total amount has been transferred under DBT is more than Rs. 44,382 crore. The total number of transactions is about more than Rs. 91.67 crore. Table 10 shows the data of 26 schemes for the financial year 2013-14 (UIDAI Website).

Table 11 : DBT data till March 2013 for all 26 schemes together			
Total No. of beneficiaries	Total no. of beneficiaries with bank account	Total no. of beneficiaries with Aadhar no. and bank account	Total no. of beneficiaries with bank account and databases seeded with Aadhar no.
1,659,962	1,289,716 (77.70)	535,146 (32.24)	68,259 (4.11)
Source: Open data Government, GOI retrieved from https://data.gov.in/keywords/cash-transfer			
Note : Figure in Parenthesis are percentages.			

Box 5 depicts the case study of Chandigarh district in respect to FI.

Box 5 : Benefits of DBT Scheme: A Case Study of Chandigarh

Direct Benefit Transfer (DBT) scheme has started in Chandigarh (U.T.) in lieu of Public Distribution System (PDS). Its main purpose is to overcome the deficiencies of PDS. This study tries to report the satisfaction level of beneficiaries in Chandigarh from DBT scheme. It also aims to evaluate the impact of scheme on women dependency. The data of this primary study has been collected from the various areas of Chandigarh. The responses of the households indicate that efforts are needed to meet the pre-requisites of successful implementation of DBT. The research found that more than 52 percent respondents are neither getting cash nor they are getting DBT. 18 percent are still not registered with the scheme. The amount which citizens are receiving is not at all sufficient. 20 percent of the people have received cash in initial months and later on they didn't receive. While an interaction with Depot walas, they stated that, after DBT scheme they become unemployed. Overall, the study concludes that at implementation level, there still exists scope for improvement. Also, improvement in financial awareness can indirectly help in successful implementation of this scheme.

Source: (Neha Sharma, 2017)

FINANCIAL INCLUSION IN THE TECHNOLOGY ERA

India has witnessed and realized the future perspective of digital technology to be game changers in the path of FI drive.

A definition of financial inclusion is directly pointing towards developing. However, knowing what happens inside and how to implement it is still more complicated. One of the problems business, researchers and policy makers face when talking about the topic is the lack of data. In the era of digital transformation this should not be a problem (Digital Economic outlook, 2015).

In the digital Era, most of the schemes focused on the growth of FI through mobile and computer technology especially to include rural beneficiaries in the organized and channelized financial system. As a part of it, Digital India initiative has boosted digital infrastructure, technology accessibility, and last-mile connectivity on the priority. Various types of facilities like Gas Suicides in direct form in the accounts, SMS facility among others have been provided to the beneficiaries through Digitalization. These facilities would not only improve cash flow

to boost the economy, but it would also help the government as a major facilitator in rural development through mobile and digital technology. At present, 0.46 lakh out of 5.92 lakh bank branches are in the villages of the country (Business Line, 2016). To include the remaining excluded people in the ambit of banking system, an integrated approach have been taken named as the “Branchless banking”. This provision has the fixed online points known as Bank Mitra which would act as representatives of banks. These representatives would provide customers the basic banking services. A proposal of mobile based banking facility with USSD based technology has been designed for the account holders. Various mobile wallets have been suggested for the effectiveness utilized to widen the reach. Technology has lot of pros and it always helps the nation with different services like Digital India, Startup India among others. It has few cons such as large numbers of transactions and online process is little difficult and their needs e-readiness for this. The other difficulty is its unaffordable costs with higher prices which anyhow rural strata cannot afford. The one way can be suggested to bring down the cost is to improve the reach and it should be in effectively manner that range of technology should reach the masses. It can be possible through products like e-KYC, IMPS (Interbank Mobile Payment System), AEPS (Aadhar enabled Payment System), mobile and Internet banking (Ramesha & et. al., 2014).

Other FI model for the Inclusive growth and Inclusive access to financial products and services must follow the ‘EAST bound’. The EAST bound refers to Easy, Affordable, Secure, and Timely services of products and services which are digitally involved. The contemporary branchless bank branch model, online model for FI in India has been heading towards success in providing and reaching the last mile through this EAST framework (Hallsworth & et. al, 2015). With all this efforts, in present era, are witnessing the FI that is based on the landscape of digitalization and EAST framework of digital technology.

Digital Financial Inclusion

The JAM trinity (Jan Dhan–Aadhaar–Mobile) model is the recent example that has been created to build the blocks for an effective and efficient digital financial infrastructure.

- Jan-Dhan Yojana, the largest financial inclusion drive in the world. This drive have opened twenty five crore plus bank accounts. This scheme has further ensures that almost all households in the county must have at least one bank account.
- Through the Digital initiatives like Aadhar which have made hundred and nine crore Indians under the umbrella of digitally authenticated through biometrics process.

- This digital FI have also been able to address ticklish processes in one step mechanism for financial access via eKYC.
- After digitalization, In India has now hundred and three crore mobile phone users. From this twenty five crore plus users have their smart phones. It has been predicted that this would likely grow by forty percent by year 2018. If this would happen in 2018, it will make India then the second biggest nation with highest network of smart phones (Report on India's Ascent, 2016).

Apart from that the JAM trinity has various types of pillars that will help streamline the Government to Public disbursal processes. For this various schemes like MNREGA and DBT have been selected. Under this the scheme named MUDRA has a major role to play for the low income individuals. The implementation under JAM has four layers created though the Application platform interface.

- Presence less layer: Digital identity through biometrics for e-KYC (i.e. Aadhaar).
- Paperless layer: By creating Digital records of citizens individually (i.e. e-Sign and DigiLocker).
- Cashless layer: Access through e-wallets and through online banking (i.e. IMPS, AEPS).
- Consent layer: Proper Security and control of the data. It is based on the open access system being developed by MIT. (IBEF Report 2017).

CONCLUDING REMARKS

IG depends mainly on equitable distribution of resources, financial services and growth benefits. FI is much needed to attain comprehensive and sustainable financial and economic growth. It can be observed that the state needs to bring the higher growth and for that they have provided with the inclusive finance and credit inclusion in the economy irrespective of gender, sex and region. Undoubtedly, the issue of diversity is a major concern in Indian context because of geographical and demographic reach. It always creates a room for challenges to get an appropriate sustainability perspectives and suitable business models. With all these efforts financial Literacy and continuous awareness should be maintained to reach these goals soon and quickly. The current matter of concern in relation to financial services or products is that it should reach to the masses. Banks and other financial institutions, Governments officials, Civil Societies, NGOs and citizens themselves should evolve in the process to reach the objective of FI.

Suggestions to Improve Inclusive Growth through Financial Inclusion

1. Use of technology in banking sector has developed fast enough and more interestingly the notion that the poor can be brought under the shadow of banking has arrived. Government should implement various instant measures in a more effective manner.
2. Microfinance Institutions should be strengthened more.
3. Business facilitators & business correspondents should be encouraged more. They are the main source in current scenario which can provide easy access to basic banking services to various products especially to the rural poor.
4. There is need to establish more number of rural bank branches.
5. More credit and liquidity should be provided to the rural poor especially to rural women, marginal farmers at cheap interest rate. Most importantly, equitable distribution of financial services is the key for Inclusive Growth, which Government should take into consideration.
6. Financial Inclusion is a key term in Financial Literature, which can take the rural poor to the clutches of banking habits. But for Inclusive growth, i.e. equitable distribution of various financial products and services to every section of society, only banks cannot fulfill the requirement of people, but various NGOs and Mutual Fund Institutions should come forward.

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低收入家庭生活 障与贫富差距治理——新加坡的启示¹

A Study on Social Security Policy of Low-income Families in Singapore

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【摘要】为保障低收入家庭的基本生活水准，新加坡在不改变反福利主义基本立场的前提下，通过公共援助、机构救助、家庭福利等方式构成社会救助安全网，为低收入家庭提供生活保障。但是，新加坡贫富差距依然严重，社会福利的现状与其经济实力、社会发展需求、国民期望之间存在一定的距离。追求机会平等和规定个人责任的同时，如何提升政府的社 职能？如何在效率与公平之间找到与国情更适合的平衡？这不仅 是新加坡面临的新问题，也是值得其它国家——包括中国——思考的问题。

【关键词】低收入家庭 社会救助 贫富差距

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Abstract: Under the premise of anti-welfarism, Singapore provide living security to low-income families through structuring the social assistance network including public assistance, institutional assistance, family welfare and other forms. However, in Singapore, poverty gap remains serious, there is a certain distance between the status quo of social welfare and its economic strength, social development needs and national expectations. While seeking the equality of opportunity and the personal responsibility, how to enhance the government's social security functions, how to find a balance between efficiency and fairness which will be more suitable for national conditions? They are new problems not only for Singapore, but also for other countries, including China.

Keywords low-income families, social assistance, poverty gap

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新加坡是高收入国家，早在 2010 年国民人均收入就迈上 4 万美元大关。另一方面，新加坡的收入差大，以 家庭人均收入为单位计算的基尼系数经过税收调节后仍超过 0.4。新加坡没有设定官方贫困线，也反对福利国家，政府证 “人民在食、住、就业、 健等方面都受到良好的照顾”（李光耀，1993：574），主张“政府福利只是对那些真正贫困却错不在己的人的一个形式上的安全网”（*The Straits Time*, 7 January 1995）。低收入家庭即属于“真正贫困却错不在己”的人群，新加坡政府通过公共援助、福利机构救助、家庭福利等方式构成的社会救助安全网，为弱势群体提供基本生活保障。

一 公共援助

公共援助（Public Assistance，缩写为 PA）于 1946 年 7 月开始，是新加坡持续时间最长、最主要的社会救助项目，最初由公共援助（Government Public Assistance Scheme）和肺结核治疗补助计划（Government Tuberculosis Treatment Allowance Schemes）两类组成，都由政府出资，为需要帮助的家庭提供资金援助。对象包括：65 岁以上男性和 60 岁以上女性；病患者包括肺结核病幸存者；寡妇和孤儿；永久性伤残者；暂时伤残者；失业者（*Colony of Singapore Annual Report 1953*，1954：111）。公共援助局负责落实。肺结核治疗补助计划于 1949 年 4 月设立，旨在为肺结核患者及其家属（仅限新加坡公民）提供全免费治疗和后期康复帮助，每个患者家庭在治疗和康复期间可领取不超过每月 180 元的津贴（*Colony of Singapore Annual Report 1959*，1961：149）。到 70 年代中，肺结核病作为新加坡主要传染病得到遏制，肺结核治疗补助计划取消。

统计数据显示（见表 1、表 2），接受公共援助的家庭数在 1964 年达到峰值后持续下降，1978 年后下降幅度逐年扩大，到 1995 年受助家庭数降到低点，之后受助者又有所增加。随着社会的发展，公共援助由最初的救助演化成为低收入家庭提供的社会保障项目。2004 年公共援助改称社区关怀长期援助（ComCare Long Term Assistance），援助对象被严格规定为“因年老、疾病或残疾且只有有限收入或没有收入，很少或没有家人的支持”（*Yearbook of Statistics Singapore 2013*，2014:312）的新加坡人，具体的申请条件是：因年老、疾病或残疾不能工作；没有稳定收入；每月收入低于公共援助额的老人；子女已成家且家庭月收入低于 1900 元或人均月收入低于 650 元，无力赡养父母的老人；新加坡公民或永久居民。²

表 1 1946-1995 接受公共援助家庭数统计（单位：个）

年份	1946	1947	1948	1949	1950	1951	1952	1953
家庭数	3, 570	2, 254	2, 193	2, 109	2, 524	2, 714	4, 162	6, 835
年份	1954	1955	1956	1957	1958	1959	1965	1966
家庭数	9, 943	12, 960	14, 895	16, 590	19, 051	17, 050	24, 808	22, 248
年份	1970	1971	1973	1974	1975	1978	1979	1980
家庭数	10, 669	4, 162	7, 407	7, 031	7, 015	6330	6181	4580
年份	1981	1982	1983	1984	1985	1986	1987	1988

² <https://www.msf.gov.sg/Comcare/Pages/Public-Assistance.aspx>

家庭数	3505	3297	3241	3202	--	--	2934	2867
年份	1989	1990	1991	1992	1993	1994	1995	
家庭数	2827	2791	2332	2255	--	--	1958	

资料来源:

1. 1956 年以前的数据出自 *Colony of Singapore Annual Report 1956* ,1958: 150
2. 1957、1958 年数据出自 *Colony of Singapore Annual Report 1958* ,1959: 180
3. 1959 年之后数据分别出自 *Colony of Singapore Annual Report 1959* ,1961: 149; *Singapore Year Book 1966*,1967: 208-209; *Singapore 1971*,1971: 200; *Singapore 1974*,1974: 201; *Singapore 1975*,1975: 174; *Singapore 1976*,1976: 174; *Singapore' 78*,1978: 212; *Singapore' 80*,1980: 123; *Singapore' 82*, 1982: 113-119; *Singapore1983*,1983: 224-227; *Singapore1984*,1984: 230-235; *Singapore1985*,1985: 249-251; *Singapore1986*,1986 : 89-190 ; *Singapore1987*,1987 : 204-206 ; *Singapore1988*,1988 : 210-211 ; *Singapore1989*,1989 , pp.212,214 ; *Singapore1990*,1990 : 204-205 ; *Singapore1991*,1991 : 208 ; *Singapore1992*,1992: 192; *Singapore1993*,1993: 340; *Singapore1994*, 1994: 181; *Singapore1995*,1995: 180; *Singapore1996*,1996: 206

最近 20 年来统计受助家庭时,政府将他们分成 5 类:老年赤贫者、因病无法工作者、被弃妻儿、60 岁以下残疾人、有不满 12 岁孩子的寡妇。其中老年赤贫者、因病无法工作者和 60 岁以下残疾人三类受助数量是增长的,被弃妻儿和有不满 12 岁孩子的寡妇的受助者逐年减少(见表 2)。不过,公共援助的审核非常严格,能够得到援助的家庭居少,以 2016 年为例,新加坡注册家庭总数为 126.36 万户(*Yearbook of Statistics Singapore2017*, 2018: 34),接受公共援助的家庭 3,887 户,占总家庭数的 0.31%。

表 2 1995-2016 公共援助情况(单位:例)

年份	老年赤贫者	因病无法工作者	被弃妻儿	60 岁以下残疾人	有不满 12 岁孩子的寡妇	总计
1995	1,695	86	57	98	22	1,958
1996	1,707	106	58	115	22	2,008
1997	1,659	103	54	121	23	1,960
1998	1,687	150	63	147	23	2,070
2000	1,930	178	78	211	12	2,409
2001	2,181	184	75	179	11	2,630
2002	2,148	171	57	180	9	2,565
2003	2,191	169	31	152	8	2,551
2004	2,331	192	35	146	10	2,714
2005	2,369	202	33	161	7	2,772
2006	2,390	185	25	165	7	2,772

2007	2,346	188	23	190	7	2,754
2008	2,445	164	23	255	3	2,890
2009	2,473	192	24	229	2	2,920
2010	2,482	206	24	215	2	2,929
2011	2,589	203	21	220	1	3,034
2012	2,617	190	16	224	0	3,047
2013	2,709	215	14	226	0	3,164
2014	2,882	279	12	248	0	3,421
2015	—	—	—	—	—	3,832
2016	—	—	—	—	—	3,887

资料来源：“Community Services”，*Yearbook of Statistics Singapore* 2006, 2007, 2008, 2009, 2015, 2017

公共援助的形式多种，维持基本生活的现金津贴是最基本的援助形式，津贴按家庭人数、按月计发，津贴额一般参照且略低于工资收入前 10%家庭的平均值，比如 2013 年，前 10%家庭的平均月收入是 463 新元，当年公共援助津贴调整为每月最低 450 新元（Tai, MAR 1, 2013）。目前每月最低 500 新元的标准是 2016 年 7 月开始实行的（表 3）。一般情况下，津贴的三分之一可以满足受助家庭最基本的日常生活及交通开支。除现金津贴外，接受公共援助的家庭还能享有：政府医院和诊疗所的免费医疗；免费并优先享受政府资助的一系列社会支援服务，例如家庭援助、高级活动中心和日间活动中心服务项目；特殊病人的健康耗材与必需品，如成人尿布、造口袋、糖尿病药物、营养牛奶、一次性医疗器械如马桶、氧气呼吸器、褥垫等；有学龄儿童的家庭还可以得到每个儿童每月 150 新元的儿童津贴，并且免交课本费。

表 3 新加坡公共援助现金津贴额

家庭规模（人）	1	2	3	4
援助额/月（新元）	500	870	1130	1450

资料来源：<https://www.msf.gov.sg/Comcare/Pages/Public-Assistance.aspx> 6/2017

在新加坡经济增长和国民收入提高的情况下，接受公共援助的人没有减少，特别是 2004 年改称社区关怀长期援助后，受助人数量年年增加。当下新加坡公共援助呈现出控制受助类别、扩大受助数量的特点。

二 机构服务

由福利机构为特殊人群提供救助曾经是殖民政府采取的主要社会救助方式，独立后的新加坡一度延续了这种救助方式，主要服务两类人群：儿童与青少年，如男童宿舍、男孩学校、女孩家庭手工艺中心、少女收容所、智障儿童收容所、儿童中心、托儿所等；老年人和其他，如养老院、福利院等。

早年的儿童与青少年福利机构全部由政府出资，从初期招收 5-6 岁的学龄前儿童拓展到 8-15 岁少年的职业训练，月收入不超过 500 元的新加坡公民的子女都可以入中心学习和培训，每天收费 10 分钱，享受公共援助的家庭免费。托儿所每天收费 1.5 元，家长工作或生病的、家庭收入在 300-500 元之间的每天收 30 分，家庭月收入 300 元以下的每天 10 分，享受公共援助的家庭免费。福利院安置老人、赤贫者、流浪者、残障人士，提供衣食住生活用品、就医服务。另有一些专门的福利机构，如专门安置穆斯林妇女的穆斯林妇女福利院（Muslim Women's Welfare Home），收养需要照顾和保护穆斯林妇女和儿童，年轻的大部分送学校读书，年长者接受缝纫等技能培训后留在福利院。

1975 年儿童中心被撤消，1979 年社会福利局将 11 所托儿所转交全国职总和新加坡工业劳工组织，由它们及志愿者组织共同承担在职母亲的福利，社会福利局只负责监管和员工培训。1993 年，政府宣布，它的社会福利计划将目标分为四个群体：残疾人、穷困潦倒的老年人，那些生活在最低水平的人和那些因特定的问题使他们难以养活自己的人。到 1990 年代中期，福利机构只剩下极少数针对成人的福利院，官方社会救助跌至低点。与此同时，志愿者组织的作用扩大。

早在殖民时期，新加坡的志愿者组织在社会救助方面就是官方的得力助手，残疾人救助多数由志愿者组织承担。建国后新加坡志愿者组织依然活跃在社会福利事业中，并逐渐从开办福利院收容孤儿、残疾儿童、照顾女性拓展到走出福利院、走进家庭、深入社区，从事医疗看护、法律援助、咨询辅导等专业性志愿服务。70 年代末，政府鼓励志愿者组织更多地介入社会福利事业，志愿者组织在新加坡社会福利系统中发挥越来越大的作用，数百个下属组织承担起照顾老人、残疾人、儿童、青少年、家庭及协助社区工作。新加坡社会服务理事会在 1992 年改组为国家福利理事会（NCSS），作为志愿服务团体的大本营。目前新加坡志愿者队伍已超过 5 万人，在社区和福利工作的所有组织和机构中都有他们的身影，特别是老年福利服务方面，志愿组织承担了大部分，在近 20 年里，志愿组织养老院的人数一直占各类养老院总人数的一半以上（见表 4）。

表 4 新加坡各类型养老院收容人数（1995-2016）

年份	政府福利院	社区养老院	志愿组织养老院	商业养老院	总计
1995	703	488	1, 945	1, 235	4, 731
1996	582	529	2, 398	1, 286	4, 795
1997	743	538	2, 593	1, 329	5, 203
1998	805	510	2, 688	1, 390	5, 393
1999	825	540	2, 979	1, 490	5, 834
2000	908	586	3, 190	1, 338	6, 022
2001	852	578	3, 713	1, 444	6, 587
2002	917	602	4, 275	1, 360	7, 154
2003	982	615	4, 367	1, 588	7, 552
2004	955	635	4, 533	1, 801	7, 924

2005	956	628	4,727	2,018	8,329
2006	976	640	4,746	2,238	8,600
2007	1,006	673	4,869	2,483	9,031
2008	1,065	695	4,829	2,689	9,278
2009	1,108	700	4,974	2,739	9,521
2010	1,173	670	5,033	2,879	9,755
2011	1,189	697	4,979	3,039	9,904
2012	1,221	689	4,978	3,128	10,016
2013	1,147	698	5,295	3,270	10,410
2014	1,146	685	5,418	3,298	10,547
2015	1,251	673	5,903	3,251	11,078
2016	1,263	666	6,253	3,530	11,712

资料来源：“Community Services”，*Yearbook of Statistics Singapore, 2006, 2007, 2008, 2009, 2010, 2012, 2013, 2014, 2015, 2017*

三 家庭福利与社区关怀

在新加坡步入发达国家之前，其社会福利事业与经济发展成反比，不管是公共援助还是机构救助，提供的是维持基本社会或生活安全的最低保障，工业化越深入，人们生活水平提高，福利越退化。在财政支出中，1990 年以前，社会福利支出在政府总支出的占比长期维持低水平，并且多数时候支出比例是下降的（见表 5）。就在福利将只剩下社会救助时，国家发达的经济水准和对政府承担更多社会责任的国民期望推动着人民行动党调整其社会福利体系。

表 5 新加坡社会福利支出（1965-1990）

年份	1965	1966	1968	1969	1970	1972	1973	1980	1981
支出（百万）	13.4	12.4	9.3	9.7	9.2	8.6	15.2	10.96	11.33
占总支出比例	3.4	2.3	1.3	1.3	0.9	0.8	1.1	0.23	0.20
年份	1982	1983	1984	1985	1986	1987	1988	1989	1990
支出（百万）	11.67	12.50	13.24	14.33	14.69	17.5	28.9	35.4	33.8
占总支出比例	0.17	0.15	0.15	0.18	0.15	0.21	0.40	0.46	0.37

注：在新加坡 1974-1979 年的财政支出统计中，没有社会福利的单项统计，而是将社会福利与社区、环境及其他社会服务支出合计在一起。

资料来源: *Singapore Year Book 1966*, 101; *Singapore 1971*, 202; *Singapore 1974*, 304; *Singapore' 82*, 234; *Singapore1983*, 276; *Singapore1984*, 280; *Singapore1985*, 296; *Singapore1986*, 247; *Singapore1987*, 263, ; *Singapore1988*, 266; *Singapore1989*, 271; *Singapore1990*, 263; *Singapore1991*, 265

从 1980 年代开始,新加坡慢慢改变以公共援助和福利院安置为主的低保体系,社会事务部的重点从单纯的社会救助转移到发展社会保障和预防贫困方面 (*Singapore' 82*, 113)。1985 年 1 月社会事务部整合了总理公署及文化部的部分业务,易名为社区发展部 (Ministry of Community Development), 部门名称的变化反映了新加坡社会建设的新思路:以家庭为单位,以社区为网络,建立覆盖面更广的社会保障体系。

1980 年代新加坡削减福利机构的同时增加了家庭福利,并将家庭福利作为社区福利的主要项目,以津贴的方式提供,最初分别给老年补贴和儿童津贴,1990 年代后增加了给低收入家庭的福利。

老年补贴与中央公积金和养老院关联,购股填补计划和保健储蓄与乐龄 健储蓄填补计划是政府对公积金会员的直接补贴;志愿组织的养老院根据个人的情况提供三种类型的津贴,分别是 25%、50%、75%,如果家庭月收入超过 1000 新元或者家庭总储蓄超过 30000 新元的,则不提供补贴,实际上 91.5%的病人有资格获得津贴。

儿童津贴是 1980 年代后政府给予家庭最主要的福利,目的是为了鼓励生育,在部分带薪产假的工资、幼儿津贴和托儿补助的项目上实行补助。新加坡现行的带薪产假为 12 周,不限胎次,但雇主只需支付带薪产假前两胎各 8 周的薪金,多出部分由政府支付,受益人群包括雇员母亲和自雇母亲。幼儿津贴又名“婴儿花红计划”,父母可能得到的政府最高幼儿津贴分别是:第一胎 3000 元,第二胎 9000 元,第三胎和第四胎各 18000 元(魏炜, 2016)。托儿补助用于入学幼儿中心的孩子。1988 年新加坡重新将幼儿中心的管理纳入政府职责,社区发展部和建屋发展局合作,在组屋公共区规划设立幼儿中心,为了鼓励工作妈妈们送孩子去幼儿中心,中心的每个孩子可以得到每月 100 元(半日制 50 元)的政府补贴,1993 年上调至 130 元和 65 元,2004 年提高到 400 元/月,半日制 200 元,并且惠及非在职母亲的幼儿,全天半天都是 75 元。虽然新加坡生育率和出生率持续走低,但是幼儿中心数量和接收人 都在年年增加(见表 6),1989 年重建幼儿中心时只有 185 个,到 2016 年有 1332 个,注册儿童超过 10 万。而在几十年间,新加坡的生育率从 1.8 降到 1.2,出生率从 17.5 降到 9.4 (*Yearbook of Statistics Singapore 2017*, 12),可见,越来越多的家庭享受政府的儿童福利。

表 6 新加坡幼儿中心 量、容量和注册人数 (2000-2016)

年份	幼儿中心数量	接受 2-18 个月婴儿的中心数	总容量 (人)	注册人数 (人)
2000	558	—	46,905	—
2005	713	—	59,443	—
2010	855	198	75,738	66,193
2011	944	253	84,665	73,547
2012	1,002	285	91,387	79,679
2013	1,077	324	100,388	86,124

2014	1, 148	361	109, 856	92, 932
2015	1, 243	418	121, 698	99, 175
2016	1, 332	471	135, 224	106, 155

资料来源：“Community Services”，*Yearbook of Statistics Singapore, 2011, 2017*

低收入家庭的福利从 1994 年开始。1994 年启动小家庭改善方案（Small Families Improvement Scheme），帮助有 2 个孩子的低收入夫妻，为他们提供每年 200-800 元不等的助学金，支持孩子从小一到大学先修阶段或工艺学院的学习；此外，这类家庭的妻子公积金账户里每年还能得到 800 元的购房补贴，持续 20 年或到她年满 45 岁，补助金既可存在公积金账户里，也可用来购买建屋局组屋。

1994 年，新加坡开始实行消费税，为了抑制消费税对低收入者的冲击，政府为低收入人群推出抵消或援助配套，包括调低所得税、房地产税、租金与组屋杂费回扣，及医疗、教育与社会服务的额外津贴。因为这些援助措施，约 70% 的个人不需要再缴付所得税；与此同时，低收入新加坡人所得到的转移支付，比缴交的税务多。2012 年，新加坡又推出针对中低收入家庭的消费税补助券永久性援助计划，以现金、填补保健储蓄账户和水电回扣的方式向符合条件的家庭派发补助券。

2004 年开始的“社区关怀”福利项目是对公共援助项目的拓展与补充，也是低收入家庭福利的另一种形式。除保留公共援助作为长期援助外，其它“关怀”项目分为短期援助、中期援助和儿童救助。短期援助（ComCare Short Term Assistance），也被称为工作支持计划，帮助低收入家庭和个人就业以及那些收入低微而需要临时资金支持的人，包括每月的现金津贴以及水电费、租金和运输服务援助。中期援助（ComCare Medium Term Assistance），也被称为社区过渡关怀，帮助由于生病暂时不能工作或有照顾责任的人，而这些人很少或没有资金支持，也是以每月的现金津贴以及水电费、租金、水利费和交通服务援助的方式提供。接受公共援助或其它资助仍有抚养困难的家庭可以申请儿童救助（ComCare Assistance for Children），每月可以得到送孩子去幼儿中心、幼儿园和学生托管中心（学生托管中心为 7 至 14 岁的学生提供课余时间照顾）的补贴，分别提供托儿补助（Child Care Subsidies）、幼稚园补助（Kindergarten Subsidies）和学生托管补助（Student Care Subsidies），些补贴也可用于有特殊需要的儿童参加特殊学生托管中心和综合幼儿中心，以现金方式提供。中期、短期援助和儿童救助属于临时性援助，审核不如公共援助严格，因此受援助人数波动比较大（见表 7），总趋势是增长的，与收入增长趋势相似，显示了社区关怀援助范围的扩大趋势。

表 7 新加坡 2008-2016 社区关怀援助情况（单位：例）

年	长期援助	中期援助	短期援助	儿童救助		
				托儿补助	幼稚园补助	学生托管补助
2008	2, 890	1, 663	2, 496	2, 914	8, 526	--
2009	2, 920	2, 293	3, 704	3, 657	9, 162	--
2010	2, 929	2, 397	2, 198	3, 725	8, 555	2, 598

2011	3,034	3,046	3,525	5,708	9,693	2,549
2012	3,047	4,248	6,184	6,997	9,845	3,797
2013	3,164	5,445	7,090	6,879	9,499	5,030
2014	3,421	15,763		—	8,277	5,723
2015	3,832	15,164		—	—	7,192
2016	3,887	16,917		—	—	6,552

资料来源：“Community Services”，*Yearbook of Statistics Singapore 2015*,312；*Yearbook of Statistics Singapore 2017*,323

成效与局限

新加坡的社会福利政策提出了一个悖论。一方面，任何情况下坚持反福利主义；另一方面，政府是基础设施和社会服务的主要提供者，政府拥有 75% 的土地，并且在经济和社会领域中扮演主要角色（P. Smyth, 2000）。有学者将新加坡定性为“新兴儒性福利国家”，认为新加坡已经开发出一种特定的响应公民社会需求的回应方式，强调家庭和慈善机构的作用，而不是单纯依赖国家的援手政策（Khan, 2001）。但是如果将公共服务体系综合考虑，新加坡政府在回应现代公民社会需求方面的做法不仅是强调家庭和慈善机构的作用，而是构建小障大服务的社会福利模式，在医疗、养老、抚幼的个人保障方面强调个人和家庭的作用，在住房、交通、教育、就业等公共事业上突出政府职能。到目前为止，小保障大服务的社会福利模式使新加坡取得社会进步的同时避免了福利国家的政府负担。

随着社会经济发展，公共福利日益显示出其重要性，新加坡“大服务”的公共福利事业符合全球公共福利发展的趋势，并且卓有成效，其人类发展指数的世界排名持续前移，2013 年数值位居第 9，超过日韩，成为亚洲第一（见表 8）。

表 8 新加坡与日港韩人类发展指数及其构成比较

国家	HDI 世界排名 (2013)	人类发展指数 (HDI) 值 (2013)	出生时 预期寿命 岁 (2013)	平均受教育 年限 (2013)	预期受 教育年限 (2013)	2013 人 均国民 总收入 (GNI): 以 2011 年购买 力平价 美元计 算	HDI 世界 排名 (2011)	HDI 世界 排名 (2012)
新加坡	9	0.901	82.3	10.2	15.4	72,371	26	18
香港	15	0.891	83.4	10.0	15.6	52,383	13	13
韩国	15	0.891	81.5	11.8	17.0	30,345	15	12
日本	17	0.890	83.6	11.5	15.3	36,747	12	10

资料来源：《2011 人类发展报告》，《2013 年人类发展报告》，《2014 年人类发展报告》，联合国开发计划署

尽管如此，新加坡贫富差的现象依然存在。虽然从最直观的基尼系数上看，新加坡贫富分化加大的趋势得到遏制，2006年以来的税后基尼系数在努力向下行，2016年达到10年来的最低点0.402（表9），但是与其经济发达和高收入的层次相比，新加坡在低收入家庭社会保障和治理贫富差方面仍有许多值得探讨之处。本文认为以下三点值得重点讨论：

（一）收入不公平现象依然严重

如表9“新加坡家庭收入情况统计（2006-2016）”所示，2006—2016年，10年时间，家庭人均月收入由低到高，低收入的前10%每年增长20—40新元，高收入的后10%每年增长400—1000新元；后10%家庭人均月收入分别是前10%家庭的23.8倍、25.6倍、25.2倍、25倍、25.4倍、25倍、26.3倍、24.2倍、24.4倍、23.7倍和23.5倍；前10%家庭人均月收入只有总平均值的14%—15%，近40%家庭人均工资收入低于平均值的一半，而接受各类援助的家庭估计只占家庭总数的3%。还仅仅是工资收入的统计，如果将非工资收入计算进去，差距会更大，因为非工资收入的雪球效应更大，更不公平。补助过低，与经济水平和高收入水平、高生活成本不符

表9 近10年新加坡家庭收入情况统计（2006-2016）

年份	家庭人均月收入 (新元)				工作家庭基尼系	
	总平均	前10%平均	前30-40%平均	后10%平均	税前	税后
2006	2,127	317	1,047	7,550	0.470	0.444
2007	2,337	335	1,115	8,571	0.482	0.441
2008	2,586	365	1,266	9,199	0.474	0.424
2009	2,524	357	1,242	8,945	0.471	0.422
2010	2,709	381	1,341	9,669	0.472	0.425
2011	2,925	422	1,445	10,543	0.473	0.423
2012	3,142	440	1,547	11,552	0.478	0.432
2013	3,204	463	1,633	11,198	0.463	0.409
2014	3,418	494	1,747	12,032	0.464	0.411
2015	3,624	541	1,857	12,816	0.463	0.409
2016	3,688	543	1,892	12,773	0.458	0.402

注：1. 家庭人均月收入指工资收入，包括缴纳的公积金，但不含公积金投资和政府补助。2. 工作家庭基尼系数以家庭人均收入计算。

资料来源：1. *Yearbook of Statistics Singapore*, 2013, 2014: 66-68； 2. *Yearbook of Statistics Singapore*, 2017, 2017: 38-40

（二）健康福利亟待提升

图 1 “新加坡政府与个人健康支出比较”显示，1995-2011 年，公共医疗卫生支出在医疗卫生总支出中的比例持续下降，维持在 30%左右；相反，个人自付的医疗支出在医疗卫生总支出中的比例持续上升，维持在 60%；而个人自付的医疗费用占个人医疗卫生总支出的比例一直在 80%以上。表 10 “新加坡卫生支出情况及地区比较”显示，新加坡政府卫生支出占卫生总支出比重低于东南亚地区的平均水平，不到世界平均值，几乎只有高收入国家平均水平的一半，社会保障用于卫生支出占政府卫生支出比重更与高收入国家平均水平相差甚远；相反，个人卫生支出占卫生总支出比重却高于东南亚地区平均水平，也远高于高收入国家平均水平和世界平均水平。政府在国民卫生支出中的缺位或不足，致使个人需要承担的比例相对较高，其中压力最大的无疑是低收入群体。2013 年 8 月新加坡国会卫生委员会发表《改善新加坡人医药费支付能力》报告，提出扩大健保双全，减轻国人医药费负担，即是对个人自付医疗压力过重的回应。

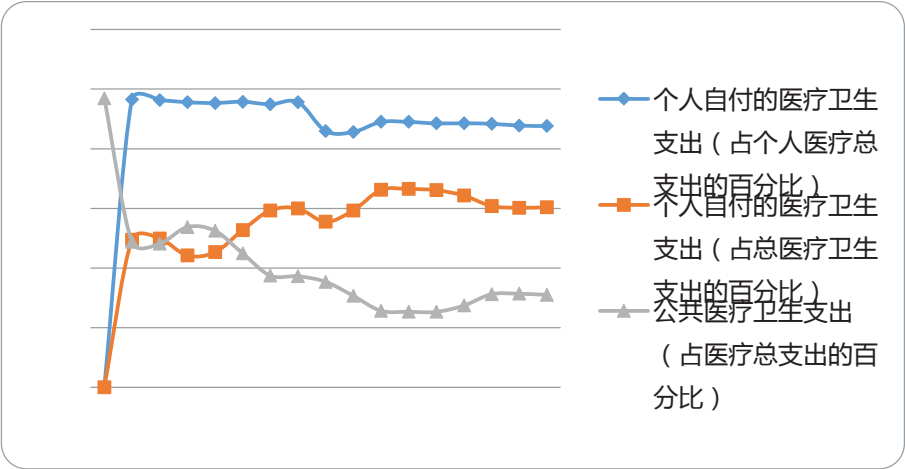


图 1 新加坡政府与个人健康支出比较（1995-2011）

资料来源：世界银行，<http://data.worldbank.org.cn/country/singapore>

表 10 新加坡卫生支出情况及地区比较

	卫生支出占 GDP 比重		政府卫生支出占卫生总支出比重		个人卫生支出占卫生总支出比重		政府卫生支出占政府总支出比重		社会保障用于卫生支出占政府卫生支出比重	
	2000	2012	2000	2012	2000	2012	2000	2012	2000	2012
新加坡	2.7	4.2	45.0	35.9	55.0	64.1	7.1	11.1	4.8	14.1
东南亚地区平均值	3.6	3.7	32.3	37.9	67.7	62.1	5.3	5.8	12.8	8.9

高收入国家平均值	9.6	11.6	59.3	60.6	40.7	39.3	15.0	16.8	64.0	65.6
世界平均值	7.7	8.6	55.5	57.6	44.5	42.3	12.9	14.1	59.0	59.3

资料来源: *World health statistics 2015*

（三）与国民期望有差

2012-2013 年新加坡举行了为期一年的“我们的新加坡全国对话”，对生活的调查显示，月收入不到 7000 新元者最希望有一个关怀人民的政府，认同政府体恤人民、有效解释政策的受访者大约只占六成（洪奕婷，2013），说明新加坡政府对低收入者的福利关怀离国民的期望存在较大距离。“我们的新加坡全国对话”调查显示，公共医疗、住房和就业保障几乎是每个收入阶层都关注的三大课题（表 11），也是与国民财产和权益最密切相关的问题，而住房和就业保障长期以来是新加坡政府引以为豪、且被国际社会普遍赞誉的社会领域；环境安全、公共交通和教育政策这些政府长期重点建设重点投入的领域也是国民普遍关注的问题所在。调查结果说明，随着经济发展和社会进步，新加坡人在社会福利方面有对政府更高的期望，要求政府在社会政策的调整上更加切合个人的需求。

表 11 新加坡不同收入层次关注度优先等级

收入层次	最关注	第二	第三	第四	第五
1000 元以下	公共住房	公共医疗	关心的政府	就业保障	公共交通
1000-2999 元	公共住房	公共医疗	就业保障	公共交通	关心的政府
3000-4999 元	公共住房	公共医疗	就业保障	环境安全	关心的政府
5000-6999 元	公共医疗	公共住房	就业保障	环境安全	关心的政府
7000-9999 元	公共医疗	就业保障	环境安全	全面教育	实的政府
10000 元以上	公共医疗	就业保障	环境安全	全面教育	实的政府

资料来源: *Our Singapore Conversation Survey*, 3

五 总 结

新加坡将个人“各尽所能”确定为建立民主社会主义的原则（Chee, 1987: 84），倡导个人必须对自己、对家庭负责，在社会障碍问题上强调个人责任与家庭责任、社会责任相结合，政府充当个人和家庭的引导者和支持者（Goh Chok Tong, 1994），政府、家庭、个人在社会障碍体系中构成金字塔模型，在平等与效率之间明显倾向于效率。总体来看，在经济高度发达的今天，新加坡扩大了社会服务项目和政府津贴项目，社会救助没有萎缩而是扩大。

但是，强烈的危机意识和高度一体化的政治体制使人民行动党相信，保持全体新加坡人不断奋斗的意识是国家生存之根本，所以几乎所有的社会政策都是鼓励工作者，福利制度是典型

的工作福利，以中央公积金为主体的个人储蓄保障、居者有其屋的住房政策和各种劳工保障政策受益的对象是工作者，母婴津贴也是从工作母亲逐步扩展到无工作母亲，而且母婴津贴的目的是鼓励生育，不应计入社会保障范畴。除基础教育、公共卫生和与健康相关的公共环境服务外，新加坡有限的社会福利几乎都只提供给工作者，包括能够自食其力的残疾人，不能工作的成年人从政府得到的直接津贴只有社会救助和有限的家庭福利。

到目前为止，对机会平等的追求和个人责任的规定使新加坡取得社会进步的同时避免了福利国家的政府负担。然而由于社会的进步，传统的家庭关系和社会价值将受到越来越大的压力，国民对政府的社会职能也会要求越来越高，尤其在法治化程度高、经济发达的当下，新加坡完全有能力也有必要加大社会保障力度，缩小贫富差距，使社会进步的成果惠及更多国民。

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Ethical Choice Making and Social Equity: A Pathway to Sustainable Governance?

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Abstract

This paper explores the significance of ethical choice making in this time of societal complexities such as economic inequality and social equity. The discussion of ethical choice making emerges when competing values or interests of what is considered ethical are at stake. For guiding ethical choice making, the influence of market values on public administration raises the question of how to understand social equity as a dimension of the public interest. Social equity reflects fairness, justice and trust, which in a normative sense means that it is based on moral values and ethical considerations. The results of a citizen survey show that interpersonal trust correlates strongly with fairness and justice. This paper suggests a renewed perspective for citizen empowerment based on the conceptual learning of critical theory. Ethical choices should be made through the integrative social process of dealing with differing and ambiguous values to find a shared perspective of interests. Ethics are systems of values that guide action.

Keywords: society, ethics, inclusion, equity, sustainability, public, citizen, governance

INTRODUCTION

A polarized and diverse society raises the question of how sustainable governance incorporates concepts beyond efficiency and cost-effectiveness as core values. A shift from the neoliberal understanding of governance towards a more inclusive understanding of global problems and ethical responsibilities has emerged, and we are beginning to view our lifestyle and consumption choices as responsible for inequalities, conflicts and environmental problems. Moreover, an inclusive society means that we are concerned about the lives of the most disadvantaged people.

The present public philosophy has rested on neoliberalism to legitimize market values in this political and economic uncertainty. A critique of neoliberalism demands alternatives to the prevailing models of policy-making. Similarly, the rise of the post-truth world has compelled us to defend democratic values and to reconsider sustainability needs for the future generations in terms of intergenerational equity. What is needed is the creation of a participation infrastructure that supports and encourages citizens in the role of multi-stakeholders. For instance, social entrepreneurship is a form of a collaborative economy that can empower individuals and communities by turning citizens from passive consumers into active producers of social and ecological value.

In sustainable governance, the emphasis is on ethical integrity and the maximizing of social value rather than on private value or profit and on the implementation of ethical and democratic values such as respect for others, fairness and social equity in relation to the public interest. The concept of the public interest is valuable because of its character as a normative foundation for public purposes on the one hand and its pragmatic meaning as a counterbalance for private interests on the other.

Existing research literature suggests a critical re-examination of the normative foundations of public administration and the role of citizens in public policy-making. The broader and more complex question is the role of the modern state in achieving a reasonable balance between economic efficiency and social equity. Public engagement and citizen dialogue in fostering democratic citizenship contributes to reasoning about fundamental ethical questions. In this sense, a quest for ethical choice making is stated in the UN's sustainable development goals. To find implications to sustainable governance, this paper attempts to answer the following questions:

- (1) Is ethical choice making in relation to the social equity at stake in the UN sustainable development goals?
- (2) Can we form an integrative approach to public ethics as a guide for ethical choice making in sustainable governance?

Under these guiding questions, the research framework is described in Figure 1.

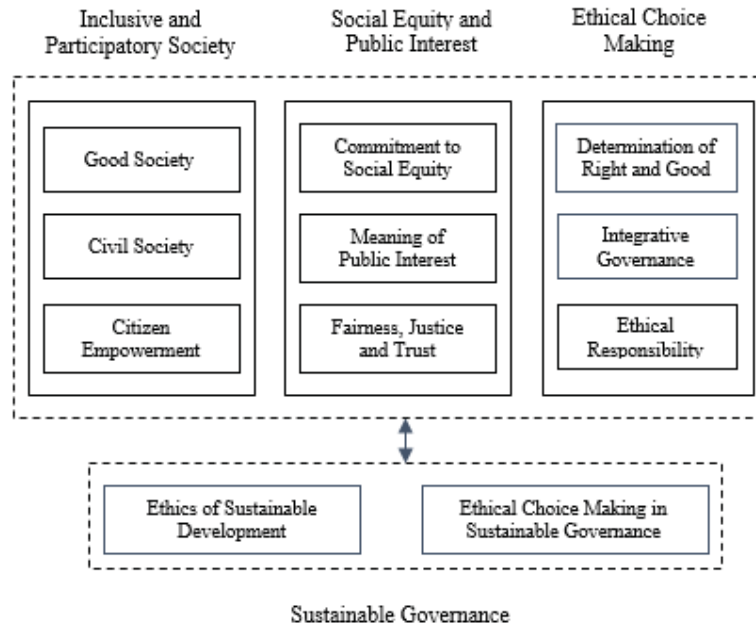


Figure 1. Research framework

The paper comprises five parts. First, the question of inclusive and participatory society is considered from a critical perspective through the notions of a good society, civil society, and citizen empowerment. Second, social equity is examined as a complementary relationship to public interest. In this context, the correlation between interpersonal trust, fairness and justice is analysed based on the results of the Worlds Value Survey. Third, we examine the following: the idea of ethical choice making related to the determination of “right” and “good”, an integrative model of creative and participatory governance, and ethical responsibility based on ‘resilience ethics’. Fourth, sustainable governance is evaluated based on the ethical considerations of the sustainable development paradigm. Finally, some concluding reflections are presented.

INCLUSIVE AND PARTICIPATORY SOCIETY

Good society

According to Aristotle, a good society is the interest of all citizens, that is, the public interest. A good society requires institutions that promote the common interest and encourage collaboration, inclusiveness and sharing, as Jordan (1989) argues the following:

When we consider society, the common interests that people have in certain goods that stem from membership of that society are constituted in citizenship. Where citizens have a common interest in those aspects of social relations which they share together, then this represents the common good. (p. 17)

Therefore, the global objective must be the socially inclusive world in which the needs of the most vulnerable are also met, which implies, according to the UN resolution (2015), “peaceful, just and inclusive societies which are free from fear and violence”. Inclusion in deliberation, gender participation, and intersectionality are critical elements for the analysis of a democracy with deeper values and the common goal of designing more just and democratic societies.

The lives of the most disadvantaged people who experience complex forms of oppression and inequality should be a common concern. The intersections of these disadvantaged people occur with the conflation of gender, race, class, sexuality, and the environment. Intersectionality¹ means that “inequalities are best understood overlapping and mutually constitutive than isolated and distinct”. The crucial idea to facilitate the inclusion of marginalized groups comes from Crenshaw (1989, p. 73) when she said that “when they (marginalized groups) enter, we all enter”.

Jone (2016, pp. 360-361) demonstrates that democracies are facing the challenge of inclusion in at least two of its forms. First, vertical inclusion is the process by which states that are extending democracy seek to resolve the democratic malaise by means of inviting citizens and other economic and social agents to participate in the process of public decision making. Second, horizontal inclusion is the process by which these same states respond to the problems of oppression derived from the systemic concealment of the knowledge and life experiences of all non-normative agents, i.e., those people and social groups considered to be at the fringes of the social norms. The conceptual learnings of critical thoughts on the extension of democracy in which intersectional inequality is a fact requiring responses will arise in complex societies,

¹ <https://www.merriam-webster.com/dictionary/intersectionality>

whether stratified or multicultural ones. To democratize inclusively, there is a need for a conceptual development that facilitates the integration between the vertical and horizontal dialogue of inclusion.

Civil society

Individual freedom, its guarantees by the state, and market liberalism are imperative to civil society. Gellner (1994; cited in Macey, 2000, p. 63) defines civil society as being based on a plurality of institutions that place checks and balances on the state but which are also protected by the state.

Civil society prioritizes collective action. “Modern liberal democracy rests upon a platform of the pluralistic civil society” (Sievers, 2010, p. 380). In providing vital resources and playing an ambiguous role in democracy, philanthropy’s role is an essential feature of that civil society. However, according to Sievers (2010, pp. 387-389), there are the following two dilemmas for democracy: (1) the problem of collective action, and (2) the problem of value pluralism. In particular, “the transformation of citizens into customers” has contrasted the traditional democratic citizenship role with collective interests to the modern customer role of citizens with their private needs in a market. There are common resources such as the air and oceans that are held in common by humanity and often abused, leading to global warming and pollution. Therefore, “individual rationality is not sufficient for collective action” (Sandler, 1992). The problem of value pluralism lies at the heart of contemporary democracy in finding a peaceful mediation for advancing the public interest among fundamentally conflicting worldviews.

A fundamental question of advancing civil society and philanthropy is how to find a nonfoundational framework for public discourse to increase substantive contribution to the society. Habermas’ (1984; 1987) theory of communicative action describes the world of everyday action and beliefs as a ‘lifeworld’ (Lebenswelt) and broadly identifies it with the public sphere and civil society. Habermas considers the public sphere as an intersubjectively shared space reproduced through communicative rationality.

Dahlberg (2005, pp. 111-112) has demonstrated that the Habermasian public sphere can be read as maximizing “the inclusion of difference in deliberative exchange”. Many theorists agree with Habermas concerning the importance of citizen debate for a strong democracy. The concept works to maximize inclusion, although it does rely upon the exclusion of coercion and domination. The Habermasian public sphere remains a legitimate democratic norm.

Civil society is the cornerstone of democracy in advancing the inclusive and participatory society. Castells (2008, pp. 78-79) views civil society from the point of view of the public sphere that lies between the state and society. The public sphere is “a network for communicating information and points of view”, the space where people come together as citizens and articulate their autonomous views to influence the political institutions of society. Castells also speaks about the global civil society and networked global governance as the relationship between globalization and the nation-states.

Citizen empowerment

The shift from government to governance is a call for more democracy. The emphasis is more on society rather than on the state. According to Chandler (2014, p. 164), “new forms of governance appear as ways of democratizing society itself ‘through empowering’ or ‘capability building’ the citizen”.

This new specification of active citizenship in an active society is the most fundamental characteristic of the new rationalities of government. Regarding the future role of the modern citizen in advanced liberal democracies, Miller and Rose (2008) conclude as follows:

When strategies of welfare sought to govern through society, advanced liberal strategies of rule ask whether it is possible to govern without governing society, and can expertise still successfully transform many political problems of inequity and disparities of power merely into technical questions concerning the best way of organizing and managing regimes of security, enterprises and persons. (pp. 216-218)

Therefore, public participation and deliberation are important supplements to representational democracy and the demands for direct citizen participation, as Nabatchi (2010, p. S310) states. Similarly, Roberts (2004, p. 315) reminds us that citizenship participation is the cornerstone of democracy even though there has been a deep ambivalence about citizens directly participating in the government.

The very notion of democratic citizenship means that citizens are willing to maintain their duty towards society insofar as they trust the direction in which the society is moving. Ventriss (2012, p. 287) demands “revitalizing public administration with a renewed focus on democratic citizenship”. Meaningful participatory practices require that citizens have influence on public affairs and not simply voice.

SOCIAL EQUITY AND PUBLIC INTEREST

Commitment to social equity

The origins of social equity are in the public interest debate between those who wish to promote equality and those who fear that this will occur at the expense of individual liberty. Morgan (2001) describes this ethical dilemma in the commitment to social equity as follows:

While there is nearly universal consensus that the public interest requires the protection of individual liberty, there is considerable disagreement whether this liberty consists of merely leaving citizens alone or providing them with some minimum threshold of economic or social equity. (p. 153)

Morgan (2001, p. 173) notes that “from the 1960s onward the debate of equality shifted to the language of equity, as defenders of compensatory policies argued that formal legal equality undermines fairness as equity”. Guy and McCandless (2012, pp. 55-56) consider that the terms “equity” and “equality” are used interchangeably, and they have, to a large extent, similar meaning. However, equity is a more flexible measure that allows for equivalency while not demanding equality, and initiatives that advance simple equalities have proved less controversial than those designed to advance equity. “Social equity is not an explicit constitutional value, but rather a term that implies a calculation of fairness, right, and justice”.

Advancing social equity is linked to the Minnowbrook tradition of the New Public Administration approach from the year 1968. The aim was to shift the focus onto social and economic equity as an appropriate goal for governance. Frederickson (1990; 2010) demanded the same value status for social equity as that for economy and efficiency in public administration. This tradition has led to a definition with multiple inclusive aspects of equity stated by the “Standing Panel on Social Equity in Governance of the National Academy of Public Administration of the US”, as described by Gooden and Portillo (2011):

The fair, just and equitable management of all institutions serving the public directly or by contract; and the fair and equitable distribution of public services, and implementation of public policy; and the commitment to promote fairness, justice and equity in the formation of public policy. (pp. i61-i62)

This definition reflects the ideas of “fairness” and “justness”, which, in the normative meaning, are based on moral values and ethical considerations. Fairness and justice are at the heart of social equity. Treating citizens in an equitable way requires considering their individual needs. Social equity refers strongly to a deliberative democracy (Emerson, Nabatchi

& Balogh, 2012, p. 4) and an equitable society through the notions of distributive justice (Rawls 1999; Rawls & Kelly 2001) and equitable decision making in terms of procedural fairness.

Meaning of public interest

Bozeman (2007, pp. 90-91) suggests maintaining the ideal concept of the public interest and therefore asking why should it be less true of a public interest ideal than an ideal such as the perfectly competitive market? The significance of the ideal concept is “having the target in mind that keeps one on course even if it is not possible precisely to hit the target”.

Ventriss (2001, p. 276) argues that “the public interest is a shared recognition of consequences and the substantive effects that those consequences can have on community life” to add value to the public sphere as a conceptual space for public discussion and deliberative issues. In addition, King (2015, p. 76) recalls that “engaged citizens have the potential to make public decisions based on their sense of the public interest, using phronesis, or practical wisdom, and experiential knowledge relevant to the circumstances”.

The public interest as a reference to social equity is identified more widely in the literature of social capital. According to Johnston (2016, p. 125), there are three central theorists of social capital, Robert Putnam, James Coleman, and Pierre Bourdieu, who have provided important insights for a better understanding of the public interest.

Putnam (1993; 2000) has emphasized strong traditions of civic engagement as the hallmarks of successful societies and considered social capital as a public good that is not the private property of those who benefit from it but rather other public goods, such as clean air and safe streets. However, social inequalities may be embedded in social capital because norms and networks that serve some groups may obstruct others.

For Coleman (1981, p. 29), the public interest is central to his philosophy of education as he argued for the overriding public interest “in helping all children particularly those who are disadvantaged, receive a better education”. This notion is a strong reference to a democratic and inclusive society.

Bourdieu (1986, pp. 248-251) argues that “social capital is never independent of other forms of capital”. According to Johnston (2016, p. 13), in Bourdieu’s view, actors are engaged in a “struggle in pursuit of individual goals and interest”, whereas Putnam’s idea of social capital addresses collective values, such as trust, reciprocity, and societal integration. Ruscio (1996, p. 475) states that “as citizens develop formal and informal networks, they come to trust each other in matters outside the networks – in a public policy dispute”. Social capital plays an

important role in generating welfare and enabling the functioning of the economy (Hellström, Hämäläinen, Lahti, Cook & Jousilahti, 2015, p. 7).

However, the search for the “operational public” has been a central question of whether the public interest could serve as a guide for political and administrative action (JOS 1990, p. 232).

Fairness, justice and trust

The significance of fairness, justice and trust can be estimated by adapting two questions of the World Values Survey, WVS. First, to measure fairness and justice, the applicable survey question is as follows:

Do you think most people would try to take advantage of you if they got a chance, or would they try to be fair? Please show your response on this, where 1 means that “people would try to take advantage of you”, and 10 means that “people would try to be fair” (World Values Survey Wave 6: 2010-2014).

For the analysis of this paper, there are the following 11 countries in the comparison: Australia, South Korea, China, Russia, Turkey, Sweden, Spain, the United States, Brazil, Chile, and Mexico. To identify the general impression from the different responses among the 11 countries selected in the above question, the percentage values of the responses on a scale of 1-10 are aggregated into the following two categories: responses of 1 to 5 represent the views in response to the statement that “people would try to take advantage of you”, and responses of 6 to 10 represent the views in response to the statement that “people would try to be fair”. These two categories are presented in Figure 2 as follows:

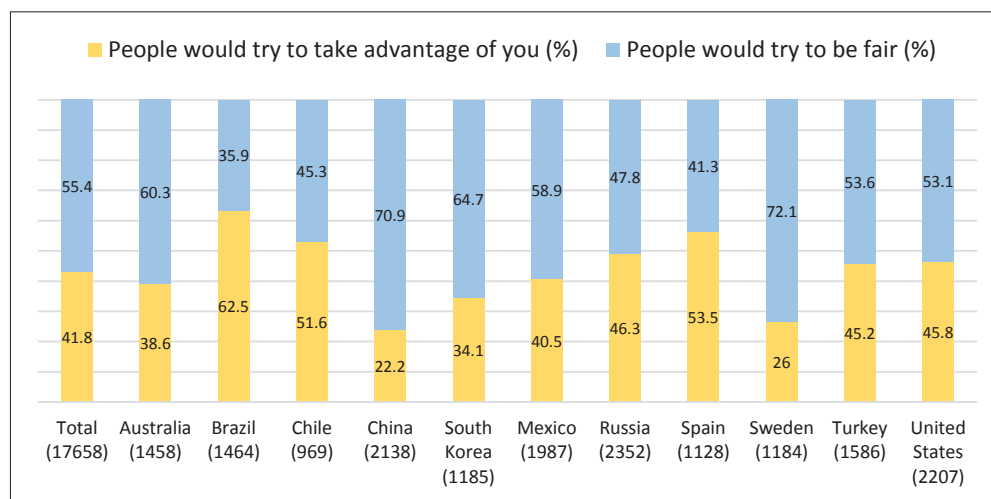


Figure 2. Fairness and justice. Data source: World Values Survey Wave 6: 2010-2014 (<http://www.worldvaluessurvey.org/WVSONline.jsp>)

According to the division of responses as shown in Figure 2, in different parts of the world, citizens estimate differently their mutual fairness and justice in terms of impartial and just treatment or behaviour. However, there must be profound trust among all members of the society that none of the members will use their expertise to take advantage of the others (Hart, 2001, p. 146). Together, these two dimensions of the WVS question represent the issues of fairness and justice as the most significant feature of social equity.

Consequently, the second question of the WVS adapted in this article measures the interpersonal trust between citizens. The question is as follows:

Generally speaking, would you say that most people can be trusted or that you need to be very careful in dealing with people? (World Values Survey Wave 6: 2010-2014).

There is a considerable variation in the answers to this question as shown in Figure 3.

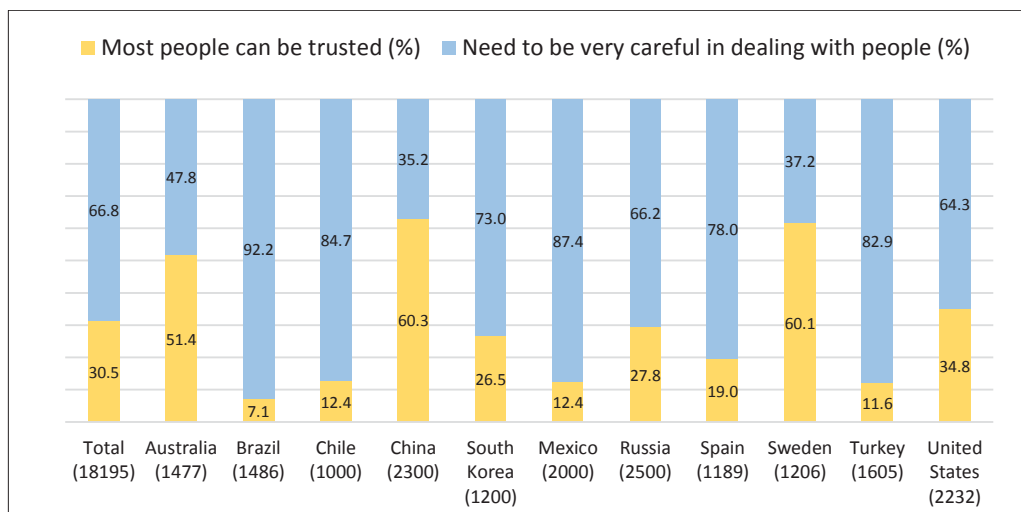


Figure 3. Interpersonal trust. *Data source:* World Values Survey Wave 6: 2010-2014 (<http://www.worldvaluessurvey.org/WVSOnline.jsp>).

In total, only 30.5 % of the citizens in the 11 countries think that most people can be trusted, and 66.8 % consider that you need to be very careful in dealing with people.

When looking at Figure 3, we see that interpersonal trust correlates positively with the issues of fairness and justice. The quantity of the linear correlation is very strong ($r = 0.80$), and the coefficient of determination ($r^2 = 0.64$) explains that 64 % of the total variation in y (trust) can be explained by the linear relationship between trust and fairness and justice. This result suggests that a relationship between interpersonal trust and fairness and justice is evident for social equity.

Next, the linear correlation between the interpersonal trust (“most people can be trusted”) and the views of fairness and justice (“people would try to take advantage of you” vs. “people would try to be fair”) is presented in Figure 4.

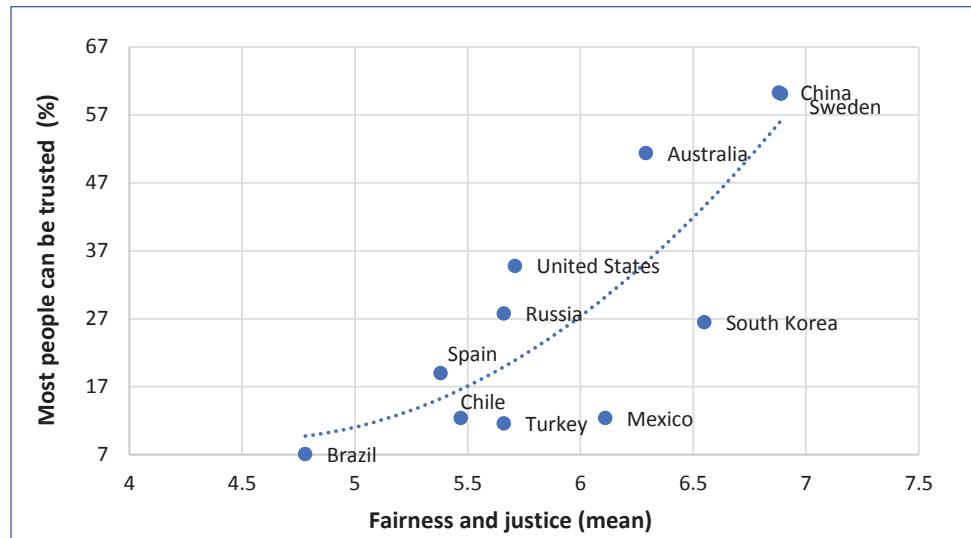


Figure 4. A correlation diagram of interpersonal trust and fairness and justice. *Notes:* In the figure, the mean values of “the question of fairness and justice” are plotted on the horizontal axis (x), and the percentage values of “the question of most people can be trusted” are plotted on the vertical axis (y). The pattern of their intersecting points can graphically show relationship patterns. While the diagram shows relationships, it does not by itself prove that one variable causes the other. The scatterplot diagram is a tool for analysing the relationships between two variables.

ETHICAL CHOICE MAKING

Determination of right and good

The discussion of ethical choices emerges when competing values or interests of what is considered ethical are at stake. Understanding ethics as a matter of right-versus-right captures the essence of ethical choice making as “Defending our version of right against other’s version of right” (Stout & Love, 2013, p. 278).

Public administration exists to realize the governance of society – meaning the society at large. Therefore, the balancing of the different ethical commitments in public administration is a highly complex endeavour without any universally shared approach, as Waldo (1980) has noted. Ethical and moral standards and conduct for rulers will be the most important quality for public leadership (Maguad & Krone, 2009, p. 222; Dror, 2002). Integrative leadership with partners across organizational and sectorial boundaries is required in modern networked

governance (Getha-Taylor, Holmes, Jacobson, Morse & Sowa, 2011, p. 87). Consequently, “public servants, like other citizens, have a choice”, as Stivers (2008, p. 120) concludes.

The study of ethics is at the heart of intellectual thought. For explicating the present state of governance, Stout and Love (2015) have presented a “governance typology” based on philosophical and practical elements found in dominant Western political theory. This typology is created through the Weberian ideal-type method (Weber, Shils & Finch, 1949) comprising four ideal-types with the following labels: the institutional, holographic, atomistic, and fragmented governance types.

The normative structure of each governance ideal-type is either prioritized “right” as a proper action or “good” as an end value (Stout & Love, 2013, p. 281). Each ideal-type approaches ethics in a substantively different manner. The basic properties of these governance ideal-types are described in the following Table 1.

Table 1. Ideal-Types of Governance

Ideal-Types	Determinants of Normative Structure	
	“Right” as a proper action	“Good” as an end value
<i>Institutional</i>	The law determines what is right Deontological ethics	The good is demanded by the right
<i>Holographic</i>	Right is determined introspectively Moral and intuitive ethical action	Right action is the path to the good Poor outcomes due to limited input to determinations of right action
<i>Atomistic</i>	Right is determined retrospectively Utilitarianism or ethical egoism	Individual choices to achieve the good The goodness of outcomes is used to assess the ethical standing of the action
<i>Fragmented</i>	Rightness is determined by the value of good action Moral scepticism/relativism	Good action must be determined by the individual
<i>Integrative (Synthesis)</i>	The individual determines what is right through interaction with the environment Mutual answerability	The individual determines what is good through interaction with the environment

First, institutional governance in the democratic context means the rule of law as “the One” (as opposed to God or King), and good outcomes can only come from law-abiding action. Administrators are expected to follow the rule of law as consistently as possible (Stout & Love 2013, p. 282). This type of governance represents the orthodox administration (Stout & Love, 2015, p. 462).

Second, holographic² governance views the individual analogous to the “the One”. In this type of governance, there is no meaningful distinction between what is right for the individual and what is right for the whole. According to Stout and Love (2013, p. 283), this type of governance was illustrated in the United States when President George W. Bush used ethical intuition to justify the wars in Afghanistan and Iraq as necessary actions of good versus evil, and the Congress voted to entrust the determination for action solely to the President. This type of governance is best aligned with the New Public Administration model (Stout & Love, 2015, p. 462).

Third, atomistic³ governance delegates authority to the individual who makes individual choices about how best to achieve good. Right action is based on the goodness of external consequences. The goodness of outcomes is used to assess the ethical standing of the action. According to Stout & Love (2013, p. 283), many public policies are chosen based on their anticipated ability to achieve the most effective ends at the lowest cost or their ability to meet the preferences of the greatest number of interested parties. This type of governance fits in with the administrative theory of the New Public Service (Stout & Love, 2015, p. 463).

Fourth, fragmented governance provides no morally coherent social context, and ethical considerations of rightness are largely meaningless. According to Stout & Love (2013, p. 283), in both atomistic and fragmented governance types, considerations of right-versus-right begin to breakdown as there is no firm basis upon which to determine the best course of action. This type of governance represents the theory of New Public Management (Stout & Love, 2015, p. 463).

These four substantively different approaches on how to determine what is “right” and “good” are based on one system of ethics or morality as opposed to another system. Determining which value choices are right leads to the following question stated by Mingus &

² The holograph refers to the pantheistic perspective that the whole is reflected in the individual and that the individual is merely a reflection of the whole (Stout & Love 2015, p. 473).

³ Atomistic is defined as comprising many simple elements and *also is defined as follows*: characterized by or resulting from division into unconnected or antagonistic fragments – an *atomistic* society. Atomistic. (n.d.). Retrieved February 9, 2018, from <https://www.merriam-webster.com/dictionary/atomistic>

Horiuchi (2012, p. 117): “What can public administrators do to ameliorate seemingly intractable value conflict?” For an answer to this question, Stout and Love (2013) have developed a synthesis ideal-type of integrative governance.

Integrative governance

Integrative governance assumes that the individual agency determines what is right and good through interaction with the environment. Stout and Love (2013, p. 285) argue that “the ontological and sociological assumptions of this position produce a public philosophy of community with an ethic of mutual care (not in the personalized sense)”. Because people as human beings are naturally interconnected, they can carry a responsibility within their community as reasoning beings who can consider together what is good and what constitutes right action both individually and collectively. This co-creative process is multidimensional and because of the sense of relation, the ethic is based on mutual responsiveness in which all act with one another, synthesizing both external and internal motivation.

Based on these notions, the answer to resolving “intractable value conflicts” requires creating the venue, designing the process, and facilitating the actors in the affected situation in “making a shared ethical choice” based on Follett’s (1926, p. 52) ethical teaching of the following aspects: “we do not follow the right, we create right, there is no private conscience, and my duty is never to “others” but to the whole”. As Stout and Love (2013) consider,

If rightness is determined through a co-creative process, rather than through a conflict between intractable values, then we will find a very different response to right versus right than the choice between mandated social norms (Institutional and Holographic), adversarial debate (Atomistic), or mere statements of preference (Fragmented). We will seek right together; we will coproduce the good. (pp. 285-286)

The integrative, creative and participatory process of governance is based on Follett’s explication of integration to find the appropriate response to the ethical dilemma of conflicting values and to find a method for ethics through which a different perspective can be synthesized rather than placed into a relationship of competition and compromise. Follett (1924, pp. 7, 156) recognized that “dealing with difference is the main part of the social process” and “when differing interests meet they need not oppose but only confront each other”.

Two primary forms of domination are voluntary submission and coerced subjugation. Neither of these forms of domination is acceptable in a democratic society. Compromise is not

much better because parties involved each lose something in the decision. All these methods offer only a “sham reconciliation” (Follett, 1924, p. 156; Stout & Love, 2013, pp. 286-287).

However, individual and collective discussion and the achievement of a specific method can be maintained through integration. Follett (1924, p. 172) speaks of “reciprocal dialogue” and of “a revaluation of interests”. According to this, it is possible to find a new shared perspective because “values depend largely on relation”.

When ethical choices are made through the integrative process based on mutual answerability, it leads to good outcomes for governance that are arguably better than those produced by the alternatives of deontological obligation, moral imperative, teleological agency, and moral scepticism/relativism (Stout & Love, 2013, p. 288). The integrative governance type utilizes the collaborative approach to administration (Stout & Love, 2015, p. 467).

Ethical responsibility

The shift from the neoliberal understandings of governance and citizen-state relations towards more inclusive understandings of global problems and ethical responsibilities can be viewed in terms of resilience ethics (Chandler, 2013). In this view, the ethical responsibility stems from the unintended outcomes of interactive and emergent processes in which different actors are embedded. Chandler (2014, pp. 120-124) speaks of the indirect ethical responsibility derived from self-reflexivity that can be understood neither as instrumental responses to outcomes nor as deontological ethics derived from external consequences.

Following the idea of resilience ethics to reformulate the ethical responsibility, we become embedded subjects who are responsible for the unintended and indirect consequences of our actions. The ethical demand for individual self-reflexivity is an integral part of responsible citizenship for citizens who are encouraged to become more ethical in their choices.

Due to the complexity and the rise of resilience thinking, it is problematic today to make the distinction between public ethics and private ethics. Chandler (2014, pp. 19-20) considers public ethics as the guide to the government of others, i.e., governance for governing institutions and considers private ethics as the guide to the ethical government of the self, i.e., governance for individual members of the public. Chandler (2014, pp. 120, 124-125) concludes that there is no clear distinction between the private ethical sphere and the public political sphere in the modernist understanding of “a new global ethic and the transformative power of the embedded subject”. The growing self-awareness of citizens and the need for reflexive governance are requirements for the concept of ethical responsibility. “We are more likely to

see our lifestyle or consumption choices as responsible for inequalities, conflicts or environmental problems”.

SUSTAINABLE GOVERNANCE

Ethics of sustainable development

A complex question is how to achieve a reasonable balance between economic efficiency and social equity. In this sense, a quest for ethical choice making is stated in the UN Sustainable Development Goals (SDGs). The consultation process of these goals named “Toward Global Democratic Governance” has noted an ethical core in the following matter: “To emphasize outreach, inclusiveness, and the need to reflect the concerns of people living in poverty “whose voices often go unheard of unheeded” (Fox & Stoett, 2016, pp. 555-562).

A good society is a prerequisite for sustainable governance. The main challenge of sustainable development is to secure the environmental and social dimensions and ensure the integration of these two dimensions with economic growth. However, despite this, we understand our planetary boundaries better, and our belief in the present model of economic growth is the prevailing public agenda. The primary concern of all governments and policy-makers is a declining economic growth and a need to restore such growth. “An economic-based self-interest approach seems to fail to motivate stakeholders to incorporate the other two dimensions in their national and organizational development planning in an efficient and timely manner” (Salamat, 2016, p. 4).

The present imbalance between the interests of business corporations and the national governments is described by Beder (2010) as follows:

The corporate goal of free trade has been given precedence over other citizen goals such as environmental protection, improved working conditions, affordable and accessible electricity and water, universal health care and schooling. Each of these areas of social policy has been subject to commodification, marketization, privatization and deregulation in the name of free markets. (pp. 513-514)

The question of what the future may hold means that our main ethical concern is on the planetary boundaries such as climate change and the Earth’s carrying capacity. When we seriously consider the future in terms of intergenerational equity, i.e., equality between one generation and another, we must trust in dynamic reciprocity in a highly competitive and interconnected world. There are issues, such as climate, refugees, resource-based immigration and geopolitical inequality, political conflicts and the scarcity of natural resources, such as

clean water, that are in the centre of these governances. Therefore, we should consider all 17 SDGs to be equally important; as Salamat (2016, p. 3) reminds,

None of these 17 goals could be achieved unless the goal 8 on promoting inclusive and sustainable economic growth, employment and decent work for all, and the goal 16 on promoting peaceful and inclusive societies for sustainable development are implemented in tandem.

Salamat (2016, p. 4) suggests an alternative discourse inspired by a universally shared and valued responsibility as the moral or ethical imperative for the advocates of the sustainable development paradigm. In other words, ethical choice making is the most significant prerequisite for sustainable governance.

Ethical choice making in sustainable governance

The people – society at large – are committed to environmental responsibility. They want to be part of a common concern to protect natural resources and the environment. It is a question of “social belonging” that can be translated into an active participation in institutions, such as business and civil society organizations, among others (Winsemius & Guntram, 2002, p. 184).

People are motivated to maintain a positive self-concept by acting in line with their internal moral standards. “Owing to the motivation to maintain a moral self-image, people may prefer biospheric to economic appeals, rendering the latter less effective than commonly assumed” (Bolderdijk, Steg, Geller, Lehman & Postmes, 2013; Salamat 2016, p. 2).

Volunteering and social entrepreneurship are examples of taking care of the environment and of promoting ethical discourse in situations in which the benefits of life outweigh the costs of sustainable development. Social entrepreneurship is a form of collaborative economy that empowers individuals and communities (Hellström et al., 2015, p. 7). Social entrepreneurship is a way to implement the following ethical and democratic values: respect for others and fairness and social equity in relation to the public interest.

According to Elkington and Hartigan (2008, pp. 2-3), “social and environmental entrepreneurs lead by example and seek outlandish goals, such as economic and environmental sustainability and social equity”. It is not doing the “deal” but achieving “the ideal”. Social entrepreneurs are “individuals whose higher-minded impulses motivate them beyond narrowly-defined profits to seek out elegant solutions to locally-based social and environmental circumstances” (Schmaltz, 2010, p. 152).

Social innovations and ethical reactions go hand in hand. According to Ims and Zsolnai (2013, p. 188), “social innovations are needed when the ordinary market fails, and there is a huge need for creating social value, rather than creating private value for entrepreneurs, investors and ordinary consumers”.

Citizens have become more aware of the environmental and social consequences of their choices and are motivated to avoid negative impacts. Recognizing consumers as citizens has made a contribution to sustainable and ethical consumption models. A renewed perspective of consumer empowerment links consumption to greater social issues such as human rights, environment and social well-being (McShane & Sabadoz, 2015).

Ethical choice making is a significant approach to fulfil sustainable development actions. When ethical choices are made through an integrative process based on mutual answerability and not in response to being asked to adhere to an externally imposed ethic, ethical choice making is being co-created and therefore self-enforced. The integrative approach based on mutual answerability stands to produce good outcomes for governance. According to Stout and Love (2013, p. 287), the resulting public ethic might today be framed as sustainable flourishing as follows: “Our new motto must be, Live in such a manner that the fulness of life may come to all” (Follett, 1926, p. 353).

DISCUSSION AND CONCLUSIONS

This article critically examines the normative foundations of public administration and the role of citizens in public policy by raising the question of how to protect the public interest for advancing ethical choice making and social equity. Unfortunately, neoliberal market fundamentalism has led to the inherently vexed relationship between markets, neoliberalism, citizens, and civil society. The increasingly inequitable distribution of economic growth has remained the prevailing situation.

The application of neoliberal policies in Europe, for instance, has led to social repercussions in the wake of the massive state intervention to socialize the risks of the private banking sector and the austerity measures of the public sector in much the same way as earlier structural adjustment programmes led to social repercussions, as Carroll and Jarvis (2015, pp. 278-279) prove.

A democratic and inclusive society means that we all must be concerned about the lives of the most disadvantaged people who experience complex forms of oppression and domination. When the market and social dynamics create problems that do not resolve on their own, it is

the government's responsibility to work in accordance with the public interest for social equity. In this regard, civil society is the public sphere for democracy to promote policy debate about issues such as public education, access to health care, housing, food, water, and environmental justice.

In public policy-making, the probability is high that the public agenda will be captured by narrow bands of self-interest. When seeking sustainable governance, democratic considerations have been underestimated in new governance reforms (cf. Bevir, 2010, pp. 246-247). "Narrow bands of self-interest creep into the decision-making processes of governance, markets are distorted, the public interest is obscured, and inequality grows" (Glaser, 2012, p. S12).

The citizen status in the business-society interface and the advancement of public policy is a critical issue, as proved by the marketization of higher education, the privatization of health care, and even the commercialization of child care (cf. Blomqvist, 2013) and the growing business of elderly care. Marketplace mechanisms that privilege one worldview over another result in a situation in which certain groups in society are subject to domination and oppression.

"The overarching project of critical theory then is one of emancipation – to offer the oppressed party freedom from constraints imposed by the dominant worldview such that they have the freedom to engage in reflective thought, collective action and self-realization". This critical perspective highlights that the marketization of public goods and services, in the absence of critical self-reflection by consumers, will make them subject to the marketplace distortions that privilege the profit-seeking corporations and frame individuals operating within the marketplace as primarily economic entities, irrespective of the diverse roles that individuals play in their daily lives (McShane & Sabadoz, 2015, pp. 547, 549).

The perspective of critical theory (Geuss, 1981) would provide an alternate way to research the integration of multiple citizenship interests in a democratic society. Recognizing consumers as citizens, we would empower citizens in their roles as multi-stakeholders (ref. Crane, Matten & Moon, 2004) and liberate them from the constraints of acting for the public interest and making ethical choices. This kind of emancipatory perspective provides an answer to the need to democratize society inclusively. A renewed perspective for citizenship is required to advance direct citizen participation in public policies and social change.

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An Empirical Testing of Capital Asset Pricing Model in Vietnam Stock Market

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Abstract

This research examines the applicability of the Capital Asset Pricing Model (CAPM) on Vietnam stock market, one of the most dynamic frontier markets of developing countries today. More specifically, by referring Fama-MacBeth two-stage regression, this research investigates the risk-return relationship of the each individual stock as well as formation portfolios which are established by sorting the beta value of the whole sample individual stocks listed in Ho Chi Minh Stock Exchange (HOSE) for the period from June 2009 through May 2017. As a result of overall examination, CAPM showed that there exists a positive relationship between the market risk premium or systematic risk and return of both individual stocks and formation portfolios. Particularly, from the CAPM empirical test of performance of formation portfolios in HOSE, the estimation of non-linear CAPM seems to well capture the trade-off relationship between risk and return even though the hypothesis of traditional linear CAPM is not confirmed for the sample of HOSE, and the unique risk and the interaction term need to be captured in CAPM. Consequently, investors can use the CAPM as a proxy to evaluate their stock return and diversify the portfolio in their management to reduce the unsystematic risk and maximize portfolio return of investment in Vietnam stock market at the same time. Additionally, it is suggested to define some unique characteristics of Vietnam stock market which differ from other MSCI Frontier and Emerging Markets. Eventually, this research results regarding portfolio diversification strategy in frontier markets like Vietnam could build up the investor's confidence towards the investment decision and thereby promote Vietnam stock market to be upgraded to MSCI emerging markets status soon.

Keywords

CAPM, HOSE, systematic risk, unique risk, risk and return.

Introduction

Over the past 10 years we have been witnesses to the deep global economic crisis that began in 2007 (Guillén, 2009). This global economic crisis started as the crisis in the field of real estate market in the USA, extending into the crisis of the financial sector and also generated the crisis of the capital markets which demonstrated through the tremendous drop in the value of securities on a global level. The damaging effects of the global economic crisis on all kind of markets including developed markets, emerging markets and frontier markets became obvious. Hence, as the fact that frontier markets and emerging markets have become more integrated into world capitals markets, it is important to mention the significance of a common model that enables to quantify the risk of individual securities, as well as the risk of portfolio in relation to overall market.

Furthermore, since CAPM model was a revolution in financial theoretical framework, and it explains expected returns above the risk free rate using covariance of expected returns on individual investments and covariance of expected returns with the overall market, I have looked at the CAPM and found that the Capital Asset Pricing Model has been widely applied by investors in the developed and most emerging markets to measure the risk-return trade-off or the moving behavior of the stock to achieve portfolio diversification. For more details, as the sustained academic and practical popularity of the CAPM which typically attributed to its clarity and simplicity, many studies had been conducted on CAPM for various capital markets in the world (Nyangara, Nyangara, Ndlovu, & Tyavambiza, 2016). But studies related to CAPM, even related to overall stock markets in frontier markets like Vietnam were just a few so far. Moreover, a review of many studies conducted on CAPM for various markets in the world show that existing empirical evidence on the model remains contestable. It means the research for empirical evidence on the CAPM is ongoing exercise, especially for such frontier emerging markets like Vietnam. In response, this study attempts to examine the validity of the CAPM in Vietnam stock market (HOSE), one of the most dynamic frontier markets in the world today, for the period from June 2009 to May 2017.

With regard to the above mentioned and in order to check the moving behavior of the stock in Vietnam, the test of the applicability of the Capital Asset Pricing Model in Vietnam stock market is very important. According to this, this research involves three main specific objectives. Firstly, it tests the risk and return relationship of the each individual stock to determine the sufficiency of beta risk in explaining differences in stock returns on the Ho Chi Minh Stock Exchange. Secondly, it examines the performance of the CAPM in explaining

returns of formation portfolios which are formed by combining whole chosen sample stocks. Thirdly, the study explore the suitability of CAPM model to be the indicator of stock prices as well as in portfolio management in Vietnam stock market from 2009 to 2017. Following these results, some unique characteristics of Vietnam stock market will be defined and also business field in Vietnam's economy will be ranked according to beta coefficient of observed single stocks. Eventually, a few appropriate solutions and recommendations are proposed to build up the investor's confidence towards the investment management and thereby promote Vietnam stock market to be quickly upgraded to a membership of MSCI Emerging Markets.

In addition, regarding to Vietnam market, it is important to notice that Vietnam stock market currently have two main stock exchanges which are Ho Chi Minh Stock Exchange and Hanoi Stock Exchange. The study focuses on Ho Chi Minh Stock Exchange, which is much more influential and having a higher market capitalization. It also includes a large number of companies which are in key sectors of the economy, such as industries, energy, materials, real estate, consumer staples, consumer discretionary, information technology, utilities, financial, health care. So it could be considered Ho Chi Minh Stock Exchange (HOSE) as representative of the performance of the stocks market in Vietnam. Through using a dataset of 40 outstanding stocks in VN100 stock index⁴, scope of data for each security in sample is from the period of 1st June 2009 to 31st May 2017. Daily closing prices for all selected stocks are obtained to estimate its monthly return.

Eventually, with respect to all statements mentioned above, the rest of this study proceeds as follows: The second part presents a detailed literature review on the CAPM related to various markets in general and Vietnam stock market in particular. The third part covers the data analysis process and the research methodology. The fourth part shows present empirical results and findings of the study along with interpretation and the final part conclude discussions and significances of the study as the proposal for future and more effective researches on the HOSE.

Literature Review

CAPM is a centerpiece of modern financial economics (Chandra, 2011). It was first proposed by William F. Sharpe. It provides a precise prediction of the relationship between

⁴ VN100 stock index (VNI100): This index comprises the constituents of VN30 and VNMidcap. VN30, this index comprises the largest 30 listed companies by full market capitalization and liquidity that meet stated eligibility requirements. VNMidcap, this index comprises the next 70 listed companies by full market capitalization that meets stated eligibility requirements.

the risk of an asset and its expected return (Black & Scholes, 1972). For more details, the CAPM expresses the relationship between expected return of asset i and its corresponding risk exposure as:

$$R_{it} = R_{ft} + \beta_i (R_{mt} - R_{ft}) \quad (1)$$

$$\beta_i = \frac{\text{Cov}(R_i, R_{mt})}{\text{Var}(R_m)} = \frac{\text{Cov}(R_i, R_m)}{\sigma_m^2} \quad (2)$$

It is well to note from equation (1) above in words that the expected return on asset i at time t (R_{it}) is the expected return on asset that is riskless (R_{ft}) in the market portfolio plus a risk premium that is β_i times the difference between R_{mt} and R_{ft} . Where, R_{it} is the expected return on asset i at time t , R_{ft} can be interpreted as the risk free rate at time t , R_{mt} is the market rate of return at time t , β_i is the coefficient for the risk premium, or can be interpreted as the risk of asset i in the market portfolio m , measured relative to σ_m , the total risk of market, σ_m^2 is the variance of the market and $\text{Cov}(R_i, R_m)$ is the covariance between the return of the asset i and the return of the market.

Regarding to the methodology of application of CAPM, the Fama-MacBeth two-step regression (1973) mentioned in Fama and French (2000) which is extended by IHS EViews in 2014 is a practical way of testing how these factors describe asset returns or portfolio returns. In the first step, each portfolio's return is regressed against or more factors time series to estimate how exposed it is to each factor exposure. In the second step, the cross-section of portfolio returns is regressed against the factor exposures at each time step to give a time series of risk premium coefficients for each factor. The insight of the Fama-MacBeth is then average these coefficients for each factor to come out the premium expected for a unit exposure to each risk factor over time (Fama & French, 2004).

As a results of review a series of empirical studies of the CAPM on various markets, especially on frontier and emerging markets, it shows that after more than five decades since its foundation in 1960s, the CAPM is still applied extensively to determine the cost of equity for firms and to evaluate the performance of managed portfolio (Burton, 1998). Following this, historically, one of the most well-known studies related to CAPM is Fama and MacBeth (1973) which is in research paper "Fama-MacBeth 1973: Replication and Extension" extended by (Sylvain, 2013). Through a two-stage procedure, Fama-MacBeth tested the relationship between average return and risk for New York Stock Exchange common stocks over time period of 1926-1968 and observed that the coefficients and residuals of the risk-return regressions are consistent with and efficient capital market of NYSE. In later test of the CAPM,

Kothari, Shanken, and Sloan (1995) reexamined whether beta explains cross-sectional variation in average returns over posterior to the years 1940 period by using alternative data sources, Standard & Poor's (S&P) industry level data from 1947 to 1987 and found that the average returns do indeed reflect substantial compensation for beta. And in another study conducted Hoshi and Kashyap (1990) used data from the Japanese Stock Exchange and employed a methodology similar to (Fama & MacBeth, 1973). But they did not use the portfolio grouping procedures. They found that both the systematic and unique risk components can significantly explain Japanese stock returns. In the research conducted, Little, Smith, Cellarius, Coppock, and Barrett (2011) emphasized that diversification helps to reduce risk but the portion of risk can never be pulled down to zero. Following this finding, a series of studies used CAPM to test the relation between systematic risk (beta) and returns for various markets has indicated results differently. Typically, a testing of the appropriateness of the CAPM model in the emerging markets such as Greece, the study handled by Michailidis and Papanastasiou (2006) which tested the CAPM on the stock market in Greece concluded that in contrast to the main hypothetical modes, a high expected return does not expect a high level of risk or a greater risk shown by beta does not mean higher yields. But 9 years later, another research conducted by Maitah, Khudoykulov, Amonov, and Burkhanov (2015) verified CAPM in Greek Capital Market through examining 32 companies listed on the Athens Stock Exchange and commented that there was a linear relationship between systematic risk and returns and the CAPM would be the verification of its major hypotheses from time series tests. Conversely, Choudhary and Choudhary (2010) came to the contrary of this conclusion by examining the CAPM for the Indian stock market used monthly stock returns from 278 companies of BSE 500 Index listed on the Bombay stock exchange when the finding of this research was not substantiating the theory's basic result that higher risk is associated with higher levels of return.

There was also an example that confirms the main hypotheses of CAPM model. In research carried out on the Italian stock market, the evidence has shown that intercepts of regressions are equal to zero, i.e. the CAPM theory which assumes the only relevant variable in the regression is the excess return on the market portfolio has been supported (Canegrati, 2008). Continuing this, Trifan (2009) conducted an empirical testing of CAPM for Romania Capital Market, both for individual stocks and portfolios, confirmed that the intercept is statistically insignificant, i.e. the regression model has no statistical significance but the results of this examination did not necessarily give specific evidence against CAPM. In addition to those papers related to CAPM above, under the Fama and MacBeth methods in 1973, Cheung, Wong,

and Ho (1993) examined the applicability of the CAPM in Asian markets by conducting an empirical test on the relationship between average returns and various measures of risk in two most important emerging Asian markets, Korea and Taiwan over the period from 1980 to 1988. They found that the applicability of CAPM seems weak in both markets, particularly in Taiwan because there is no linear relationship between risk and return. Hence they concluded that the CAPM does not hold in both emerging markets. Besides, a study conducted by Gursay and Rejepova (2007) examined the validity of CAPM in Turkey by regression the weekly risk premium against the beta coefficients found that there is no meaningful relationship between beta coefficients and risk premiums of the selected portfolios but with the approach of (Pettengill, Sundaram, & Mathur, 1995). This study discovered strong beta risk premium relationship. More recently, a research conducted by Dzaja and Aljinovic (2013) tested the CAPM in emerging markets of the Central and Southeastern Europe by using monthly data from Hungary, Bulgaria, Serbia, Romania, Poland, Turkey, Czech Republic and Bosnia and Herzegovina for the period for Jan 2006 to Dec 2010. Based on regression analysis, they found that higher returns do not mean higher beta and through applying the Markowitz portfolio theory they determine the efficient frontier for each market and found that the stock market indices do not lie on the efficient frontier and therefore concluded that the CAPM beta alone is not a valid measure of risk.

Additionally, a review more studies related to CAPM through considering Asia markets by zooming in emerging markets. In Bangladesh, one of the most outstanding emerging countries in Asia, there were also a few significant studies related to CAPM. For examples, a study conducted by Rahman, Baten, and Alam (2006) examined the risk-return relationship within the CAPM framework, concluded that beta is not only factor which determine the stock return but also the other factors like book to market value, market capitalization are significantly important in this DSE context. In another research of Muktadir-Al-Mukit (2013) examines the linear relationship between share price and interest rate on Dhaka Stock Exchange through OLS regression. It was found that the interest rate has significant negative relationship with share price and change of interest rate has significant negative relationship with change of share price. Moreover, in the study of Hasan, Kamil, Mustafa, and Baten (2011) namely a validity test of CAPM for DSE, they examined a risk-return association within the CAPM structure in DSE market. This study commented that intercept term is significantly different from zero and slope is not equal to the excess return on the market portfolio. However, there exists a positive relationship between stock return and systematic risk which mean the investors are rewards for

market risk but not for unique risk due to unique risk show insignificance during the chosen period of Dhaka Stock Exchange. So the results of this study opposed the CAPM hypotheses and offer evidence against in Bangladesh.

A review of other studies conducted for various markets in the world, some of those support the validity of CAPM and some of those against. Osamwonyi and Asein (2012) conducted a paper to examine market risk as defined in the Capital Asset Pricing Model as an explanatory variable for security returns in the Nigerian Stock Market and confirmed a positive linear relationship between market beta and stock returns for the sampled Nigerian firms. For China stock market, a study related to CAPM namely Wang (2013) used 90 stocks from the CSI 300 Index and found that the CAPM is not entirely applicable in China stock market and the impact of systematic risk on return is weak. For Tehran Stock Market, Akbari, Rostami, and Veismoradi (2011) studied the relationship between company size and systematic risk (beta) and commented that there was a significant relationship between company size and its beta based on CAPM. For Singapore stock market, an assessment of risk and return in the Singapore stock market to test the validity of the CAPM in SSE (Wong & Tan, 1991). The results presented that the application of the CAPM in Singapore appears weak when weekly data are used. Moreover there was also no significant relationship between total risk and stock return or between stock returns and unsystematic risk. In Croatia, there were a small number of tests conducted. Skrinjaric (2014) tested Sharpe-Lintner model on the Zagreb Stock Exchange showed that there is a definite positive relationship between returns and beta coefficients, but the question remains whether the beta coefficients can be used for making investment decision.

With regard to all literature mentioned above, we can observe that while many studies had been conducted on CAPM in the Western countries where known as developed and outstanding emerging markets as well, studies conducted on CAPM in Vietnam context, even studies related to overall Vietnam stock market were just a few. Hence, through considering the specific characteristics of the frontier and emerging markets and a relatively small number of tests that assessed the effectiveness of the CAPM model, it was interesting to examine whether the beta was a valid measure of risk in Vietnam stock market, especially in the context of the structure and the whole process of development of Vietnam stock market so far. For examples, the research conducted by Phong (2012) evaluated the impact of liquidity and risk of liquidity to stock returns which were listed in Vietnam stock market, showed that the correlation between beta coefficient and return is weak. This research also pointed out the lack of empirical test of the CAPM or an alternative quantitative method on Vietnam stock market. Concern

another aspect that related to the moving behavior of the stock of Vietnam stock market, My and Huy (2011) handled a study examined the existence of herding behavior in the Vietnam stock market and the asymmetric effects of herding that are conditional on the direction of market movements. The results of this study point to an interesting pattern of herding for the Vietnam stock market and showed the fact that investors have a tendency to follow the actions of those who are believed to be better informed due to the informational inefficiency together with a relatively high degree of market volatility induce investors to make decisions based on consensus which leads to higher correlations among stock returns. This outcome implies that market consensus belief has a significant influence on the decision making process of participants in the Vietnamese stock market. So, it might be controversial issue when conducting a test of applicability of CAPM in Vietnam context caused by some typical weakness of Vietnam's market context such as high degree of market volatility, the availability of local data and the degree of market integration to the world market. Consequently, since this issue and also through reference from all of the approaches mentioned above and relying on recent years modern database, it currently more essential to do the research explores the viability of the CAPM on Vietnam stock market.

Data and Research Methodology

Data description and selected companies

The necessary input data for such this study is mostly collected from Ho Chi Minh Stock Exchange database where they are publicly available. Typically, my data is adjusted daily closing prices of outstanding stocks listed on the HOSE, i.e. stock returns are dividend adjusted return, including cash dividend and stock dividend and also adjusted for capital splits. More specifically, these data were taken from Ho Chi Minh Stock Exchange consists of maximum 40 companies of VN100 index for the period of June 1st, 2009 to May 31st, 2017.

In addition, based on the sample requirement of the fitting model in this study, monthly data will be employed for all variables. Because for daily data, there is no solid empirical evidence to suggest that daily data in better estimates of stock betas then either monthly data, according to (Fama & French, 1993). Even though using daily data maybe is convenient for estimating risk-return relationship but it's better to avoid using daily data since its noisy character, i.e. the risk and return relationship too volatile, according to (Basu & Chawla, 2010).

For the chosen time period from June 1st, 2009 to May 31st, 2017, it can be understood by considering some remarkable events regarding to Vietnam securities market and also by excluding some international shocks of the world markets, such as the global financial and

economic crisis of 2008 - 2009. In other words, the period of time from June 2009 to May 2017 were chosen to evade any structure break such as those significant economy crises. Furthermore, according to listing scale of entire Vietnam market and also the whole process of improving listed scale, legal framework and market development, 8 years is maximum periods which enable me get sufficient number of individual stocks satisfied being included in sample data.

For more details on the 40 selected stocks, they have big market cap, high liquidity over the whole sample period during June 2009 through May 2017. They also cover all 10 key industry sectors of the economy such as Financial, Consumer Staples, Materials, Consumer Discretionary, Health Care, Utilities, Information Technology, Industrial, Energy and Real Estate, according to the Global Industry Classification Standard (GICS) was developed by and is the exclusive property of MSCI Inc and Standard & Poor's. GICS is a service mark of MSCI and S&P and has been licensed for use by HOSE.

For market index, this study has used VNINDEX as a proxy for the market portfolio. VNINDEX or the Vietnam Stock Index is a market value and a capitalization weighted index which comprised of all the companies listed on the Ho Chi Minh City Stock Exchange. This index was created with a base index value of 100 as of July 28, 2000 and has reflected general trends of Vietnam stock market, according to www.bloomberg.com. Additionally, Vietnam 1-Year Bond Yield which has been collected from the Vietnam Bond Market Association and be confirmed by the website of www.investing.com is used as the proxy for the rate of return of risk free asset.

Research Methodology

This research methodology framework is referring the methodology used in (Fama and MacBeth (1973) study, namely Fama-MacBeth two-stage regression (FM approach). This method was extended by Sylvain in research paper (Sylvain, 2013). Since its foundation, this methodology (FM approach) has become a dominant methodology in empirical tests of the CAPM. Even today, FM approach is still very popular. More specifically, it consists of first using time series regressions of individual stocks against the market portfolio and then grouping the stocks into portfolios according to their beta coefficients. The second step is to run the cross sectional regression for each time period and then calculate the average to the coefficients over the time period considered to obtain the parameters of each risk factor exposure. Hence, as mentioned above, in order to examine the risk-return trade-off in a sample of individual stocks as well as portfolios which is formed by grouping 40 stocks in VN100

Index, and also to determine how these risk factors describe stocks and portfolios returns, this study use database provided by HOSE and follow the FM two-stage regression method. The details of this research methodology are shown as below

➤ *Data analysis*

As the whole sample period of my study cover from June 2009 to May 2017, the 8 years are divided into four 5-year periods. The first 5-year period consists of the first five years of the sample period, the second 5-year period is formed by excluding the first year of the sample period, the third 5-year period is formed by excluding the two first years of the sample period and the fourth 5-year period is formed by subtracting the three first years of the sample period. Next, each 5-year period is subdivided into two different periods, called investigation period and estimation period where cover the first 4-year period and 1-year period, respectively. According to this way, I separate the whole sample period of my study as following table

Table 1: The investigation periods and estimation periods for the whole sample data

Three 5-year periods	Investigation period	Estimation period
The 1 st 5-year period	June 2009 - May 2013	June 2013 - May 2014
The 2 nd 5-year period	June 2010 - May 2014	June 2014 - May 2015
The 3 rd 5-year period	June 2011 - May 2015	June 2015 - May 2016
The 4 th 5-year period	June 2012 - May 2016	June 2016 - May 2017
<i>Remark: The whole sample period covers from June 2009 to May 2017</i>		

During the whole sample period, I estimate the excess return ($R_{it} - R_{ft}$) of each stock from a time series of returns of HOSE listed stocks and the excess return of the market index ($R_{mt} - R_{ft}$), which is defined as the proxy market portfolio. In this study, it is worth to notice that R_{it} is stock's monthly return and calculated by following formula:

$$R_{it} = \ln (P_{i,t}/P_{i,t-1}) \quad (3)$$

Where $P_{i,t}$ is the closing price for stock i at time t, $P_{i,t-1}$ is the closing price for stock i at time previous of t, $\ln$ denotes to natural logarithm.

➤ *Test individual stocks and formation portfolios by CAPM*

The CAPM can be estimated by using the Fama-MacBeth two stages regression, including time series regression and cross sectional regression (Fama & MacBeth, 1973). By employing this approach, in this study, the whole process of testing CAPM for both individual stocks and formation portfolios as follows:

Step 1: First stage regression, estimating individual stock betas.

According to the theoretical CAPM, returns can be explained through the following equation (Bodie, 2013).

$$R_{it} = R_{ft} + \beta_i \times (R_{mt} - R_{ft}) \quad (4)$$

In order to determine the risk-return trade-off of individual stocks, this study first needs to estimate stock beta. To do that, I firstly calculate monthly log returns from daily data for each individual stocks as well as market index for the whole sample period. Then, by employing time series regression, each individual stock return is regressed against market index return factor. More specifically, for a formation period of eight years in this study, I run the time series regression for each stock's monthly return (R_{it}) against the returns of the proxy for the market portfolio (VNINDEX), R_{mt} to estimate systematic risk, i.e. Monthly log returns for each company is recognized as a dependent variable and the independent variable is the monthly return on the market index as following

$$R_{it} - R_{ft} = \alpha_i + \beta_i \times (R_{mt} - R_{ft}) + \varepsilon_{it} \quad (5)$$

In words, ε_{it} is the random disturbance term in the regression equation at time t , β_i is the beta coefficient of stock i

For each stock in the sample, R_{it} is regressed on R_{mt} to estimate beta coefficient. To do that, equation (5) will be estimated by using Ordinary Least Squares (OLS). In addition, by taking $r_{it} = R_{it} - R_{ft}$, or the excess return of stock i and $r_{mt} = R_{mt} - R_{ft}$, or the risk premium, it is convenient to rewrite equation (5) as:

$$r_{it} = \alpha_i + \beta_i \times r_{mt} + \varepsilon_{it} \quad (6)$$

Step 2: Portfolio formation based on the results of their beta coefficients and calculate its average monthly returns

In this step, the key point task is to construct portfolios and calculate its average monthly returns which will be used for the next step. Firstly, through using equation (5) I estimate stock beta coefficient during 1st investigation period by regressing the monthly excess returns of stocks (dependent variable) on the market premium (independent variable). Secondly, based on β_i obtained, I rank all 40 stocks and sorted into 8 equally-weighted portfolios. Then, in order to reduce the error in variables problem that may arises in asset pricing forecasting, the total number of stocks is arranged in descending order of its beta, i.e. from highest to lowest (Fama & MacBeth, 1973). Hence, in total of 8 formation portfolios, the first portfolio contains stocks with the highest beta value and portfolio 8 comprises the stocks with the smallest beta value.

Thirdly, for estimation period, I estimate the portfolio's excess return for each of months by average the stocks excess returns of individual stocks included in portfolio., portfolio's excess return is defined as following (Theriou, Aggelidis, & Spiridis, 2004).

$$r_{pt} = \frac{\sum_{i=1}^k r_{it}}{k} \quad (7)$$

In words, k is the number of stocks included in each portfolio (in this study, k = 5), p is the order number of portfolios (in this study, p = 1...8), r_{it} refers to excess return of company i

A final step in step 2 mention about calculating the average monthly excess returns for each of the eight portfolios for the entire 4-year estimation period as following equation

$$\bar{r}_p = \frac{\sum_{t=1}^N r_{pt}}{N} \quad (8)$$

Step 3: Second stage regression for total formation portfolio return-beta

In this step, I conduct a cross sectional regression for estimation periods. More specifically, through regressing the average monthly portfolio return against 4 factors exposures, it tests whether CAPM hypotheses hold for the entire 4-year estimation period (June 2013-May 2017). To do this, I take average monthly log returns on each portfolio as the dependent variable. For independent variables, these include the stock's beta coefficient, squared beta, unique risk and the interaction term between systematic risk (beta) and unique risk. Consequently, this step will be processed as followings:

Step 3a, estimating the beta of formation portfolios for estimation periods by employing the following regression equation

$$r_{pt} = \alpha_p + \beta_p r_{mt} + \varepsilon_i \quad (9)$$

In words, β_p is the beta of portfolio p, r_{mt} is average market risk premium, r_{pt} is the portfolio excess return at time t and ε_i is the random disturbance term in the regression equation.

Step 3b, based on step 3a, β_p obtained is used to substitute in equation:

$$UR_p = \sigma_p^2 - \beta_p \sigma_m^2 \quad (10)$$

Where, UR refers to the unique risk or the variance of the regression residuals, it is also the difference between the total variance of the returns on formation portfolios and the portfolio's

market risk. σ_p^2 refers to the variance of the returns for the portfolio p for the time series data during estimation periods, σ_m^2 refers to the variance of the returns for market index, which is the proxy for the market portfolio for the time series data during estimation periods.

Then, calculating IT_p , the interaction of systematic risk and unique risk on the portfolio

Step 3c, I conduct a cross sectional regression for whole 4-year estimation period to test CAPM hypotheses in HOSE. For more details, I Regress the average monthly log returns for portfolios against 4 factor exposures as shown below

$$\bar{r}_p = \gamma_0 + \gamma_1 \beta_p + \gamma_2 \beta_p^2 + \gamma_3 UR_p + \gamma_4 IT_p + \varepsilon_p \quad (11)$$

In words, $\bar{r}_p$ is the average monthly excess log return on portfolio p over the whole estimation period

β_p is an estimate of beta of portfolio p, obtained from the regression equation (9) in step 3a

β_p^2 is the square of β_p

UR_p is unique risk of portfolio returns

IT_p is the estimate of the interaction of systematic risk and unique risk on the portfolio.

ε_p is the random disturbance term in the regression equation, and

$\gamma_0, \gamma_1, \gamma_2, \gamma_3, \gamma_4$ are the parameter estimates

Ultimately, it is worth to highlight that CAPM hypotheses testing as following details:

The estimated parameters allow testing a series of hypotheses regarding the CAPM, according to (Elton, Gruber, & Blake, 1995). So for CAPM to hold true in HOSE the following hypothesizes should be convinced

(I). $\gamma_0 = 0$, that is should not be different significantly from zero

(II) $\gamma_1 > 0$, that is stock price should be positively sensitivity to market price in capital markets

(III) $\gamma_2 = 0$, or the Security Market Line (SML) should represent a linear

(IV) $\gamma_3 = 0$, diversifiable unique risk that will not affect return or the unique risk which can be diversified should not affect return

(V) $\gamma_4 = 0$, interaction risk that will not affect return.

With regard to the statements mentioned above, if the CAPM is strictly valid, then all hypothesizes are totally satisfied. Moreover, we fail to reject the CAPM in formation portfolios if either γ_1 is positive and statistically significant and $\gamma_2, \gamma_3, \gamma_4$ are simultaneously statistically insignificant because the CAPM is partially valid if the above weak conditions are satisfied (Nyangara, Nyangara, Ndlovu, & Tyavambiza, 2016).

Eventually, notice that all computation results mentioned above will be done by employing Eviews 9.5 and Microsoft Excel 2013.

Empirical Results: Discussion and Analysis

Results of testing CAPM for individual stocks

After running Ordinary Least Squares regression equation (5) in step 1 for all 40 individual stocks to determine systematic (β_i), I have results as shown in table 2. So table 2 illustrated the beta coefficient for individual stocks

Table 2: CAPM estimated beta coefficients and statistics for time series of all individual stocks

Individual Stock	Code	Average excess return per month	Beta Coefficient	R ²	t-Statistic	Prob.
ITA ^{HS}	S24	-2.86%	1.5146	0.3987	7.8944	0.0000
HSG ^{HS}	S22	0.41%	1.3909	0.3398	6.9562	0.0000
GMD ^{HS}	S15	-0.47%	1.3552	0.3046	6.4165	0.0000
DIC ^{HS}	S7	-0.99%	1.2788	0.2496	5.5922	0.0000
KDC ^{HS}	S25	0.24%	1.2645	0.2852	6.1247	0.0000
HAG ^{HS}	S17	-1.69%	1.1856	0.3221	6.6828	0.0000
SSI ^{HS}	S35	-0.72%	1.1803	0.3807	7.6009	0.0000
SAM ^{HS}	S34	-1.08%	1.1331	0.2941	6.2578	0.0000
HPG ^{HS}	S21	-0.39%	1.0868	0.2745	5.9638	0.0000
PVT ^{HS}	S32	-0.95%	1.0594	0.2296	5.2934	0.0000
CII ^{HS}	S5	0.30%	1.0385	0.2572	5.7052	0.0000
HCM ^{HS}	S20	-0.03%	1.0196	0.2200	5.1499	0.0000
HBC ^{HS}	S19	1.12%	0.9361	0.1899	4.6948	0.0000
DQC ^{HS}	S11	0.90%	0.9357	0.1389	3.8943	0.0002
REE ^{HS}	S33	-0.03%	0.9279	0.3274	6.7645	0.0000
PAC ^{HS}	S28	0.01%	0.9271	0.1931	4.7424	0.0000
LSS ^{HS}	S26	-0.98%	0.9203	0.2375	5.4117	0.0000

BMI ^{HS}	S3	-0.37%	0.9019	0.2446	5.5176	0.0000
HT1 ^{HS}	S23	-0.39%	0.8720	0.1413	3.9332	0.0002
PPC ^{HS}	S30	-1.07%	0.8613	0.2037	4.9033	0.0000
PVD ^{HS}	S31	-1.92%	0.8360	0.1502	4.0766	0.0001
BCI ^{HS}	S1	-0.76%	0.8045	0.2038	4.9055	0.0000
VSH ^{HS}	S40	-0.56%	0.7928	0.3116	6.5224	0.0000
DMC ^{HS}	S8	0.38%	0.7806	0.1396	3.9051	0.0002
VHC ^{HS}	S37	0.47%	0.7704	0.1270	3.6985	0.0004
DPM ^{HS}	S9	-1.13%	0.7629	0.2742	5.9594	0.0000
GTA ^{HS}	S16	-0.32%	0.6574	0.1672	4.3449	0.0000
HAX*	S18	0.93%	0.6339	0.0885	3.0213	0.0032
FPT ^{HS}	S13	-0.37%	0.6151	0.1613	4.2522	0.0000
FMC*	S12	0.23%	0.5792	0.0722	2.7055	0.0081
DHG ^{HS}	S6	0.90%	0.5748	0.1397	3.9064	0.0002
BHS*	S2	0.29%	0.5621	0.0923	3.0923	0.0026
NBB**	S27	-1.05%	0.5552	0.0533	2.2995	0.0237
BMP*	S4	1.49%	0.5379	0.1102	3.4120	0.0010
VNM ^{HS}	S39	1.57%	0.5254	0.1309	3.7630	0.0003
STB*	S36	-0.87%	0.4757	0.0833	2.9233	0.0043
VIC***	S38	0.53%	0.3729	0.0387	1.9458	0.0547
DPR*	S10	-0.53%	0.3688	0.0772	2.8047	0.0061
PNJ**	S29	0.70%	0.3298	0.0417	2.0235	0.0459
GIL ^{SI}	S14	0.64%	0.1419	0.0063	0.7749	0.4403

*, **, ***: statistical significance at 1%, 5%, 10% level of significance. HS: statistically highly significant, SI: statistically insignificant

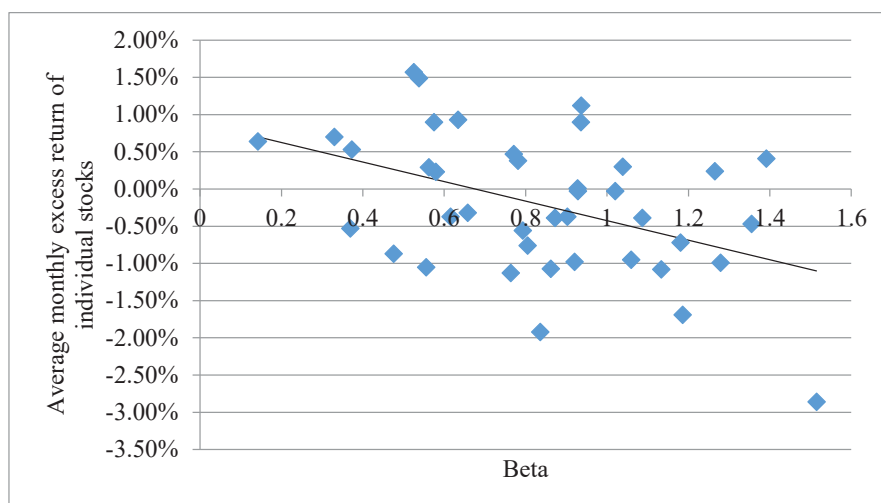


Figure 1. Relationship between average monthly excess return-beta coefficient of individual stocks (6/2009 - 5/2017)

Following table 2 above, it was found that the results which estimated beta coefficients range from 0.1419 to 1.5146. This finding shows that the systematic risk of the stock in Vietnam stock market is spread in significant wide range among the stocks. It can be reasonable finding due to the nature level risk awareness of the business context of Vietnam and also affected by the market characteristics known as an outstanding frontier market. Moreover, we can notice that all sample stocks beta coefficient are greater than zero. It means that there exists a positive relationship between the risk market premium (systematic risk) and return of individual stocks in HOSE over the whole sample period. In more details, among the 40 selected stocks, Tan Tao Investment & Industry Corporation (ITA) attains the highest beta coefficient at 1.5146, Hoa Sen Group (HSG) attains the second highest beta coefficient at 1.3909 and Gemandepth Corporation (GMD) attains the third highest beta coefficient at 1.3552. This might suggest that the industry sectors such as Industrial (ITA, GMD) and Materials (HSG) have higher un-diversifiable (non-diversifiable) risk than other industry sector in Vietnam business context. This finding can be mainly understood by considering an interesting aspect of the emerging markets in general and the Vietnam stock market in particular like mentioned above. On the contrary, as Binh Thanh Import Export Production & Trade (GIL) (its beta is 0.1419) shows statistically insignificant, the lowest beta that presents significance at 5% is Phu Nhuan Jewelry (PNJ) at 0.3298, these two companies are also typical for companies in the “consumer discretionary” industry sector. This is reasonable because consumer discretionary are usually considered to be slight non-cyclical, less volatile than other industry, i.e. companies whose businesses in this sector are less sensitive to economic cycles.

Furthermore, as shown in table 2, the beta coefficients for 30 individual stocks were found statistically highly significant. The beta coefficients for 6 individual stocks were presented statistically significant at 1% level of significance, 2 individual stocks were recorded statistically significant at 5% and 1 individual stocks were statistically significant at 10% level of significance. The only remaining 1 stocks presented insignificance level on their beta coefficient. This finding was slightly similar to the findings of Maitah et al. (2015) in terms of statistical significance level. Besides, as the beta coefficient for 39 individual stocks are statistically significant out of 40 individual stocks, the obtainment of this result is significantly different from the finding of the study conducted by Hasan et al. (2011) where they examined the CAPM on Dhaka Stock Exchange, Bangladesh through 80 non-financial companies listed on Dhaka Stock Exchange for the period of January 2005 to December 2009 and recorded that the beta coefficients for 46 out of 80 individual companies were statistically insignificant and just remaining 34 companies were statistically significant (25 individual stocks are statistically significant at 1%, 6 individual stocks are recorded statistically significant at 5% and 3 individual stocks are statistically significant at 10% level of significance).

Moreover, we can see the result of these stocks showed that higher level of risk is not associated with a higher return obtained. It can be mentioned some typical examples of this result such as Tan Tao Investment & Industry Corporation (ITA), Hoang Anh Gia Lai Joint Stock Company (HAG), Binh Minh Plastics (BMP) and Vietnam Dairy Products Joint Stock Company. In details, surprisingly the highest beta attainable ITA got lowest average excess return at -2.86% per month. HAG has beta at 1.1856, however, its average excess return at -1.69% per month. On the other hand, VNM gained highest average excess return at 1.57% per month while its beta coefficient is just only 0.5254, which is much lower level than other stocks. And BMP, which business in consumer staples industry like VNM, attains a very low beta at 0.5379 but its average excess return reached at second highest return level (1.49% per month). These findings can be partly explained as a stable high sustainable growth in business performance which both companies experiences over a past decade.

In summary, the findings of the study regarding risk-return relationship for individual stocks showed that there exists a non-linear relationship between risk and return and there exists a positive relationship between systematic risk and stock return. So it can be concluded that CAPM could be employed to estimate the systematic risk of the stocks in Vietnam stock market. The concluding of this results support to the study by Choudhary and Choudhary

(2010) which examines the CAPM for the Indian stock market and also supports the research for the Kula Lumpur Stock Exchange, Malaysia, conducted by (Lee, Cheng, & Chong, 2016).

Results of testing whether CAPM holds for formation portfolios using the two stage regression

➤ *Beta coefficients estimates for formation portfolios by using time series statistical inferences*

By employing time series tests for 4 years estimation period, the estimation of portfolio betas, critical intercepts, R-square and t-value together with the average excess portfolio returns obtained are shown in the table below:

Table 3: Summary of results for time series for formation portfolios for the entire estimation period (June 2013 - May 2017)

Portfolio	Portfolio average excess returns	Statistical Item (June 2013 - May 2017)				
		Beta coefficient	P value	Intercept	t (intercept)	R ² Adjusted
Portfolio 1	-1.08%	0.6226**	0.0135	-0.0145	-1.4467	0.1065
Portfolio 2	0.06%	0.5444**	0.0344	0.0014	0.1354	0.0740
Portfolio 3	0.41%	0.7046*	0.0024	0.0038	0.4174	0.1660
Portfolio 4	0.33%	0.4814**	0.0426	0.0037	0.3928	0.0665
Portfolio 5	-0.51%	0.4849**	0.0139	-0.0059	-0.7479	0.1053
Portfolio 6	0.31%	0.3176	0.1025	0.0033	0.4253	0.0364
Portfolio 7	1.19%	0.6865*	0.0032	0.0094	1.0317	0.1559
Portfolio 8	0.21%	0.1535	0.3429	0.0025	0.3811	-0.0017

*, **: significant level at 1%, 5% level of statistical significance

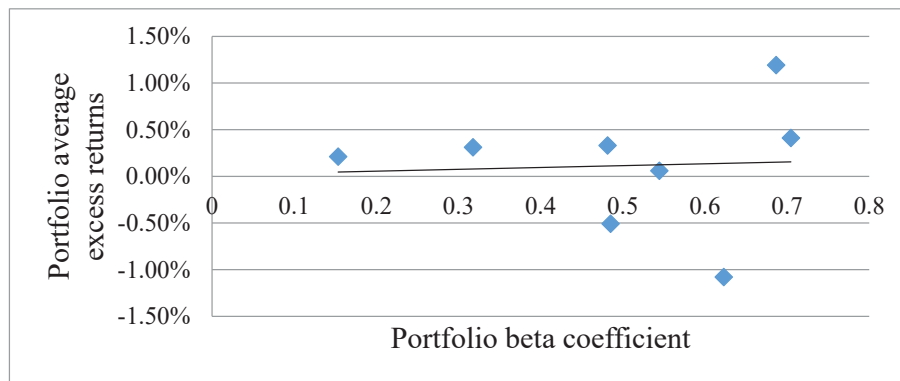


Figure 2. Average excess portfolio return per month - beta relationship for the whole estimation period

Given the table 3, the range of the estimated portfolio beta coefficient was presented between 0.1535 and 0.7046. This result presents that the market risk of stock portfolios in Vietnam are not spread in wider range. Moreover, all 8 portfolios has positive beta, so it does support the theory of there exist a positive relationship between market risk premium (systematic risk) and return even this relationship is non-linear. Among the 8 portfolios, the highest beta attainable portfolio was portfolio 3 as its beta (β_{p3}) is 0.7046 and portfolio 8 has lowest beta coefficient, $\beta_{p8} = 0.1535$.

Moreover, given the table 3, it is likely that the higher portfolios beta coefficient estimates was not associated with higher return obtained. For examples, portfolio 1 has a lowest average excess return (-1.08% per month) but whose beta is experienced the third highest beta (0.6226) and portfolio 8 has lowest beta ($\beta_{p8} = 0.1535$), produced a return higher than three other portfolios. Whereas, portfolio 7, yielded highest portfolio return (1.19%) has beta coefficient at 0.6865. These results were similar to the results obtained from the estimation beta coefficient of individual stocks.

➤ *Results of the cross sectional tests of the CAPM model for the formation portfolios*

Given the results obtained from all the needed time series, the results of the cross sectional regression equation (11) for the whole estimation period has come out as shown in table 4 below, i.e. more specifically, given the whole 4 years of monthly excess return on each of the eight portfolios calculated as explained in step 2 and after construction of all the needed time series of factors mentioned in step 3, I regress the average excess returns of the formation portfolios against 4 explained factors to estimate the new coefficients of analysis using the cross sectional equation (11) for the whole 4 year estimation period. These new coefficients ($\gamma_0, \gamma_1, \gamma_2, \gamma_3, \gamma_4$) are summarized in table 4 below for the whole period.

Table 4: Summary of cross sectional regression for formation portfolios of whole estimation period (June 2013 - May 2017)

Variables	Parameters	Coefficients	t-Sat	P value
Constant	γ_0	-0.1024***	-2.6136	0.0794
Beta	γ_1	-0.1362	-1.8115	0.1677
Beta square	γ_2	0.5902**	3.1375	0.0518
Unique risk	γ_3	76.1726**	2.9913	0.0581
Interaction	γ_4	-139.5425***	-3.0594	0.0550
Average excess return on the market portfolio	$\bar{r}_m$	0.26%		

, *: significant level at 5%, 10% level of statistical significance

As shown in table 4, it indicated that the portfolio intercept for the estimation period ($\gamma_0 = -1.024$), which was very significantly different from zero, hence, as p-value (intercept) was 0.0794 (statistical significant at 10% level of significance), the CAPM hypothesis (I) is rejected. In addition, for the whole estimation period, the estimated portfolio slope γ_1 was not only negative (-0.1362) which means that it was significantly different from zero but also it is not equal to $\bar{r}_m$ (0.26%). Therefore, based on the intercept and slope criterion the CAPM hypothesis (I) and (II) can clearly be rejected for the formation portfolios because according to CAPM theory, intercept term should be equal to zero and the slope should positive.

Moreover, during the whole period, the coefficients ($\gamma_2, \gamma_3, \gamma_4$) of beta square, unique risk and interaction term were statistically significant at 10% level of significance. These findings indicated that the beta-return relationship was not linear. Also, the unique risk and the interaction had an effect on the returns of the 8 formation portfolios for the whole 4 year estimation period. Therefore, it could be concluded that CAPM does not hold for the Vietnam stock market for entire period since the results of the cross sectional testing for whole estimation period showed that the hypotheses are rejected

Conclusion

Through the empirical research, this studies the validity of the CAPM on Vietnam Ho Chi Minh Stock Exchange. Overall, these findings of the study are not supportive of the applicability of CAPM in HOSE. Particularly, the estimation of non-linear CAPM seems to well capture the trade-off relationship between risk and return, even though the hypothesis of traditional linear CAPM is not confirmed for the sample of HOSE. Hence, it could be concluded that CAPM does not hold for the Vietnam stock market for the entire estimation period. Besides, to test the non-linearity between return and beta, the square of the beta coefficient is introduced. Furthermore, this research suggested investors could use CAPM as a proxy to evaluate the systematic risk and to evaluate stock return in Vietnam stock market. Based on this, it could be a way to diversify the portfolio in their investment to reduce the unsystematic risk and maximize portfolios' expected return. Consequently, portfolio diversification could build up the investors' confidence towards the investment decision. Eventually, this research is successful in invalidating the CAPM on HOSE, so further research could be attempted to test the validity of other asset pricing models. Hence, this study will obviously be used as a source of reference for future research and the researchers will get proper guideline from this research.

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Sustainable Municipal Solid Waste Management in Context of Smart Cities: A Study of Role of Stakeholders in Chandigarh – the City Beautiful, India

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Abstract

Increasing consciousness towards sustainable urban development has turned global focus towards various challenges of increasing urbanization including sustainable management of municipal solid waste. With India aiming at hundred smart cities by the year 2022, this problem needs to be addressed with concerted efforts of all the stakeholders involved. It is in this context, the present study is undertaken in the city of Chandigarh with the objective to assess the role of three major stakeholders- Municipal Corporation, households and private partners in sustainable municipal solid waste management. The paper discusses urbanization, municipal solid waste management system, its issues and role of stakeholders in it. Based on both primary and secondary data, the results of the study indicate that there is partial implementation of Solid Waste Management Rules, 2016, along with partial fulfillment of guidelines of Government of India's draft concept note on smart cities. The study has found that the Municipal Corporation has not been able to play satisfactory role in the implementation of sustainable waste management practices. The households have shown positive attitude towards various aspects of municipal solid waste management but due to laxity on the part of Corporation, are not actively involved. The performance of door-to-door private garbage collectors was satisfactory, but of the private garbage processor unit was completely unsatisfactory. Therefore, there is a need to make efforts by Corporation in regard to social audit of functionaries, community and household level composting, creating awareness regarding efforts undertaken by Corporation to promote sustainable solid waste management.

Introduction

Recent decades have shown a growing consciousness towards sustainable urban development (SUD), which aims at creating such urban spaces which “improve the long-term health of planet’s human and ecological systems” (Wheeler, 1996, p.55). SUD refers to attaining equilibrium between urban development and environmental protection by paying attention to equal access to urban basic services, economic and social infrastructure (Hiremath et al., 2013). But growing urbanization and consequent challenges are massive roadblocks in the way of sustainable urban development (Soyinka et al., 2014). Hoornweg & Freire (2013) assert that to achieve sustainability in ever urbanizing world one of the “paradigm shifts” needed is the emergence of smart city. “The smart city concept covers a broad cross-section of strategies and measures designed to enhance the quality of urban life, the provision and management of public services, and long-term sustainability”(Barrionuevo et al., 2012, p 51).

In 2014, urban areas accounted for 54% of the world’s population, which is projected to increase to 66% by 2050 with the addition of 2.5 billion inhabitants (World Urbanization Prospects, 2014). The escalation in urban population intensified various challenges of urbanization including that of MSW management (UN-Habitat 2010; UN-Habitat, 2015) In 2002, with the world’s urban population of 2.9 billion, the per capita MSW generation was 0.64 kg per day and 0.68 billion tons per year, in 2012 with the increase in urban population by 0.1 billion the per capita waste generation almost doubled to 1.2 kg per day and 1.3 billion tons per year. And by 2025, it is estimated that with the urban population of 4.3 billion people, the per capita waste generation will increase to 1.42 kg per day and 2.2 billion tons per year (Hoornweg & Bahda-Tata, 2012). As per United Nations (2017), data collected between the years 2009 to 2013 from 101 cities across the world revealed that the MSW was being collected from only 65% of the people inhabiting urban areas. This poses a serious challenge. The aggressive increase in the generation of wastes, if not managed well, can have serious environmental, economic and social implications. According to Mesjasz-Lech (2014) “municipal waste management is a significant element of the sustainable development of cities” (p.155). With sustainable urban development gaining focus globally, it becomes imperative to manage the MSW in a scientific manner and promote reuse, recycling and reduction of MSW, so as to usher in the era of urban sustainability (Srivastava et al., 2004).

Though both the developed and developing countries are confronted with the issue of MSW management, studies have revealed that the problem of MSW management is more profound in the developing countries (Schubeler, 1996; Hoornweg & Thomas 1999; Hoornweg & Bhada-

Tata, 2012; Elagroudy et al., 2016). The waste in these countries is still disposed of using environmentally hazardous practices of open dumping and burning (United Nations, 2010). The management of MSW “can have important consequences for public health, well-being and sustainability.” (Liu et al., 2015, p.166). This arduous task demands adequate organizational capacities and a close co-operation between various stakeholders involved for achieving sustainable MSW management (Schübeler, 1996). India, which falls under the category of developing country, has also been struggling with this menace. In 2012, owing to rapid urbanization and increasing consumption, India became one of the top ten generators of municipal solid waste in the world (The Hindu, 2012). The problem has reached gigantic proportions which can be dealt only with the concerted effort of all the stakeholders involved. Aiming at Urban sustainability, Government of India in 2015 launched its ambitious Smart Cities Mission. The Smart Cities Mission endeavours to provide core infrastructure, good quality life and sustainable environment to its citizens. And one of the core infrastructures of the smart city is the management of Municipal Solid Waste (MSW). With India striving to build 100 smart cities by the year 2022, this mammoth problem needs to be addressed. It is in this context the present study is conceived.

Objective

The study seeks to throw light on the MSW scenario in India with special reference to the city of Chandigarh. The objective of the paper is to assess the role of stakeholders in sustainable management of MSW in Chandigarh.

Research Methodology

In the present study, data has been collected from both primary and secondary sources. Primary data has been collected on the basis of stratified random sampling. The city of Chandigarh is divided into 26 municipal wards. A total sample of 100 residents has been drawn from the 2 wards. For the purpose of the present study, one ward each from the northern part of the city which was built initially, when the city came into being in 1966 and one from southern part of the city, which was developed later after 1980 and is still in the process of developing, were taken. Therefore, from northern part ward no. 2 was taken and from southern part ward no. 13. These wards were chosen on the basis of highest population/ households in residential sectors. For the purpose of collecting the data from residents a questionnaire was prepared and four interview schedules were prepared for various other stakeholders including concerned officials, councilors and private partners.

Trends of Urbanization in India

With the population of 1210 million (Census of India, 2011), India is the second most populated country of the world. Of the total population 31.17% inhabits the urban areas (Census of India, 2011). Urban population which was 62.4 million in 1951 now stands at 377.1 million in 2011, showing percentage increase of 504.32%. Also, the number of towns and cities in India increased from 2843 in 1951 to 7935 in 2011 showing an increase of 179.1% since 1951. And as per the World Urbanization Prospects: 12, The 2014 Revision an additional 404 million people will occupy the urban space in India between 2014 and 2050. Thus, indicating an intense increase in the process of urbanization.

Table: 1.1 Urban Population in India since 1951

Year	Total population (In millions)	No. of Towns and UAs	Urban Population (In millions)	Percentage of urban population to the total population
1951	361.1	2843	62.4	17.3%
1961	439.2	2365	78.9	18.0%
1971	548.1	2590	109.1	19.9%
1981	683.3	3378	159.5	23.3%
1991	846.3	3768	217.6	25.7%
2001	1028.6	5161	286.1	27.8%
2011	1210.2	7935	377.1	31.16%

Source: Census of India 1951,1961,1971,1981,1991,2001,2011.

Urban areas are generally seen as engines of economic growth. The NITI Aayog (erstwhile Planning Commission) of India, 2015 has also ordained urbanization to be an “irreversible trend” and an indispensable component of development policy aiming to achieve a “wholesome and secure habitat” with the assistance of new age technology. But the urban areas with the scarce resources have started crumbling under the immense population pressure, which has excessively strained both the quality and quantity of services delivered. Studies have shown critical gaps in different urban services (NIUA, 1981; Pandey, 2011). Municipal solid waste management is one such area (Central Public Health and Environmental Engineering Organization (CPHEEO), 2013).

MSW Scenario in India

Increasing urbanization has led to the considerable increase in the per capita generation of MSW (Punjab Pollution Control Board, 2010). The MSW waste generation which stood at 6 million tons per year in 1947 escalated to 48 million tons/ year in 1997 (Goel, 2008). This

waste generation further increased to 54.75 Million Tones /year in 2013 (CPHEEO, 2013). This shows the percentage increase of 812.5% in MSW generation in 66 years after independence. Further, it is estimated that due to growing population and changing lifestyle, the waste generation will increase by 5% per year and urban areas will produce 2,76,342 Ton Per Day (TPD) 4,50,132 TPD and 11,95,000 TPD by the years 2012, 2031 and 2050 respectively (Planning Commission, 2014).

MSW management is a state subject under Indian constitution but being a municipal function, the primary responsibility of dealing with it lies with the ULBs. It is the duty of the ULBs to “plan, design, operate, and maintain the solid waste management system in their respective cities/towns” under the 74th constitutional amendment Act, 1992 aiming at democratic decentralization (CPHEEO, 2013). According to the Central Pollution Control Board, in the year 2013-2014, the waste generated per day was 1,41,064 tonnes out of which 90% i.e. 1,27,531 tonnes was collected but only 27% i.e. 34,752 was processed per day. Only 18 states out the 28 states at that time had house to house collection. This collection was also partial and did not cover the entire state. Segregation was done partially in only 5 out of the 28 states. A total of 1285 landfill sites were identified and 95 were constructed. Only 553 (14% approximately) ULBs from the total 4041 ULBs in India had operational facilities for composting or vermi-composting. While another 173 ULBs had it in the construction phase (Central pollution Control Board Bulletin, 2016). Thus showing an inefficient and ineffective MSW management in the country.

Issues in MSW Management in India

India faces challenge of poor MSW management due to inadequate budgets, gaps in MSW planning, inefficient collection and segregation process, inadequate qualification and training of personnel involved in MSW management, dearth of accountability mechanism related to MSW management, lack of awareness, apathetic attitudes of public in general towards MSW management and lack of private sector involvement (Khajuria et al., 2010; CPHEEO, 2013; Kumar et al., 2017) Treatment of MSW is practically lacking in most of the urban areas barring a few, where composting is done. The waste is majorly disposed by crude dumping (CPHEEO, 2013). Open dumping of wastes pollutes both the ground water and soil (Ali et al., 2013). Also, waste disposed of in sanitary landfills, if not managed properly can be source of large quantity of organic and inorganic contaminants (Kettunen et al., 1998; Raghab et al., 2013). Thus, leading to environmental deterioration. The menace of improper management also has deleterious effects on the health of the people and causes various diseases like malaria, dengue

etc (CPHEEO, 2013). Therefore, it is significant to have a concrete policy framework concerning MSW management for guiding and supporting the ULBs in their efforts to dispose the waste effectively and scientifically (CPHEEO, 2013).

Towards Sustainable Solid Waste Management in India

India has taken various steps in pursuance of its objective of sustainable management of MSW. Some of the significant policy and legal initiatives taken are as under;

Table: 1.2 Major initiatives undertaken in India since Independence

Year	Initiatives Undertaken
1960	To promote composting the ministry of food and agriculture tendered loans to the local bodies (CPHEEO, 2005)
1969-1974	The fourth five year plan provided for block grants and loans to the states for promoting composting of MSW (CPHEEO, 2005)
1974	Government of India strived to revive the waste composting in cities with population more than 0.3 million by introducing the modified scheme (CPHEEO, 2005).
1975	First ever high power committee for reviving urban waste was constituted. (CPHEEO, 2005).
1995	Bajaj Committee report on urban solid management. It stressed on the concept of “reduce, reuse and recycle” for sustainable development and emphasized on the prevention of risks transfer from one to another source (CPHEEO, 2005).
1998	Asim Burman Committee was formed by the Supreme Court. It pointed at institutional, economic, health and legal facets of MSW and stressed on the significance of public private partnership (CPHEEO, 2005).
1999	Ministry of urban development constituted a technical advisory group on MSW management. This group was again reconstituted in 2002 by the then ministry of urban affairs and employment (CPHEEO, 2005).
2000	Municipal Solid Waste (management and handling) Rules, 2000.
2008	Comptroller and Auditor General’s Performance Audit of “Management of Waste in India”. The report assessed the implementation of the laws related to waste in India. (comptroller and Auditor General of India, report, 2008)
2016	Solid Waste Management Rules, 2016 were notified.

The most recent effort of the government of India towards sustainable municipal waste management is the enactment of the Solid Waste Management Rules (**SWMR**), 2016. The SWMR, 2016 stress on the cardinal principle of 3R (Reduce, Reuse and Recycle), which has been successful in curtailing the menace of MSW in several countries of the world (Bhaskar, 2016). The act is an improvement over the Municipal Solid Waste (Management and Handling) Rules, 2000 in various measures. The present act extends beyond the municipal area covering outgrowths in urban agglomerations, census towns, notified areas, notified industrial townships, Indian Railways controlled areas, defense establishments, State and Central government

entities, airports, airbase, Port and harbor, special economic zones, pilgrims areas, religious and historical places and each and every domestic, institutional and non residential establishment generating solid waste in the areas. This has been done in order to ensure the fulfillment of the objectives of the Swachh Bharat Mission. Further, the act specifies the duties of various stakeholders and establishes an appropriate system of waste segregation, collection, recovery, utilization and disposal with due consideration to controlling pollution.

Sustainable Solid Waste Management and Smart cities in India

The Government of India embarked on to the ambitious smart city mission in the year 2015, when union cabinet gave its approval for formation of 100 smart cities by the year 2022. So far, 98 cities have been selected to be included in this. According to the Ministry of Urban Development “Smart Cities Mission Statement & Guidelines”, 2015

“In the approach to the Smart Cities Mission, the objective is to promote cities that provide core infrastructure and give a decent quality of life to its citizens, a clean and sustainable environment and application of ‘Smart’ Solutions.” (p.5)

The Government of India’s draft concept note on smart city emphasizes on the fact that cities are deemed to be smart only when they are clean, have healthy environment and provide better quality life to the citizens. And for achieving this, it provides that the following steps are undertaken

- At source Segregation of the waste into recyclable and non recyclable and dry and wet , so that 100% recycling of the waste is possible
- Usage of adequate technology for the treating the MSW at decentralized locations.
- Setting up an effective system for collection and disposal of MSW.
- Advocating and endorsing the utilization of the products made from recycled waste like power, compost etc.

Further the draft concept note provides benchmarks for various services under smart city. The benchmarks delineated for solid waste management are;

- Coverage of all the households by daily door to door collection system: 100%
- Collection of the MSW: 100%
- Segregation of waste at source: 100%

- Recycling of MSW: 100%

About Chandigarh

The city of Chandigarh came into being as a Union Territory (U.T) on 1st November, 1966. Situated in the North-Western India, it is the capital of two states of Punjab and Haryana. Designed by the French architect Le Corbusier, it is one of the first planned cities of India. It has an area of 114.0 sq. km. Urban area is spread over 109.53 sq. km. and total rural area in Chandigarh is 4.47 sq. km. (Census of India, 2011). Originally planned for the population of five hundred thousand, today it is home to more than a million people and is the second most densely populated city of India with the population density of 9,258 persons per sq. km (Census of India, 2011).

“City beautiful” is an epithet that has been given to Chandigarh owing to its’ immense greenery and cleanliness. But once the impeccably beautiful city, Chandigarh is now slowly losing its sheen not only because of the decrease in the per capita green spaces in the city but also because of poor cleanliness and sanitation. Initially the city had 82 sq m of open space per person which now has decreased to 54 sq m. With respect to cleanliness, both observation and data show that there has been deterioration. The city which ranked 2nd in cleanliness survey in 2016, slipped to 9 ranks to 11th position in 2017 in Swachh Survekshan Survey (Clean India Survey) under Swachh Bharat Mission (Clean India Mission).

Chandigarh is now included in the list of ambitious smart city mission of the Government of India. The mission aiming at urban transformation has enlisted various benchmarks which inter alia include environmentally sustainable MSW management aiming at 100% daily door to door collection, segregation of waste at source, and recycling of MSW.

Municipal Solid Waste Management in Chandigarh

Up till 1994, the city had no urban local body (ULB). The various functions such as solid waste management, sewerage, water supply, storm water drainage and city roads were undertaken by different departments of the Chandigarh administration. But with the formation of Municipal Corporation (M.C) in 1994, the function of MSW management was taken over by the Corporation.

Quantity and Composition of Waste Generated

The average waste generated by Chandigarh in 2016 was about 450 metric ton per day (MC Chandigarh, 2017). The average waste generated per day between 1/7/17 and 26/7/17 is

417.661 tonnes. Which comes to be around 152446.265 tons annually. The composition of waste as on 7/01/17 is presented in the table below;

Table: 1.3 Composition of Waste in Chandigarh

S. No	Particulars	% by weight
1	Organic waste (Garden and Park Waste, Non food organic biodegradable material, Food waste)	30.5%
2	Combustible Waste	30.76%
	Paper	4.4%
	Cardboard	Nil
	Textile and Jute Bags	3.3%
	Wood and straw waste	12.3%
	Leather	0.96%
	Rubber/ Tyre	1.6%
	Non PVC plastic and other packaging material	8.2%
3	Non Biodegradable Waste	6.5%
	PVC Plastic	4.9%
	Metal	0.3%
	Glass/ China/ Clay Material	1.3
4	Soil/Sand/Clay/inert Material	29.4%
5	Miscellaneous (Battery, Electronic Waste, Soiled Material Or Any Unidentified Material)	2.0%

Source: Municipal Corporation Chandigarh

MSW Collection and Storage

The collection of waste in Chandigarh is done by 733 private door to door garbage collectors in 26 wards. These waste collectors collect waste in the rehris or carts. After sorting out things of use and value for selling, they take the remaining waste either directly to Sahaj Safai Kendras or to community bins from where it is later taken to sahaj safai kendras. Sahaj Safai Kendras which are currently 38 in number have been constructed by the Chandigarh M.C for storage of MSW in each area.

MSW transportation

The waste is transported from households to sahaj safai kendras by hand carts or Rehri. From sahaj safai kendras the waste is transported to garbage processing plant or final disposal site with help of covered vehicles like tractor trolley, tippers and dumper placers. At present M.C Chandigarh has 22 tractor trolleys with GPS and has hired 10 without GPS, 7 mini tippers, 6 big tippers and 53 dumper placers with GPS. The average trips made by tractor trolley are 3 per day, tippers are 6-8 per day and dumper placer is 6-7 per day. Interviews with the official

revealed that the number of vehicles with the M.C are sufficient and in case of less number of tractor trolleys 10 were hired. Tractor trolleys are used for the transportation of the horticulture waste and dumper placer and tippers for other wastes.

Waste Recycling and Biomethanation

The waste recycling is still not practiced widely in Chandigarh. The M.C has no provision for recycling the collected waste. As per officials, pit composting is done in some gardens under the M.C. The expression of interest has been called from the Jaypee plant for composting within six months, failing which M.C will start its own 200 tones composting plant.

For converting waste into biogas a biomethanation plant has been set by M.C in industrial area phase I, where mandi waste, hotel waste and waste from slaughter houses is processed.

Waste Disposal

The final waste disposal in Chandigarh is done by either sending it to the garbage processing unit in Daddumajra operated by Jaypee group or directly to landfills in Daddumajra.

Table: 1.4 The disposal of 417.661 Tones MSW generated per day between 1/7/17 to 26/7/17 by M.C

Garbage sent to the plant per day for processing	367.660 Tones
Garbage directly sent to landfill by the M.C	23.849 Tones
Garbage sent by Jaypee group to landfill	158.879 Tones
Total garbage processing by Jaypee group is 208.781 tonnes (56%) as of 2017.	

Source: Municipal Corporation Chandigarh

Stakeholders in MSW Management in Chandigarh

Stakeholders' involvement and participation is crucial component of solid waste management (Joseph, 2006; UNEP 2009; Bernstein, 2004). The significance of stakeholders lies in the fact that their involvement enhances both efficiency and effectiveness of MSW management.

The MSW management process includes variety of stakeholders, directly or indirectly. Snel & Ali (2009) classify stakeholders' of MSW management into three categories. First, the primary stakeholders, who are directly affected by the MSW management and include households and citizens in general. Second, the secondary stakeholders, who have an intermediary role and may significantly affect the project/programme outcome. These inter alia include respective departments of national / state government, urban local bodies, nongovernmental organizations, waste-pickers etc. And the third are the external stakeholders, who are not directly included in the whole process but are none the less affected by it, like residents of the nearby area, waste reproprocessors etc.

As per Government of India, MSW management manual, Part I (2016), the process of MSW management entails different stakeholders such as local governments, households, nongovernmental organizations, community based organization, businesses, industries, informal sector, women group, self help groups (SHG), students of secondary schools and colleges and members of institutions involved in ascertaining community participation.

Stakeholders in Chandigarh

The major stakeholders in Chandigarh include;

1. Municipal Corporation consisting of Municipal officials and Municipal councilors
2. Households
3. Private partners
 - A) Door to door garbage collector
 - B) Jaypee Group (waste processing plant)
4. Resident Welfare Associations
5. Beopar Mandals
6. NGOs
7. Industries
8. Self Help Groups
9. Academic and Research institutes
10. Chandigarh Pollution Control Board

Assessment of the Role

The present paper studies the role of the following stakeholders.

1. Municipal Corporation consisting of Municipal officials and Municipal councilors
 2. Households
 3. Private partners
- C) Door to door garbage collector
- D) Jaypee Group (waste processing plant)

Municipal Corporation Chandigarh

The Municipal Corporation, Chandigarh consists of both the elected and nominated members known as councilors and permanent executives or the municipal officers headed by Municipal Commissioner. The municipal councilors are directly elected by the people for the term of five years. The councilors are directly responsible to the citizens and act as a link between the officials and the citizens. The officials presently engaged in MSW management in Chandigarh include, Municipal Commissioner who is the Chief Administrative Officer of Municipal Corporation, Chandigarh (MC), Joint Municipal Commissioner in charge of MSW management, Medical Officer of Health (MOH), Health Supervisors, Chief Sanitary Inspectors, Sanitary Inspectors and Sanitary Supervisors.

The area under MC is divided into 26 wards covering all the 63 sectors of the Chandigarh, colonies and villages except PGI, Panjab University and villages falling under the jurisdiction of Chandigarh Administration. The MSW management in Chandigarh is governed under the Chandigarh Municipal Corporation (sanitation and public health) byelaws, 1999, which are amended keeping in view the revised guidelines and rules of the central government, MSW Rules, 2000 and SWMR, 2016.

Efforts towards making smart city

For developing Chandigarh into smart city, the MC is working towards implementing the provision of SWMR, 2016, so that 100% collection, segregation, processing and disposal of MSW is achieved. At present, in concurrence with the SWMR, 2016 MC Chandigarh has prepared a solid waste management plan. Under this, two years time has been given for ensuring waste segregation, the work on which has begun started by MC. MC has started sensitizing people with regard to the segregation of waste at source. The councilors along with

sanitary inspectors are working in their respective wards to raise awareness regarding the segregation of waste and different kinds of waste and bins. The interview with the officials and the councilors revealed that awareness seminar consisting of representatives of all the stakeholders was conducted.

SWMR, 2016 provide for segregating waste in three categories by the waste generators, which are biodegradable, non- biodegradable and domestic hazardous waste. MC has implemented this rule partly in interest of convenience of the citizens. They have been asked to segregate waste only in two categories that is wet (biodegradable) and dry (non-biodegradable). For bringing this rule into effect, MC had decided to distribute a set of two bins green (wet waste) and blue (dry waste) of 12 liter capacity each to 0.235 million households in Chandigarh by the mid of August. But the interviews conducted with the 100 households revealed that only 45 households received bins till September 10th while 55 had yet to receive it. Apart from this, the private door to door collectors were also to be given the 6 bins each of 40 liters capacity, three of green and three of blue color for collecting waste separately. But study showed that of the 10 door to door garbage collectors interviewed till 10th September, none had received any bins.

Also, MC aims at creating awareness regarding the recycling of waste and composting at the household level. Further, it is working towards setting up composting plant, the expression of interest for which has been sent. For ensuring transparency and accountability amongst the sweepers, the MC will shortly introduce the biometric attendance system.

MC has also launched Swachhata (Cleanliness) App on mobile phone for redressing the issues relating to MSW. With the help of the App, citizens complaint regarding the negligent waste collection, lack of water supply in public toilets and deficient infrastructure in areas of health and hygiene. They can also click photos and post it on the App. Action on the complaint has to be taken within 12 hours except in case of removal of dead animal, time limit for which is 48 hours. The App has provision for rating the cleanliness parameters with respect to the waste management and city's cleanliness

Interviews with the officials and councilors revealed that due to lack of awareness and consequent less download of the application, Chandigarh which ranked 2nd in cleanliness survey in 2016, slipped to 11th rank in 2017 in Swachh Survekshan Survey (Clean India Survey) under Swachh Bharat Mission (Clean India Mission). Awareness regarding Swachhata (Cleanliness) App amongst citizens is as low as 31% and only 3% have downloaded it. This

clearly indicates laxity on the part of MC to popularize the Cleanliness App, specially designed to encourage citizens' participation in administration.

Satisfaction with the working of MC

The survey conducted by the authors amongst the 100 household showed that only 43 % of the households were satisfied with the working of the MC apropos MSW and 57% were dissatisfied. According to them MC does not pay heed to the heaps of garbage lying at the corner of the street for days together. Also, the parks have horticulture waste stacked up inviting flies and mosquitoes, causing worry amongst citizens especially parents of children exposed to while playing.

As far as the satisfaction with the working of the area councilor is concerned, Of the 100 households interviewed only 30% were satisfied with the work of the Area councilor. The basic grievance of the residents was that the councilors rarely visit their areas and address the citizens' issues relating to MSW. Of the 100 households only 21 approached the area councilor with the issues relating to the MSW Management. And only 11 of the 21 complainant got their issues redressed.

Households

Citizen participation is integral to formation of smart city. It is one of the most important instruments for developing the smart city (Government of India, 2014). In the present paper, the citizen participation in context of MSW is studied on the level of household. Households play one of the significant roles in achieving sustainable solid waste management (Bortoleto et al., 2006).

Table No: 1.5 Overall results of the study relating to the responses of households

1. Level of Awareness among households relating to MSW	Households (100)		Overall Results	
	Yes	NO		
Are you aware about the problems that are associated with the poor MSW disposal?	86 (86%)	14 (14%)	Majority is aware	-
Are you aware about the mobile Swachhata Application?	31 (31%)	69 (69%)	-	Majority is not aware
Have you downloaded the Swachhata Application?	3 (3%)	97 (97%)	-	Majority has not downloaded the app
2. Segregation of Waste at source				

Are you aware about segregation at source?	81 (81%)	19 (19%)	Majority is aware	-
Do you know about different kinds of waste (dry and wet waste)?	87 (87%)	13 (13%)	Majority is aware	-
Are you Aware about the different bins for dry and wet waste as provided by the MC?	87 (87 %)	13 (13%)	Majority is aware	-
Do you segregate waste at source?	31 (31%)	69 (69%)	-	Majority does not segregate waste at source
Are you aware regarding the ill effects of non segregation of waste?	82 (82%)	18 (18%)	Majority is aware	-
Would it be convenient for you to segregate waste at your place?	74 (74%)	26 (26%)	-	Majority is ready to segregate waste at source
3. Recycling of Waste				
Do you Sell the waste to scrap dealer?	81 (81%)	19 (19%)	Majority recycles waste	-
Composting	1 1%	99 (99%)	-	Majority does not compost waste

From the data presented above in Table: 1.5 it is evident that three aspects relating to MSW have been analyzed- the level of awareness among households relating to MSW, segregation of waste, and recycling of waste. It was found that:

1. Most of the households were aware about the problems associated with the poor disposal of MSW.
2. The households were asked about the new segregation policy of MC, under which the waste is collected by segregating it in two different dustbins-green dustbin for wet waste and blue for dry waste. It was found that the awareness with respect to the new segregation policy of MC was quite high.
3. It was found that even after being aware about the ill-effects of the non segregation of waste; the majority of the households do not segregate waste before disposal. As they are of the opinion that presently, there is no such system prevalent in Chandigarh of segregating waste at source because all types of waste are mixed together and then dumped by the garbage collectors, which is clearly not in compliance with the SWMR, 2016. Therefore, there is no use of segregating waste at source. However, if

municipal administration starts with this practice, they are ready to cooperate with them.

4. Majority of the households said that it would be convenient for them to segregate waste. A very few of the households felt that segregating waste into dry and wet would be cumbersome due to being habitual to mixing the waste. Respondents living in smaller houses said that owing to space constraint they would prefer to segregate waste in polythene bags than in dustbins. Also some respondents were reluctant about using the distributed bins due poor quality and faulty design of bins with no lid. They opined that it will only lead to breeding of mosquitoes on wet waste if kept in open.
5. The study found that the concept of recycling is not much in vogue in the city. The households recycle waste like newspapers, glass bottles, plastic containers, iron, books, cardboard boxes by selling off to the scrap dealers. Only one household answered in affirmative when asked about composting the wet waste.

Other observations

Talks with the door to door garbage collector revealed that the households who have got bins also do not segregate waste and see this as a passing phase. Even the bins distributed are used by the households in different chores like washing of the cars, or for cleaning the floors etc

Private Partners

Door-to-door garbage collectors

Door-to-door private garbage collectors are major stakeholders in MSW management practices. They are responsible for the collection of waste from the households, which falls under their area. They work under their respective Area Contractors and are paid by them. They are hired by the households on fixed monthly charges.

The interviews with the door-to-door garbage collectors revealed that on an average 125 kg of waste is collected by the single garbage collector. The private door-to-door garbage collectors are working efficiently and collect waste on daily basis. The 100 households surveyed during the study showed that the garbage was collected daily (100%) and 100% residents were satisfied with the working of door-to-door garbage collectors.

The manual handling of the waste prohibited under the 2000, rules continues unabated as the door-to-door garbage collectors collect waste with naked hands. The interviews conducted

with ten door-to-door garbage collectors revealed that none of them use gloves or any precautionary method while collecting waste. Though some said gloves were given by MC, but due to poor quality, they do not use it. Others said that they never got any gloves from the MC.

With regards to the awareness about implementation of SWMR, 2016, the study found that nine out of the ten door-to-door garbage collector interviewed were aware about the new policy and six were in favor of it. Those who were not in favor of the new policy cited reasons like loss in source of income which they have by segregating waste and selling it, expenditure of more effort especially by old garbage collectors as carrying dustbins from third floor will be hectic. Presently, people keep waste in the handy polythene bags which are easy to carry for the garbage collectors.

But the interviews with the officials and the deputy mayor revealed that initially door-to-door garbage collectors had reservation regarding waste segregation, as they make money by selling some of the recyclable garbage like plastics, cardboard, etc. The perception that segregation would lead to loss of this income caused initial resistance. But the meeting of their representatives with the officials calmed their fears. However, talks with the garbage collectors revealed that the information has not been percolated down to them by their representatives. They were unaware that they could continue selling the valuable waste.

Jaypee Group

The other private partner involved in waste processing is the Jaypee Group. M/s Jaiprakash Associated Limited (Jaypee Group) signed the memorandum of understanding with MC Chandigarh in July, 2005. The MC provided 10 acres land to the company in Daddumajra to set up the MSW processing plant for 30 years at the token rent of Re 1 per square meter per year. The plant was installed in 2008 with the capacity of 500 Metric Ton per Day (MTPD). As per agreement, MC is responsible for delivering all the MSW generated within the city at the plant daily. The plant processes the MSW into high quality refused derived fuel (RDF) with low moisture content for usage in Jaypee group's power plants or cement kiln. The agreement further mandates the plant to use deodorizers and disinfectants to reduce the smell in the surrounding areas and in case of disruption in working of the plant to process the MSW subsequently.

The plant was chosen first runner up for excellent performance in Solid Waste Management at the JCB CII - APTDC Solid Waste Management Awards ceremony in Hyderabad for three consecutive years 2011, 2012 and 2013 (Chandigarh Administration, 2014). But in terms of its

partnership with the MC, there have been many hiccups ever since the installation. Firstly, after the very inception of the plant, the plant management started demanding tipping fee (fee for processing per metric ton of garbage) from MC for processing of waste. Secondly, as per the company officials due to nonpayment of tipping fees, the company started running into losses, making a loss of rupees 5 million every month since 2007. Consequently, the company was not in a position to run its operations effectively. Therefore, there was partial processing of garbage, with the remaining unprocessed being thrown into the nearby open ground.

The Chandigarh Pollution Control Committee has also found various irregularities in the working of the garbage processing unit. The air pollution control devices in the plant were not working properly and so was the effluent treatment plant. The MSW was stacked up indiscreetly and it was found that during rains MSW flowed into the sewerage without being treated. Also the staff of the garbage processing plant had no adequate knowledge regarding the functioning of the plant (The Tribune, 2017).

The garbage processing plant has failed to play its role effectively. The demand for tipping fees, refusal to take the complete garbage and foul smell emitting from the plant are the main issues plaguing the optimal working of the plant. Of the 367.660 Tones garbage send to the plant for processing, it currently processes only 208.781 tones. The incessant dumping of the garbage by the plant for couple of years now has led to the both environmental and health issues in the Daddumajra, which is situated next to the dumping ground. The stench in the area due to dumping of garbage in the open is unbearable and is spread across nearby sectors. The use of deodorizer, one of the provisions in the agreement has not been taken seriously by the plant management. The open dumping and burning of garbage has led to environmental degradation and caused a lot of health issues like skin, respiratory diseases etc. The social consequences of this menace have been immense. The young men have trouble finding brides for marriage as the area has become a living hell. Apart from this, the economic consequences in terms of falling land prices, medical expenses etc have also become a burden for the inhabitants.

Major findings

1. The role of MC has not been satisfactory regarding implementation of SWMR, 2016 and fulfillment of guidelines for sustainable municipal solid waste management as provided under Government of India's draft concept note on smart cities as there is -
 - a) Non segregation of waste into three categories biodegradable, non- biodegradable and domestic and hazardous waste as per SWMR, 2016 has not taken place.

- b) Failure to even implement the practice of segregating waste into two kinds- dry and wet;
 - c) Limited recycling of waste;
2. The role played by the Municipal Corporation (councilors and officials) regarding issues relating to municipal solid waste management has not been satisfactory.
 3. Households are playing their role effectively as they are well aware about municipal solid waste management. However, their role is limited by the existing policies of MC.
 4. Though there is a shortage of door-to-door garbage collectors, their role in collection of waste has been found to be satisfactory
 5. The private partner (Jaypee Group) has not been playing its role effectively due to financial crunch and consequent rift with MC.

Suggestions

1. As people are not satisfied with the working of the councilor and there seems to be a trust deficit between the public and councilors, it is important that the system of social audit should be build so as to ensure accountability and responsiveness.
2. The problems relating to MSW can better be managed by initiating certain steps in the direction of recycling of waste through composting.
 - i. MC should draw out a plan for setting up community composting plants in collaboration with resident welfare societies in every sector. This is simple, cost effective and doesn't require much efforts.
 - ii. Households should be encouraged to set up their own composting plants at their places. Some incentives can also be given in terms of financial assistance or buying compost from them.
3. The bins distributed to the households are not covered, which can be a source of mosquitoes and flies causing diseases. Therefore it is suggested that the bins provided to the households and to the garbage collectors are covered.
4. Though door to door garbage collectors are aware regarding the SWMR 2016, their concerns regarding the loss of income due to fear of being unable to sell the recyclable waste has not been addressed completely. It is important for the MC to carry out a

program on larger scale to make them aware as information by representatives of the garbage collectors has not percolated down well.

5. 241173 households in Chandigarh are covered by mere 733 door to door to garbage collectors. This comes out to be an average of 329 (approximately) households by a single garbage collector. The informal discussion with the officials revealed that there is need to increase the door to door garbage collectors to at least 1200-1300 in number.
6. Swachhta app should be popularized through print and social media so that maximum citizens download and use it as it is one of the crucial parameters for improving cleanliness ranking of smart cities.
7. M.C should review the working of the private partners involved in garbage processing every quarter and prepare quarterly reports regarding their functioning.

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“一带一路”：全球治理的中国方案¹

Belt and Road Initiative: Chinese Approach for Global Governance

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【摘要】“一带一路”是全球化的中国版本、全球治理的中国方案，其积极引领全球化、推进全球治理的角色倍受世界瞩目。“一带一路”顺应全球化发展的内在规律，积极引导国际合作的新趋势，以互联互通奠定全球化根基，以合作共赢激发全球化动力，以均衡普惠重塑全球化结构，以平等包容打造全球化未来，体现了中国赋予全球治理的新理念。“一带一路”实施以来对沿线国家和全球经济的拉动作用初步显现，“五通”效应正在扩展，彰显了中国方案对全球治理的作用与贡献。“一带一路”的倡议与实践正在为新一轮全球化和全球治理增添中国元素和特色。

【关键词】“一带一路”；全球化；全球治理；中国方案

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[Abstract] “The Belt and Road Initiative” is regarded as Chinese version of globalization as well as Chinese scheme for global governance. BRI conforms to the new trend of globalization, and actively guides the international cooperation. It aims to lay a solid foundation for globalization by interconnection, stimulate global dynamic by cooperation and win-win, reshape the structure of globalization with balanced and inclusive growth, and build a bright future for globalization with a spirit of equality and tolerance. All these above reflect Chinese new ideas for global governance. Since “The Belt and Road Initiative” put into operation, its stimulating effects on the national and global economy have emerged, and the “Five Connections” has been proved effective and extended, which highlight the role and contribution of Chinese approach for global governance. The initiative and practice of “The Belt and Road” is equipping globalization and global governance with Chinese elements and characteristics.

[Key words] “The Belt and Road Initiative”; globalization; global governance; Chinese approach

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“一带一路”是全球治理的中国方案，其积极引领全球化、振兴全球经济的角色倍受世界瞩目。全球治理是全球化的重要阶段，是随着全球化的发展尤其是全球性问题暴露和突显之后出现的，可以说，全球化是全球治理的缘由和对象，全球治理是全球化的深化与发展。下面我们沿着全球化——全球治理——中国方案的思维路径，首先分析“一带一路”顺应全球化发展的内在规律，积极适应国际合作的新趋势，是全球化的中国版本；其次解析“一带一路”以互联互通、合作共赢、均衡普惠、平等包容重构全球化的具体体现；最后从新理念、新平台、新作为几个方面说明中国关于全球治理方案的特色。

一、“一带一路”是全球化的中国版本

“一带一路”甫一提出，就引起了国内外巨大反响。国内人士将其视其为中国的“第三次对外开放”（商务部原副部长魏建国）、中国“中长期统领性战略”（张莱楠）或“新35年（2014年-2049年）改革中国和世界大格局的大战略”（张燕生）；而国外的视角则不约而同地将其与全球化、全球治理联系起来，称其为“中国最新的全球化浪潮”（《经济学家》）、“面向全球的经济政策框架”（《理财周刊》）、“第二次地理大发现”（《联合早报》）。彭博社2017年5月9日在题为《习近平的新丝绸之路论坛为全球化2.0定调》的文章说，“一带一路”是“全球化2.0”倡议，“在后金融危机时代世界的深刻变化中，重构全球生产价值链”。《马尼拉时报》2017年5月11日发文《中国通过新丝绸之路峰会捍卫全球化》称，中国通过举行“一带一路”高峰论坛，“展示其雄心勃勃要恢复古丝绸之路贸易路线、引领全球化新时代的驱动力”。

2017年5月中旬，“一带一路”国际合作高峰论坛召开，来自100多个国家、1500多个代表齐聚北京，涵盖的国家既有亚、欧、非三大洲，也有北美、拉美、大洋洲，远远超过了“一带”、“一路”沿线和欧亚大陆的范围，真正具有全球规模，大会讨论的议程也具有全球影响力，从另一侧面印证了“一带一路”标志中国引领全球化的观点。习近平在论坛开幕式上的演讲中两次提到要“建设开放、包容、普惠、平衡、共赢的经济全球化”。在论坛圆桌峰会上的闭幕辞中，习近平再次强调，“‘一带一路’建设对于挖掘新的经济增长点、增强各国内生发展动力、促进全球经济增长具有重要意义，有利于推动经济全球化向包容普惠方向发展。我们愿继续努力，推动‘一带一路’建设取得更大进展，让各国政策沟通更有力，设施联通更高效，贸易更畅通，资金更融通，民心更相通。”论坛联合公报的“愿景展望”部分第一条就申明，“我们携手推进‘一带一路’建设和加强互联互通倡议对接的努力，为国际合作提供了新机遇、注入了新动力，有助于推动实现开放、包容和普惠的全球化。”可见，“一带一路”作为中国倡导的新型国际合作框架，自觉担当推进全球化重任，主动谋划经济治理方案。“一带一路”提出四年来，基础设施联通网络初步成型，一批有影响力的标志性项目逐步落地，对沿线国家经济的巨大拉动作用得以显现，被称为应对全球化综合症的“中国药方”、全球治理的“中国方案”。

二、“一带一路”体现中国全球治理思路

“一带一路”旨在以互联互通重振全球化活力，以对接合作激发全球化动力，以平等互惠重塑全球化结构，以构建人类命运共同体擘画全球化未来。

（一）“一带一路”以互联互通夯实全球化根基

从金融危机到逆全球化风潮，暴露了经济全球化进程的不足，其中的明显弊病是经济过度金融化、实体经济空心化、金融资本虚拟化、虚拟经济泡沫化，这一系列症候蛀空了全球化的根基，使全球化如空中楼阁、沙上城堡经不起风浪和振荡。美国是金融危机的始作俑者，这个最大经济体典型体现了以上症候。自 20 世纪 90 年代中期以来，随着美国从有形经济为主向金融经济为主过渡，货币、证券、外汇、金融衍生品等非实物的虚拟资产急剧膨胀，金融业在 GDP 中的比重超过了制造业。2004 年，金融服务业占 GDP 的比例达到 20%-21%，而制造业所占的比例下降到 12%-13%。所有公司创造利润的 44% 来自金融业，而来自制造业的这一数字只有 10%（凯文·菲利普斯，2009：2、34）。雷曼兄弟是全球最大的衍生品交易金融机构，2008 年 9 月破产时，其名义衍生品投资组合达到 35 万亿美元，而据世界银行数据库当年美国的 GDP 总量才 14.7 万亿美元，全世界 GDP 才 63 万亿美元。膨胀的财富和畸高的收益吸引全国上下各行各业飞蛾扑火般地投入到金融业，美国经济、公司利润、资产价格甚至居民收入都严重依赖于高杠杆投机活动，相应地实体经济越来越无人问津，美国在物质生产领域逐渐丧失投资机会和比较优势，除了部分高端产品，美国产业资本全面向发展中国家转移，因此出现全国基础设施凋敝、工人阶级地位下降、金融衍生品野蛮生长、劳资双方分化对立、华盛顿听命于华尔街等现象，乃至最终酿成祸及全球的经济危机。正如股神巴菲特所说，“金融衍生品就是大规模杀伤性武器”。金融业不是财富的源泉，只是财富的结果。全球化建立在金融业无限扩张的虚拟泡沫基础上，无异于海市蜃楼。

全球经济戒掉对虚拟金融产品的“依赖症”，重回实体经济轨道，才是全球化的正途。“一带一路”主要依托基础设施建设，以互联互通为突破口，吸引更多资金投入道路、桥梁、水利、电力、卫生、学校、医疗保健系统，消除制约沿线国家深化合作的障碍和堡垒，进而将沿线一大批欠发达国家和地区纳入到区域经济合作和一体化中。这些基础设施项目在惠及沿线民生的同时，也促进了制造业的繁荣，有助于遏制过度金融化趋势。“中国的‘一带一路’倡议正是时代的答案”，“基础设施是‘一带一路’连接全球经济发展的根基所在。更重要的是，基建能够振兴疲弱的实体经济，有效调控全球化 1.0 带来的经济结构问题，逐渐引导世界慢慢从过度依赖虚拟金融产品的当下，重新回到全球经济的根本——实体经济”（何志平，2017）。按照世界银行前高级副行长林毅夫的模式，发展中国家每增加 1 美元的基础设施投资，将增加 0.7 美元的进口，其中 0.35 美元来自发达国家。全球基础设施投资将增加发达国家的出口，为其创造结构性改革空间。传统全球化中的关税减让，最多能推动世界经济增长 5%，而新型全球化中的互联互通，将推动世界经济增长 10% 至 15%。连接东非最大港口城市蒙巴萨和肯尼亚首都内罗毕的蒙内铁路是肯尼亚独立以来最大的基建项

目，2017年6月建成通车时，沿路居民一片欢腾，列车上打出了“连接国家，走向繁荣”的标语。这条铁路将奠定肯尼亚东非铁路网咽喉和门户的地位，货物运输时间从原来10多个小时缩短至4个多小时，物流成本降低10%-40%，还为肯尼亚人创造了1.1万个工作岗位，占雇员总数比例的85.1%。肯尼亚总统肯雅塔表示，蒙内铁路将促进其GDP增长论从5.8%升至8%（《人民日报》2017年5月13日）。互联互通不仅为消除金融危机痼疾提供了对症良方，更为国际经济走出全球化泥沼提供了治本之策，为夯实全球化根基做出了重要贡献。

（二）“一带一路”以合作共赢激发全球化动力

贸易不振、投资下降是全球化衰弱的重要信号，2016年世界经济和贸易增速跌至七年来最低，传统增长引擎对经济的拉动作用减弱，贸易火车头效应降低，贸易保护主义阻力却不断增大。因此只有增添新动力，才能使全球化持续前行。习近平总书记在“一带一路”国际合作高峰论坛圆桌峰会开幕辞的讲话题目就是“开辟合作新起点，谋求发展新动力”，在闭幕辞中他再次强调，“……在当前世界经济形势下，‘一带一路’建设对于挖掘新的经济增长点、增强各国内生发展动力、促进全球经济增长具有重要意义，有利于推动经济全球化向包容普惠方向发展。”学者们也普遍认同“一带一路”为新一轮全球化注入新动力，“‘一带一路’调动国际国内两种资源，统筹海陆两种文明，倡导共享、普惠、均衡发展理念，为沿线各国人民相互创造价值提供便利和条件，为推动全球化转型发展注入重要新动力。”（徐坚，2017）

一是“一带一路”将中国发展动力传导到沿线国家。中国连续多年是对世界经济贡献最大的国家，金融危机以来中国经济的贡献率达到1/3，作为世界经济的主要引擎，源源不断释放增长红利。改革开放近40年中国积累了融入全球、脱贫致富、走向崛起的切实可行的经验，需求旺盛的庞大市场、物美价廉的中国制造、大规模“走出去”的商贸旅游、大手笔的基建投资对世界经济提供了有力支撑，这些均成为“一带一路”中辐射周边国家、带动经济滞后国家、推进全球化的强大动力。2016年我国与“一带一路”沿线国家贸易额占同期贸易总额比值已超过25%。2014-2016年，中国同“一带一路”沿线国家贸易总额超过3万亿美元。中国对“一带一路”沿线国家投资累计超过500亿美元，为有关国家创造近11亿美元税收和18万个就业岗位。作为全世界最大的海外工程承包国，中国利用世界高效一流的技术和独特的基础设施建设模式，正在改变沿线国交通、通讯、物流、能源开发与供应的图景，为越来越多的沿线国家打通了开放发展的通道出口，弥补了资本匮乏的短板缺口。这对地处内陆的发展中国家来说无异是助其汇入经济全球化的快速推进器，对疲软的全球经济也不啻是一剂强心针。正如习近平所说，“我们把世界经济比作人的肌体，那么贸易和投资就是血液。如果气滞血瘀，难畅其流，世界经济就无法健康发展。”沿线欠发达国家处于世界经济的神经末梢，互联互通无异于输血送氧，促使沿线经济体联成充满活力的一体。

二是通过合作对接产生联动发展效应。在经济全球化时代，各国发展环环相扣、唇齿相依。没有哪一个国家可以关门自封、独善其身，合作互补、联动发展是必然选

择，也是“一带一路”的发力点，其突出表现是发展战略对接和经贸合作区建设。近年来，“一带一路”与俄罗斯提出的欧亚经济联盟、东盟提出的互联互通总体规划、哈萨克斯坦提出的“光明之路”、土耳其提出的“中间走廊”、蒙古提出的“发展之路”、越南提出的“两廊一圈”、英国提出的“英格兰北方经济中心”、波兰提出的“琥珀之路”等协调对接，真正使“一带一路”成为合作共建之路。正如习近平在“一带一路”高峰论坛开幕式上所说，各方通过政策对接，实现了“一加一大于二”的效果。与此同时，中国已在沿线 20 多个国家建立了 56 个经贸合作区，已与 11 个沿线国家和地区签署并实施了自贸协定，正在谈判的还有 20 多个自贸区。这些经贸合作区因地制宜，与各国的优势产业密切相关，大致可分为加工制造类、资源利用类、农业产业类、商贸物流类、科技研发类、综合开发类等（王珂，2017）。经贸合作区的建设对于促进沿线国家经济发展、产业升级，推动所在国家工业化的进程，以及双边经贸合作的发展，都发挥了积极推进作用。联合国秘书长古特雷斯说，中国提出的“一带一路”倡议为全球化发展带来了中国方案，对解决全球性问题、促进国际间合作作出了重要贡献。白俄罗斯总统卢卡申科说，“中国提出的‘一带一路’倡议具有历史性的意义，将为全球经济创造新的增长点。”“一带一路”沿线的标志性工程之一中白工业园，将给白俄罗斯带来 500 亿美元的外汇收入，是对白俄罗斯经济发展的巨大支持（《人民日报》2017 年 5 月 14 日）。

三是通过技术创新挖掘合作发展动力。创新是“一带一路”建设新的活力源泉。信息技术、物联网和大数据的广泛应用，使大范围、宽领域、远距离精准高效合作成为可能。跨境电子商务、在线支付、私募共享等新型商业模式使商业的渗透力、带动力、影响力显著增强。交通运输技术尤其是高铁技术的出现，为打破“内陆锁定”、实现陆海统筹提供了有力支撑。各领域技术的跨界融合和集成创新将不断催生区域经济合作新模式（赵晋平、罗雨泽，2017）。如今，被誉为中国新四大发明的“网购、支付宝、高铁、共享单车”正成为联系“一带一路”沿线青年的新生活方式纽带，深化激活了中国与沿线国家各领域更加开放、更趋紧密的合作互动，进而转化为新的动力推动各方的互利共赢。中国高铁近年来深耕“一带一路”市场，正在引领沿线国家入“高速时代”。土耳其首都安卡拉至伊斯坦布尔的安伊高铁已建成通车，印尼雅万高铁、中老铁路建设进展顺利，吉隆坡至新加坡高铁、莫斯科至喀山高铁等多个项目正在积极推进。中国还帮助非洲打造第一条现代电气化铁路亚吉铁路，这条被誉为“新时期的坦赞铁路”将内陆城市亚的斯亚贝巴与港口吉布提贯通起来，是东非跨越五国的铁路干线，全程按照中国标准设计、融资、施工、监理、运营，是中国技术、中国标准和中国装备全面“走出去”的代表作。蒙内铁路是肯尼亚投入使用的第一条标准轨铁路，在此之前，肯尼亚仅有一条英国人 100 多年前建造的“米轨”铁路，其速度和运力早已跟不上实际需求。中国技术创新助肯尼亚走上繁荣之路。

（三）“一带一路”以平等互惠重塑全球化结构

首先，在地理结构上，“一带一路”将推动全球化的中心从西方到东方、从沿海到内陆转变。“一带一路”作为中国与大周边亚欧国家打造互利共赢共同体的新型国

际合作战略，它的实施将扭转全球化的重心，一大批长期被视为全球化对象、工具和通道的内陆腹地国家将从外围、边缘、客体走向中央、核心、主体，这些被遗忘的内陆发展中国家将被纳入全球价值链，搭上经济全球化的列车，实现与全球经济的联通互动。美国哥伦比亚大学教授杰弗里·萨克斯认为，中国提出“一带一路”的重要举措，旨在建设联结亚洲各地以及亚洲和欧洲的运输、通讯和能源基础设施。欧亚大陆的经济总量和人口加在一起都大约占到全世界的70%，而美国目前在世界产值中所占的比例大约为16%，在世界人口中所占的比例大约为4.4%。“欧亚大陆将成为世界经济重心的新动力源。”（Sachs, 2017）正可谓是“西方不亮东方亮”，在西方逆全球化风潮正酣之际，新一轮全球化正在古老丝路上再现光芒。“一带一路”建设将在欧亚大陆形成一个内部经济联系密切、互联互通频繁的巨型经济体，将给一大批内陆欠发达国家带来新的发展机遇。

其次，在力量结构上，“一带一路”将促进全球化从以大型跨国公司为主导转向以大中小型企业并重、扶植地方民生型企业。“一带一路”与发达国家大型跨国公司驱动的全球化不同，吸引沿线国家接地气惠民生的中小企业参与，是其特色和亮点。“一带一路”沿线多为欠发达国家、财力有限的小国，缺少像西方云集的500强或工业巨无霸，因此中小企业就是主力和骨干。“‘一带一路’倡议是老百姓版本的全球化，是‘南方国家’的全球化，这与跨国公司或少数利益集团把世界变成投资场所的全球化有本质的不同。”（王义桅，2016）只有调动民营、草根、中小企业的积极性，才能使“一带一路”真正走入寻常百姓家，才能在地方落地生根，成为所在地所在国发展战略的一部分。马云在圣彼得堡国际经济论坛上曾表示，过去20年，世界经历了“全球化”，但那是大企业的全球化，在某种程度上也让这个世界变得不公平了；未来20年，全球贸易应该集中在让小企业有更大的发展空间，全球贸易应是每个企业应有的权利和自由。“一带一路”是中国作为一个大国对时代和世界的担当，将为沿线国家和全球中小企业带去机会。“一带一路”国际合作高峰论坛圆桌峰会上，与会各国领导人达成共识，“我们欢迎推进产业合作、科技创新和区域经济一体化，推动中小微企业深入融入全球价值链。”

再次在分配结构上，“一带一路”将引导全球化从为富国、富人服务转变为共赢互利普惠的分配格局。以往的全球化的典型特点是“资本流向全球、利润流向西方”，有明显的不均衡、不公正性，以至于有的学者认为西方主导、西方受益的“全球化”最多只是“世界化”，有泾渭分明的中心和边缘，不是均质的全球化。“一带一路”以共商、共建、共享为原则，以打造命运共同体和利益共同体为合作目标，打破了中心—边缘、受益—受损、主动——被动的二元划分，是中国与沿线各国一起和平合作、互学互鉴、互利共赢的一体化建设。习近平在联合国日内瓦总部的演讲中指出，“2008年爆发的国际金融危机启示我们，引导经济全球化健康发展，需要加强协调、完善治理，推动建设一个开放、包容、普惠、平衡、共赢的经济全球化，既要做大蛋糕，更要分好蛋糕，着力解决公平公正问题。”在“一带一路”国际合作高峰论坛上，中国推动将共赢全球化写入圆桌峰会联合公报——“需要特别关注最不发达国家、内陆发展中国家、小岛屿发展中国家和中等收入国家，突破发展瓶颈，实现有效

互联互通。”“更好应对儿童、残疾人、老年人等弱势群体诉求；完善全球经济治理，确保所有人公平享有发展机遇和成果。”

（ ）“一带一路”以构建人类命运共同体擘画全球化未来

在全球经济低迷之际，西方政客在鼓吹“去全球化”、“逆全球化”，高举保护主义旗帜，欲从全球化中抽身而退。难道全球化在发展中国家半壁江山尚未享受其红利之际就行将终结、崩溃、消失？难道全球化在西方新自由主义范式碰壁之后就没有其他转圜可能？东方大国的文明智慧能否弥补全球化的缺失？全球化的最大弊端是不平等，首要表现是南北贫富分化，其次是各国内部的不平等，但当前国际上的贫富分化正在“让位于”发达国家国内的贫富分化。其一，国际上世界经济增长重心发生转移，南北总体差距缩小。一批新兴国家崛起，发展中国家的整体地位上升，在一定程度上掩盖了南北鸿沟和部分南方国家不进反退的现实；其二，国际上原有的南北矛盾常态化。一些发展中国家的贫困被国际社会习以为常，还有的纳入到政治框架下要求予以谈判或军事解决，有的被简化为战后重建、疾病防控和人道援助的问题；其三，在南北问题由于外界关注疲劳、自身失语而淡出国际视野之际，新媒体、自媒体发达的西方国家处于舆论舞台的中央，即使是其中的穷人也不乏表达的能力和手段，自然比穷国及其穷人受到更多关注，因此发达国家的贫富问题被凸显、放大；其四，发达国家国内贫富分化成为时代焦点问题，这是新自由主义全球化重资本轻劳工的必然结果。在金融危机中利益严重受损的西方中下阶层扛起反全球化、反潮流、反建制的大旗，说明新自由主义全球化引发的不平等已经到达临界点，出现这么多的抗议及颠覆是资本主义无法逃避的下场。

贫富对立语境、场境的变换与其说是全球化引起的，不如说是资本主义造成的，发达国家的逆全球化风潮，与资本主义危机紧密相随。“全球资本主义制度处于终端危机，并继续造成巨大的人类和环境压力，痛苦和破坏。世界工人阶级正在遭受攻击，失业、贫穷和不平等在上升，这是自 20 世纪 30 年代以来全球最大的资本主义危机。”（Jim, 2016）资本主义危机不单纯是经济危机、金融危机、债务危机，早已与政治危机、道德危机、价值危机、信用危机连在一起。资本主义危机将全球化拖入深渊，加剧了贫富对立、民主失灵、环境恶化、文明冲突等一系列问题。西方主导的全球化已经被资本主义引入歧途，目前的出路不是让全球化倒退、翻车，而是去掉全球化不合理的弊端，使全球化回归健康发展的正途。对此，中国领导人在日内瓦演讲中明确回答——“让和平的薪火代代相传，让发展的动力源源不断，让文明的光芒熠熠生辉，是各国人民的期待，也是我们这一代政治家应有的担当。中国方案是：构建人类命运共同体，实现共赢共享。”“人类命运共同体”站全人类的高度思考全球化的未来，体现了中国对人类命运的关怀和对全球化的担当。

“一带一路”是构建命运共同体、引导新型全球化的中国方案和实践。“一带一路”与西方国家推行的全球化不可同日而语。历史上，16-17 世纪葡萄牙、西班牙开辟新航路，以暴力野蛮掠夺的方式拉开了全球化的序幕；英国主导的全球化以殖民体系为动力机制，通过建立“日不落”帝国体系从中剥削掠夺最大利润；20 世纪美国引

领的全球化，通过美元霸权彻底奠定其全球第一强国的地位。21 世纪，中国基于平等互利原则、按照市场化运作模式推出了“一带一路”倡议，其建设目标是打造命运共同体和利益共同体。习近平反复强调，“一带一路”建设不应仅仅着眼于我国自身发展，而是要以我国发展为契机，让更多国家搭上我国发展快车，帮助他们实现发展目标。我们要在发展自身利益的同时，更多考虑和照顾其他国家利益。要坚持正确义利观，以义为先、义利并举，不急功近利，不搞短期行为。从长远看，通过共建“一带一路”来完善经济全球化，不仅符合中国自身发展需求，也将有助于让经济全球化惠及更多国家和地区，助力沿线国家进入工业化、现代化、全球化的快车道。与亚欧非国家的互联互通和友好合作，拉近了各国的地理距离和心理距离，切实将这些国家的命运紧紧联系在一起，从而以沿线国家的共赢全球化超越近代西方国家的“赢者全球化”。这种纠正和超越，对抑制全球化贫富分化、南北对立、精英主导、赢者通吃的弊端有着重大意义。“‘一带一路’是新时期中国最富实质内容、最具明确路径的对外开放经济战略规划，将有力塑造中国进一步崛起的地缘经济路径，打造中国与世界互联、互通、互动、互赢的新方式，也将成为中国夯实全球经济大国地位、引领新一轮全球化、建设人类命运共同体的重要抓手。”（傅梦孜、徐刚，2017）

总之，“一带一路”旨在奠定全球化的坚实基础，重塑全球化动力、结构和方向。“一带一路”的角色、作用和成效受到世界欢迎和认可，联合国大会和安理会将“一带一路”写入重要决议。“一带一路”的理念和实践丰富发展了全球化理论，赋予全球化以新的路径和希望。“中国全球治理理念‘一带一路’倡议，可以有效应对当下的逆全球化思潮，是这个负责任大国为经济全球化开出的‘中国药方’。”（塔利布，2017）

三、中国方案的鲜明特点

实施四年以来，“一带一路”在促进世界经济复苏与平衡、倡导和平稳定公正合理国际新秩序、推进全球治理改革及创新治理平台、助推 2030 可持续发展议程、推动不同民族文化的交流融合等方面的作用日渐突显，贡献世人有目共睹。在全球化遭受重重危机、反全球化/去全球化/逆全球化蔚然成风、全球治理“领导力赤字”日渐突出的重要关口，中国致力于“一带一路”的实际行动和积极担当，成为推进新型全球化的重要引擎、全球治理的务实推手，中国方案正在为全球治理增添独特的中国元素和特色。

（一）以共商共建共享创新全球治理理念和 语

习近平曾主持中央政治局第二十七次集体学习时指出，全球治理体制变革离不开理念的引领，全球治理规则体现更加公正合理的要求离不开对人类各种优秀文明成果的吸收。要推动全球治理理念创新发展，积极发掘中华文化中积极的处世之道和治理理念同当今时代的共鸣点，继续丰富打造人类命运共同体等主张，弘扬共商共建共享的全球治理理念。在“一带一路”国际合作中，中国将现行国际基本准则与中华传统理念有机结合在一起，提出了很多有特色、有新意的概念，有人已经将其概括为“一

带一路”习式语录。这些话语从治理各方主体、治理原则方式、治理机制平台、治理目标方向等方面概括了“一带一路”中国方案的内容与特色，突显了其不同于以往全球治理的异质性，同时也展现了与中国传统治国处世之道的相通性。

表 1. 中国“一带一路”治理方案的理念和 语

	主要观点	官方表述 (主要体现在习近平的演讲讲话中)	中国特色的 语
治理 主 体	沿线各国平等协商、互利共赢	“各国都是平等的参与者、贡献者、受益者”，“坚持共商、共建、共享原则，相互尊重、民主协商、共同决策”	海纳百川，有容乃大。和羹之美，在于合异
治理 方 式	坚持共商共建共享，和谐包容	“不会干涉他国内政，不会输出社会制度和发展模式，更不会强加于人。不会重复地缘博弈的老套路，而将开创合作共赢的新模式；不会形成破坏稳定的小集团，而将建设和谐共存的大家庭”	己所不欲，勿施于人。强不执弱，富不侮贫
治理 机 制	旧机制与新平台相互促进，取长补短	“‘一带一路’建设不是另起炉灶、推倒重来，而是实现战略对接、优势互补”。新老机构互补合作和良性竞争，“相互促进，取长补短，共同提高”	革故鼎新、与时俱进、兼容并蓄、责权匹配
治理 目 标	打造命运共同体和利益共同体，实现共赢共享	“以和平合作、开放包容、互学互鉴、互利共赢的丝绸之路精神为指引，以打造命运共同体和利益共同体为合作目标”，“携手构建广泛的利益共同体”，“实现包容和可持续增长与发展、提高人民生活水平，这是我们的共同目标；构建繁荣、和平的人类命运共同体，这是我们的共同愿望。”	天下大同、天人合一、美美与共、立己达人

资料来源：作者整理

（二）以亚投行等新机制完善全球治理平

“一带一路”以组建新型金融平台为龙头扭转不均衡的治理秩序。资金融通在“五通”中发挥着保障和支撑作用，只有资金到位了，倡议、工程、项目、合作才能落实。“一带一路”引发的大合作大联动大发展催生了对高质量金融服务的需求，在本质上要求资金先行，但现有国际金融机制对发展中国家支持力度不够，限制条件太多，已经成为制约沿线区域合作的紧箍咒。同时，金融危机中发展中国家惨遭美国次贷危机、欧洲债务危机冲击的现实，也倒逼金融秩序重构和创新。因此，中国领导人

强调，创新国际化融资模式，深化金融领域合作，打造多层次金融平台，建立服务“一带一路”建设长期、稳定、可持续、风险可控的金融保障体系。中国不失时机地着手构建以发展中国家为主导的新型金融治理平台，以此为契机推动国际金融秩序完善升级。系列新型金融机制相继诞生，亚投行、丝路基金、金砖银行和上海合作组织开发银行等，构成了“一带一路”的“四大资金池”。这些机构平台，为打破发达国家对全球金融秩序的垄断，促进更加平等的、发展中国家可以发挥更大作用的新型国际金融秩序做出了引领性贡献，也为推动新型全球治理方案从经济金融领域合作外溢到其他领域和议题做出了尝试和准备。最新畅销书《人民币的崛起》中写道，中国正在成为国际社会的主导成员，但不是以西方喜欢的方式。相反，中国正在把其他国家纳入它想要建立的规则体系中。创新以亚洲国家、周边国家、新兴国家为主的地区金融机制，有助于实现中国从规则的被动接受者变为规则的主动制定者，探索合作共赢、共同发展的全球化新路，是中国参与全球治理的现实依托和重要抓手。亚投行等新机制，不仅为中国参与和引领全球化拓展了新的纵深空间，而且“对全球经济治理体系改革完善具有重大意义，顺应了世界经济格局调整演变的趋势，有助于推动全球经济治理体系朝着更加公正合理有效的方向发展。”（习近平，2016）

（三）以早出成果的高效行动推 新作为

中国不仅是新型全球化方案的提出者，更是最有力的践行者。“一带一路”旨在通过联通基础设施整合区域乃至全球经济资源，促进资金、技术、物流、人文等诸要素加速自由流动，从而提升资源配置效率，形成更加高效的全球产业链、价值链和供应链，使经济活力、潜力得以释放复苏。这是一项巨大的工程，中国正致力于“成为行动队，而不是清谈馆”，以强大的协调能力和行动能力，“把能做的事情、已经形成广泛共识的事情先做起来”，以利于从易到难、从点到面地加以推进，尽快形成早期收获，吸引更多国家和地区加入。连接世界上面积最大大陆的中欧班列被视为“一带一路”上飞翔的翅膀，通过联通道路、畅通物流为促进资源配置、助力产业集聚、开发沿线市场起到了实实在在的带动作用，很好阐释了中国实干兴邦的行动力。中欧班列相对于海运、空运和其他陆运形式，具有距离短、速度快、运价低、受自然环境影响小的优势，目前已经成为沿线国家物畅其流的重要运输方式，开辟了直达欧洲三条国际大通道，覆盖中亚、俄罗斯、中东欧、西欧等丝绸之路经济带13个国家。中欧班列的开行，为大量的“中国制造”进入欧洲市场提供了快捷通道，也有利于法国的葡萄酒、西班牙的橄榄油、荷兰的牛肉等“欧洲制造”进入中国的千家万户。实实在在的效益调动了双方商贸往来的积极性。2013、2014、2015、2016年，中欧班列分别开行80、308、815、1702列，年均增长164%。随着运行时间缩短、参与城市增多、开通密度加大、进出日趋平衡，中欧班列在“一带一路”运输物流中的价值进一步提升，不仅使欧亚各国经济联系更加紧密，重绘了亚欧之间的商贸版图，还成为连接中欧人员往来、增强相互了解的便捷通道，为实现习近平访欧时提出的从简单买卖型贸易合作到复合型经贸合作过渡起到重要作用。法国知名汉学家高大伟（戴维·戈塞）在一次专访中说，“中国却正在迅速重回‘中心之国’的地位，并积极推一个具有全球性视野的新的大战略。习近平提出的‘新丝绸之路’不仅不是一个空

洞的口号，更将对未来十年有着重大影响，并会重塑欧亚大陆。”（高大伟，2016）因此，“一带一路”正在以实干和实效给全球化提供更强劲动力，促进沿线各国发挥各自比较优势，推动商品、资源、技术、成果实现共享，还为拉动其他国家包括发达国家的经济增长提供看得见摸得着的平台、机会和出路。事实胜于雄辩，“一个行动胜过一打纲领”，多出成效快出实效，才是吸引更多国家参与、消解不实不良舆论的硬道理。

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论上海服务和参与一带一路建设的条件与对策

On the Main Tasks and Specific Measures of Shanghai Service and Participation in the Construction of the Belt and Road Initiative

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【摘要】 论文结合上海国际贸易中心、具有全球影响力的科技创新中心、自贸试验区等建设目标，从上海发展与一带一路沿线国家地区经贸关系的有利条件、合作情况、任务举措、政策建议等方面 的内容，探讨上海服务和参与一带一路国家战略的政策和举措。分析了上海将“四个中心”城市建设、自贸实验区建设、航空枢纽港建设与国际经济走廊发展战略协同发展，建设国际化中心与龙头城市的必要性和可行性。

【关键词】 一带一路 自贸试验区 四个中心 集聚与扩散 区域性中心城

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Abstract: Combined with the constructions goals of the Shanghai International Trade Center, Technology Innovation Center with global influence, and Pilot Free Trade Zone, the shanghai service and participate in "One Belt And One Road", which is the country's strategic policies and measures, were discussed in this paper. The content are described from four aspects: the development of Shanghai and the favorable conditions of the country's trade relationships along the road, cooperation, task initiatives, and policy recommendations. The construction necessity and feasibility of Shanghai "four centers", Pilot Free Trade Zone, aviation hub port, international economic corridor development strategy collaborative development, and international center and the leading city was also analyzed here.

Key words: One Belt And One Road; Pilot Free Trade Zone; Four centers; Agglomeration and diffusion; Regional central city.

从顶层设计上看，“一带一路（One Belt One Road）”国家战略是指“丝绸之路经济带（the Silk Road Economic Belt）”和“21 世纪海上丝绸之路（the 21st Century Maritime Silk Road）”。它是党中央主动应对全球形势深刻变化，统筹国内国际两个大局作出的重大战略决策之后提出的重要国际性合作倡议之一，是上海四个中心建设、自贸区建设以及上海对外开放、发展开放型经济的一个重大机遇。

从区域经济学理论上，一带一路国家战略就是通过沿线各国节点城市——区域性中心城市对生产要素的集聚与扩散效应带动整个区域经济的发展。这种集聚与扩散主要包括人流、物流、资金流、技术流、信息流等方面的集聚与扩散。而在一带一路愿景与行动提出之前，上海因应国家要求，成为长江经济带的龙头城市，力争将上海建设成为现代化、国际化的大都市。所以，上海要立足国家战略、服务国家战略，当好改革开放的排头兵和先行者，在加快建设“四个中心”和社会主义现代化国际大都市过程中，要更加主动地积极参与和服务好国家一带一路、京津冀协同发展、长江经济带三大战略的实施。

一、上海发展与一带一路沿线国家地区经贸关系的有利条件

上海地处一带一路和长江经济带两大战略交汇点，积极地发展与一带一路沿线国家地区经贸关系，有利于发挥两大国家战略叠加优势和上海自贸区制度创新优势，有利于继续发挥好改革开放排头兵作用，有利于在服务好国家战略的同时加快上海创新步伐，从而进一步强化上海市作为国际中心城市与龙头城市的积聚与扩散作用。

一）“四个中心”建设成效显著，经贸交流合作平台完成

上海自 2006 年以来，大力推进“四个中心”（国际经济中心、国际金融中心、国际贸易中心、国际航运中心）的建设。近年来，上海“四个中心”和自贸区建设有效地促进了长三角、长江流域等区域经济社会的发展。比如通过上港集团采用“技术、管理、资本”三个输出的模式，与长江沿线武汉等港口城市合作，依托在上海自贸区实行的航运创新“启运港退税”制度，有力地促进了长江流域和沿海 8 个重点城市的经济社会发展。一带一路战略和上海四个中心建设密切关联，尤其是“国际贸易中心建设”，上海将按总体布置和要求落实、对接一带一路这一国家战略。2015 年，在国际贸易中心建设方面，为企业搭建的经贸合作交流平台已经完成。3 月，上海进出口商会等 92 家国内外单位共同发起成立了一带一路贸易商企业联盟，邀请一带一路沿线国家和地区的商（协）会和企业加入，促进贸易畅通。

二）上海是具有全球影响力的科技创新中心

创新驱动是新常态下上海转型升级的强大动力。上海产业技术研究院是为共性技术研发、成果转化和产业引领提供统筹、支撑、服务的平台。上海电气临港重型机械装备制造基地，是在通项目建成企业与地方合作的样板。临港新城坚持产业开发、基础设施、城镇建设、生态环境、产城融合“五位一体”全面发展。上海松江大学城、

海湾大学城、临港大学城已经集聚起数 10 万人口，各园区内的大学都在加强产学研合作，为上海创新发展、转型发展、服务一带一路集聚了更多科技和人才资源。

三) 上海自贸区位于长江经济带和一带一路物理空间交汇点，机场、港口等基础设施已实现互联互通，同时贸易畅通也已初步形成。

2013 年 9 月成立的上海自贸区在带动效应、服务质量、社会创业诸方面发展势头良好，体现了制度优势。上海自贸试验区运行一年多后，扩区方案获批，扩区面积涵盖陆家嘴、金桥、张江，共 120.72 平方公里，成为目前全国最大的自贸区。2014 年，上海自贸试验区建设取得重要的阶段性成果，制度创新全面展开，推进外商投资管理、境外投资管理和商事制度改革，落实新一轮 31 项对外开放措施，以负面清单管理为核心的投资管理制度基本建立。实施“先入区、后报关”“一次申报、一次查验、一次放行”等一批监管新措施，启动实施国际贸易“单一窗口”管理制度，以贸易便利化为重点的贸易监管制度有效运行。实施自贸试验区条例，形成一批可复制、可推广的新制度，为全国深化改革和扩大开放探索了新途径，积累了新经验。如上海自贸区行政服务中心职能完备、服务流程规范、办理事项快捷、便民举措周全，实行企业准入“单一窗口”，实施一口式服务，服务好、效率高。

上海是长江经济带的龙头城市

2015 年，“三大战略”迎来良好开局。31 个省份地方两会均已召开，对于一带一路、京津冀协同发展、长江经济带这三大国家战略，各地均进行了布局。其中，31 个省份在政府工作报告中破题一带一路，积极参与、主动融入成为各地共同态度；京津冀则提出建立协同创新共同体，并将深化大气污染联防联控；多省提出借长江经济带打造新的增长极。

长江经济带东起上海、西至云南，涉及上海、重庆、江苏、湖北、浙江、四川、湖南、江西、安徽、贵州等 11 个省市。上海广袤的经济腹地具有交通便捷、资源优势、产业优势、人力资源、城市密集、市场广阔等优势。

(五) 上海与一带一路沿线国家的重要节点城市有着友好往来

一带一路沿线国家有 64 个重要经贸节点城市，上海与其中的 13 个友好城市建立经贸战略合作伙伴关系。这 13 个友好城市为：萨格勒布市（克罗地亚）、大马尼拉市（菲律宾）、卡拉奇市（巴基斯坦）、格但斯克省（波兰）、圣彼得堡市（俄罗斯）、伊斯坦布尔市（土耳其）、亚历山大省（埃及）、海法市（以色列）、胡志明市（越南）、塔什干市（乌兹别克）、亚丁省（也门）、清迈府（泰国）、迪拜市（阿联酋）。

2015 年 5 月，杨雄率近 30 家企业赴土耳其参加一带一路经贸合作工商论坛暨企业洽谈会，扩展经贸战略合作伙伴关系的城市。6 月，由上海市人民政府新闻办公室、上海市对外文化交流协会主办，土耳其伊斯坦布尔节奏调频台承办的“魅力上海”城

市形象推广活动在古丝绸之路的要塞——土耳其伊斯坦布尔成功举办，以展现上海的经济建设和文艺风貌。

到 2015 年 6 月，中国已与 30 多个一带一路沿线国家建立了认证认可合作机制或签署合作协议，并与上海合作组织、东盟、海湾合作组织等建立了多边合作机制，开展了一系列务实合作，有力促进了我国与沿线国家的经贸发展。

（六）上海是中国近代洋务运动的中心

一带一路建设既是沿线国家经贸合作，又是沿线国家人文交流。上海在这方面既有先发优势，也有后期挑战。中国近代的洋务运动让上海的互联互通拥有深厚的历史文化底蕴，“海派文化”深深地根植于经贸、科技、教育、外交、人文、旅游等资源之中。新时代来临，上海作为国际大都市，每年吸引的国内外游客量、引进的国外尖端人才量，都位居全国前列，这为上海参与一带一路提供了对外来文化的基本认知和快速反映。这些都有利于民心相通。上海在今后一带一路的建设过程中，将坚持用马克思主义的立场、观点和方法，以实事求是的态度研判人文交流中的新情况、新问题，进一步探索上海保持自身的文化特色的新路径，取其精华，去其糟粕，既能融合外来文化，又能提升本土文化，还能推陈出新，使“海派文化”具备世界的、中国的、上海的兼收并蓄的新时代特征，架构心灵相通的桥梁。

从地理位置上看，上海既是“丝绸之路经济带”的东部沿边城市，又是“21 世纪海上丝绸之路”的始源地区城市，属于“一带”与“一路”、“内陆”与“沿海”的交汇点，具有“联通内外”的战略地位，这为上海参与和服务一带一路奠定了坚实基础。从经贸发展上看，上海是我国经济和金融中心，又是我国对外开放的重要门户，一带一路建设离不开上海的融入和支撑。从制度创新上看，经过一年多的实施，上海自贸区已经成为我国自由贸易进程的“新标杆”，并与一带一路战略的互联互通机制构建目标高度一致，这为上海参与一带一路奠定了良好基础。总之，上海经济发达，开放程度高，制度优势明显，历史文化深厚，都为上海更好参与和服务一带一路提供了重要保障。

二、上海参与一带一路建设的基本思路

上海进一步参与服务一带一路既要服务国家战略，又要与上海发展实际紧密结合。上海可以在进一步推动国际贸易合作、进一步扩大金融开放、加快建设和完善枢纽型和功能型航运基础设施和服务体系突破三个方面寻求。重点是金融服务、商贸投资、基础设施建设、人文交流、海洋经济等方面

（一）加强与长江经济带城市协同合作以带动区域整体参与一带一路建设

一带一路促进东西双向开放，对内对外开放新空间，长江经济带也是一样。

上海作为长三角龙头城市和国际航运中心，要积极带动区域整体联动。上海要参与南京、杭州、武汉、合肥等长三角其他城市和港口协同合作，以形成一个江海陆空联运的服务集聚区。如：第二条沪蓉高铁也是长江经济带的内容；太仓港与上海港合

作，开通定时航班，货在太仓港集中，集中中转到上海港。地处南北东西交汇的南京，正积极推“一区一带三枢纽”，即申请江北的国家级新区，构建东南科技创新示范带，打造空港、海港、高铁港三个枢纽，未来还将在制造业、服务业、服务外包软件、智能电网等产业方面进行创新发展。江苏 2015 年内计划开建三条高铁，力图通过两大国家战略相互协调、共同推进，让江苏的对内对外开放迈上新台阶。

上海要与舟山、宁波、南通等长三角其他城市和港口的协同合作，以形成一个江海联运的服务集聚区。在金融、贸易、资金结算、水路转航空、铁路、公路的中转，必定也要苏锡常乃至长江沿岸各港口合作，将长三角作为一个整体，共同参与一带一路战略。

例如，在上海国际航运中心的框架下，舟山江海联运的服务已经突破行政区域的概念，必然会有与上海、宁波、南通等长三角其他城市和港口的协同合作。舟山在江海联运上着重于打造国际化、国际性的现代服务体系，将形成一个江海联运的服务集聚区。在金融、贸易、资金结算等方面，肯定将与具有优势的上海合作；而“转运”所涉及的水水中转，以及水路转航空、铁路、公路的中转，必定也要和宁波、上海，乃至长江沿岸各港口合作，将长三角作为一个整体，共同参与一带一路战略。

上海要突破虹桥枢纽中心概念，联动好区域内优质的铁路网络。如起始点位于浙江义乌的“义新欧”国际铁路集装箱班列也意在以长三角整体参与一带一路战略。这趟列车从义乌出发，从新疆阿拉山口口岸出境，途经哈萨克斯坦等中亚国家，最终到达西班牙马德里，并已经于 2014 年正式纳入中国铁路总公司的中欧班列的序列。又如连云港位于沿海海运和陇海铁路网络的交汇点，借助铁路网络，未来连云港既能与上海、苏南等长三角核心区域紧密融合，又能向西横跨多省市通往中亚西欧。位于连云港的“中哈连云港物流基地”已是哈萨克斯坦在中国境内的最大物流基地，也是“长三角”与中亚五国过境运输、仓储物流、往来贸易的国际经济平台。

除了上海、舟山、义乌和连云港外，长三角多个城市正努力“互利共赢”，共同在一带一路上引进来、走出去。这种以上海为中心的长三角内部的合作创新，体现了“开放包容、互学互鉴、互利共赢”的丝绸之路精神。

构建以大虹桥为中心的长三角自由贸易网络。大虹桥地区遇到的最大发展瓶颈，就是大虹桥及周边地区至今没有具有综合功能、满足服务业开放发展需要的自由贸易便利制度安排。上海当前必须要从战略上加强大虹桥地区的制度供给与开放支持力度，进一步扩大上海自贸区的服务业开放效应。即以大虹桥商务区为中心，整合周边四个出口加工区，筹备建立“浦西自由贸易园区”，充分发挥自贸试验区的复制推广效应，依托浦西自由贸易园区的区位优势，与周边苏州自由贸易园区、昆山深化两岸产业合作试验区、南通综合 税区等各类开放型经济区，建立更加便利化的物流、人流、资金流合作机制与平台，真正发挥上海服务长三角、带动长江流域经济支撑带的龙头作用。

（二）加强与其他一带一路关联区的联动以融入一带一路

一带一路将是贯穿未来 3 年至 5 年的超级投资主题，目前已有 50 个国家参与探讨，国内约 31 个省区市宣布加入一带一路规划建设中来，未来铁路、公路、航空、港口等基础设施建设将成为突破点。关联地区包括：2 个核心：新疆、福建。18 省份：新疆、陕西、宁夏、甘肃、青海、内蒙古、黑龙江、吉林、辽宁、广西、云南、西藏、上海、福建、浙江、广东、海南、重庆。7 个高地：西宁、成都、郑州、武汉、长沙、南昌、合肥。15 个港口建设：上海、天津、宁波-舟山、广州、深圳、湛江、汕头、青岛、烟台、大连、福州、厦门、泉州、海口、三亚。2 个国际枢纽机场：上海、广州。

上海要主动对接一带一路沿线国家省市，结合对口援建、协同长江经济带发展等工作，充分取得区域合作发展最大公约数，强化区域间规划衔接，在交通体系建设、产业布局配套、环境保护、人文交流、信息共享等方面，进一步发挥上海的优势，通过资本输出、技术输出、管理输出等方式，强化与一带一路兄弟省市发展的合作共赢。具体路径可以与融入国际经济走廊战略协调一致。（见下面的表述）

（三）积极推进“四个中心”城市建设、自贸实验区建设、航空枢纽港建设与国际经济走廊发展战略协同发展，建设国际化中心与龙头城市。

上海要围绕着上述国家总体战略做文章，在协调好长江经济带区域内部和关联兄弟省市发展战略的基础上，进一步融入国际经济走廊。总体说来，上海国际航运中心建设要主动对接一带一路，国际金融中心建设要融入一带一路，自贸实验区建设要服务于国际航运中心建设要主动对接一带一路，通过为一带一路资金融通、贸易便利、基础设施、人才流动等提供载体和平台等方式，强化上海在一带一路建设中的国际合作桥头堡作用，为实施好国家战略做出更大贡献。

加强与新疆的联动合作，衔接陆桥物流运输大通道。新丝路的中心线为：连云港——郑州——西安——兰州——新疆——中亚——欧洲。因此，要加强与连云港的联动合作，衔接新欧亚大陆桥。上海是新疆的对口援建单位，有着良好的合作基础，未来可以通过原来的亚欧大陆桥向西经新疆（丝绸之路经济带核心区）连接哈萨克斯坦及其中亚、西亚、中东欧等国家。

强化海港与沪昆高铁的功能，衔接孟中印缅经济走廊。沪昆高速铁路是一条东起上海，西至云南昆明的东西向铁路大动脉。2015 年 6 月沪昆高铁直通贵阳，为 2016 年沪昆高铁全线开通运营奠定基础。沪昆客专开通后，云南将接入全国高铁网络，昆明至上海由目前的 40 多个小时缩短至 10 小时左右。沪昆客专开通后，将形成一条西南与华中、华东地区之间大容量的快捷客运通道，对促进东西部经济文化交流具有重要意义，上海将成为发展西南区域经济，促进中国经济“西进南下”的桥头堡。上海通过云南、广西连接巴基斯坦、印度、缅甸、泰国、老挝、柬埔寨、马来西亚、越南、新加坡等国家；通过亚欧陆桥的南线分支连接巴基斯坦、阿富汗、伊朗、土耳其等国家。

运用与北京已有的交通优势，联动京津冀协同发展战略，衔接中蒙俄经济走廊。主要通过环渤海、东北地区与俄罗斯、蒙古等国家的交通和能源通道，向东连接日本和韩国，向西通过俄罗斯连接欧洲。上海将与北线 B：北京——俄罗斯——德国——北欧，中线：北京——西安——乌鲁木齐——阿富汗——哈萨克斯坦——匈牙利——巴黎形成联动。此外，上海港还可以与天津港联动，链接北京。因为天津是中蒙俄经济走廊的东部起点和海上合作战略支点，具有区位优势明显、经贸发展强劲、运距相对优势、航线布局便捷、海空联动前景广阔、多重战略机遇叠加的特色优势。

深化上海与日本、日本、美国的联系，与北线形成联动。即形成上海与北美洲（美国，加拿大）——北太平洋——日本，韩国——东海（日本海）——海参崴（扎鲁比诺港，斯拉夫扬卡等）——珲春——延吉——吉林——长春——蒙古国——俄罗斯——欧洲（北欧，中欧，东欧，西欧，南欧）的联动。

运用上海与长三角港口群的联系与南海——南太平洋、南海——印度洋——欧洲 2 条 21 世纪海上丝绸之路形成联动。形成上海、宁波-舟山、福州、厦门、泉州海上战略堡垒，联动港口、滨海地带和岛屿共同连接太平洋、印度洋等沿岸国家或地区。即运用上海与福建（21 世纪海上丝绸之路核心区）同属于华东地区的区位优势和现有交通条件与南线形成联动，形成上海——泉州——福州——广州——海口——北海——河内——吉隆坡——雅加达——科伦坡——加尔各答——内罗毕——雅典——威尼斯经济走廊。

三、上海服务一带一路建设已经取得的重要阶段性成果和政府专项行动

为了服务好一带一路建设工作，上海市在 2015 年就成立了推进一带一路建设工作领导小组，研究制定了专门的实施方案，聚焦经贸投资、金融合作、人文交流、基础设施等 大领域，精准发力，持续滚动实施。《上海服务国家一带一路建设发挥桥头堡作用行动方案》（2017 年 10 月 11 日）中显示，上海市经过近几年的不懈努力，在服务国家一带一路建设取得了下列重要阶段性成果，今后将在此基础上开展六类专项行动。

（一）经贸投资

经贸投资是一带一路建设的重要内容，上海把它作为全面提升对外开放水平的主攻方向。过去三年，上海在一带一路沿线国家（地区）投资项目 246 个，实际投资额达 54.9 亿美元，年均增长近 1.6 倍；承接重大工程 3019 个，累计合同额达 217 亿美元，年均增长 9.4%；与沿线国家（地区）贸易额突破 5000 亿元，占全市比重超过 20%。企业走出去的步伐在加快。一批重点项目在沿线国家（地区）落地生根。比如，上海电气在一带一路国家（地区）承接的电站、输配电工程合同金额已达 28 亿美元；华谊集团在一带一路国家（地区）投资累计达到 4.19 亿美元；上海企业投资建设的印尼青山产业园被认定为国家级境外经贸合作区，园区及入园企业已完成投资总额超过 30 亿美元。经贸合作伙伴关系在不断拓展。上海已经与 19 个沿线国家（地区）建立了经贸合作伙伴关系，上海进出口商会与沿线 92 家商协会和企业成立了一带一路贸易商联盟，

为企业搭建了合作平台。经贸规模在持续增长。2017 年 1-8 月，上海与沿线国家（地区）贸易额达到 4295 亿元人民币，同比增长 21%；新签对外承包工程合同额 19.3 亿美元，占全市的比重已达到 67.3%。

今后将围绕对接国家自由贸易区战略，构建一带一路多层次贸易和投资合作网络，促进贸易和投资自由化便利化。最核心的是要发挥上海自贸区的制度创新优势，提出了两方面措施，即以上海自贸试验区为载体，加强与沿线国家（地区）制度和规则对接；以区港一体、一线放开、二线安全高效管住为核心，加快推进自由贸易港区建设。重点建设 5 大功能性平台：即积极承办好 2018 年中国国际进口博览会，提升上海国际会展平台服务功能；建设一带一路进口商品保税展示中心；建立一带一路综合性经贸投资促进服务平台；建设一带一路技术贸易措施企业服务中心；提升上海自贸区文化服务贸易基地功能等。

（二）金融合作

在国家部委支持下，上海加快金融市场与一带一路沿线国家（地区）的双向开放和互联互通，确立了以自由贸易账户体系为基础的跨境金融服务制度，对一带一路建设支撑的金融服务体系更加完善。具体表现在：金融市场国际化程度 进一步提高。支持境外机构和企业在上海金融市场发行债券。自俄罗斯铝业联合公司在上海证券交易所发行首单一带一路沿线企业熊猫债以来，熊猫债的发行主体已扩展至国际性金融组织、外国中央政府、外国地方政府、境外非金融企业，累计发行已超过 2000 亿元。上海黄金交易所分别同迪拜黄金与商品交易所、匈牙利布达佩斯证券交易所签署了合作备忘录，授权对方挂牌以上海金计价的期货合约，实现了上海金在国际金融市场上的首发。截至今年 8 月底，上海黄金交易所已有来自一带一路沿线国家（地区）的国际会员 12 家，约占其国际会员总数的近 20%。人民币跨境业务迅速发展。建立了人民币跨境支付系统（CIPS），一期已经上线运行，首批 19 家境内外资银行参与，将为人民币国际化和把上海建设成为全球人民币跨境支付和清算中心发挥重要作用。同时，积极探索在上海自贸区开展人民币境外贷款、跨境人民币双向资金池等创新业务，截至目前，累计已有 678 家企业开展跨境双向资金池业务，资金池收支总额约 8650 亿元。金融机构集聚效应明显。近年来，金砖国家新开发银行、全球清算对手方协会、中国险投资公司、国家开发银行上海总部等一批与一带一路建设有关的国际型、总部型、功能性的金融机构和组织，相继在上海成立。一带一路沿线国家（地区）外资银行也积极来沪设立分支机构。截至 2017 年 8 月底，上海共有来自 15 个一带一路国家（地区）的 5 家法人银行、13 家外资银行分行和 11 个代表处，在沪一带一路国家（地区）银行的总资产规模约 2122 亿元人民币，占上海辖内外资银行的 14%，同比增长近 49%。

今后要把握国家金融开放和人民币国际化机遇，在风险可控前提下，依托上海自贸区金融改革创新，对接一带一路金融服务需求，加强与上海国际金融中心建设联动，目标是把上海建设成为一带一路投融资中心和全球人民币金融服务中心。围绕企业普遍关心的跨境资金汇兑问题，行动方案提出，要加快推进人民币跨境支付系统（CIPS）二期建设，打造人民币跨境支付和清算中心；进一步拓展上海自贸试验区自由贸易账

户功能。围绕全面对接企业的投融资需求，必须要完善面向一带一路的投融资服务体系，支持沿线国家（地区）在上海发行熊猫债等人民币证券产品，支持境内外优质企业利用上海资本市场发展；加大开发性和政策性金融支持力度，争取国家开发银行和中国进出口银行加大对通过上海开展一带一路项目的贷款支持。围绕拓展金融市场开放度，必须要加强上海金融市场与沿线国家（地区）双边和多边合作，支持在沪金融市场与沿线国家（地区）交易所、登记结算机构间的双边业务和股权合作，深化黄金国际板建设和上海金定价机制；尽快推出原油期货等。

（三）人文交流

上海依托国际大都市的人文优势，与一带一路国家（地区）在文化、旅游、科技、教育、医疗等方面，开展了多领域、深层次的广泛合作，为一带一路建设夯实了民意基础。文化、旅游等合作深度拓展。上海与一带一路国家（地区）建立了艺术节、电影节、美术馆、博物馆、音乐创演等领域的五大合作机制。其中，一带一路艺术节合作发展网络已覆盖到30个国家、60家艺术节及重要文化机构；上海国际电影节已将一带一路作为国际展映板块的常设单元，今年共收到一带一路国家申报电影1016部，占总数的近40%。教育、医疗等国际交流取得新进展。2016年，来自一带一路国家（地区）的在沪留学生约1.6万余名，占来沪留学生总数超过25%。同时，上海还组织开展了各类专题培训项目，资助一带一路国家（地区）人才来上海学习进修，培训议题涵盖航运、能源、农业等多个领域。以上海中医药大学附属曙光医院为主要合作方的中国-捷克中医中心项目已正式纳入中捷合作国家战略。友城合作持续扩围。上海充分发挥友城对外交往的主渠道作用，目前已与57个国家84个城市建立了友好城市关系，与一带一路沿线城市的合作网络进一步得到拓展。

今后要依托国际文化大都市建设，发挥好重大节、赛、会作用，搭建更多文化艺术、教育培训、卫生医疗、旅游体育等交流机制和平台，全面提升人文合作交流水平。重点是深化5大合作交流机制，即成立国家级丝绸之路国际艺术节联盟，加强上海国际电影节、美术馆、博物馆、音乐创演等与沿线国家（地区）交流互动。升级打造3项工程，即升级打造一带一路公务人员培训工程、青年留学上海工程及能力提升培训工程、走出去跨国经营人才培训工程。

（四）基础设施

依托世界级航空和港口的枢纽地位，不断完善与全球城市枢纽节点地位相匹配的集疏运体系和航运服务体系，提升为一带一路建设服务的能力。具体表现在：航空枢纽服务功能明显提升，上海机场航空旅客吞吐量超过1亿人次，已成为全球第五、我国第一的枢纽性机场，航空货邮吞吐量连续9年保持全球第三位。目前，已有107家航空公司开通了到上海两场的航班，航班网络遍布全球282个城市。上海与一带一路沿线24个国家（地区）实现了直航，通航点达到47个。目前，通过上海机场进出我国的一带一路航空旅客占全国机场总量的1/3，航空货邮占全国机场总量比重超过50%。深水枢纽港集疏运功能不断提升，上海港集装箱吞吐量连续七年保持世界第一，上海港国

际班轮航线遍及全球主要航区，已同一带一路沿线国家（地区）100 多个主要港口建立了密切联系。2016 年，上海港与一带一路沿线完成外贸集装箱吞吐量 964 万标准箱，占总量的 35%。国际航运服务功能有力拓展。上海航运交易所发布了我国首个一带一路航贸指数，为衡量一带一路国家（地区）贸易畅通、交通运输等方面的成效提供了量化标准。国际海事组织亚洲技术合作中心落户上海，将进一步增强上海代表我国参与全球海事技术标准制定的话语权。

今后主要围绕加强与上海国际航运中心建设联动，畅通内外连接通道、拓展综合服务功能，巩固提升上海全球城市门户枢纽地位。一方面，要加强集疏运体系建设，进一步拓展完善航线航班网络布局，加快打造高效通畅的全球集装箱海上运营网络，提升上海航空枢纽航线网络覆盖面和通达性；加快构建全方位多式联运综合体系，积极发展海铁联运，加强上海铁路网与中欧、中亚铁路网衔接。另一方面，要强化现代航运服务体系建设，深化一带一路航贸指数的内涵，进一步拓展应用范围；打造海上丝绸之路港航合作机制，与沿线国家（地区）港口建立长期稳定的沟通协调和战略发展合作机制；提升国际海事组织亚洲技术合作中心服务功能，构建国际海事合作网络等。

（五）科技创新

上交会是中国唯一以技术贸易为宗旨的国家级展会，以“技术，让生活更精彩”为核心理念，以“创新驱动发展，保护知识产权，促进技术贸易”为主题，旨在通过整合海内外科技力量和创新成果，打造促进技术贸易发展和实现创新升级战略的权威性展示、交流、服务的平台。2015 年第三届上交会联合国工发组织主题日暨技术贸易国际论坛的主题确定为“以技术贸易促 科技创新，深入落实‘一带一路’国家战略”，引入当今国际性博览会的先进经验，首次设立主宾国机制，邀请一带一路沿线国家捷克共和国担任主宾国，旨在推动中捷双方在技术、科研和经贸等方面的合作。第三届上交会境外参展规模扩大，由 2014 年的 103 家增加到 139 家，分别来自捷克、意大利、奥地利、德国、俄罗斯、法国等 20 个国家和地区，超过上届的 16 个。

上海张江高科技园区在上交会现场举办“张江发布”，展示并推介大张江的新技术、新业态、新模式，体现上海科技的元素。一批富有活力的中小微高新技术企业也积极参展，比如，同济大学展示 3D 打印赛车、众人网络安全技术展示身份认证系统、厨易时代展示社区生鲜厨易站等。创客作为国际组织参展，筛选了来自全国各地的优秀创客作品和优秀创客参加上交会。

有很多全球超酷超炫的智能产品集聚在上交会。这些明星产品有：意大利科学研究院的“cub 人形机器人”，谷歌眼镜、谷歌无人驾驶汽车、谷歌积木手机等高新技术前沿创新产品，微软公司的 Xbox One 等等。

今后上海主要围绕全面对接国家一带一路科技创新行动计划，加强与科技创新中心联动，利用优势科技资源，依托功能性平台和项目，促进科技联合攻关和成果转化。主要包括推进建设技术转移中心、联合实验室、科技园区、大科学设施开放共享等 4

大科技创新合作平台：即建设一带一路技术转移中心；与沿线国家（地区）相关机构共建一批联合实验室或联合研究中心，争取5年达到20家左右；以张江自主创新示范区为载体，分享上海高新技术产业园区经验，加强与沿线国家（地区）科技园区合作；依托张江综合性国家科学中心建设，推动大科学设施向沿线国家（地区）开放。同时，要深化科技交流，5年内资助沿线国家（地区）优秀青年科学家400人次以上，来沪进行为期6—12个月的科研工作。

（六）智库建设

上海要明确发挥各类智库研究优势、网络优势和资源优势，为一带一路建设提供专业智力支撑。重点打造6大智库项目：依托上海社科院建立“丝路信息网”，建成国家级丝路信息数据库；依托复旦大学成立一带一路智库合作联盟，加强与沿线国家（地区）智库资源整合、政策沟通、人才交流；依托上海外国语大学，建立上海全球治理与区域国别研究院；依托上海交通大学中国城市治理研究院，面向一带一路沿线城市开展合作交流；依托上海外国语大学，提升中国-阿拉伯改革与发展研究中心服务功能，推动中阿治国理政经验交流和深层次合作；依托上海对外经贸大学、华东政法大学，加强与沿线国家（地区）贸易投资机构交流互动，共同研究探讨商事与贸易投资规则设计。

从全局来看，一带一路为全球经济结构化改革打开了“另一扇门”。一方面，金融危机后，全球经济增长乏力，饱受流动性泛滥之苦，潜伏着泡沫和高杠杆的“暗礁”，另一方面，离出海口的内陆国家和交通不便的发展中国家，基础设施欠缺，难以获得资本的青睐，成为全球化的“盲区”。从某种意义上说，一带一路就是将“资本高地”与“投资洼地”连接起来，引领新一轮全球资源重新优化配置，是中国与世界合作共赢的伟大“创意”。

从上海来看，上海是我国直辖市之一、国家历史文化名城，国际经济、金融、贸易、航运、科技创新中心。作为国际经济、金融、贸易、航运中心，以及自贸区战略试验田，上海位于一带一路与长江经济带的“T字形”交叉口，能否充分发挥交汇点制度创新的优势，在国家重大战略中发挥关键节点的辐射带动作用，决定了上海能否服务好国家战略并从中发展自身。

从理性来看，一带一路国家战略诞生于全球化时代。它是开放合作的产物，而不是地缘政治，不能用过时的冷战思维去看待。它是中国在新的历史时期、面向新的世界环境下，对外开放战略的重大创新，不光利在当前，更是功在长远。因此，上海要真正形成推进一带一路建设的合力，就要因地制宜，要避免“一窝蜂”地盲目上马、盲目攀比，用科学的决策引领一带一路建设。

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