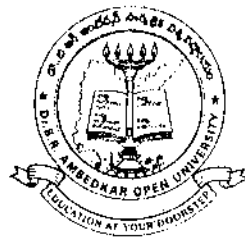


PUBLIC ADMINISTRATION

ELEMENTS OF PUBLIC ADMINISTRATION



Dr. B. R. AMBEDKAR OPEN UNIVERSITY
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This text forms part of Open University course. The complete syllabus for the course appears at the end of this text.

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INTRODUCTION

Public Administration, as an activity and as a subject of study occupies a significant place in the modern complex societies. Public Administration as a subject of study is essentially concerned with the study of administration of public affairs. In the wake of rise of organised societies and the State intervention in every aspect of human life, public administration acquires added significance.

The course seeks to provide an understanding of the elements of public administration. The discussion in this volume begins with the meaning and scope of public administration, its importance and its relations with other social sciences. Different approaches to public administration, important principles of organisation, concepts of bureaucracy and public accountability are the other important aspects of Public Administration which find a place in this course.

This course deals with the topics included in the syllabus for the second year of the Public Administration course offered by the Andhra Pradesh Open University. These topics generally cover the core area of the subject to be studied in the second year of the three year degree course. The syllabus, for the sake of convenience, is divided into blocks, each of which comprises a number of units. Each block generally covers a specific area of the subject. The units are prepared by specialists in accordance with a format intended to enable the student to read and understand them without much difficulty.

The syllabus, model examination questions and assignments are given at the end of the book.

The University hopes that this material would help the students to get acquainted with the principal issues in Public Administration which make for its distinctiveness and significance.

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BLOCK – I

NATURE OF PUBLIC ADMINISTRATION

Block I of the course material consists of three units. Unit 1 acquaints the student with the meaning, scope, differences, and similarities between public and private administration. In view of the growing importance of interdisciplinary approach to the study of organizations, Unit 2 deals with the relationship of public Administration with other Social Sciences, such as political Science, sociology etc. Administration is regarded as the agent of social change. In view of this, Unit 3 discusses the importance of Public Administration as a discipline, as a profession and its special role in bringing about socio-economic changes in the society.

UNIT – 1: MEANING AND SCOPE OF PUBLIC ADMINISTRATION

Contents

- 1.0 Objectives
- 1.1 Introduction
- 1.2 Meaning and Definitions
- 1.3 Scope
 - 1.3.1 As an activity
 - 1.3.2 As a subject of study
- 1.4 Characteristic Features
- 1.5 Public and Private Administration
 - 1.5.1 Differences
 - 1.5.2 Similarities
- 1.6 Summing Up
- 1.7 Answers to Check Your Progress
- 1.8 Model Examination Questions
- 1.9 Reference Books

1.0 OBJECTIVES

This unit tries to introduce the subject of Public Administration to the Undergraduate Students. After going through this unit you would be able to:

- define Public Administration;
- understand it as an activity and as a subject of study, and
- identify the differences and similarities between public and Private Administration.

1.1 INTRODUCTION

Public Administration as an activity, is timeless. However, it was in a rudimentary form, performing certain bare essential functions in the ancient and medieval times. On the other hand, in modern times it is the concern of every citizen in view of the variety of services provided by the administrative machinery, touching him at every turn of his life.

As a subject of study, Public Administration is of recent origin just one hundred years old. It can be stated that the subject gained academic independence since 1970. It is studied as an independent discipline in some universities in India and abroad.

1.2 MEANING AND DEFINITIONS

Public administration consists of two words Public and Administration. The word "administration" is derived from two latin words 'ad' and 'ministrare' which means to serve, to manage affairs or to look after people. According to John A. Veig 'Administration is determined action taken in pursuit of a conscious purpose'. Felix A. Negro defines : " Administration is the organisation and use of men and materials to accomplish a purpose." Herbert Simon has pointed out that administration, in its broadest sense, consists of activities of groups co-operating to accomplish common goals. An analysis

of the definitions clearly indicates that in every administration a common purpose and a collective or group effort are inherent. There is no administration if there is only a common purpose without a collective effort or vice-versa. Hence administration is called a 'technology of social relationships'. Administration is a generic term. In other words, it is a root from which several branches sprang up. It can be stated that wherever there is a type of collective activity involving men and material, there is administration. So, there are different administrations – revenue administration, military administration and private administration .

The word 'public' has several meanings. It may mean government, people or open. However, in public administration the word 'public' is used mainly to denote government. This can be justified on the ground that the government is the only organisation or institution which includes all people belonging to a given territory. Although in common parlance public administration means government administration at central, state or local level, yet in recent times, it is increasingly felt that the ambit of public administration is not confined to just government administration. The word 'public' is defined as a term with a broader meaning. In that way, public administration is more and more concerned with public affairs. Thus, the frontiers of public administration are expanding.

From the very start of the study as a subject, Public Administration faced a sort of 'definitional crisis.' In other words, there was no unanimity as regards what public administration is and what it is not. It would not be possible here to give all the definitions given by eminent writers. A few definitions are given below by way of illustration. Any definition would depend upon how public administration is viewed at. Some of the definitions are:

"Public administration is a detailed and systematic execution of public law. Every particular application of law is an act of administration". (Woodrow Wilson). "Public administration consists of all those operations having for their purpose the fulfilment or enforcement of Public policy as declared by competent authority". (L.D.White).

D.Wight Waldo defines Public administration, as 'the art and science of management' applied to the affairs of the state.

"Administration has to do with getting things done. Public administration is that part of the science of administration which has to do with government, and this concerns itself primarily with the executive branch, where the work of the government is done, though there are obviously problems in connection with the legislative and judicial branches".

"By public administration is meant in common usage, the activities of the executive branches of the National, State and Local governments." (H.Simon)

"Public administration consists of getting the work of government done by co-ordinating the efforts of the people so that they can work together to accomplish their tasks....it also involves managing, directing and supervising the activities of thousands, even millions of workers so that some order and efficiency may result from their efforts." (Pfiffner).

"Administration is concerned with 'what' and 'how' of the government. The 'What' is the subject matter, the technological knowledge of a field which enables the administrator to perform his tasks. The 'how' is the technique of management, the principles according to which co-operative programmes are carried to success. Each is indispensable; together they form the synthesis called administration."(Marshall E.Dimock)" Administration signifies the organisation, personnel, practices and procedures essential to effective performance of civilian functions entrusted to the executive branch of the government." (John A.Veig.)

1.3 SCOPE

An analysis of the several definitions indicates that public administration could be viewed as an activity of implementing public policy or could be viewed in terms of a broader integrated political and administrative process involving the stages of anticipation, conception and formulation of public policy to its implementation and management. We would further study this aspect under the scope of Public Administration.

What is the scope of Public Administration? In other words, what are its boundaries or limits? Frankly speaking, we should know what Public Administration is and what it is not. The scope of Public Administration can be studied as an activity and as a subject of study.

1.3.1 As An Activity

As an activity, what does Public Administration include? There are two views regarding the scope. They are the wider or integral view and the narrower or managerial view. According to the integral view, Public Administration includes all the activities of the three branches of government viz., executive, legislature and judiciary. Accordingly, Public Administration is the sum total of all the activities undertaken in pursuit of and in fulfilment of public Policy. L.D.White adopts this view as could be seen from his definition. Luther Gulick, on other hand has taken a different view. He views the scope of administration as confined to executive branch of government only, that too with getting things done. In other words, there are two views regarding the scope of what constitutes 'Public', i.e., government activities of the three branches of Government or the activities of the executive branch only. Similarly, there are two views regarding the scope of what constitutes, 'administration', all the activities performed by the officials from top to bottom or only managerial activities performed by the top few. In fact, today, we find public administration increasingly concerned with policy formulation as well as implementation. Many of the amendments to the Acts are initiated and formulated by the civil servants. Judicial pronouncements or court judgements have to be enforced by the administration. In this way, public administration is nothing less than the whole government in action. Its scope as an activity varies with the conception of good life, as to what the people expect from the government. It can thus be concluded that the scope of public administration as an activity, embraces the area and activity under the jurisdiction of public policy, (It can be stated that public policy is that which relates to what the government does or chooses not to do). In fact, it is felt that scope is not restricted to government institutions only. Aided educational institutions (funded and controlled by the government) and co-operative institutions (which are also considerably financed by the government) which have to do with public welfare come under the purview of public administration. In this connection, it is worth quoting Felix A.Nigro who summed up the features of public administration as:

1. a co-operative group effort in a public setting
2. covers all the three branches—executive, legislative and judicial and their relationships
3. has an important role in the formulation of public policy and is thus a part of the political process
4. is more important than, and also different in significant ways from private administration
5. as a field of study and practice, has been much influenced in recent years by the human relations approach
6. is closely associated with numerous private groups and individuals in providing services to the community

1.3.2 As a Subject of Study

There are also two views regarding the scope of Public Administration as a subject of study viz. **POSDCORB** view and subject matter view. **POSDCORB** view stresses the importance of managerial tasks. In other words, administration consists of managerial tasks. This view is held by writers on business and industrial administration like Henry Fayol and L. Urwick. It was Luther Gulick who coined the acronym **POSDCORB** to describe clearly the managerial tasks; each letter of this acronym stands for one managerial activity.

- P** Planning which is preparation for action.
- O** Organisation which is the structure through which the objectives are realised. It involves division of work and co-ordination i.e., cutting and sewing together.
- S** Staffing which in other words is the entire gamut of personnel management from recruitment to retirement.
- D** Directing means issuing orders and instructions for the guidance of the staff.
- Co** Co-ordination means the all-important activity of interlating the various parts of the work and eliminating overlapping and conflict.
- R** Reporting means keeping both the superiors and subordinates informed of what is going on.
- B** Budgeting, the entire gamut of Financial Administration.

For a long time, it was felt that the **POSDCORB** activities constituted the core of public administration. But it was later realised that they were neither the whole of administration nor even the important part of it. They are only housekeeping activities. They are best tools of administration. The substance of administration is something different. Even those **POSDCORB** activities are also influenced by the subject matter of administration. undue emphasis on the means or tools to the detriment of substance is to miss the very heart of administration. Hence the subject matter view of administration arose. This lays stress on the activities or services i.e., the subject matter of administration. These services have important techniques of their own.

In conclusion, it can be stated that the **POSDCORB** view and subject matter view are not mutually exclusive. In a way they are complementary to each other. As in the case of social science as, the scope of public administration consists of the theory part and the applied part. The theory which is general and abstract largely consists of **POSDCORB** activities while the applied part consists of the studies or concrete application of administrative theory to various fields such as revenue administration, agricultural administration so on.

Check Your Progress – Exercise No. 1

1. How many views are there on the scope of Public Administration? What are they?

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2. Who coined the acronym POSDCORB and what does it describe?

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1.4 CHARACTERISTICS OF PUBLIC ADMINISTRATION

The nature of Public Administration implies its characteristics. In other words, how does one distinguish it? What are its principal characteristic features? At the outset, it may be mentioned that public administration today is a vast and large scale organisation. The spectacular increase in the range and volume of its functions and activities necessitated the increase in size. The number of personnel engaged directly in the tasks of public administration in certain countries runs into lakhs. It is stated that there are about six lakhs of State Government employees in Andhra Pradesh. In other words, apart from the scale of its operations, even from the stand point of public personnel employed, it is a vast organisation. In the words of Nicholas Henry, this burgeoning bureaucracy is a phenomenon of public administration. Public administration is monopolistic. In other words, in the field of its activities, there is no other competitor. In such areas like post and telegraphs, police, currency and coinage and even life insurance functions there is the monopoly of public administration. Further the activities of public administration are characterised by a sense of urgency, at least in theory. They can not brook any delay.

There should be uniformity in its treatment of the citizens. Favoured treatment or special treatment of a chosen few can be stated as anti-public administration. Public accountability of public administration is its other characteristic. The question of administrative accountability is implicit in both policy formulation and implementation. Public administration's activities are regulated by elaborate rules and regulations necessitating elaborate record keeping and having regard for precedents. This tends to make it bureaucratic with the attendant evils.

The motto of public administration is public service. This consciousness of community service makes public administration, public or people oriented. Public interest and public welfare are its prime objectives. Lastly, it can be stated that public administration is a universal process which characterises all collective effort. Without it, no government whether in developed or developing countries, can survive.

1.5 PUBLIC AND PRIVATE ADMINISTRATION

Public administration operates in a governmental setting. The administration of affairs by private individuals or groups of individuals eg., association, company or corporation is private administration. In other words, it can be stated that non-public administration is private administration. Although, they differ from each other as regards the scope, character, administrative norms and accountability, they have much in common. It would be quite appropriate to study the differences first.

1.5.1 Differences

As Paul Appleby pointed out, three aspects viz. breadth of scope, impact and consideration, public accountability and political character differentiate Public Administration from private administration. Firstly, Public Administration is subject to Political direction. Policies are laid down

by the legislature and the Ministers; of course, in this task they are assisted by the civil services. It was pointed out that all governmental organisations are not merely administrative entities, they are and must be political organisms. For the conduct of public affairs, selection of men at higher levels is generally according to political considerations. On the other hand, private administration is to a large extent non-political in character. Secondly, the scope of public administration is extensive. The scope of the activities of private administration, although increased in recent times, does not affect the lives of the people to that extent. They are also not that extensive. Thirdly, the main objective and guiding consideration of Public administration is public welfare or Service. The predominant consideration in private administration is profit motive. The profit-seeking private organisations are less concerned in considering the public interest in their decision-making structure and in the behaviour of their administrators. Fourthly, Public accountability is an important feature of Public Administration. As stated by Paul Appleby, Government administration differs from all other administrative work by virtue of its public nature, the way in which it is subject to public scrutiny and outlay. Private administration is not that responsible to the public. In matters of finance there is external financial control in public administration and not so in private administration. Fifthly, it is well known that public administration should be consistent in its treatment. Sixthly, public administration is characterised by its bureaucratic behaviour. In other words, the form and the procedures are given more importance than the substance. Private Administration, on the other hand is business-like. Seventhly, public Administration is regulated by rules and regulations in such matters as purchases and tenders whereas private administration is not so much regulated. Eighthly, public administration is monopolistic in nature whereas private administration is competitive leading to better performance. Ninthly, in public administration, officials have to work in anonymity and it is not so in private administration. Lastly, public administration carries much social prestige and its tasks are of a more pressing nature than private administration.

1.5.2 Similarities

However, on closer examination, one finds that the differences between the two are one of degree rather than of kind. For instance, large private organisations tend to be bureaucratic. There is an element of profit in public undertakings. In recent times, similarities between the two are stressed.

1. Many of the skills eg., clerical, accounting, statistical and managerial, required are common to both. There is an exchange of personnel between the two. For instance, retired government officers are appointed to certain managerial posts in private administration. This would not have been possible if the skills are much different.
2. Business practises and standards have been increasingly influencing the methods of Public Administration in matters like office management of public undertakings through public corporations and companies.
3. Private administration is not so much private as it used to be in the past. Private administration is increasingly regulated by public administration in such matters as personnel management (recruitment, wages etc.,) financial participation, quality control and prices.

They differ not so much in theory and practices as in uses to which they are put. Even in their particular objectives, the gap between them is not very wide. They have special values and techniques of their own which gives each its distinctive character. We can conclude this discussion, by quoting Huxley who stated that public administration is in a glasshouse wherein we can see but private administration is in brick and mortar house.

Check Your Progress – Exercise No. 2

1. What do you mean by bureaucratic behaviour?
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2. Explain how Public Administration is subject to political direction?
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1.6 SUMMING UP

To sum up, it can be stated that public administration is increasingly concerned with public policy (in its formulation as well as in its implementation) and is serving the public interest and public welfare to a greater extent than ever before. In the context of the expanding frontiers of public administration, Nicholas Henry very aptly stated that public administration is a broad-ranging and amorphous combination of theory and practice. Its purpose is to promote a superior understanding of government and its relationship with the society it governs, as well as to encourage public policies, more responsive to social needs and to institute managerial practices attuned to effectiveness, efficiency and the deeper human requirements of the citizens. Further, public administration is a universal process without which no government in a country can survive. Although, there are several points of distinction between public and private administration, they have much in common.

1.7 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. There are two views. They are (a) It is an activity (b) It is a subject of study.
2. Luther Gulick coined it. Each letter in this word represents one aspect of management, namely, P-Planning, O-Organisation, S-Staffing, D-Directing, Co-Coordination R-Reporting & B-Budgeting.

Exercise No. 2

1. Form and procedure are given more importance than the substance. In other words means are more important than the ends (results or goals).
2. Policies are laid down by the legislature and the ministers. Selection of men at the higher levels is according to political considerations.

1.8 MODEL EXAMINATION QUESTIONS

- I. Answer the following in about 30 lines each.
 1. What are the characteristics of public administration?
 2. Distinguish between public and private administration.

3. State the similarities between public and private administration.
4. What are the features of Public Administration as a discipline in social sciences?

II. Answer the following in about 15 lines each.

1. Define public administration and explain its meaning.
2. Explain the scope of public administration as an activity.
3. Explain the scope of public administration as a subject of study.

1.9 REFERENCE BOOKS

1. M.P Sharma & Sadhana Public Administration in theory and practice, Kitab Mahal, Allahabad, 1988
2. Avasthi & Maheshwari Public Administration, Laxminarain Aggarwal, Agra, 1984
3. Nicholas Henry Public Administration and Public Affairs, Prentice Hall Inc., Englewood cliffs, N.J. 1980 New Delhi.
4. Mohit Bhattacharya Public Administration, The world press, Pvt., Calcutta, 1981.

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UNIT – 2 : RELATIONS WITH OTHER SOCIAL SCIENCES

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- 2.3 Public Administration as a Social Science
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 - 2.4.3 Relations with Sociology
- 2.5 Summing Up
- 2.6 Answers to Check Your Progress
- 2.7 Model Examination Questions
- 2.8 Reference Books

2.0 OBJECTIVES

In this unit an attempt has been made to understand the integrated nature of social phenomena and to analyse the relationship between Public Administration and other Social Sciences. After going through this unit you would be able to:

- explain the nature of social phenomena and
- describe the relationship between Public Administration and other Social Sciences.

2.1 INTRODUCTION

All social phenomenon is integrated in its nature. In other words, we have to view the various social events not as isolated occurrences but in the total societal setting. The problem of growing violence in the society for instance, cannot be effectively tackled by the Police if it is viewed as a mere administrative process of maintaining law and order. The political under-currents, social tensions, economic hardships and the utter disregard for law on the part of the people are the various facets of the single phenomenon of the problem of law and order. Growing menace of corruption in public services is another example of the integrated nature of the social phenomenon. Administration is only one facet of the complex social phenomenon.

2.2 SOCIAL SCIENCES AS THE INSTRUMENTS FOR SCIENTIFIC STUDY OF SOCIETIES

It was Aristotle, the great Greek philosopher, who stated centuries ago that art is to do and science is to know. In other words, science is knowledge. It is acquired through the scientific method. In that way science is a systematised knowledge. To start with, all knowledge is one. However, for purposes of study it is divided into various branches or disciplines. We have, for instance, the classification of Physical Sciences, Biological Sciences and Social Sciences. As specialisation grows further classification is done. Physical Sciences deal with physical matter while Biological Sciences

deal with life matter like plants and animals. Social Sciences, on the other hand, deal with human behaviour in the societal setting. History, Economics, Political Science, Psychology, Sociology, Ethics, Law and Public Administration are some of the Social Sciences. Under the scheme of survey of research in Social Sciences (by the ICSSR), the entire area of Social Sciences is divided into seven major fields viz., Economics, Political Science, Public Administration, Management, Sociology, Psychology and Geography each consisting of the related subjects in the particular field. The Behavioural movement brought out that the various Social Sciences are interdependent and complementary to each other. In other words, the stress is on the integrated nature of Social Sciences. That is why the interdisciplinary approach in the Study of Social Sciences gained momentum.

Exactness and predictability which are the characteristics of science are possessed by physical sciences only. Social science cannot produce results with exactness and predictability. Economics cannot offer one sure solution to check the price rise. Public Administration has no exact principle to complete the projects on time. That does not, however, mean that there are no principles worth mentioning. The scientific character of a subject depends more upon its methodology than its exactness or certainty which it can attain. These characteristics are more dependent on the factor of subject matter. Any subject to which the scientific method is applicable can be called a science. Social Sciences are sciences of observation rather than of experiment. According to Melver and Page : "It is always the focus of interest that distinguishes one social science from another. We should not think of social sciences as physically dividing between them separate areas of reality. We at distinguishes each in the selective interest". It can be stated that Social Sciences study the different segments of human behaviour in the society.

2.3 PUBLIC ADMINISTRATION AS A SOCIAL SCIENCE

- 1 Public administration deals with human behaviour so far as public organisations and their activities are concerned. It can certainly be called as Social Science. It is the youngest discipline among Social Sciences.
- 2 According to W.B. Donham "Administration is a social science with its own techniques, its own abstractions clustering around the concept of action through human organisations and its own problems of theory. It is vitally concerned in integrating other sciences, physical, biological, and physiological at the point where action is involved".
- 3 Public administration is a science of observation rather than of experiment in the very nature of things that public administration deals with laboratory experiments cannot be performed as in physical sciences. However, empirical studies have much relevance.
- 4 It would appear to be both a positive and normative science concerned with 'what is' and 'what should be' respectively. As M.P. Sharma put it "Administrative theory must be largely normative like political theory, but study of applied administration just like study of government must keep it firmly planted on the ground".
- 5 Public administration is a growing science. There is no finality as regards the principles. These have to be revised frequently in the light of the discovery of new facts and gaining further experiences. In fact, there is a danger in calling these principles as unalterable principles. In such a case, the study becomes rigid preventing further growth.
- 6 If administrative decisions are carefully recorded like judicial pronouncements they would become precedents and would be useful.

2.4 ITS RELATIONS WITH OTHER SOCIAL SCIENCES

2.4.1 Relations with Political Science

It is, now, well recognised that of all the Social Sciences, Public Administration is most closely related to Political Science. However, the earlier writers on Public Administration, in their eagerness to establish it as a separate and independent discipline, built up the theory of the dichotomy of politics and administration. Further, they pleaded that political science should not be allowed to interfere with administration. For instance, Woodrow Wilson asserted: "The field of Administration is the field of business. It is removed from the hurry and strife of politics". Goodnow who was also a protagonist of this dichotomy, viewed that a large part of administration was unconnected with politics and as such should be relieved very largely, if not altogether, from the control of political parties. These early American writers views were very much influenced by their own observations of what happened in America i.e., the evil influence of politics on administration resulting in the spoils system and corruption. However, the hollowness of the non-political view was soon realised and the close relationship between Public Administration and Political Science came to be recognised everywhere. Of all Social Sciences, it is most closely related to Political Science because till recently, it was a part of political Science. In fact, it blossomed out of political science. Even now, in many Indian Universities, it is studied as a part of Political Science. Even where Public Administration is studied independently, there are heavy doses of topics from political science.

Considered as Social Sciences, they are the species of the same genus. Political theory and organisation form its (Public Administration's) background but its ground is constituted by the problem of organisation of departments and other administrative agencies, personnel management and public accountability.

The political system of a country is not something external or irrelevant to its system of administration but forms part of its texture. The political system of a country is quite relevant to the administrative system. The whole process of government as Simon stated, is one of decision-making. The political system of a country includes both the legal-constitutional framework, and also the actual interplay of political forces. This is because, while the organisational structure and functioning of administration have to be in accordance with the legal-constitutional framework, the administration's operational roles are circumscribed by the prevailing under-currents and operating political forces. So some Indian universities include the topic of political framework in the study of Indian Administration. The character and form of administration of a country, to a large extent, is influenced by its political system. For instance, the democratic character of a state has its influence on administration. In such a system, the bureaucracy (the civil services) should adjust itself to serve the periodically changing political masters. Similarly, the parliamentary form of government has its effect on administration. The administration and the civil service are responsible to the legislature only indirectly i.e., through the respective ministers.

There are certain areas of Political Science in which Public Administration is interested. Mention may be made of public policy, local government, constitutional and international relations.

According to Leslie Lipson, government is a continuous process consisting of phases. In that legislature is one phase, administration another. But these are merged together and at certain points become indistinguishable. In other words, the scope of administration is widened considerably. Administration is no longer conceived as a set of mechanical acts but as a dynamic process involving wide discretion at every level. Therefore, its study, now, includes all the processes of policy formulation, politics, parties and public opinion. The methods and techniques of studying these new elements are the same as those of Political Science, namely, behavioural or empirical research.

In fact, there is near unanimity regarding the 'locus' of public administration i.e., public policy, public welfare and public interest. These are inextricably linked with politics. As John M. Gaus states: "A theory of public administration in our times includes a theory of politics also". Waldo tried to prove that the American literature on Public Administration is a special contribution of the U.S.A., to the field of political theory with the name 'Administrative theory of state'. According to Dimock & Dimock "an understanding of politics is the key to an understanding of public administration, Politics and administration are the two sides of the same coin".

If at all there is a difference between the two, it is not the difference of great and small as Bluntschli stated, it is a difference between 'why' and 'what' of things to be done on the one hand, 'how' on the other. In other words, what should be done and why it should be done is the concern of politics and how it should be done is the domain of administration.

In conclusion, we can state that politics when it loses sight of what is administratively feasible degenerates into mere building castles in the air and administration without political content is empty and nothing.

2.4.2 Relations with Economics

Public Administration and Economics have close relationship and have much in common. Administration is increasingly concerned with the implementation of policies and programmes meant for economic growth and development. The extent of poverty and unemployment, the percentage of literacy and also the agro-climatic conditions have a vital bearing on the functioning of the administrative system. As an aftermath of industrial revolution, the activities of administration increased enormously in such fields as enforcing the factories Act, measures for protecting the interests of the labour and the like. The administrative activities have increasing economic orientation.

The acceptance of the welfare state ideal as also the implementation of measures for establishing a socialist state necessitated the state entering the fields of business, industry, transport and other related fields. Management of public enterprises necessitated the innovation of new forms of management in the form of public corporations and government companies. A number of senior administrators are called upon to manage economic activities in the fields of production, distribution, and supply. Besides, they have an important role in policy-formulation relating to economic affairs in such matters as taxation, exports and imports, savings and investments. The efficient management of public undertakings is beset with bewildering and sometimes conflicting problems. Hence a new field of economic administration emerged.

In many developing countries, economic planning poses great challenges to the administration. For a country like India, steeped in poverty, illiteracy and ignorance, economic planning is inevitable for optimal utilisation of resources to achieve rapid economic development and also to ensure social justice. The Planning commission is mainly concerned with the formulation and evaluation of five-year plans. The successful implementation of those plans is the responsibility of the Indian administration. The important role of the administration in this regard has been stressed by the Planning Commission repeatedly. In the First Five Year Plan itself, it was stated "In all directions, the pace of development will depend largely upon the quality of administration, the efficiency with which it works and the co-operation which it evokes." Optimal utilisation of available resources, timely completion of schemes and projects, achievement of targets laid down and co-ordinating the activities of different segments of administration assumed much importance than even before. Even in the formulation of Five Year Plans and in the finalisation of annual plans, administration plays an important role by providing the required data and preparing designs and estimates.

Further, in the developing countries administration's efforts are increasingly directed towards implementation of anti-poverty programmes. In order to see that the benefits of these programmes

are not cornered by the privileged and the affluent sections, the administration has to be ever vigilant and the administrators must have a sense of commitment too. Enforcement of rationing, price control, state trading, procurement are some of the other economic activities shouldered by administration. In that way, there is a great economic thrust on administration. In fact it is felt in some quarters that administration is called upon to shoulder more and more responsibilities of an economic nature for which it does not have the requisite capabilities and the needed expertise. The disciplines of Public Administration and Economics are so much inter-related that 'Indian Economy' is included in the syllabus for training the probationers of All India and Central Civil services.

2.4.3 Relations with Sociology

Sociology is concerned with the behaviour of man as a member of a society. In other words, it studies society and social behaviour. It can be stated that administration is a social group effort. Therefore an administrative system is a social system. Administration is affected by the social environment and cultural patterns of the society. A proper understanding of Public Administration is possible only if it is studied with reference to the society in which it is working.

Knowledge of the way in which different social groups and their sub-groups function and influence their members is relevant to the administration. For instance, for public personnel engaged in the administration of rural development programmes and tribal welfare schemes, knowledge of the particular social groups and their sub-groups becomes a functional necessity. Sociology throws light on group behaviour and provides insights into several administrative problems such as the tribal unrest, student problems, communal tensions etc. Administration, in the final analysis, is what the people living in that place with certain traditions and view points decide to make it.

Public Administration is the most important instrument of social change. It is not only the accelerator of social change but also the preserver of social peace and communal harmony.

The patterns of social behaviour and inter-relationships among various kinds of groups may be modified and moulded in accordance with the changing objectives of society through the help of Public Administration. The eradication of untouchability to a large extent can be cited in this connection. Sociology provides the necessary 'data base' to the administrator. Its studies of status, class, caste, family, power and occupation, to name a few, are of much interest and use to public administration. In other words, instead of 'hit and miss' methods, the administrator can proceed with his work more confidently with the knowledge of the sociological back-ground of the people and the environmental setting. The National Institute of Rural Development, Hyderabad conducted several sociological studies to find out the adaptive responses of the people to several welfare and developmental programmes launched by the government. The findings are very useful to the administrators engaged in rural development work.

Max Weber's essay on 'Bureaucracy' influenced the study and practice of Public Administration. Indeed, it is considered as the pioneering effort of a sociologist to the study of Public Administration particularly the bureaucracy part of it. According to Max Weber, bureaucracy is an ideal type and is capable of attaining the highest degree of efficiency and the most rational form of administration. This is because it is based on the exercise of control through knowledge.

Check Your Progress – Exercise No. 1

1. Who are the protagonists of dichotomy of politics and administration?

1. Woodrow Wilson and Goodnow ()
2. Gulick and Urwick ()
3. Fayol and Taylor ()

2 Who are some of the critics of dichotomy of politics and administration?

1. Taylor and Fayol ()
2. Gulick and Urwick ()
3. Leslie Lipson, John M. Gaus, Waldo and Dimock and Dimock ()

3 What is the role of administration in the implementation of anti- poverty programmes?

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4. Explain the relationship between public administration and Sociology.

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2.5 SUMMING UP

Public Administration has close relationship with other social sciences particularly in the context of its study of the behavioural and the ecological approaches. There is much truth in the statement that, in modern times the administrator is a social scientist in action. To sum up, it can be stated that of all Social Sciences, Public Administration is most closely related to Political Science. The political and administrative processes are interdependent and complementary to each other. Regarding its relations with Economics, it can be concluded that most administrative activities have increasing economic orientation. The effectiveness of administration is increasingly dependent on the successful implementation of economic programmes. So, there is a great economic thrust to administration in the context of the study of Public Administration. In the behavioural and ecological approaches, its relations with Sociology assumes great significance. Sociology provides useful insights in the study of the behaviour pattern of bureaucracies.

2.6 ANSWERS TO CHECK YOUR PROGRESS

- 1 Woodrow Wilson and Goodnow
- 2 Leslie Lipson, John M. Gaus, Waldo and Dimock and Dimock.
- 3 See 2.4.2
- 4 See 2.4.3

2.7 MODEL EXAMINATION QUESTIONS

I Answer the following in about 30 lines.

- 1 Describe how social scientists study the society scientifically.
- 2 What are the features of public administration as a discipline in social sciences ?

II Answer the following in about 15 lines.

- 1 Describe the dichotomy of politics and administration.
- 2 Explain the relationship between administration and economics.

2.8 REFERENCE BOOKS

- | | | |
|---|----------------------|---|
| 1 | M.P Sharma & Sadhana | Public Administration in Theory and practice, Kitab Mahal, Allahabad, 1988. |
| 2 | Avasthi & Maheshwari | Public Administration, Laxmi Narain Aggarwal, Agra, 1984. |
| 3 | Mohit Bhattacharya | Public Administration, The world Press, Pvt, Calcutta, 1981. |

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UNIT – 3 : IMPORTANCE OF PUBLIC ADMINISTRATION IN DEVELOPING SOCIETIES

Contents

- 3.0 Objectives
- 3.1 Introduction
- 3.2 Features
- 3.3 Importance
 - 3.3.1 Increased State Activity
 - 3.3.2 Welfare State Concept
 - 3.3.3 Democratic Set Up
 - 3.3.4 Stabilizing Force
 - 3.3.5 Instrument of Social Change
- 3.4 Evolution of the Discipline
 - 3.4.1 As a subject of study
 - 3.4.2 As a Profession
- 3.5 Summing Up
- 3.6 Answers to Check Your Progress
- 3.7 Model Examination Questions
- 3.8 Reference Books

3.0 OBJECTIVES

The aim of this unit is to highlight the role of public administration in developing societies. After going through the unit you would be able to :

- list the distinguishing features in public administration in developing societies and
- measure its role with particular reference to India.

3.1 INTRODUCTION

The terms 'Third World' and 'Less Developed Countries' (L.D.Cs) are also used along with 'developing societies' or 'developing countries'. The developing societies are mostly those poor countries in Asia, Africa and Latin America which became independent after the Second World War. Although there is a slight variation in the meaning of these terms, they are used interchangeably. There are several variations as regards their socio-political conditions. However, economic backwardness is common to all these countries. The world today is divided into developed countries e.g., America, Russia, Japan and France (about a dozen) and developing countries (the rest of the countries). The developing countries can be further classified depending on the various stages of development. The term, 'Third World' denotes that these countries are different from the capitalist world and the socialist or the communist world. The standard of living in these countries is less than that of the developed countries. Necessarily in the economic and political fields, these countries are clamouring for change. Change is natural and inevitable in every country. In developed countries much attention is paid to sustain the progress achieved. On the other hand in the developing societies, the dimensions of change, the volume and velocity are more.

3.2 FEATURES

In view of the economic and political change, administrative systems in these countries must adapt themselves to meet the changing requirements. While the problem in developed countries is principally one of reducing the economic disparities it is one of increasing production and simultaneously reducing the disparities in the developing societies. Naturally, public administration is confronted with heavy burdens. Growth and development with social justice, that too in the quickest possible time, is the challenge to Public Administration in these countries. Further, the developing societies have mostly inherited their administrative systems from their former colonial masters, who designed them for regulation and perpetuation of the colonial rule. These administrative systems are found quite unsuitable to meet the growing needs of welfare and development. The distinguishing features of Public Administration in developing societies are discussed here. Firstly, Public Administration is not adequate to meet the growing requirements of the State. A heavy burden is placed on the administrative machinery which it is not able to bear. This results in a sort of 'gulf' between intent (what is intended) and implementation. Secondly, personnel management practices in the fields of recruitment and promotion are outdated with emphasis on seniority. Merit is not given adequate recognition and encouragement. There is a shortage of trained personnel in several sectors of administration. Thirdly, there is the dominance of the generalist administrator in the administrative system. It is they (generalists) that wield authority in the corridors of power in the secretariats. Fourthly, there is growing centralisation in decision-making despite the attempts towards greater delegation and decentralisation. Fifthly, for a variety of reasons corruption in public administration in most developing countries has increased enormously. Sixthly, the relationship between the power wielding politician-minister and the decision-implementing public officials is often not as harmonious as it ought to be.

3.3 IMPORTANCE

3.3.1 Increased State activity

Although Public Administration assumes much importance in modern times in the developed and the developing societies as well, its importance to the developing societies needs elaboration and emphasis. Firstly, the developing societies are engaged in the gigantic task of development to eradicate the widespread poverty, illiteracy, disease and hunger. The strategy adopted in most of these countries for accelerated development is planning. Planning affects administration in several ways like increase in the scale and variety of administrative operations and greater involvement of the people in the administrative operations. In the formulation and successful implementation of plans and in the timely completion of schemes and projects, administration plays a significant role. Secondly, for quicker development, administration has to be forward-looking, result-oriented. It should develop greater sensitivity to the welfare of weaker sections and show greater responsiveness to the political processes. Administration's operational focus should be on proper policies and programmes and their effective implementation. In other words, the emphasis should be on pragmatic values. Thirdly, the administration has to play different roles in motivating and educating the people to bring about the desired changes. For this, orientation training for the civil services needs to be emphasised. Fourthly, the civil servants, in particular, have to be accommodative and act as go getters with the people at large. In other words, the administration has to be more responsive to the desires and aspirations of the people. Further, effective group performance, and co-ordination have importance of their own in administration in these societies. Lastly, Public Administration, by virtue of its national character, consisting of personnel belonging to different communities, castes and tribes has a vital role in bringing about national integration. In a country like India and several African countries, this aspect needs much emphasis.

The importance of public administration in modern times needs no special emphasis. The well-being of the people is increasingly dependent on the performance levels of the machinery of public administration. The lofty ideals of the State and the high-sounding policies and programmes of the Government are largely realised through the effective performance of the machinery of public administration.

3.3.2 Welfare State concept.

The range and volume of activities of the administration have increased several times. Industrial Revolution, scientific and technological advancement, the acceptance of democratic and Welfare State ideals and socialist principles and the requirements of development administration are the most important causative factors for this increase. Its diverse activities and wide-ranging services touch us at every turn of our life. Obeying traffic rules, travelling in public transport system, getting scholarship amount in case of the socially backward students, registering at the Employment Exchange for getting jobs on a priority basis, utilising the medical facilities provided by the Government hospitals, enjoying the educational and cultural programmes broadcast over the media like the T.V. and the Radio and getting civil supplies from the public distribution system, are some of the examples of the Public Administration's activities with which we come into contact in our daily lives. It is no exaggeration that there is no field of human activity which the administration is not concerned with either directly or indirectly. According to Ordway Tead, in an almost literal sense, most of us, certainly in urban life, move and have our being either administering or being administered, or at least as the beneficiaries of administration.

Public administration is an essential part of civilised society in view of its dominant roles in regulation, welfare and development. This has resulted in the emergence of Administrative State. It can be stated that the happiness of vast sections of the community is increasingly dependent on the efficient functioning of the administrative system. W.B. Donham's view that if ever civilisation failed it would be mainly because of a breakdown of Administration is more than true.

3.3.3 Democratic set up

In a democratic context, Public Administration's role is vital in the holding of elections and implementation of the policies and programmes of the elected executives. It also assists the legislatures and the Ministers in the formulation of policy. It is considered by some scholars that the public bureaucracy in the twentieth century is at the centre of public policy formulation. It functions in the interests of the people as a whole and not of any particular class or section of the society. It is responsive to the public opinion and pays heed to the rights of the people. It is subordinate to the Ministers who are responsible to the legislature. It should be broadly representative of the various sections of society and is often called representative bureaucracy.

3.3.4 Stabilizing Force

Public Administration is a great stabilising force in the society. Probably because of this, the Indian Civil Service (I.C.S.) during the British rule, was called the 'steel frame of India'. Immediately after Independence, our country faced the gigantic problems of refugee rehabilitation, integration of native states, severe food shortages, and the post-war reconstruction. These were solved, to a large extent, through effective administrative interventions. But for the administration's stabilising role, there would have been virtual anarchy. During periodic changes in the government (sometimes change in the political party also), the administration provides for continuity. After the British left the country in 1947, there was no upheaval in the administration. According to Paul Pigors, "It (Administration) insures the continuance of the existing order with a minimum of effort and risk. Its fundamental is to 'carry on' rather than to venture along new and untried path. Administrators are essentially the guardians of traditions". It can thus be stated that if administration fails the alternative is anarchy or revolution.

3.3.5 Instrument of Social change

At the same time, it should be pointed out that public administration is an instrument of social change. We are aware that administration played a substantial role in eradicating untouchability and lessening social tensions and conflicts. In the enforcement of free mid day meal programme for school children, the administration contributes a lot in mitigating the evil of casteism among the children. The administrative machinery itself consists of people belonging to different faiths (religions), castes and groups who work unitedly in discharging their responsibilities. It must also be pointed out that the prevailing trends in society also affect the administration: It not only leads the people but also led by it. In the words of Wado, "It is indeed a great creative force, with man's welfare as its ideal."

Check Your Progress – Exercise No. 1

1. What are the distinguishing features of public administration?

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2. What are the causative factors for the increase in the volume of activities of administration?

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3. How can you say that public administration is an instrument of social change?

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3.4. EVOLUTION OF THE DISCIPLINE

3.4.1 As a Subject of study

As mentioned earlier, Public Administration, as a subject of study is of recent origin. It blossomed with the growth of modern industrial civilisation (after the Industrial Revolution) which required more complex organisational systems to undertake both regulatory and welfare activities. It can be stated that a serious study of Public Administration started with the publication of Woodrow Wilson's essay on 'The Study of Public Administration' in 1887 in the American Political Science Quarterly. He was indeed the pioneer who set the tone for its study. The earlier writers stressed the dichotomy of politics and public administration. With the publication of L.D. White's book 'The Introduction to the study of Public Administration' in 1926 and later Willoughby's book 'Principles of Public Administration', a beginning was made in evolving the principles of public administration. During this period, the discipline seems to have reached its 'reputational zenith' in 1946. F.M. Marx's book

'The Elements of Public Administration' almost buried 'dichotomy' between politics and public administration. From 1956-1970 Public Administration was treated as an administrative science. In other words, the universality of administration was realised irrespective of being public or private. Now, in the seventies and later, Public Administration has come to its own with a more balanced emergence of the discipline. It is neither political science nor business administration. Its locus is public policy and its focus (the specialised 'what' of the field) is on management theory and various techniques with more attention on the dynamics of administration. The three defining pillars of public administration are : organisational behaviour and the behaviour of people in public organisations, the technology of management; and the public interest as it relates to individual ethical choice and public affairs.

In India, the establishment of a full-fledged department of Public Administration and Local Self-government in 1950 in the Nagpur university can be stated to be the first major step in the study of Public Administration as an independent discipline. Subsequently, Osmania, Lucknow, Rajasthan, Punjab, Kakatiya, South Gujarat, Andhra Pradesh Open University established separate departments for the study of public administration with facilities for teaching at the graduate and post-graduate level and for research at the M. Phil. and Ph.D. level. In most other universities also it is studied at the graduate and post-graduate level as an optional subject or as a branch of political science. At the Intermediate (10 Plus 2) stage also it is studied as a part of civics or even independently (as in the state of Andhra Pradesh). Post-graduate diploma course in Public Administration and its other fields like personnel management, rural development and local government are offered by several universities. As a step towards professionalisation of the subject, a management orientation is given to the subject by certain universities like South Gujarat and Osmania. In some universities, the courses in Public Administration consist of theory of public administration, personnel administration, Indian administration, management, comparative administration and like while in several other universities there are heavy doses of political science.

Starting with M. Ruthnaswamy's 'Principles of Public Administration', M.P. Sharma's 'Public Administration - Theory and Practice' a number of standard books on Public Administration were published by Indian authors. Further, the establishment of the Indian Institute of Public Administration at New Delhi in 1954 was another major step in its study. Apart from publishing a very standard Journal of Public Administration and also a number of books on the various facets of Administration, (written by eminent academics and administrators,) it is organising a number of training courses on various aspects of administration and management mostly for civil servants. Various other training and research institutes like the Lal Bahadur Sastry National Academy of Administration, Mussoorie and the National Institute of Rural Development, Hyderabad, are also contributing a lot to the study of public administration, particularly in its applied aspects. In that way, the discipline of Public administration has gone much beyond the take-off stage. Further, increasing interactions are taking place between the practitioners of public administration and the academics leading the cross-fertilisation of ideas and experiences of each for the growth and enrichment of the subject of Public Administration.

3.4.2 As a profession

We have, now, several well-established and recognised professions like law, medicine, engineering and accountancy. Is public administration such a profession? To examine this, we must first know what profession means and what its features are. A profession is calling in which one professes to acquire knowledge which is used either in instructing, guiding or advising others. In other words, it is an employment (whose duties being not mechanical) requiring some degree of learning. The important features of a profession are :

1. Acquiring a special knowledge after a long formal education and/or training;
2. Commitment to use knowledge to serve others;
3. Feeling responsibility to the profession;
4. Common values and approaches (professional ethics);
5. Need for professional organisation which determines norms and practices and exercises some control on the practitioners;
6. Criteria for efficiency and conduct;
7. The professional organisations controlling the syllabi of teaching and training.
8. Legal recognition of such professions, (and professional organisations) by the government; and
9. The existence of systematic and scientific body of knowledge.

Based on these features; it can be stated that public administration has not yet become a profession. It is first necessary to make the study of public administration profession-oriented so that those who completed the study of the course of Public Administration can straightaway join public service at various levels. Before that, more research on various fields of public administration should be pursued and its knowledge more systematised. More and more case studies also should be built. There should be many more interactions between the academics and practitioners of public administration. Though the British attempted to develop a professional class of civil servants through the Indian Civil Service (I.C.S.), public administration has not yet become a profession. In view of the noticeable favourable trends eg., organisation of numerous training programmes covering public administration and management, growth of professional organisations like the Indian Association of Public Administration and increase in the research output in applied public administration, we can conclude that public administration is on the threshold of becoming a profession.

The study of Public Administration has an importance of its own. Through its systematic study, one gets an acquaintance with the knowledge of the administrative machinery (apart from the theoretical concepts) and its numerous activities. This knowledge encourages the co-operation and participation of people in running the administration smoothly.

In developing societies, vast sections of the people are not aware of the array of programmes undertaken for their upliftment. Study of Public Administration, to a certain extent, fills the gap. Further, people often get disgusted with the administrative processes and the rules and regulations and consequent delays. These frustrations can be mitigated, to a certain extent, if the people are aware of the organisational structures, procedural intricacies, legal and financial requirements and other limitations. This is possible through the study of public administration. In developing societies, there is a paucity of literature on public administration. Its study fills the gap to a certain extent by the stimulation it provides for further study and research.

Knowledge of Public Administration, in a way, facilitates people's control over Administration. For politicians and legislators, knowledge of the administrative machinery will be very helpful in exercising control over public officials and making the administration more responsive to the peoples' problems. It goes without saying that its knowledge will be useful to the civil servants themselves for better performance of their own roles. Study of public administration and its machinery will be helpful to private administration as there are several similarities between them.

According to Woodrow Wilson, the object of administrative study is to rescue executive methods from the confusion and costliness of empirical experiment and set them upon foundation laid deep in stable principle. In other words, instead of trial and error methods which are often costly, stable principles can be evolved.

The objectives of its study in universities and colleges are to widen the mental horizon of the students and equip them for research and also to prepare them for Public services (for employment).

Development of any discipline depends on its serious study and research. In fact, knowledge of the Elements of Public Administration and their application to the Indian Administration should be made compulsory to entrants to public services particularly at the higher levels.

According to Charles Beard, Public Administration is the key science of contemporary civilisation. "There is no subject more important than the subject of Public Administration. The future of civilised government and even, I think, of civilisation itself, rests upon our ability to develop a science and philosophy and a practice of Administration competent to discharge the public functions of a civilised society".

Check Your Progress – Exercise No. 2

1. Trace the origin of public administration as a subject of study in India.

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2. Explain the importance of the study of public administration.

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3. 'Public' administration has not yet become a profession'. Comment.

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3.5 SUMMING UP

To sum up, developing societies, in various stages of development have economic backwardness in common. Rapid growth and development with social justice is the challenge of public administration in these countries. Its importance needs to be stressed as it has to play different roles to bring about the desired changes. The need for reform and reorganisation of administration in these countries is keenly felt. Even in general, public administration has an added importance of its own because of its 'knowledge base.' "Administration is knowledge. Knowledge is power. Administration is power." Rapid strides are being made in its study. As Nicholas Henry pointed out, Public Administration is coming into its own; academically, we are entering into a period of long overdue institutional expansionism and intellectual independence. Its study is useful to the public servant, legislator and even the lay-citizen. Although, it has not yet emerged as profession in the strict sense., it is on the threshold of becoming a profession.

3.6 MODEL ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. See 3.2.
2. Industrial Revolution, scientific and technological advancement, the acceptance of democratic and welfare state ideals and socialist principles and the requirements of development administration are the most important causative factors for the increase in the volume of activities of administration.
3. See 3.3.5

Exercise No. 2

1. See 3.4.1
2. Study of public administration creates awareness among the people of the array of programmes undertaken for their upliftment. Knowledge of rules and procedures may mitigate the frustrations of the people. Knowledge of public administration facilitates people's control over administration.
3. See 3.4.2

3.7 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines

1. Explain the significance of public administration in a developing society.
2. Discuss the features of public administration in developing societies.

II. Answer the following in about 15 lines.

1. Explain the significance of public administration as a profession.
2. Why one should study public administration ?

3.8 REFERENCE BOOKS

1. M.P. Sharma & Sadhana Public Administration in Theory and practice, Kitab Mahal, Allahabad, 1988.
2. Arasthi & Maheshwari Public Administration, Laxminarain Aggarwal, Agra, 1984.
3. Mohit Bhattacharya Public Administration, The world Press, Calcutta, 1981.

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BLOCK – II

APPROACHES TO ORGANIZATION

In this block 7 units (4 to 10) are included for our study. While classical approach deals with the structure of the organization, the human relations approach focusses its attention on the 'inside of the organization'. In contrast to this approach, the behavioural approach tries to find out the 'inside of the organization man'. Ecological approach deals with the influence of environment on administration thus trying to establish the fact that organizations are not 'closed' but 'open' systems. While comparative approach makes an attempt to compare and contrast and find a model suitable to administrative systems of the third world countries, development approach examines the constraints to development in developing countries. Socio-psychological approach tries to find out why and when the organization man works and refuses to work. Thus, the thrust of this block is on the various approaches to the study of public organization.

UNIT – 4 : CLASSICAL APPROACH

Contents

- 4.0 Objectives
- 4.1 Introduction
- 4.2 Beginnings
- 4.3 Principles of organization
 - 4.3.1 Importance of structure
 - 4.3.2 Universality of experience
 - 4.3.3 Scientific validity
- 4.4 Critical estimation
 - 4.4.1 Ambiguity in Principles
 - 4.4.2 Absence of Scientific validity
 - 4.4.3 Incapable of predicting
 - 4.4.4 Mechanistic in emphasis
 - 4.4.5 Pro-capital bias
 - 4.4.6 Pro-Management Bias
 - 4.4.7 Absence of sophistication
- 4.5 Summing Up
- 4.6 Answers to Check Your Progress
- 4.7 Model Examination Questions
- 4.8 Reference Books

4.0 OBJECTIVES

The aim of this unit is to introduce you to basic tenets of classical approach to the study of Public Administration. After going through the unit you would be able to :

- trace how the classical approach evolved;
- explain major premises of the classical approach ;
- sketch the limitations of classical approach; and
- estimate its utility.

4.1 INTRODUCTION

Every human organisation has a purpose. A group of human beings coming together to achieve a common objective give rise to organisations. Organisation, according to Urwick, may be defined very simply as "determining what activities are necessary to any purpose (or plan) and arranging them in groups which may be assigned to individuals". If an individual all by himself is able to complete the entire process from commencement to completion, there will be no need for an organisation. Human history from its food gathering stage to the modern space age has passed through several phases. While in the early stages when the life was simple and man was engaged in the basic struggle for survival and had a very limited objective, the organisation was relatively simple. It was the industrial revolution which marked the beginning of complex organisation. The complexity stems from the multi-dimensional goals involving stepping up of production with the help of exploding science and technology. Increase in the production brings in changes in human values and calls for new adaptations and adjustments. It is in the wake of such developments the organisation passed through critical and crisis period. It is this situation that warrants a detailed study of the organisation not only to gain deeper understanding but make use of the knowledge for building better organisation to achieve the set goals.

4.2 BEGINNINGS

A Systematic and scientific study of organisation can be traced to the early part of the 20th century. Taylor who conducted several studies on scientific management can be considered as a pioneer to the systematic study of work. Taylor and Fayol were almost the first to formulate certain postulates which were later developed into 'principles' by Luther Gulick and Urwick. It is these principles that form the basis and substance of classical approach to the study of organisation.

Classical theory is mainly based on the experience acquired by man both in the military and industrial organisations. The theory took a shape by the thirties of this century. This was the period when industrial revolution was turning the corner. More than these two major factors, the emergence of United States of America as a potential economic power on the world scene is a significant development. Capitalism which believes in the total release of the productive forces was in offing. It were the demands of capitalist development and its complex organisations which worked as catalysts for a detailed discussion on the principles of organisation.

The classical approach basically emphasises on the structure of an organisation. Structure is a device through which the human beings working in an organisation are assigned the tasks and are related to each other. It believes that the effective functioning of an organisation depends upon the type of structure that a group of human beings build and operate. Urwick commenting on the need for a structure notes that "starting a work without structure is illogical because in a good engineering practice design must come first. Similarly, in a good social practice design should come first". He further adds that "logically it is inconceivable that any individual should be appointed to a position carrying a large salary, without a clear idea of the part which that position is meant to play in the general social pattern of which it is a component, the responsibilities and relationships attached to it and the standards of performance which is expected in return for the expenditure". He concludes "it is as stupid to attempt to order an expensive piece of machinery without a specification." Therefore, the basic search is to formulate certain principles which are capable of aiding in building sound organisations. The principles, therefore, provide the necessary conceptual framework to build an organisation and work as indicators to judge effectiveness of organisation and its capability in achieving the set goals.

4.3 PRINCIPLES OF ORGANISATION

The principles of organisation need to be appreciated against this background. The principles were first systematically developed and incorporated in the book on "Papers on Science of Administration" edited by Luther Gulick and Urwick. In these papers the main effort was to understand the basic cause which made human beings resort to organisation. Luther Gulick argued that the basic cause for the genesis of an organisation was division of work. He maintained "every large scale or complicated enterprise requires many men to carry it forward. Wherever many men are thus working together, the best results are secured when there is a division of work among these men". He, therefore, added that "the theory of organisation has to do with the structure of co-ordination imposed upon the work-division units of an enterprise. Hence it is not possible to determine how an activity is to be organised without, at the same time considering how the work in question is to be divided". He concluded with the observation; "work division is the foundation of organisation, indeed, the reason for organisation". He thought that if one person could carry the entire quantum of work, then there would have been no need for an organisation. Man invented organisations as he failed to perform the total work single-handedly. As a result he had to divide the work and it was this division of work, according to Gulick, which was the cause for the genesis of organisation.

In contrast to Luther Gulick's argument, Mooney in his article included in "Papers on Science of Administration" maintained that it was co-ordination that is the fundamental principle of any human organisation. Mooney writes, "the term organisation, and the principles that govern it, are inherent in every form of concerted human effort, even where there are no more than two persons involved. For example, take two men who combine their efforts to lift and move a stone that is too heavy to be moved by one. In the process one has to give a signal to start the work and the other has to act. Thus, even a small effort involving two persons has to have some form of organisation. In the act of this combination of effort we have the reality of human organisation for a given purpose. Likewise in the procedure necessary to this end, the fundamental principles of organisation are founded. To begin with, the two lifters must lift in unison. Without this combination of effort the result would be futile. Here we have Co-ordination, the first principle of organisation".

This debate points out that division of work and co-ordination are basic principles of organisation. In addition to these two important principles, the classical approach includes certain other principles. While Taylor and Fayol formulated some of these principles, Luther Gulick and Urwick discussed them in detail. The principles that find a place in the classical approach are : Hierarchy, Unity of Command, Span of Control, Bases of Departmental Organisation, Line and Staff, Delegation and Decentralisation etc. Each of these principles is intended to provide the linkages between various functionaries at different levels of an organisation. In addition they also take into account the physical and mental limitation of the functionaries.

The aim of each principle is to raise the level of efficiency of the organisation. For this purpose the human beings are required to be organised. In this process the principle of 'hierarchy' arranges the human beings into various levels and also indicates who should issue orders and who should obey them. These principles bring in the distribution of work based on the position one is occupying and level of expertise he possesses. The people who have higher degree or specialisation occupy the higher position and lower degree of specialisation to the lower levels. The principle of hierarchy stems not only from the division of work but also from the need for effective linkages among various functionaries working in the organisation. The principle of 'span of control' is based on the inexorable limits of human nature. Luther Gulick notes, "just as the hand of man can span only a limited number of notes on the piano, so the mind and will of man can span but a limited number of immediate managerial contacts". He adds, "the limits of control is partly a matter of the limits of knowledge, but even more it is a matter of the limits of time and energy". Therefore, Gulick concludes that "the executive of any enterprise can personally direct only a few persons. He must depend upon these to direct others, and upon them, in turn, to direct still others, until the last man in the organisation is reached". Similarly, the principle of 'unity of command' recognises that "nothing but confusion arises under multiple command". Luther Gulick says, "a man cannot serve two masters". This was adduced as a theological argument because it was already accepted as a principle of human relations in everyday life. This is known in administration, according to Gulick as 'Unit of command'. He states the principle as follows, "a workman subject to orders from several supervisors will be confused, inefficient and irresponsible; a workman subject to orders from but one supervisor may be methodical efficient and responsible". Unity of command, thus, refers to those who are commanded, not to those who issue the commands.

The above discussion highlights that the Classical approach is based on three major premises : (1) importance of structure; (2) universality of experience; and (3) scientific validity of observations.

Check Your Progress – Exercise No. 1.

1. List out the principles of organisation enunciated by Luther Gulick.

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2. What do you know about Taylor and Fayol ?

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3. What do you know about classical approach ?

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4. 'Work division is the foundation of organization.' Explain.

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4.3.1 Importance of Structure

The classical approach emphasises that the effectiveness of a group of human beings depends upon the type of structure in which they are operating. The structure, to them is basic for any group effort. The structure, they believe, is capable of reducing the diversity in human nature and fits them into a pattern where they have to respond according to the needs and demands of the organisation. It also believes that a human being would adjust and adapt himself to the needs and expectations of the organisation. From this premise, it flows that the impersonal norms, rules and the procedures have inherent capacity to tailor an individual in a way that he can fit into the system. Urwick observed that lack of design is illogical, cruel, wasteful and inefficient: it is cruel because the main sufferers from the lack of design are the individuals who work in the undertaking. The employer who has no clear idea about the duties of employee may blame him if the results do not correspond with his vague notions. It is wasteful because unless jobs are clearly put together along lines of functional specialisation it is impossible to train new men. Further, when both the job and the man are uncertain, unknown, quantities, hours and days are likely to be expended in fruitless discussion and indecision. It is inefficient, because if an organisation is not found on principles, then those directing it have nothing to fall back on but personalities. Unless there are principles on which he can fall back and which are understood by every one in the undertaking, it is inevitable that many unhealthy practices would enter the organisation.

4.3.2 Universality of experience

The claims of classical approach for a theoretical status is based on its faith that the principles that are enunciated are universally valid. Mooney observes that "there is no principle in industrial

organisation as such that is not to be found in all the other spheres, but it is erroneous to infer that industrial organisers have borrowed these principles of organisation from the older forms." He further emphasises that "a principle, if it is truly such, is a universal, and a universal cannot be borrowed. It simply has a way of applying itself, and this is ever true, by whatever name we may be pleased to call it." That could be one of the reasons why classical approach did not take cognizance of cultural, political, social and historical factors. If a structure is culture specific or culture bound then the principles need to be modified from one system to the other. The classical approach, on the contrary, formulated the principles in such a way that they are based on the premises that the underlying processes in the organisational structure and its working are the same and, therefore, universal. It is maintained that there is a specific area in organisation which can be separated from its environmental context and developed in such a way that it has universal application. One example that is often quoted in defence of this approach is Lenin's open acknowledgement of Taylor's contribution and its utility to Russian industrial development. That certain techniques developed to meet the needs of capitalist development are found relevant in a communist society, has come to be considered as an indicator of universality of organisational principles and their utility.

4.3.3 Scientific validity

The principles of organisation were developed based on experience gained in military and industrial organisations. The proponents of these principles are those who had rich experience in a variety of organisations. They formulated them after considerable observation of working of human organisations. In other words, the principles have come to be propounded not from philosophical exercises or figments of the imagination but from rigorous empirical observations. It is these factors that lent strength to the principles of organisation. The classical approach is thus based on the premise that these principles have scientific validity.

Check Your Progress – Exercise No. 2.

1. What is the importance of structure ?

4.4 CRITICAL ESTIMATION

Although the principles of organisation are based on the premises mentioned above, they are subjected to ruthless criticism and are dubbed as postulates without any validity. The first person who attacked this approach was Herbert Simon who was mainly responsible for shifting the focus from structure to human behaviour. The main criticism against classical approach concentrates on the following points: (a) ambiguity in principles, (b) absence of scientific validity, (c) incapable of prediction, (d) mechanistic in emphasis, (e) pro-capital bias, (f) pro-management bias, and (g) absence of sophistication.

4.4.1 Ambiguity in principles

It is criticised that the so called 'principles' of organisation suffer from considerable ambiguity and several contradictions. In fact Simon argues that these postulates are not principles but proverbs. Simon's criticism mainly relates to the contradiction in 'principles'. The 'principles' of the 'usual' administrative theory (he refers especially to the work of Gulick and Urwick) are really 'proverbs'

for almost every principle one can find an equally plausible and acceptable contradictory principle. A real science of administration, Simon observes, would avoid the fatal defect. A principle basically should have universal validity. These principles, on the contrary have situational applicability. Simon points out, "span of control should be narrow but the number of organisational levels should be kept to a minimum." He adds, "although the two principles appear in pair they will lead to exactly opposite results. There is nothing in the theory to indicate which is the proper one to apply." The confusion arises because of the diametrically opposite nature of the principles which lead to contradictory conclusions rendering uniformity of the proposals for improvements extremely difficult. It is because of this reason Simon described the principles as proverbs. For proverbs such as "Time and tide wait for none" and "Slow and steady wins the race", occur simultaneously. While each proverb contains an element of truth, that they are contradictory is obvious. Each proverb holds good depending upon the situation. The proverb "Time and tide wait for none" holds good in a situation where a task has to be completed in a very short time and the proverb "Slow and steady wins the race" holds good to a situation where there is plenty of time to deliberate and decide. It is therefore, said that proverbs have situational relevance. Similarly, 'principles' also may have contextual relevance but not of universal relevance.

4.4.2 Absence of Scientific validity

It is criticised that the principles lack scientific validity. In fact the fault that Simon finds in classical approach is that the terms used are ambiguous. He says that before a science can develop principles it must possess concepts. The first task of administrative theory, therefore, is to develop a set of concepts that will permit the description in terms that are relevant to the theory. To be scientifically useful, these must be operational; "their meanings must correspond to empirically observable facts or situations". It is observed that the principles are not based on correct diagnosis of organisational situations. The principles, therefore, are more impressionistic and lack scientific validity.

4.4.3 Incapable of prediction

As the principles lack scientific validity, their capacity for prediction is extremely low. A scientific principle should be capable of not only explaining the casual relations but be able to predict the results. For instance, a principle or formula like H_2O that two molecules of Hydrogen and one molecule of Oxygen produce water holds good to all times, situations and places. This type of capability is absent in the organisation principles. For instance, a principle like span of control which emphasises on limitations of human nature does not go beyond. The questions such as how to arrive at the limitations? Are there any methods to quantify these limitations? Is there any way to judge an ideal supervisory capacity? are completely ignored. With the result, it is extremely difficult to know what is the span of control in a given organisation. It is obvious that with the help of such a principle, it would not be possible to relate the span of control to efficiency. Thus, the approach suffers from an incapacity as far as predictability is concerned.

4.4.4 Mechanistic in emphasis

The classical approach emphasises the structure to such an extent that it is treated as a critical factor. In other words the organisations are treated as inanimate machines and the people working in the organisations as nuts and bolts. In reality human beings would refuse to behave as part of a machine. They are complex and subject to emotions, likes and dislikes, aptitudes and aspirations, etc. That two human beings do not work in an identical way needs no emphasis. This simple truth negates the very essence of classical approach to organisations. It is a common experience that in every formal organisation there is a net-work of informal relations—personal ties, friendship ties, loyalties—which operate on parallel lines. Anybody who ignores those informal organisations cannot appreciate the nuances of a group effort.

Simon commenting on this aspect observes that the values of human beings constitute the critical dimension of organisation behaviour. He equates the working of an organisation with that of decision making. The decision making, according to him, is making a choice among the available alternatives. Each decision is a compromise. The compromise is reached based on the value disposition of the decision maker. More than this, Simon thinks that the concept of decision can be an empirical referent. He observes, "what is a scientifically relevant description of an organisation? It is a description that, so far as possible, designates for each person in the organisation what decision that person makes, and the influences to which he is subject in making each of these decisions". In fact, he thinks that decision should be the object of study and not the principles which neither have conceptual clarity nor focus on human behaviour.

4.4.5 Pro-capital bias

Most of the principles, as pointed out earlier, were formulated in the wake of transformation of western societies into capitalist societies. Capitalism triggers the productive forces, but it largely ignores the essence of human growth. It has a tendency to commoditise human being. As a result most of the concepts have a concern for production and not to the feeling of the worker engaged in production. That work has a philosophy and that it is a means for expression of worker's personality does not find a place in this approach.

4.4.6 Pro-Management Bias

It is also widely felt that the principles view the organisation more from the management point of view and not from the workers point of view. The major emphasis is on supervision, control, coordination and not on the working conditions, judicious distribution of work, aptitude and commitment to the work, welfare of the workers etc. The creative potential of the worker and his way of looking at the organisation does not find a place in the classical approach. For instance, a principle like "span of control" discusses only about the capacity of a supervisor or the principle of 'unity of command' about the command from above. The workers and their limitations do not figure in. In short, the organisation is discussed from the managers angle and not the managed.

4.4.7. Absence of sophistication:

Any theoretical concept is an attempt to understand the causal relations involved in the phenomenon. A sound theory is internally consistent and adequately integrated. It explains the phenomenon in a capsule form. The principles propounded by the classical approach lack all these qualities and, therefore, are presented in a crude form. The status of theory can be conferred only when the concepts reflect the real world and explain the experience adequately. The whole approach is based on hunches, impressions and presented in a disjointed and desultory manner. In short, the approach lacks sophistication that generally characterises a good theory.

4.5 SUMMING UP

The classical approach is mainly a response to rising capitalism in the West. It has been propounded to ensure efficiency and economy to step up production. It is almost a pioneering attempt to systematic human organisational experience. It is from empirical observations that the principles of organisation are evolved. These principles, which constitute the basic components of the structure, are intended to organise the group effort in an orderly and systematic way. The approach brings out significantly that without a structure, there would be large scale dissipation of human energy. This systematic search led to the enunciation of certain principles which can be useful in organising any group effort. The strength of these principles lies in the process from which they come up. They are based on simple truths, common observations and day-to-day experience. They may lack universal

UNIT – 5 : HUMAN RELATIONS APPROACH

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- 5.0 Objectives
- 5.1 Introduction
- 5.2 Major Studies
- 5.3 Hawthorne studies
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- 5.5 Features of Human Relations movement
- 5.6 Further Developments
- 5.7 Critical Appraisal
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 - 5.7.4 Manipulative technique
- 5.8 Summing Up
- 5.9 Answers to Check Your Progress
- 5.10 Model Examination Questions
- 5.11 Reference Books.

5.0 OBJECTIVES

This unit tries to explain to you the main theme of Human Relations Movement. After going through this unit you would be able to :

- identify the causes that led to the Human relations Movement;
- explain the various experiments of Human relations; and
- understand the major criticisms on Human Relations Movement

5.1 INTRODUCTION

The human relations approach is one of the important approaches to the study of administration. This approach also has grown along with the structural or classical approach. While the structural approach emphasised on formal relations in an organisation based on certain principles, the human relations approach devotes its attention to the man in the organisation and the informal relations that govern the organisational activity. The human relations approach was basically a response to the needs and demands of industrial organisation where the production had to be stepped up. It was realised from the experience that the efficiency of the organisation and its level of production did not totally depend on the soundness of the structure. It was this realisation that gave rise to human relations movement.

Elton Mayo is considered as a pioneer of human relations movement. His studies on industrial organisation contributed to a systematic understanding of the human dimension in the organisation. He started his pioneering work from the early twenties of this century and provided deeper insights into the working of the organisation. Mayo provided deeper insights into the working of the organisation. Mayo based his analysis largely on a premise that the level of performance of a person depends on his motivation and mental framework. It was further observed that these attitudes cannot be influenced either by the principles or more monetary incentives. It is exploration of this human dimension that provided a fillip to the entire human relations movement.

Mayo found that human body can work efficiently if only the work is planned in a very systematic and scientific way. It is not enough that the work is divided and allotted to various functionaries. This is what is done under division of work. It is also not enough if there are supervisory levels to over-see the work of the workers. While structuring all the work (in a physical sense) is important, how a human being receives the work and how he performs it is equally important. In fact it is this lacunae that renders the structural approach very ineffective. In the course of his investigation he found that fatigue, accidents in the industry are more a result of human failures and not the failure of the structure. These are a result of strenuous working conditions and bad industrial labour relations. Therefore, Mayo emphasised the dimension of human relations in industrial organisation.

5.2 MAJOR STUDIES

The research on human relations under the leadership of Mayo was launched in a textile mill near Philadelphia in 1923. In this industry there were several divisions. The management had problems particularly with mule spinning department. While the labour turn-over in all the divisions was 5 to 6 percent, in the mule spinning department it was as high as 250 percent. The management made different attempts to improve the situation, but no measure initiated by them was really helpful. The research team headed by Elton Mayo conducted a number of studies and came out with the finding that not only the work in the mule spinning division was very hazardous, but involved considerable physical strain leading to physical fatigue rendering them hostile towards the work. Mayo in addition to improving the physical conditions of work suggested introduction of rest periods—two of ten minutes duration in the morning and two in the evening. The rest periods were intended to eliminate the physical fatigue. He also introduced bonus system under which the workers can earn bonus rest period. These measures had remarkable impact and the problem to a large extent was solved. However this solution led to another interesting problem, the supervisory staff grew jealous of the workers who were resting. As a result they had to decide to give rest to all so that the workers and the supervisory staff could rest simultaneously. Encouraged by this result Elton Mayo and his team undertook research in a number of areas related to human relations. Of these experiments Hawthorne studies are prominent and quite outstanding.

5.3 HAWTHORNE STUDIES

The experiments at the Hawthorne plant of the Western Electric Company with 25,000 workers proved to be an extremely rewarding exercise. These studies found clear-cut relation between physical work environment and the well being and productivity of the workers. There was an illumination experiment. The illumination experiment was based on a premise that the level of illumination in the work-place influences the level of efficiency of the worker. For this purpose two groups of female workers were selected and located in two separate rooms. The physical environment and the working conditions were constantly changed in order to find out the relations between these two variables. Contrary to the expectations of the research team, it was found that there was no valid relation between these two variables. In the experiment, when the illumination in the room was raised the efficiency did increase as expected. Surprisingly enough the efficiency did not decline when the illumination was reduced, disproving the relation between illumination and efficiency. Mayo and his team were puzzled by this outcome. This called for another phase of investigation. Further investigation revealed the social dimension of the organisation. It was found that the informal relations that were developed between the supervisory staff and the workers in the course of experiment, the freedom which the female employees enjoyed, the participation that was encouraged, inter-personal contacts, free articulation of the grievances, largely contributed to the increase in the level of performance of the organisation. These were the dimensions which were

hitherto unknown to the organisation culture. This gave rise to the new formulations and greater focus on human relations. The link between supervision, morale and productivity became the foundation stone of the human relations movement. The whole experiment is described as "great illumination" because it has thrown light on the new areas of industrial relations.

5.4 ORGANIZATION AND ITS IMPACT ON HUMAN ATTITUDES

Elton Mayo and his group conducted elaborate studies on attitudes and sentiments in order to assess their impact on the organisation. These studies came out with the following findings: (a) The workers felt elated that they were taken seriously, (b) There was a change among the supervisors as they observed that their methods were closely watched.

Another area which was investigated by Mayo and his team related to the social organisations emerging within the formal organisation. A number of experiments were made where the group was subjected to keen observation. They were permitted to develop very informal relations and their own norms of work and the achievement of the group was treated as the criterion even in fixing the wages and the remuneration. These experiments revealed the capacity of the informal organisations in stimulating the worker for higher level of performance. It also found out the capacity of a few individuals to emerge as natural leaders of the group. The leadership qualities of these informal leaders were considered important to the formal supervisors who could emulate those qualities. In other words, experiments discovered informal organisation in the formal organisation and these findings contributed to greater understanding of the human relations.

Check Your Progress – Exercises No. 1

1. Explain the reasons for increase in production although there were no changes in the physical conditions of work.

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2. Why the Hawthorne Experiment is described as "great illumination"?

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3. What was the main discovery of the experiments ?

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5.5 FEATURES OF HUMAN RELATIONS MOVEMENT

The human relations movement lasting for more than two decades has significant features. The important features of the human relations approach was a shift away from the tradition of scientific management and structural approach with their narrow base to an informal group membership and supervisory practices. It became an inter-disciplinary approach where knowledge of different branches of social sciences was synthesised to hammer out solutions to the day-to-day problems of organisations. As an observer pointed out "the principal significance of human relations movement was that it represented the coming of age of social sciences as their findings found every day relevance. It led to increase in profits and reduction in strife".

As Arensberg observed the process of human relations research took a form of a definite order of developments: (1) an increase of managerial initiative, (2) followed by an increase of inter-worker communication, (3) followed by an increase of redressive up-the-line action of the workers upon foremen or spokesmen, (4) which results in further changes of rewarding system in managerial action, (5) changing individual attitudes, (6) reaching expression as new group attitudes or morale, (7) which won informal sanction by the workers on one another, (8) and stimulated further release of individual productivity.

5.6 FURTHER DEVELOPMENTS

Taking the clue from Elton Mayo and Roethliberg's experiments, the research on human relations movement continued to be an important area. In the year 1948, White conducted a number of intensive case studies to show how organisational growth, increasing specialisation, and distinctive work flow problems of an organisation produce distinctive inter-actional pressures. He showed that different personalities and various supervisory skills are more or less effective depending on the predictability stresses that the employees go through. Harbison and Dubin (1949) studied General Motors and Studbaker's collective bargaining relationship and found that behaviour of the participants and their perceptions were influenced by the pressures associated with the "power centre" and "pattern setting" position. This study also included the dynamics of company politics in terms of situational pressures.

Rensis Likert and others have studied the impact of supervisory styles of employee morale. These studies were on the lines of Kurt Lewin's studies of democratic leadership in small groups. This study has shown how the democratic leadership which encourages participative approach could make the workers accept voluntary changes in methods of work.

Human relations research on motivation has been highlighting one significant trend, namely, that employees are at a higher level of effectiveness and performance when satisfaction comes directly from the work itself. They have shown that satisfaction of work is far more powerful than economic rewards and fear of punishment.

The studies by Argyris (1957) on human relations shows that modern organisations failed to inspire the workers mainly on account of (a) absence of challenging jobs and (b) authoritarian attitudes of the supervisors. It has been found that workers are frustrated with small and unimportant jobs on one hand and authoritarian supervisory style of foreman on other hand.

The study by Lawrence on the effects of technological change on the industrial management has shown how attitudinal changes can be caused because of inter-actional changes in the structure of relationships among the managers.

From the sixties 'human relations' is less commonly used. There is a shift in the emphasis from human relations to 'organisational behaviour, and human resource development'. There have been two trends evident in the debate: one has its sources in psychology. These scholars have come to emphasise factors such as opportunities in the job for greater expression, participative supervision and sensitivity training. As a result they developed a number of training programmes. The second trend has been in the direction of more empirical investigation, the impact of organisation structure, control and technology on behaviour. The research on the later aspect revealed the impact of scale of production, industrial and market structure on managerial behaviour.

The human relations movement initiated in early twenties continues to be an important area for enquiry. There have been certain shifts in emphasis and trends. There appears to be a dominant trend which indicates that the whole movement is on the threshold of a major transition and entering into more complex behavioural analysis.

5.7 CRITICAL APPRAISAL

While human relations approach has been praised because of its substantial impact on production, it is also subject to very severe criticisms. The following are some of the major criticisms levelled against human relations approach.

5.7.1 Status-Quo oriented

The critics Kerr and Fisher pointed out that the ideology of human relations ignored conflict and equated loyalty with freedom, protected the status-quo and glorified the closed static society with fixed statuses and embarrassing controls that serve to preserve a monolithic structure.

5.7.2 Ignores Institutional and Structural Factors

The human relations approach ignored the institutional forces and failed to analyse the power differences and the quest for power. Critics feel that it over emphasises the inter-personal relationships. On the contrary, it has been argued that market forces, the business cycle and profitability have an enormous effect on human relationships. They argue that the impact of economic forces on the attitudes and behaviour of the participants is quite substantial which is ignored by the movement. It is criticised that human relations pay greater attention to primary group relations and inter-personal skills and not to the structural factors. How organisation is structured and which principles govern their functioning is as important as informal human relations. Informal organisation can be only one component of formal structure and not a substitute to it. Organisations are only a part of larger socio-economic systems. The changes in the socio-economic system are bound to effect the organisational culture. How organisations interact and respond to socio-economic changes is also an important dimension. Human relations approach has not taken a broader and integrated view of the social process.

5.7.3 Emphasises non-scientific management variables

The human relations approach not only under-estimates the potential of scientific management but concentrates its attention on non-scientific management. By emphasising on such dimensions it renders management more an art than a science. In fact it effects adversely the growth of science of management in human organisations.

5.7.4 Manipulative technique

The human relations movement is essentially a development which occurred in the wake of emergence of capitalism in the western societies. Capitalism seeks to maximise profit by

UNIT – 6 : BEHAVIOURAL APPROACH

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- 6.0 Objectives
- 6.1 Introduction
- 6.2 Behavioural Movement - Origins
- 6.3 Barnard's Contribution
- 6.4 Concept of Authority
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- 6.7 Choice and Behaviour
- 6.8 Value and Fact in Decision-Making
- 6.9 The Hierarchy of Decisions
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- 6.11 Decision-Making and the Administrative Process
 - 6.11.1 Division of Work
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 - 6.11.4 Responsibility
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- 6.14 Summing Up
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- 6.16 Model Examination Questions
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6.0 OBJECTIVES

The objectives of this unit are to acquaint you with the behavioural approach with special focus on authority and the decision - making theory. After going through this unit, you would be able to know

- how the human values shape the administrative process;
- the role of rationality in decision - making and the modes of organizational influence; and
- the criticism on behavioural approach.

6.1 INTRODUCTION

The classical approach to the study of administration emphasised the importance of the structure - the formal dimension - and the human relations, the informal dimension of the organisation. Both the approaches focus their attention on the 'inside' of the organisation. While the formal and informal dimensions of organisation form an important component of the organisation phenomenon, the human behaviour - the value disposition of the functionaries - determines their attitudes and working

style of the organisation. The human relations approach and Behavioural approach broadly deal with the man as a focus. While the former deals with the relationships among the people working in organisation, the later deals with the 'inside' human being with a focus on the place of his values and rationality in the working of an organisation. An understanding of 'inside' the man is as important as 'inside' the organisation.

6.2 BEHAVIOURAL MOVEMENT – ORIGINS

The behavioural movement has been basically a post-second world war phenomenon. All social sciences passed through this phase in one form or the other. In the case of Public Administration, Chester I. Barnard and Herbert A. Simon are considered as the pioneers of the movement. Of them, the decision-making model of Simon is considered as the base of behavioural analysis. His work on administrative behaviour in mid-forties of this century marks the beginning of the behavioural approach to the organisation.

6.3 BARNARD'S CONTRIBUTION

Chester Barnard's major contribution to the behavioural movement has come from his analysis of informal organisation and the role of authority in managing the organisations. He defined organisation "as a system of consciously coordinated activities of two or more persons". He pointed out that "the system is held together by some common purpose by the willingness of certain people to contribute to the operation of the organisation, and by the ability of such people to communicate with each other". Barnard broadly agreed with the Human Relations School when he disapproved the 'economic man' concept and emphasised contribution-satisfaction equilibrium. He traces the sources of satisfaction to four specific inducements, viz: (1) material inducements; (2) personal non-material opportunities for distinction; (3) desirable physical conditions of work; and (4) ideal benefactions, such as pride of workmanship, sense of service, etc. He also pointed out four types of 'general incentives'. They are: (1) associated attractiveness based upon compatibility with associates; (2) the adaptation of working conditions to habitual methods and attitudes; (3) the opportunity for enlarged participation in the course of events; and (4) the conditions for communicating with others, a condition based upon personal comfort in social relations. Thus, Barnard focused his attention on certain vital human factors and their role in a co-operative system.

6.4 CONCEPT OF AUTHORITY

Barnard further analysed the organisation phenomenon and questioned the common notion that working of an organisation is based on authority. Barnard pointed out that authority is a 'fiction'. For its acceptance depends on four conditions: (1) when the communication is understood; (2) when the orders are consistent with the organisation purpose; (3) it is compatible with personal interest; and (4) the individual concerned is in a physical and mental ability to comply with the order. Failure of any of these conditions result in failure of authority. These four conditions imply that it is not enough that the authority is exercised but it is accepted. This leads to a conclusion that authority lies in the person who is accepting it rather than in the person who is exercising it. Barnard further pointed out that in most of the cases acceptance of authority depends upon 'indifference'. In such cases they are unmindful of the nature of the authority. All organisations seek to preserve the 'fiction of authority' as it largely serves the needs and demands of organisation.

The concept of 'co-operative system' and 'zone of indifference' throw light on the behavioural dimension of organisation. This work of Barnard has a great influence on Herbert Simon. That

Barnard wrote a foreword to Simon's book 'Administrative Behaviour : A Study of Decision-Making Process in Administrative Organisation' is an admission of this fact. Barnard considers Simon's conclusions generally applicable and useful for describing administrative behaviour in all types of organisations. Therefore, he described Simon's contribution as outstanding. Barnard concluding his foreword observed that works like that of Simon may ultimately lead to the enunciation of universal principles of organisation.

6.5 SIMON'S CRITICISM OF CLASSICAL APPROACH

Simon waged a frontal attack on the Structural approach (as pointed out in the lesson on Classical approach). He criticised the principles of organisation and described them as proverbs. It is pointed out that the principles are contradictory and internally inconsistent. They lack scientific validity and universal relevance. It is on these grounds their theoretical basis to analyse or explain the organisational phenomenon is questioned. Any valid theoretical construct should possess a frame of reference which should have universal validity. It is this investigation that led to the genesis of the study of administrative behaviour with a focus on authority and decision-making. Unlike the principles which have a contextual relevance, the decision making, according to Simon, is a universal process and can form the base for wider organisational analysis.

6.6 THE PLACE OF DECISION-MAKING

Administration, according to Simon, is generally treated as the art of "getting the things done". In this approach, emphasis is laid on the processes and methods that ensure action. In the whole discussion on administration, sufficient attention is not paid to the choice which precedes action - to the determinates of what is to be done rather than to the actual doing. The decision-making or behavioural approach deals with the process of choice which leads to action. Without an adequate understanding of this dimension, which is rooted in the behaviour of man in the organisation, the study of administration, would remain largely inadequate.

In the behavioural approach, the first question that is to be understood is that process precedes action. This process is popularly known as decision-making process. The question of decision making arises when there are different alternatives or courses of action open to an individual. Since one cannot choose different courses of action or more than one alternative, one has to choose only one alternative by a process of elimination. Therefore, decision-making is defined in simple terms as a process of reducing the alternatives to one. Rationality of human being lies in selecting such alternative which can produce maximum positive results and minimum negative results. The efficiency of any group effort not only depends on organisation that ensures effective doing of a job but those principles which would ensure correct decision-making which would in turn determine the effectiveness of doing the job.

Behavioural approach argues that higher levels in an organisation are considered important because they are entrusted with more crucial decision-making. The logic that is applied in this context is that of doing of a job is more important, than the men on the spot-working at lower levels of the organisational hierarchy-would have been given more important place than the supervisory staff or men at the higher levels. For instance, in a battle the soldiers fight the enemies. They also take many decisions at their own levels. However, overall strategy that is formulated by the Generals, who are not engaged in the actual battle, would determine the outcome of the battle. In an automobile industry the physical product say the car is produced by the mechanics on the assembly line and not the engineer nor the executive. Yet the later occupy the crucial place. Another illustration that is cited is the fire extinguishing department. Here it is the team of firemen who extinguish the fire and

not the fire chief or the captain. This is not to say that the men at the operative level are not important and they do not take the decisions. The only difference is that the decisions taken at the higher levels have greater influence upon the outcome of an organisational effort than the decision taken at the lower levels. In smaller organisations the influence of the supervisory staff is direct, while the influence is indirect in the big and complex organisations. It is for these reasons the behavioural approach emphasises the "insight into the structure and function of an organisation can best be gained by analysing the manner in which the decisions and the behaviour of such employees are influenced within and by the organisation."

6.7 CHOICE AND BEHAVIOUR

All human behaviour involves conscious or unconscious selection of particular actions out of those alternatives or actions which are physically possible and organisationally effective. The selection of a choice refers to preference of a course of action over other courses of action. In any mechanical action, the choice and the action are directly related as is the case with the typist where it is an established reflex action. The typist hits a particular key with a finger because a reflex has been established between the letter on printed page and this particular key. Here the action is rational but no element of consciousness is involved. In other cases the selection will have to be a product of a complex chain of activities called planning or design activities. This can be noticed in the construction of a bridge wherein an engineer designs and the rest of the activities will have to be tailored to the design.

The conscious and unconscious choice of action should necessarily be goal oriented. The effectiveness of a course of action depends upon the capacity of that decision to attain the goals that are set. The choosing of a correct choice is related to the individual's preferences. This deals with the question of values. This effectiveness depends upon the information available at given point of time. This is related to the question of facts.

6.8 VALUE AND FACT IN DECISION-MAKING

The behaviour of members of an organisation is partly determined by the purpose of the organisation. The behaviour will have to be purposive. It is the purposiveness which brings about an integration in the pattern of behaviour. Absence of purpose renders an organisation meaningless. The administration consists in getting things done by group of people. The purpose provides the frame of reference and determines what things are to be done and what things should not be done. In the process even a minute decision governing specific action is necessarily an application of broader decisions relative to purpose and to method. The illustration that is cited by Simon refers to such a mechanical process like walking. He describes the process as follows: "A walker contracts his leg muscles in order to make a step; he takes a step in order to proceed toward his destination; he is going to the destination, a mail box, in order to mail a letter; he is sending a letter in order to transmit certain information to another person and so forth. Each decision involves the selection of a goal and a behaviour relevant to it; this goal may in turn be mediate to a somewhat more distant goal and so on, until a relatively final aim is reached. The behavioural approach maintains that in so far as decisions lead toward the selection of final goals, they will be called "value judgements", so far as they involve the implementation of such goals they will be called "factual judgements". For instance, in the budgeting of a Panchayat Samithi or Municipal corporation they have to decide for what items the amount should be allocated. This depends on the priorities. The decisions whether to allocate more amount to roads or parks, education or health are interlinked with the 'value judgements'. Once the priorities are decided then the implementation mostly depends on 'factual judgements'. For instance, the length of the road, the connecting points, the type of road etc., are the decisions related to factual judgements.

Check Your Progress – Exercise No. 1.

1. What do you understand by 'value judgements' and 'factual judgements'?

6.9 THE HIERARCHY OF DECISIONS

The concept of purposiveness involves the notion of a hierarchy of decisions – each step downward in the hierarchy consisting in an implementation of the goals set forth in the step immediately above. Behaviour is purposive in so far as it is guided by general goals or objectives of the organisation. It is rational in so far as it selects alternatives which are conducive to the achievement of the previously selected goals. Although, theoretically this looks as a neat arrangement, operationally this is fraught with a number of difficulties. The difficulties arise because no organisation pursues a single goal. The governmental agency seeks to achieve many goals. It is the complexity that makes perfect integration extremely difficult. However, certain amount of integration will have got to be achieved in reality, without which no purpose can be achieved.

The above discussion unfolds two important dimensions of behavioural approach: 1) the policy making and the implementation; 2) the involvement of facts and values in the decision making approach. It highlights that the decisions at higher levels involve more of 'value judgement' and the decisions at the lower levels involve more of factual judgements. In the decision making process, choosing of ends involves selection of an alternative based on value judgement and in selection of means to achieve the end it is the factual judgement that is involved. Rationality in the decision making process largely depends upon the correct choice of both the 'value judgement' and 'factual judgement'.

6.10 RATIONALITY IN DECISION-MAKING

Decision-making is a complex process involving a chain of unending decisions one related to the other. In a simple decision making process the decisions tend to be very rational. In a simpler situation, analysing the sequence is easier and, therefore, a better decision making is possible. In a complex situation which involves a large net-work of decisions at different phases, the rationality in the decision making is bound to suffer. It is possible that a decision which produces more positive effects in the first phase may gradually produce lesser and lesser good effects and at the fourth or fifth phase it may start producing negative effects. In this process a course of action which is rational in the first phase may not prove to be rational in the subsequent phases thereby it may turn into an irrational choice. Here an illustration may help to clarify the point. A student taking an examination may set a goal to get a first class. Alternatives open to him to get first class is to work hard or resort to mal-practice. Both courses may help him in getting a first class. The student resorting to mal-practice may not be able to face a test or an interview for a job. As a result what facilitated him in getting a first class could not help him in achieving his goal of getting a job, which, in fact, is the important goal. Similarly a nation which invests its resources on large projects may suffer initially but would gain ultimately. In this case a choice which produces a negative effect initially appears to be irrational in the first phase but would turn into a rational decision at a subsequent phase. The choice of the decision, therefore, assumes importance. The choice generally depends upon the value

disposition of the decision maker. The values form the basis of behaviour. Hence, the importance of behavioural approach.

6.11 DECISION-MAKING AND THE ADMINISTRATIVE PROCESS

The behavioural approach as applied to specific administrative situations has certain unique characteristics which require to be appreciated. Administrative activity is a group activity. It is also a long and continuous activity. Unlike the decision-making in the case of an individual or a family, here it tends to be much more systematic. It is for these reasons an attempt is made to segregate certain elements in the decision-making process of the organisation and establish regular organisation procedure. In the process the organisation takes away from the individual a part of his decisional autonomy and substitutes for it an organisational decision-making process. It is from this phenomenon a number of practices are laid down in the organisation. The following are some of the practices that emerge from the structuring of behavioural choice .

6.11.1 Division of work

The administration is characterised by specialisation-particular tasks are delegated to particular parts of the organisation. This specialisation may take a form of vertical division down in the organisation. This specialisation may take a form of vertical division of labour. The pyramid or hierarchy of authority may be established, with greater or less formality and decision-making functions may be specialised among the members of this hierarchy. This, to a large extent, determines the pattern of decision-making choices.

6.11.2 Co-ordination

Group behaviour requires not only the adoption of correct decision, but also adoption by all members of the group the same decision. Suppose ten persons decide to construct a house. If each has his own plan and they do not communicate their plans chances of a good house construction are very bleak. They would probably meet with better achievement if they adopt a design, however defective and bad the design may be.

6.11.3 Expertise

In an administrative organisation there is a need for specialised skill at the operative level. The work in the organisation must be sub-divided so that all the processes requiring a particular skill can be performed by persons possessing those skill. Likewise, to gain the advantage of expertise in decision-making the responsibility for decision-making must be so allocated that all decisions requiring a particular skill can be made by persons possessing the skill.

6.11.4 Responsibility

The administrative organisation seeks to enforce conformity of the individual to norms laid down by the group. The discretion of the subordinate personnel is limited by policies determined by top administrative hierarchy. Thus, autonomy in the decision making is restricted at various levels by higher decision-making and enforcement of responsibilities.

6.12 MODES OF ORGANISATIONAL INFLUENCE

An administrative organisation devises its own modes and methods to influence the decision-making process. In other words, the organisation seeks to restrict the behavioural choice and reduces decision making autonomy. This is done partly through structure and partly through a systematic

influence on individual's behaviour. The modes that are used to influence the behaviour are : (1) authority; (2) organisational loyalties; (3) criterion of efficiency; (4) advice and information; (5) training.

6.12.1 Authority

Chester Barnard devoted considerable attention to the concept of authority. The organisational culture, as pointed out earlier, builds the myth of authority in such a way that subordinates carry the order coming from above without questioning them. The superior does not seek to convince the subordinate but expects acceptance of the orders readily. Barnard, however, maintains that authority lies with the subordinate who is accepting it and not with the superior who is exercising it. The myth of authority is able to influence to a large extent, the behaviour.

6.12.2 Organisational loyalties

It is a widely prevalent characteristic of human behaviour that members of an organised group tend to identify themselves with that group. In making decisions their organisational loyalties lead them to evaluate alternative courses of action in terms of consequences of their action for the group. An identification with an organisation leads to certain notions of what is good and what is bad to an organisation. The organisation's good dominates the consciousness of the members in the organisation. It is this conception of good that makes him loyal and enables him to take such decisions which would be in conformity with the good of the organisation. Thus, the behavioural choice is narrowed down by the organisational loyalties and facilitates homogeneity of behaviour rendering group work possible.

6.12.3 Efficiency

The exercise of authority and the development of organisational loyalties are the important means through which the individual's value-premises are influenced by the organisation. But in every decision-making there are also factual judgements. They are influenced by the criticism of efficiency. The concept of efficiency involves the shortest path, the cheapest means in the attainment of the desired goals. The efficiency criterion is largely neutral as to what goals are to be attained. The order "be efficient" is a major organisational influence over the decisions of members of any administrative agency.

6.12.4 Information

The communication flow in an organisation is also important in shaping the decision-making process. The information available to an individual is an important input in making factual judgements. The organisation which is capable of facilitating effective communication can not only condition the behavioural choice but ensures uniformity of judgement and action.

6.12.5 Training:

Training is a device through which an individual is mentally prepared to act and react in a particular way in an organisation. An effective training would equip an individual in methods of using his discretion in conformity with the design and the goals of the organisation. This is also a device through which the information and the necessary goals be transmitted to an individual so as to enable him to make right type of choices in the organisation.

The above discussion clearly brings out how behaviour assumes importance in any human activity, particularly in an administrative organisation, it has its unique characteristics. The discussion indicates that for the purpose of organisational analysis, it is not the structure nor the human relations but it is the decision-making that should be the frame of reference. The discussion does highlight how some of the principles such as hierarchy, co-ordination, division of work, specialisation are

associated with the decision-making process. The discussion also shows what an amount of effort goes into making of an organisation structure. The determinants of the structure such as authority, loyalty, efficiency training are mainly intended to restrict the behavioural choice and facilitate group effort. If every individual in the organisation is permitted to behave the way he wants to, then no group efforts would be possible. It is for this reason the organisational structure is built. Thus human behaviour and its inter-connection with the structure and group effort form the substance of behavioural approach to the study of organisation.

Check Your Progress – Exercise No.2.

1. Explain that human behaviour and its inter-connection with the structure and group effort form the behavioural approach to the study of organisation

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6.13 CRITICAL APPRAISAL

The behavioural approach has also come under considerable attack. It is criticised on the following grounds:

6.13.1 Inadequate Conceptual Framework

While the behavioural approach criticised the classical approach as inconsistent and internally contradictory, the behavioural approach itself has not offered an adequate framework to explain to the organisation phenomenon. It confined its analysis to only "inside" the man in an organisation, It has not taken the entire social setting in which an organisation operates. Ignoring the social, historical, political, economic, geographical and cultural factors is virtually delinking the organisation from its wider setting. This puts a major constraint on the explanation of organisational phenomenon.

6.13.2 Political

Administrative system is a sub-system of a political system. It is the politics and the political power that set the goals of an administrative organisation. It is largely influenced by the political process. The behavioural approach, like classical approach, took apolitical view giving an impression that organisations are autonomous from their political environment. An approach which lays emphasis on 'value judgement' should not have ignored the political process which also determines the value premises of the public organisations.

6.13.3 Limits to practice

While the approach sought to analyse the value judgement, the concept of rationality did not touch any ethical questions. For the approach maintains that rationality lies in picking up appropriate means to achieve the set goals. A theory which ignores the larger questions of what is desirable and what is undesirable in the larger interests of the society, would not be able to set pace to right types of development, nor can it provide a correct perspective. A thief committing theft by picking up appropriate means would be within the rationalist frame, although what he does may not fit into a socially desirable ethical framework. Such danger, involved in the value free or neutral approach is not realised by the behavioural approach. Another criticism against the behavioural approach has been that it offered only a general explanation to the understanding of organisation at an abstract

level. It hardly helps a practitioner as to how the working of an organisation can be improved. It tends to be highly general in explanation. Therefore, it has no concrete suggestions to offer for either better working of the organisation or to improve the decision-making in an organisation. The concepts of authority and rationality seek to explain human behaviour from an idealistic point of view. The material conditions and concrete historical situation which govern human behaviour have not been taken into account. Organisation Man is compared with Economic Man. The contrast between these two view points is very wide and striking. The entire discussion on economic man deals with his material behaviour. This factor does not figure in the discussion on administrative man at all. That the productive processes and the general human relations determine the value judgements and choice of behaviour is totally ignored in this approach. Finding an idealistic explanation may conceptually look sound but empirically it would be empty.

6.14 SUMMING UP

The behavioural approach marks a significant break-through in the growth and evolution of organisation theory. Its contribution to the study of organisation is quite substantial. Behavioural approach has taken the organisation study beyond the principles and structures which are of technical nature. It brought in the behavioural component based on value judgement. It provided a new angle to look at organisations and offered a new frame of reference, viz., the decision making. It also brought in the philosophical dimension by adding the concept of 'zone of indifference', 'rationality' and 'the ends and means' debate. The principles enunciated by the classical thinkers are presented in a new light. The lengthy discussion on the determinates of organisation both the structural and behavioural and the modes of organisational influences lead to the rich understanding of the administration. In fact Simon's subsequent devotion to the study of economic organisation is considered as a loss to the study of administrative organisation. Critics do think that had he pursued the same line of enquiry, the study of administration would have gained enormously. There is no doubt that behavioural approach widened the conceptual framework and contributed richly to the lively debate on organisation in general and organisation behaviour in particular.

6.15 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. Decisions that lead towards the selection of final goals are called as value judgements. The implementation of such goals is called as 'factual judgement'.

Exercise No. 2

1. The essence of organisations is group effort. If every individual in the organisation is permitted to behave the way he wants to, then no group effect would be possible. Authority, loyalty efficiency are mainly intended to restrict the behavioural choice and facilitate group effort. It is also the purpose of organisational structure to ensure uniform behaviour pattern of the members of the organisation.

6.16 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each:

1. Discuss Barnard's contribution to the behavioural movement.
2. What is the importance of decision making in the study of organisation?

3. Discuss the place of rationality in decision making.
4. What are the various modes of organisational influence on decision making ?
5. Point out the criticism against behavioural approach.

II. Answer the following in about 15 lines each:

1. Discuss the concept of 'co-operative system'.
2. Point out Simon's criticism on structural approach.
3. What is the place of values and facts in decision making ?

6.17 REFERENCE BOOKS

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Unit – 7: ECOLOGICAL APPROACH

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7.0 OBJECTIVES

The Ecological Approach attempts to appraise the global system in which administrative sub-system operates. It further gives you an indication of the contribution of F.W Riggs to the understanding of Public Administration. After going through the unit you will be able to:

- differentiate the administrative systems in underdeveloped, highly developed and transitional or developing countries and,
- identify the main features of administrative systems in transitional or developing countries.

7.1 INTRODUCTION

The ecological approach to the study of administration originated in the wake of emergence of the third world and increasing realisation of irrelevance of most of the western organisation theories to the study of administration. The third world nations which were liberated mostly after the Second World War had experts from the United States as consultants. In spite of their advice and consultancy, the political systems started crumbling and the administrative systems became ineffective and inefficient. Their economics started getting into deeper crisis. The western scholars were puzzled with the experience that the Third World was passing through. It is these developments that gave rise to new concepts and explanations. It is in the wake of this new awareness, the concept of ecology was developed.

Fred W. Riggs – the pioneer of the concept of ecology – was a Chinese born and American trained scholar. Riggs visited Thailand, Philippines and India to understand the phenomenon of under-development and the process of change. It is his observations that led to the formulation of the concept of ecology. Riggs raised the basic questions about the relevance of the western organisation theories to the developing countries. The second question that he raised was why the theories which have been capable of explaining the western societies have not been able to explain the phenomenon in the third world countries. Most of these intellectual exercises are a response to these two questions.

Riggs pointed out that each society has certain unique characteristics which influence the working of any of its sub-system. He found that most of the western theories looked into 'inside' the organisation but not its relations with 'outside' the system. The outside refers to the general socio-economic environment. This was one of the reasons why large scale transplantation of ideas and institutions has taken place without any regard to the socio-cultural setting in which these ideas or organisations have to operate. He found the cause in the incompatibility of the western models to the needs and demands of the third world nations.

7.2 CONCEPT OF ECOLOGY

The concept of ecology is drawn from the concept of environment as used in biology. In biology it is established that for the growth of a particular plant, there is a need for a particular climate, soil, humidity, temperature, etc. A plant that can grow very well in a particular climate cannot grow in a different environmental setting. On the same analogy each society has its own economic structure, history, values, cultural modes, political processes, etc. The characteristics of the larger social system and the cultural climate like the physical climate in the environment shape the ideas and the institutions. As a plant cannot grow in a different environment, an institution also cannot thrive in a different social setting.

The concept of ecology, unlike earlier approaches, takes a very wide conceptual framework and adopts a systems approach to the understanding of the organisation phenomenon. In spite of concentrating on a sub-system, the concept of ecology takes a holistic view of the organisation. This is the reason why Riggs sought to categorise the broad systems at a micro level and attempted to apply those characteristics to the micro sub-systems such as bureaucracy, market, association, etc. He took the global systems as a frame of reference to his categorisation of the three major systems, viz., fused, prismatic and diffracted. It is these three models that one has to appreciate to understand the concept of ecology.

7.3 THREE MODELS OF ORGANISATION

The fused societies refer to the traditional social systems where the ascriptive values dominated the society. The ascriptive values in these societies determine the place and the role of an individual and his achievements. Applying the structural-functional criterion, it is pointed out that the traditional social systems are largely underdeveloped systems. There is low level of differentiation in the structures and the functions. In other words, in fused societies one structure performs multiple functions or one function is performed by multiple structures. The specialisation of one structure performing one function is largely absent. In this context a King performing the legislative, executive and judicial function or a church performing ecclesiastical, charitable, educational and health functions are the striking examples. It is this low degree of differentiation that accounts for low level of efficiency and expertise of institutions in a traditional society. In contrast, in a diffracted society there is high degree of differentiation in both the structures and the functions. The place and role

of an individual is determined by achievement and not by virtue of his birth in a particular family. Such societies are largely dominated by rational norms and secular value.

The developing societies, whose social structure remained basically traditional borrowed the institutions from the advanced industrial societies. But they could not transplant these structures and the norms and values associated with them effectively in their own soil. The modernity of these institutions encountered the traditionality of the social system. As a result the outward appearance of the institutions is in conflict with internal processes and actual working of the system. To explain and clarify this phenomenon the ecological approach borrows the conceptual framework from the light theory in physics. The Sunray combines in itself all the seven colours (VIBGYOR). This symbolises structural functional fusion into one structure. The ray in its multicoloured form appears in a diffracted form when it passes through a prism. These colours indicate the clear cut differentiation of the structures and the functions. The developing societies are compared with a prism which is capable of facilitating the diffraction of the sun ray. In other words, the sun ray undergoes the process of change in the prism. Therefore, the developing societies are described as prismatic societies.

The prismatic societies exhibit certain unique characteristics which are a result of increasing interaction between modernity and tradition. The ecological approach postulates that this interaction produces characteristics such as formalism, overlapping and heterogeneity. Riggs not only describes these characteristics but applies them to all the sub-systems in the society.

Check Your Progress – Exercise No. 1

1. Differentiate between fused and diffracted societies.

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2. Why the developing societies are called as prismatic societies?

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7.4 FEATURES OF PRISMATIC MODEL

The following are the features of prismatic model.

7.4.1 Formalism

Formalism refers to the gap between what is stated and what is practically done. In every society the degree of formalism is determined by its own socio-economic conditions. While in some societies the degree of formalism is high, in certain other societies it may be less. The incidence of formalism is more in prismatic societies when compared with fused societies or diffracted societies. In fused and diffracted societies the realism is higher and the gap between the stated objective and real performance is relatively lesser. An explanation for the incidence of formalism lies more in the

conflict between the tradition and modernity which is widely prevalent in prismatic societies. From Indian society we can cite a number of examples from the socio-economic system which highlights the wide spread formalism.

On the cultural front several individuals may condemn dowry system but may not decline, when it comes to their individual cases. Even in the economic front a lot of talk goes in the name of poverty, but the number of poor go on increasing year after year. The social life is characterised by considerable hypocrisy.

On the political front the formalism is one of the major causes for breakdown of the constitutional framework. There is a wide-spread incidence of constitutional formalism. Constitutional formalism refers to the gap between the constitutional principles and their actual intention. A number of examples can be cited in this regard. The Chief Minister of a State should be the leader of the majority party and he should get duly elected to that office. But there are a number of instances where they get nominated by the central leadership. The cabinet system of government is based on the principle of collective responsibility, but substantial power is appropriated by the office of Prime Minister at central level and Chief Minister at the State level. Another example is the place of the legislature. The legislature, according to the constitution, is a law-making body. A perusal of the proceedings of the legislature would reveal that the legislators spend most of their time in matters which are not related to the question of law-making. The legislators hardly go to the legislature fully prepared. As a result the policy making power is appropriated by either the political executive or the bureaucracy. These examples illustrate the presence of formalism in Indian society and its prismatic character.

7.4.2 Heterogeneity

The prismatic society suffers from a high degree of heterogeneity too. Owing to the presence of diametrically opposite views, and conflict between modern and traditional values the social change sometimes is inconsistent and puzzling. The heterogenous character of prismatic society is so evident when one looks at the most sophisticated modern transport like an aeroplane and continued dependence of some of the rural people on bullock cart for transport. On cultural front we find the ultra-modern western life styles and also extremely tradition-oriented life styles. On the one hand we have hospitals and modern equipment and also quacks who depend on hunches and superstitions. The contrast can also be seen in the case of analysis by research organisations and also the presence of astrologers predicting the social and individual events.

The heterogeneity caused by this conflicting styles, practices and ideas contributes to the increasing confusion in the society. It is these conditions that make planning ineffective and priorities distorted. The system in general gets subjected to pressures and counter-pressures, pulls and counter-pulls. The heterogeneity leads to conflict in the implementation of developmental programmes. For, while the stated goals promise help to the weaker sections, the actual fruits reach the better off sections.

Heterogeneity leads to poly-normativism. In a poly-normative situation neither individual nor the institutional behaviour is governed by a set of uniform and clearly articulated norms. For instance, the behaviour of a mother-in-law symbolises the heterogeneity in our social situation. The mother-in-law would plead not only for joint family but would resist any demand from the daughter-in-law for separation from the joint family. The mother-in-law would argue and propagate that her daughter-in-law is contributing to the disintegration of their family. The same mother-in-law would be unhappy if her own daughter is to live in large family and perform the traditional role of a daughter-in-law. She would plead with her daughter and son-in-law for separation. She would not hesitate to highlight even the virtues of a nuclear family. This value conflict of mother-in-law is rooted in the heterogeneity of values in the society. Her value crisis stems from the transition of a traditional family system to a modern family system. Since she has not been able to make a clear cut choice, she would apply one norm to her daughter and an equally opposite norm to her daughter-in-law. This is a predicament of a prismatic situation.

7.4.3 Overlapping

Overlapping basically refers to the duplication and repetitiveness in the functions and the structures. In fused societies traditional structures perform almost all kinds of functions and in a diffracted society the differentiation of the structures and functions reach a point where one structure performs one function. It is the combination of these two trends that causes the overlapping of the functions. A religious organisation like Church or Tirupati temple would not only perform the ecclesiastical function but certain socio-cultural functions such as running of educational institutions or hospitals or local transport etc.

Check Your Progress – Exercise No. 2

1. What are the characteristic features of a prismatic society?

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2. What do you understand by 'formalism'?

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7.5 ADMINISTRATIVE SYSTEM IN TRANSITIONAL SOCIETIES

7.5.1 The Sala Model

The characteristics that are present in the larger prismatic society are reflected in all the sub-systems of a society. The administrative sub-system is no exception. In the fused society as pointed out earlier, highly personalised and ascriptive values exist. Here the administrative system is known as chamber. In a diffracted society the administrative system is governed by impersonal and modern values, and it is known as office or bureau. The administrative system in a prismatic society is a product of these two conflicting systems. As a result the office does not work in the same fashion as it does in diffracted society. Therefore, ecological approach maintains that to use the term office to describe the administrative system of a prismatic society is highly misleading. For the description of modern office would not be able to explain the working of an 'office' in prismatic society. This is partly on account of lower degree of development in terms of structural-functional differentiation and partly because of the impact of larger system on it. Therefore, Riggs prefers to use the word 'sala' in the place of 'office'.

About the origin of the term 'sala' there are two interpretations. One believes that it has Spanish origins. The word in the language refers to government office, religious conference, a room, a pavilion, etc. The other interpretation traces its origins to the Sanskrit word Shala which is also used to describe different and varied structures and functions. The words such as 'pathashala', 'narthanashala', 'panashala', 'pakashala' etc., indicate that the same description is used for drawing room, dancing place, kitchen and school. In Riggsian analysis it is an indication of absence of

structural functional differentiation. Therefore, he describes the Indian office system as 'sala', because of the multiplicity of functions that it performs. The predominant characteristics of sala reflect the major characteristics of prismatic society, viz., formalism, heterogeneity and overlapping. Here an attempt is made to discuss these characteristics as applied to the office system.

Formalism that is found in the prismatic system is also found in the administrative sub-system. The office in the diffracted society is governed largely by Weberian norm. Max Weber listed out a number of characteristics of legal rational bureaucracy. He emphasises the normative behaviour and impersonal approach to various problems. He also lists merit as a criterion for recruitment and promotion, and career as a full time occupation. These are characteristics of the office system in a diffracted society. In fused society the administration is personalized and based on primordial loyalties. In a prismatic society the administrative system neither is normative nor totally personalised. As a result while the stated principles are more akin to diffracted office or bureau, the actual operation reflects the spirit of 'chambers' of a fused society. It is this gap between the stated and the actual that give rise to formalism.

An examination of administration reveals the prismatic nature of the sub-system. While merit is accepted as a principle for recruitment and career advancement, the influence and patronage continue to play an important role both in recruitment and promotion. Similarly, administrative system does not strictly go by the prescribed rules, regulations and procedures. A perceptive observer described India administration as "a private paradise and a public jungle". This implies that things are done in a very fast and favourable way to those who are personally known to the functionaries and get delayed and denied to those who are not personally known to the functionaries in the administrative system. In fact since the functioning of the administrative system is not bound by the rules and regulations, pyavee- pressure on the system-has become an important component of organisation culture. It is because of these characteristics and peculiar style of functioning, Riggs prefers to describe the administrative system in these societies as Sala model.

The sala is a product of conflict between different values. This is typical of prismatic heterogeneity. As it is not governed by a set of homogeneous norms, it leads to poly-normative situation. In the office system the functioning of administration is more normative and systematic. In contrast, in the 'sala' the response is not uniform. This is considered as one of the reasons why the observance of rules and regulations is more an exception than a rule. Sometimes because of the heterogeneous character, contradictory rules and procedures co-exist. For instance, in Indian sala model it is very common that the rules are violated. An example that can be cited is the case of open competition and reservation system. While merit is accepted as the criterion to the public service, there are also reservations, to various social categories where the merit is not the criterion. This is a result of divisions and disparities in the society. A number of such instances can be cited to establish that administrative culture is largely characterised by the poly-normativism.

With regard to the overlapping in the 'sala', there are innumerable instances of administrative overlappings. In India we can observe how the function of education is being performed by not only the governmental agencies but also by local bodies such as municipalities and panchayati raj, voluntary agencies, religious organisations and also private persons. Within the governmental set-up there are varied types of schools. This stretches from running of model schools to a single teacher school in a village. Thus, the multiplicity is the character of sala model. One of the major areas of controversy in the Indian administrative system has been the clear cut demarcation of functions. There is a continuous debate about the claims and counter-claims of different departments on a particular function. It is this absence of clear cut demarcation that gives rise to the passage of a file through a number of departments for their comments. Travel of the file upwards and downwards is also partly on account of the large scale overlapping of functions. Therefore, Riggs considers that administration in a prismatic society does not normally follow the methods of an office and therefore, he describes this as a characteristic of sala model.

Riggs also finds western nomenclature inadequate to explain either cultural or economic activities. Therefore, he describes the cultural associations as clects and markets as bazaar canteen. Here a brief discussion of these two sub-systems is made.

7.5.2 Clect

In a diffracted society there are a number of clubs and professional associations which cater to occupational, cultural or social needs of its members. In fused societies there are certain sects based on narrow and familiar loyalties. For instance, the caste system in India can broadly be categorised as a sect. Riggs describes that most of the modern types of associations in prismatic societies have sectarian interests. Therefore, in the form they resemble modern club, but in operation they are sectarian. Therefore, they can neither be called clubs nor sectarian groups. He coined the term clect taking 'cl' from the word 'club' and 'ect' from the word 'sect'. Thus, clect is a cultural sub-system of a prismatic society.

7.5.3 Bazaar Canteen Model

In a diffracted society the market prices are determined by supply and demand. The relation between the producers, seller and the consumers tend to be impersonal. The price, therefore, is fixed on certain systematised norms. In a prismatic society the market does not perform a similar role. The seller may charge higher price to a stranger and lower price to a friend. Sometimes the prices are also determined by the capacity of the consumer to bargain. Bargaining and charging price to the same commodity do not fit in the market system. Therefore, the market in a prismatic society is described as a bazaar as it has its own distinct characteristics. Riggs also gives the example of certain canteens where the food items are sold at a subsidised rate. In certain canteens they may collect higher price to collect amount to meet some other welfare function. Therefore, he describes the economic sub-system as a bazaar canteen model in a prismatic society. This indicates how the macro trends in the larger social system influence all the sub-systems in a transitional society. However, this theory is subjected to severe criticism and a lot of debate is going on in the administrative literature. Here certain important criticisms that are levelled against this approach are discussed.

Check Your Progress – Exercise No. 3.

1. Why Riggs described Indian office system as 'sala'?

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2. What do you understand by 'clect'?

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3. Why a market in a prismatic society is described as a bazaar?

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7.6 CRITICAL APPRAISAL

The critics pointed out that the approach overemphasises the importance of the environment and its influence on the administrative sub-system. If administration reflects the general conditions and characteristics in the society, wherefrom does the change originate? This approach seeks to establish that there is a continuous equilibrium between the larger system and the sub-system. The equilibrium oriented model stands more for stability rather than change. In a developed society the equilibrium may have a positive impact, but in a developing society where society has to be transformed, equilibrium is not only negative but counter-productive. The ecological approach is criticised on the following grounds.

7.6.1 Anti-change Oriented

The administrative structures are entrusted with a heavy responsibility of bringing about change in all facets of the community. In fact the whole discussion on development bureaucracy revolves around the concept of change. The ecological approach critics do not look at the administrative system as a change agent. The social system that emerges from such an analysis is mostly of static character and affected by the changes outside the bureaucratic system. Thus, it almost establishes that the administration is more a victim of its environment than a viable instrument which can control and change the environment.

7.6.2 Pessimistic

The above discussion that bureaucracy is equilibrium oriented or anti-change oriented smacks pessimistic view point. It virtually eliminates the scope for gradual change through planned effort. The role for the administrative instrument is considered to be non-existent. Therefore, the concept is dubbed as pessimistic.

7.6.3 Ethnocentric

The categorisation of the societies into fused, prismatic and diffracted is based on the values inherent in a capitalist system. For characteristics of diffracted model are entirely that of a capitalist system. The analysis very clearly indicates the supremacy of the diffracted model over the other models. To that extent, this approach suffers from ethnocentrism.

7.6.4 Terminological Jugglery

Riggs in order to explain his concepts extensively used the terms from physical sciences and life sciences. The terms such as fused, prismatic, diffracted, clect are too confusing to a reader. The same concepts should have been explained in simpler and common vocabulary. This made a critic to remark that "contribution of Riggs to administrative theory is confusion".

7.6.5 Absence of Quantitative Indicators

The ecological approach while talks of prismatic on the fused to diffracted continuum, it does not specify any indicators with the help of which the degree of prismaticism can be estimated. Where does

a particular society lie on this continuum is not known. In the absence of any accurate measures, the approach would lack the necessary scientific accuracy.

7.6.6 Negative concepts

The characteristics of a prismatic model such as formalism or overlapping are described as entirely negative in content. These characteristics can as well be considered in a positive way. For instance, the concept of formalism is bound to be there in any situation where the attempt is made to achieve a higher level of performance. This can be interpreted on the desire of the people to reach a new higher level of performance. All institutions and individuals improve their performance when the goals set and norms fixed are of a higher order. Instead of considering formalism as a gap between good intentions and struggle to achieve it, it is described as negative characteristic.

7.6.7 Methodological ambiguity

The ecological approach categorised the societies into three distinct models and attempts to integrate them. The integration of the societies and simultaneously dividing them is methodologically not correct. It may be argued that all the societies are prismatic. In that event the fused and diffracted models become utopian. Can utopian model be a frame of reference for understanding the reality? Thus, critics point out that the approach suffers from considerable ambivalence.

7.7 SUMMING UP

The Riggsian ecological approach is one of the significant contributions to the study of administration. Riggs is a pioneer who widened the horizons of administrative concepts. It is one approach which attempted to take an integrated view of the administrative reality. The theory which earlier was entirely rooted in the western experience has come to strike new roots based on the experience of the third world societies.

The whole approach is based on wide landscape covering from the traditional social systems to the modern advanced societies. The discussion on the characteristics of prismatic society, viz. formalism, heterogeneity and overlapping is intellectually a rewarding exercise. These characteristics are very much a part of the general experience of people in most of the developing societies. The cause for these characteristics is traced in the conflict, between tradition and modernity. This is an important angle to look at the transition in developing societies.

The skill with which these characteristics are applied to the sub-systems – administrative, cultural, economic – brings out the inherent inter-linkages of a social system. The ecological approach, therefore, is one of the most comprehensive approaches to the study of administration. In the recent past, there are very few concepts which can be considered as innovative and original. Ecological approach, not only added to the rich understanding of the subject but has raised the academic status of the discipline of public administration.

7.8 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. By fused societies we mean the traditional social systems. In the fused societies one structure performs multiple functions.
In a diffracted society there is high degree of differentiation in both the structures and the functions.
2. A prism is capable of facilitating the diffraction of the sun ray. The sunray undergoes the process of change in the prism. The sunray combines in itself all the seven colours. This symbolises structural functional fusion into one structure.

Exercise No. 2

1. The characteristic features of a prismatic society are (a) formalism (b) overlapping and (c) heterogeneity.
2. Formalism refers to the gap between what is stated and what is practically done.

Exercise No 3.

1. In prismatic societies there is a lower degree of development in terms of structural functional differentiation. Therefore Riggs preferred to use sala in the place of office.
2. Most of the modern types of associations in prismatic societies have sectarian interests such as caste. In the form they resemble modern club but in operation they are sectarian. They can neither be called clubs nor sectarian groups. Therefore, Riggs coined the term 'clect' taking 'cl' from the word 'club' and 'ect' from the word sect.
3. In a prismatic society, price are not determined by supply and demand. The price is not fixed on systematised norms. The market has its own characteristics. Hence, Riggs described it as a 'Bazaar'.

7.9 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each :

1. Discuss the characteristics of a prismatic society.
2. What is 'sala model'? Explain the prismatic characteristics of the model.
3. What are the major criticisms against the prismatic model?

II. Answer the following in about 15 lines each :

1. What is the meaning of ecology ?
2. Explain the concept of 'clect'.
3. Explain the concept of Bazaar canteen model.
4. Describe the main features of a diffracted society.
5. Describe the main features of a fused society.

7.10 REFERENCE BOOKS

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UNIT – 8 : COMPARATIVE APPROACH

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- 8.2 Significance
- 8.3 Sources of Comparative Public Administration (CPA)
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 - 8.5.1 Bureaucratic Systems Approach
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8.1 OBJECTIVES

The aim of this unit is to explain the principal features of comparative public administration and its limitations. After going through the unit you would be able to :

- list the main tenets of Comparative Public Administration; and
- survey its position, and analyse its weaknesses.

8.1 INTRODUCTION

Comparative approach to the study of administration has grown almost along with the ecological approach. The emergence of this approach was basically in response to the intellectual urge to find out a universal basis for administrative phenomenon. The condition for any discipline to be entitled for the status of a science is its universal validity. The basic question with regard to public administration that remains to be answered is the question whether there is any science of administration. It is always felt that seeking the basis for science of administration is worthy of all the attempts and trials. The major hurdles for development of science of administration arise from the ecological setting as described in the earlier chapter. It has been felt, particularly during the post-second world war period that administration in the developing countries is culture-specific. As a result it is believed that each system is unique in its own way. This widespread feeling led to the examination of the administrative patterns in cross-national and cross-cultural context. For this purpose it has been advocated to undertake rigorous and systematic comparative analysis. This effort is aimed at developing a general theory of administration having a wider basis based on global experience.

A comparative approach to the understanding of social phenomenon is not altogether a new approach. The comparative approach in one form or the other existed ever since building up of

systematic knowledge began. Man was compelled to take a comparative view of events and experience for deeper analysis and sharper understanding. The bridging up of various societies through modern communication and transport technology not only call for comparative analysis but make it necessary in solving problems of man in the global context. As a result of these developments comparative studies started taking place on inter-cultural and intra-cultural or inter-national and intra-national basis. Edward Shils observes that "inquiry may be considered comparative if he proceeds by the use of an analytical scheme through which different societies may be systematically compared so that, by use of a single set of categories, their identities and uniqueness may be disclosed and explained". Thus, he emphasized on an analytical scheme, systematic comparison, single set of categories and the identities and uniqueness of societies. These factors constitute important components of any comparative analysis.

8.2 SIGNIFICANCE

Although comparative approach has had a long history, a greater emphasis is being laid on this approach in the recent past. This emphasis is noticed in the case of all the other social sciences : comparative economics, comparative sociology, comparative politics, comparative history etc. This trend is noticed in the case of public administration also. Woodrow Wilson did emphasise in his essay that exchange of administrative concepts and experiences was necessary for the growth of the discipline of public administration. The hopes for comparative approach were raised high when Taylor's scientific management was welcomed by Lenin. Lenin's acknowledgment to Taylor's contribution marks an important landmark in the evolution of organisation science. This is considered very significant because the concepts developed in the context of rise of capitalism were found relevant in a diametrically opposite political system based on anti-capitalist ideology. However, the traditional approaches to the study of administration were confined to the western experience. They were culture-bound, normative, legalistic, formalistic and descriptive. The major criticism against most of these concepts has been the dominant 'egoistic' and 'ethnocentric' propensity. It was these limitations that rendered the emergence of science of administration difficult. Comparative approach believes in breaking these limitations and broaden the value basis of administrative theory,

8.3 SOURCES OF COMPARATIVE PUBLIC ADMINISTRATION

The comparative public administration movement draws its strength mainly from four sources : (i) Policy oriented catalysts, (ii) Intellectually oriented catalysts, (iii) The behavioural movement, and (iv) Comparative politics movement.

8.3.1 Policy Oriented

The modern state, because of its developmental and welfare orientation, formulates a number of policies and determines the priorities. Given the present complexity of socio economic systems, policy formulation is an extremely difficult exercise. It calls for immense data and rich experience. It has to largely draw upon the experience of different societies. In those areas where one can benefit from other experiences, they need not waste the time and resources. Because every new venture involves trial and error method, comparative approach seeks to avoid these errors by making the experiences of one society available to another society. It is this advantage that makes comparative approach relevant to the policy formulation process. In fact the needs of policy also act as catalysts for a stronger and vibrant comparative public administration movement.

8.3.2 Intellectual

The human curiosity to seek generalities has been an age old tendency of man. The curiosity is much more in the modern context when human experience is unique, complex and wide ranging. The modern context itself poses a challenge to human curiosity. The range of experience leads to the doubtful propositions of universal laws and a fresh enquiry. The attempt to seek these basic laws gave the necessary fillip to the comparative public administration movement.

8.3.3 The Behavioural Movement

Earlier the administrative studies were confined to the understanding of the structures. A descriptive type of comparison of the structures was made. These studies did not yield much of theoretical perspective. However, they were informative. The failure of structural approach led to the behavioural approach. The dynamics that govern the human behaviour became the focus of the study of administration. This dimension has been quite challenging. The behavioural approach challenged all the earlier theoretical propositions calling for new body of knowledge. It is the uniqueness of human behaviour that makes the comparative approach necessary, important and difficult. However, behavioural movement substantially contributed to the rise of comparative approach to the study of administration.

8.3.4 Comparative Politics Movement

The political systems, particularly of developing countries, posed formidable challenge as they started experiencing continuous instability. This posed a major question and called for deeper analysis. In political science a major shift from studying political institutions to political behaviour took place. The study of political behaviour involves deeper and rigorous comparative analysis. It is the comparative politics movement that gave a fillip to comparative public administration movement simultaneously.

8.4 ITS ROLE

The Comparative Administration Group was set up in the year 1963 as a committee of the American Society for Public Administration. The committee was headed by Fred W. Riggs for a very long time. This group developed a programme with three objectives : (1) encouraging research, (2) encouraging teaching, and (3) contributing to more effective public policy formulation in the area of development administration. The committee initiated a number of measures to stimulate debate on comparative public administration. It served as a communication link between the scholars and practitioners concerned with development administration. On the whole this group has widened the horizons of public administration. It has opened the doors of the discipline to all kinds of social scientists and stimulated interest among a wide range of academics in the problems of development administration. The ultimate performance of the comparative public administration movement has been " to hasten the emergence of a universally valid body of knowledge concerning administrative behaviour. In brief, to contribute to genuine and generic discipline of public administration."

8.5 CONCEPTUAL CLARIFICATIONS

The conceptual approaches to comparative public administration have the following purposes : (1) to learn the distinctive features of a particular system or cluster of systems; (2) to explain the factors responsible for cross-national, cross-cultural differences in the bureaucratic behaviour, (3) to examine the causes for the failure or success of a particular administrative feature and (4) to understand the strategies of administrative reforms.

In the study of comparative public administration, Riggs points out three major shifts in emphasis. The shifts have been; (a) from normative to empirical, (b) from ideographic to nomothetic, and (c) from non-ecological to ecological. In the first trend the attempt is to study administration not as a normative science which deals with what ought to be done, but as an empirical science dealing with what is. In the second trend while the ideographic approach concentrates on the unique case or case studies, the nomothetic approach seeks generalization, laws, hypothesis that assert regularities of behaviour. The third trend is a shift in the focus from examining the phenomenon as an isolated activity (non-economical) to the examination of phenomenon as a part of the larger setting and its relation with administrative system (ecological). Thus, certain significant changes in the basic approach can be noticed in the comparative approach to the study of administration.

The debate on specific approaches made by Riggs, Heady, Henderson, gave rise to the emergence of three broad approaches in comparative public administration. These approaches are : (i) the bureaucratic systems approach, (ii) the general systems approach, and (iii) the developmental approach.

8.5.1 The Bureaucratic Systems Approach

Max Weber—a sociologist built an ideal type bureaucracy based on a legal-rational authority system. This ideal construct has been the single most dominant conceptual framework in the study of comparative administration. Weber's model focuses on the structural characteristics of bureaucracy such as hierarchy, specialisation, rationalist job structure, selection of personnel on the basis of merit, impersonality, predominance of norms, etc. There has been considerable criticism on Weberian model. This is attacked on the grounds that such model is relevant only to the western type of organizations which operate in a relatively stable social system. The bureaucracies in these societies play more a preservative role. It is for these reasons such ideal constructs do not hold good to changing social order. As the developing societies are passing through rapid transition, the administrative systems are called upon to perform the role of change agents. In such context Weberian analysis becomes inadequate to explain the phenomenon. In fact these bureaucracies are largely shaped by the cultural and traditional values of the society. In spite of these limitations, Weberian bureaucratic model evoked tremendous response from the scholars all over the world.

The Weberian bureaucratic model by itself may not serve as an adequate tool, but it can provide a frame of reference for comparative analysis. There are scholars who did work on comparative bureaucratic systems. These studies focussed their attention on the relationship between the administrative sub-system and the political system in which the administrative system operates. The comparative approach with regard to the bureaucracies has been of two kinds : (a) the examination of internal processes of bureaucratic organisation, such as decision making, planning, programming, etc., and (b) the relationship between the organisation and external environment. This focuses its attention on the socio-economic and political changes and their impact on public organisation. Thus, the model built by Weber is being used extensively for comparative purposes.

8.5.2 The General Systems Approach

It was Tolcott Parsons who defined a system as a concept that refers both to a complex of interdependencies between parts, components, and processes, that involve discernible regularities of relationship and to a similar type of interdependence between such complex organisation and its surrounding environment. Thus, systems approach includes three important components; (1) the parts of a system, (2) interactions among such parts, and (3) interactions between the system and its environment. In the systems approach it is assumed that the inputs enter from the environment into the system, 'through-puts' which 'process' the inputs within the system and outputs which go out from the system into the environment. The input-output approach has come to be widely used in the political science.

It was Fred W. Riggs who was the first to attempt to use the model in comparative public administration. He developed an agraria-industria model. Agraria represented a poor traditional society, industria represented affluent modern industrial society. He developed a transitia model symbolizing a transitional society moving from the stage of agraria to that of industria. As this model came into attack the prismatic model (which you have studied in ecological approach) has come into being. This model is based on the structural functional differentiation. The model consists of a comparative element in the sense that on the continuum from the fused to the diffracted each society can be placed on one point or the other. That is how a model facilitates comparative analysis.

8.5.3 Developmental Approach

As pointed out earlier the complexity of the developing nations has been the main catalyst of the emergence of both the comparative public administration and development administration. While the development approach emphasises the problems of developing countries, it cannot be confined only to developing countries. It is argued that even those countries which are industrially advanced, face the challenge of social change. Therefore, it is concluded that development has universal implications and relevance. That is how development approach has come to be treated as an important component of comparative public administration.

Development administration is related to goal and action oriented administrative system. According to Edward Weidner the concept of development administration refers to the process of guiding an organisation towards the achievement of progressive political, economic and social objectives that are authoritatively determined in one manner or another. (The details about the development administration would be presented in the next unit).

The three major conceptual approaches discussed above should be viewed as mutually inter-dependent and not as exclusive categories. The bureaucratic approach is increasingly being used to study the developmental relation of bureaucracies in cross-cultural settings. The general systems approach focusses its attention on functioning of administrative systems in their socio-environmental context. The development administration approach focusses on the dynamic interaction between the administrative system and its social environment. A synthesis of these three approaches provides a broader framework for understanding the comparative public administration.

Check Your Progress - 1

1. What are the purposes of conceptual approaches to comparative public administration ?

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2. What are the major shifts in emphasis as pointed out by Riggs, in the study of comparative public administration ?

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3. What do you understand by development administration ?

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4. What are the components of systems approach ?

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8.6 CRITICAL APPRAISAL

Comparative approach is subject to criticism on the following grounds. The approach is considered to be : 1) ambitious, 2) a historical, 3) ambiguous, 4) lacks quantitative thrust, 5) ignores global conflict, and 6) ethnocentric.

8.6.1 Ambitious

An attempt to find out the universality of human experience is a formidable goal to be achieved. In an attempt to generalize either human experience or administrative experience, one is bound to miss a number of unique features of social organisations. Without an in-depth analysis of multi dimensions of social reality in specific context wide generalization would look profound but remain poor in content. Generating adequate information and analysis of each system and sub-system is a prerequisite for such a venture.

8.6.2 Ahistorical

The entire debate on comparative public administration led to greater emphasis on comparison in space and not in time. A thorough analysis of organizational experience in a historical context would yield deeper insight and broader perspectives than comparison of organizations of one society with the other. The historical context of organizations remains largely ignored in the case of comparative public administration.

8.6.3 Ambiguous

The references used for the purpose of comparison such as Weberian ideal bureaucracy or input-output approach or Rigsian prismaticism or the developmental process are too vague to be used for any concrete comparative assessment. Most of these terms are ambiguous and are highly value loaded. How can such vague models serve the purpose of comparison remains to be explained and answered.

8.6.4 Lacks Quantitative Thrust

As mentioned above the precise and accurate quantification can lay very sound foundation to an enquiry that comparative public administration is pursuing. Except using the qualitative verbal symbols the attempt has not tried, the critics point out, to develop quantitative tools. As a result this

approach would suffer from the same limitations that most of the comparative approaches are suffering from. That it made no improvement on earlier approaches is a sad comment on comparative public administration.

8.6.5 Ignores Global Conflict

The assumption that comparative public administration makes is that the global socio-economic order is cohesive and homogeneous. It also assumes that there is continuity and similarity in the experience. That there are conflicting and diametrically opposite interests based on ideologies and economic interests are totally ignored. The "conflict ridden world" is pictured as "co-operation oriented world" and too willing to learn from each other's experience. It is this lopsided approach that reduces the vitality of the approach and its scientific validity.

8.6.6 Ethnocentrism

In most of the models that are used for comparison the frame of reference tends to be the western industrial model. The attempt is more to influence the third world societies and encourage them to stimulate the western societies. The implicit assumption is that western development experience as a model stands challenged. Even the validity of these models as a frame of reference is not only doubtful but can even be too harmful. It is harmful because the people in the third world instead of looking for indigenous solutions based on their own experience and uniqueness of their cultures, seek to transplant ideas and models from outside without verifying their relevance and utility. Thus, comparative public administration can impair creative thinking and critical reflection of the third world people.

8.7 SUMMING UP

The comparative approach is the beginning of using of new method to look at the organisation theory. Although comparative approach is a very old method, it has gained tremendous significance in the recent past. This is in response to the growing complexity of the third world and the increasing needs and demands of the modern times. Human societies, particularly the developing societies have to provide a decent living to all its people in a short span of time. There is wide scope and variety of experience to learn from each other. The comparative approach has sharpened different conceptual models which are being sought to be used for the purpose of comparison. These models include the bureaucratic systems approach, the general systems approach and the developmental approach. However, no approach proved to be adequate and effective for the purpose of comparison at global level. The approach has come under attack from critics as ethnocentric in organisation. For it is complained that western industrial models form frame of reference. The entire experience of the socialist world does not find its place in these models. In a divided and conflict ridden globe with a highly and necessarily value loaded intellectual pursuits, the scope to develop a universally valid theory through comparative methods seems to be not a possibility in the near future. Yet the approach has its own strength and vitality and has all the potential for new break-through in understanding public administration.

8.8 ANSWERS TO CHECK YOUR PROGRESS

1. See 8.5.
2. The shifts have been (a) from narrative to empirical (b) from ideographic to homothetic and (c) from non-ecological to ecological.

3. Development administration is related to goal and action oriented administrative system.
4. Systems approach focusses its attention on functioning of administrative system in its socio – environmental context. It includes (1) the parts of a system (2) interactions among such parts and (3) interactions between the system and its environment.

8.9 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each :

1. Discuss the important sources of comparative public administration movement.
2. Discuss important conceptual approaches to comparative public administration.
3. Examine different criticisms against comparative approach.

II. Answer in about 15 lines each :

1. What gave rise to comparative approach to the study of administration ?
2. Discuss the role of comparative administration group.

8.10 REFERENCE BOOKS

- | | |
|--------------------|--|
| 1. Ramesh K. Arora | Comparature Public Administration, Associated Publishing House, New Delhi 1972. |
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UNIT – 9 : DEVELOPMENT APPROACH

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- 9.0 Objectives
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9.0 Objectives

The aim of this unit is to explain the main features of development administration and list out its limitations. After going through the unit you would be able to :

- Sketch the place of development administration as one of the approaches to the understanding of Public Administration.
- Identifying the major instruments.

9.1 INTRODUCTION

The word development, according to the dictionary, refers to the growth into a higher, fuller and mature condition. The discussion on development administration views development as the dynamic change of a society from one state of being to another without determining the final stage of mature condition. Development has been viewed as "a state of mind, a tendency, a direction, rather than a fixed goal. It is a rate of change in a particular direction". Development is further seen as "an aspect of change that is desirable, broadly predicted or planned or atleast influenced by governmental action". The different view points and interpretations indicate that the concept of development is broad and value-loaded. Riggs has defined development as "a process of increasing autonomy (discretion) of social systems by rising level of diffraction". 'Discretion' refers to the ability to choose among alternatives while 'diffraction' refers to the degree of differentiation and integration in a social system. Riggs considers diffraction as "the necessary condition for development".

At a conceptual level it is being debated that development is more a relative term with qualitative implications rather than an absolute term amenable for quantification. Further, development being multidimensional, it is a difficult task to judge what is development. When development is viewed in

a narrow sense and refers to increase in out-put or production, it is easy to analyze and understand development. If a variable like distribution is introduced, the entire analytical framework and value associated with it would change. The qualitative factors like cultural change, institutional strength, political consciousness render analysis of development extremely difficult. Another puzzling question that is thrown up in the debate is: at what stage can we qualify a system developed or under-developed? The debate led to another stream of argument that the dichotomy between the developed and under-developed is artificial, value-loaded and scientifically may not be even valid. The debate indicates the nature of complexity and multidimensional character of the concept of development. It makes the discussion all the more difficult in the field of development administration. For administration is only one facet of the society and not the only component of development. As a result the word 'development' has come to represent different meanings and connotations in the literature on development administration.

9.2 TRENDS IN DEFINITION OF DEVELOPMENT ADMINISTRATION

The whole discussion on definition of development administration can broadly be categorized into four trends:

- (i) Development administration as a process of administration of development programmes;
- (ii) Development administration as a process of development of administration;
- (iii) Development administration as a study of administration in developing countries; and
- (iv) Development administration as a study of social change.

9.2.1 A Process of Administration of Development Programmes

According to this definition, the administration is broadly divided into development administration and regulatory administration. The regulatory administration deals with regulatory functions such as revenue collection or maintenance of law and order. These functions are mainly intended to maintain order and stability in the society. In contrast, the developmental agencies such as departments of agriculture, industries, irrigation or institutions like Panchayat Raj or co-operatives are expected to step up production and also bring about social change. Therefore, the characteristics of these departments are considered to be different from that of the regulatory agencies. These agencies are studied with a special focus. The terms like 'revenue culture' or 'development culture' have come to be used in the literature of public administration.

This approach has come under severe criticism on the grounds that the dichotomy is artificial and operationally unrealistic. In any developing situation the role of administration is determined by the goals that are set to the administration. Certain departments contributing to stability and other working for change is a contradiction in theory. Such an approach results in one set of agencies neutralizing the role of another set of agencies. Operationally dividing the functions of these agencies so neatly is not possible. Can land reforms – an important measure for social change – be introduced without the involvement and association of the revenue department? In a society where there is large scale overlapping of the functions, such a neat division would become unrealistic. Therefore, this approach is not popular in the study of development administration.

9.2.2 A Process of Development of Administration

In this approach bureaucracy is considered as an important agency to bring about development in the society. These agencies, being very old, have been performing the traditional roles and are built for that purpose. It is generally agreed that while their role and goals changed, their structures and

methods largely remained same. It is this situation that calls for modernisation of the administration. The modernisation includes: the changing of the structures, introducing the modern techniques such as O & M, performance budgeting, etc., and also making use of the modern tools like electrical and electronic devices for the purpose of information storage and faster communication. The entire process of 'administrative reforms' belong to this area as reforms seek to improvise the structures and modernize the methods and tools. In this regard training is also considered as an important component for development of administration, for training is considered as an important input both in imparting latest skills and changing the attitudes. These efforts are expected to improve the capacity of administrators to improve the performance of bureaucracy in achieving the developmental goals.

This approach is also not widely accepted as it is considered to be a very narrow view of development administration. It is argued that administration is a part of larger social system. Mere change in the administration may not automatically lead to development. This assumes considerable importance in view of the fact that bureaucracy is a sub-system of political system. The goals for the administrative system are set by the political system. And the implementation of the programmes is largely conditioned by a number of social, economic and cultural factors. Therefore, isolating administration from the larger system and affecting the changes in the sub-system blurs an integrated view of development administration.

9.2.3 As a Study of Administration in Developing Countries

The view point that administrative systems in the developing countries are faced with new challenges and call for innovative approach, is gaining increasing momentum and importance. It was during the post-second world war phase that a number of countries in the third world have been liberated. They launched their developmental schemes taking the western developmental models as a frame of reference. These experiments not only failed to produce the desired results but proved to be counter-productive. This led to a search for new models and paradigms. (This was pointed out in the earlier chapters also). The discussion with a specific focus on the third world has thrown up a number of fresh ideas in the discussion on development administration. This debate and discussion on the problems of development in the third world has come to be identified as the core of development administration.

This approach has also come under criticism. It is being maintained that the discussion on the third world development has been western in context and character. It is not the third world experience that is the basis but it is the western 'ethnocentricity' that dominates the debate. The models projected for comparison are western structural functional models. What propels action and what factors can lead for structural changes remained largely neglected in this approach.

9.2.4 As a study of social change

This approach emphasizes the process and dynamics of social change. The question of development in this context is inter linked with the socio-economic movement of the society from one stage to another. This is dealt with special reference to the third world thinkers like Gandhi, Mao, Paulo Friere, Frantz Fanon. In this debate the direction of development, the mass mobilization process, peoples consciousness and participation figure prominently. This approach seeks to widen the horizon of development administration and takes a broad view point.

Such an approach has its own limitations. It draws thinkers and ideas from different branches of knowledge. As a result the specific focus of the approach may get blurred. Further a synthesis of this approach has not yet been achieved. There is need for a better conceptual framework and a theoretical rigour. In the absence of it the approach may remain loose and disjointed.

The second goal—socio-economic progress—deals with the sustained and widely diffused improvement in material and social welfare. The developing countries suffer from low productivity and unequal distribution. The developmental process will have to be geared to step up the overall productivity through material achievement. Material advancement by itself does not ensure equitable distribution. This calls for conscious intervention in the market mechanism and see that through planned development the fruits of development are widely diffused. It is this task that renders the role of administration quite important. This is considered as one of the measuring rods for the success of development administration.

Check Your Progress – Exercise No. 1

1. What are the differences between regulatory administration and development administration ?

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2. What are the things included in modernization of administration?

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3. Why western developmental models adopted by the third world countries are criticized ?

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9.3 GOALS OF DEVELOPMENT ADMINISTRATION

The above mentioned two goals can be further split into sub-goals for the purpose of analysis. Milton J. Esman listed out a large number of tasks as important to achieve two goals of development. The important tasks are:

- (i) Achieving security against external aggression and ensuring internal order.
- (ii) Establishing and maintaining consensus on the legitimacy of the regime.
- (iii) Integrating diverse ethnic, religious, communal and regional elements into a national political community.
- (iv) Organising and distributing formal powers and functions among organs of central, regional and local governments and between public authority and private sector.
- (v) Displacement of vested traditional social economic interests.

- (vi) Development of modernizing skills and institutions.
- (vii) Fostering of psychological and material security.
- (viii) Mobilisation of savings and current financial resources.
- (ix) Efficient management of facilities and services.
- (x) Achieving a secure position in the international community.

These goals indicate that in the modern context protecting the nation from external danger has become an important goal to most of the developing countries. Secondly, the developing societies are deeply divided on the grounds of ethnic, regional, religious, communal and language feelings. These divisions pose formidable problems to the question of legitimacy of power on the one hand and the proper share of political power among these heterogeneous groups, on the other. Thirdly, the process of modernisation encounters severe resistance from the deeply entrenched vested interests. Fourthly, the resource mobilisation and low level of skill formation and absence of sound technological base pose different types of problems. Lastly, absence of efficient and effective institutions for the management of facilities and services to the people is yet another challenge. Thus, the goals of nation building and socio-economic development throw up several tasks and the responsibility to fulfill these tasks are on the development administration.

9.4 CONTEXT

The challenges that a developing country faces have to be viewed in the larger context of the society. The context becomes crucial to the understanding of development administration. Here the context includes historical, political, economic and socio-cultural. The working of the administrative system is influenced and shaped by these major forces of the society.

The historical context determines the course of development. In fact history closes many options to the people as the scope for retreat from many socio-economic conditions is extremely limited. The developmental strategies initiated at a particular point in history produce consequences much later. For instance, the construction of Krishna and Godavari dams in Andhra Pradesh in the mid nineteenth century not only created a base for a particular kind of development but its influence on overall strategy till to-day is very powerful. Therefore the need to appreciate the historical context of the region or the state and history of the administrative agencies itself is very crucial for understanding the complexity of development administration.

The political context is another major influence on the developmental process. In this regard the debate carried by some of the American scholars about the aid for 'administrative improvement' is quite revealing. A group of scholars argued that exclusive aid for administrative improvement is injurious to the political health and development of the system. They felt that creation of strong administrative system in a society with a weak political system is dangerous to the very democratic process. A group of other scholars maintained that the vitality of the system depends on its capacity to deliver the goods. Non-performance would lead to the erosion of credibility and the overall collapse of the system. This debate highlights the critical relationship between the administrative system and its political context. In fact it is the political system that has to formulate the policies and provide the direction for development. The administrative system has to translate those policies into realities. Therefore, the political perspective and priorities, its cultural and value have a deep impact on development administration.

The economic context deals with the question of not only stepping up the overall production but also its distribution. The general material conditions, the intervention of the state in economic activity

has almost become an integral part of developmental strategy in the third world countries. The large number of public enterprises and the high investment speak of the direct state intervention in the economic process and the innumerable legislations and regulations indicate the indirect control that state exercises over the economy. The strategy of planned development added a new dimension to the entire process of development administration. The overall rate of growth, the development of productive forces, the strategies for distributive justice characterize the nature and context of development administration.

The socio-cultural context is yet another component of the general context of development administration. Every society has a complex value system. There are values which are conducive for rapid development and there are a set of values which are anti-development. It is generally believed that faith in 'Karma' has been harmful to the people in general and developmental process in particular. For it induces helplessness in man, reduces his productive capacity and shatters his confidence to transform his environment. Likewise, we can cite a number of examples where backward values affect the progress of the society adversely. On the contrary, scientific temper—a greater faith in science and technology—political consciousness, desire for a better social order and zeal for a better life can act as catalysts for change and development. Thus, the socio-cultural context also determines the texture of development administration.

Thus, development administration is influenced by its larger context—historical, political, economic and socio-cultural. Therefore, development approach has to adopt a very broad framework so as to cover multiple dimensions of the environment in which the administrative system has to operate.

Check Your Progress – Exercise No. 2

1. Explain how the socio-cultural context determines to texture of development administration ?

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2. What is the context under which the working of the administrative system has to be understood?

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9.5 INSTRUMENTS : ESMAN'S CONTRIBUTION

The complexity of the task makes it clear that development does not depend on only administrative system. There is a need to employ different instruments. The instruments that can be used to realize the developmental goals are broadly of four types: (1) Administrative system, (2) Political organisation, (3) Voluntary association, and (4) People's organizations.

9.5.1 Administrative System

The administrative system—civil and military—is considered as an indispensable instrument to carry out the policies and programmes intended for development. In all transitional societies huge and

complex bureaucracies are emerging. These bureaucracies perform specialised services and a vast range of activities under-taken by modern governments. The public bureaucracies have come to take very crucial decisions having far reaching implications to the society. It is maintained by a few administrative thinkers that the administrative agencies have a propensity to become autonomous and operate in their own way and style. This is evident in certain areas where the political and administrative systems are not only experiencing stresses and strains but passing through tensions. An effective control on the administrative system by the political elite would be essential for proper direction to development on the one hand and adequate popular control over these agencies on the other. However, there is growing dependence on the administrative systems as they not only possess specialised skills but are the repository of rich experience. While this instrument is widely used, development administration has come to accept that it is difficult to fulfill the tasks of development with the help of this single instrument.

9.5.2 Political Organisation

Political organizations in developing countries are of different kinds. There are political parties which believe in mass mobilisation in support of developmental programmes and there are parties whose support comes from the elite sections. The development depends upon the organized nature of the political party, its mass base and ideological direction. This instrument is expected to resolve social conflict and pave the way for rapid development. It is for these reasons political party is considered as a vital instrument of development and a vital component of development administration.

9.5.3 Voluntary Association

In any transitional situation there is a stage where the traditional institutions break-down and are not adequately replaced by other institutions. The established associations, unless radically adapt themselves, the society would get into crisis situations. In Indian development experience it is noticed, that some of the traditional institutions transformed and started taking advantage of the change. For instance, the 'pyraveekars' (middleman) are rampant in the system. They seek to fill in the vacuum created between the people and the governmental systems. It is here the voluntary associations can play a significant role. They have the advantage of flexibility, dynamism and wider scope for initiative. This is one instrument which can also be used as a part of development strategy.

9.5.4 Peoples' organisation

Although people need to be organised by the political parties or voluntary associations for the purpose of mass mobilisation, in most of the developing countries the political parties are weak and the voluntary associations take an apolitical view. It is widely agreed that development can come only through people's participation. This participation has two dimensions: One) participation in increasing the production and two) participation in sharing the benefits of development. While the former requires skill formation and devoted work, the later calls for mass movements. People's organizations which launch movements should also be considered as positive signs of development. For they contribute to the increasing transformation of the socio-economic structure and create a basis for real development.

The developing societies can use a combination of these instruments for the purpose of rapid change. The developmental strategy needs to make use of these instruments depending upon the nature of the problems and complexity of the situation. Development approach does suggest that administrative system is only one of the instruments and is not the sole agency for nation building and socio-economic transformation. It seeks to study administration in relation to the other institutions, broader goals, socio-economic context and economic changes. It makes a broader view of development and its institutional infrastructure.

Check Your Progress – Exercise No. 3

1. What are the different instruments of development administration ?

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2. What is the role played by pyraveekars in regard to development administration?

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9.6 CRITICAL APPRAISAL

Like all the other approaches developmental approach can also be criticized. The following are some of the critical observations on development approach:

(i) It has definitional problems:

A universally acceptable definition of development has not been offered by the debate and discussion on development approach. The concept of development—like the principles stated by the classical approach—is vague and may be relevant to a particular context. In a conflict ridden world, universally acceptable definition is extremely difficult to be developed. In the absence of a scientific and operationally valid definition, the development approach cannot be elevated to the status of theory.

(ii) The approach is ethnocentric:

Development approach like the ecological and comparative approaches, suffers from the dominance of western values and out-look. They take their own industrial model as a frame of reference. The western societies also suffer from a number of ailments. Its thrust on growth and stability of political institutions lend strength to their approach. However the problems of distributive justice and social tensions render the model inadequate and imperfect for a frame of reference. Thus the approach focusses more on the positive points and conceals the darker side. To that extent it suffers from 'ethnocentric' weakness.

(iii) It ignores social conflict:

The modern world is a divided world. There are conflicts culminating into wars at different parts on the globe. These conflicts do influence the international economic order which affects the developmental process. Further in most of the societies we find interest groups with diametrically opposite goals. In such a situation the development approach is counter to another group. The benefits meant for one group are appropriated by another. The administration of anti-poverty programmes in India does show this. Development approach has not dealt adequately with such deep rooted

(iv) **Lack of Thrust:**

This approach has not focused its attention on a specific theme. It tends to be descriptive and not analytical. In its enthusiasm to cover the entire globe, it has grown in scope but not depth. Such an attempt needs much more data and rigorous analysis. It also needs a rich conceptual frame capable of analyzing global experience. Therefore, it lacks thrust and theoretical sophistication.

(v) **Its practical relevance is doubtful:**

The test for any concept, in the legitimate analysis, is its operational feasibility. This approach does not contribute to either formulation of better developmental strategies or improving the vitality of administrative machinery to carry on its developmental tasks. When an approach fails in this respect, much needed bridge between the theory and practice remains an unrealised proposition.

9.7 SUMMING UP

Development approach is the logical continuation of the ecological and comparative approaches. This approach is also a response of the western scholars to the growing complexity to throw up a number of concepts and ideas for debate and discussion. This approach can be considered as a synthesis of various earlier approaches. It seeks to inter-relate the 'inside' of the administration with the 'outside' of the administration. The 'inside' has been dealt by the classical, human relations and behavioural approaches and 'outside' is covered by the ecological and comparative approaches.

The approach raises valid questions related to the very goals of administration and its historical, political, economic and socio-cultural context. Such a wide scope makes the approach rich and meaningful. This approach does not treat the administration in isolation. It considers it as one of the complementary instruments for the purpose of development. Thus, for the first time an attempt is made to restore a balanced perspective on the subject of public administration. Although it may be stated that this approach has failed to develop a valid theory, it should be said in favour of the approach that it laid broad base for a debate. The theoretical perspective that would emerge in the times to come from this debate would be much more insightful, comprehensive and operationally meaningful.

9.8 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. Regulatory administration deals with regulatory functions such as revenue collection maintenance of law and order. The developmental agencies are expected to step up production and also bring about serial change.
2. Modernization includes the changing of structures, introducing modern techniques such as O and M, performance budgeting and making use of tools like electrical, electronic devices.
3. See 9.2.3.

Exercise No. 2

1. Every society has its own value system. There are both positive and negative values. While negative values hamper developmental effort, positive values act as an agent of change.
2. Historical, political, economic and socio-cultural context.

Exercise No. 3

1. The different instruments that can be used to realize the development goals are (1) Administrative system (2) political organisation (3) voluntary association and (4) people's organisations.
2. Pyraveekars seek to fill in the gap created between the people and the governmental systems.

9.9 Model Examination Questions:

I. Answer the following in about 30 lines each:

1. Discuss different views on the concept of development.
2. What is the broad categorization of study of development administration?
3. Discuss the goals of development administration.
4. Critically examine the concept of development administration.
5. What are the important instruments of development administration?
6. What are the criticisms against development approach?

II. Answer in about 15 lines each:

1. Discuss the concept of nation-building.
2. Discuss the concept of socio-economic development.
3. What is the difference between administration of development and development administration ?

9.10 REFERENCE BOOKS

1. Ramesh K. Arora Comparative Public Administration, Associated Publishing House, New Delhi, 1979.
2. Ferrel Heady Public Administration – A Comparative Perspective, Marcel Dekker Inc., New York, 1984.

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Unit – 10 : Social–Psychological Approach

Contents

- 10.0 Objectives
- 10.1 Introduction
- 10.2 Theories of Motivation
 - 10.2.1. Theory of Hierarchy of Needs
 - 10.2.2. Motivation–Hygiene Theory
 - 10.2.3. Mc Gregor's Theory X & Y
- 10.3 Summing Up
- 10.4 Answers of check your progress
- 10.5 Model Examination Questions
- 10.6 Reference Books

10.0 OBJECTIVES

In this unit we have discussed about the Theories of Motivation. After going through this unit you would be able to:

- define what is motivation, and
- list out the theories of Motivation.

10.1 INTRODUCTION

We find ourselves today amidst conflicts – conflicts between management and workers, conflict between nations etc. We cannot solve these conflicts through the application or use of scientific skills. So the emphasis has to be on the behaviour of human beings without whom no organization can be run. The need is for the development of know–how in dealing with human beings in addition to the knowledge of technical aspects. The study of motivation and behaviour is helpful to find answers to questions about human nature.

Behaviour is generally goal–oriented. Generally, human behaviour is motivated by a desire to attain some goal. To predict behaviour we must know which of the motives or needs of people have given rise to a certain action at a particular time.

Studies by Douglas McGregor, Abraham Maslow, Frederick Herzberg and other social psychologists throw light on the problems of human behaviour.

McGregor proposes two theories – Theory X and Theory Y. In Theory X the assumption is that man works due to external control and pressure. He felt that management approaches based on the assumption of Theory X would fail to motivate many individuals to work towards organizational goals. So he developed a theory of human behaviour called 'Theory Y'. Theory Y emphasizes the point that man has potential for self–motivation and that, if motivated properly, he works for the attainment of the organizational goals.

Abraham Maslow in his theory "Hierarchy of Needs" enumerates the needs of individuals which seem to arrange themselves in a hierarchy and says that if those needs are fulfilled the individuals could be motivated to work.

Frederick Herzberg in his theory called as "Motivation-Hygiene Theory" developed two different categories of needs which affect behaviour in different ways. He called them "Hygiene Factors and Motivators". His theory provides insights into the goals and incentives that tend to satisfy these needs.

The understanding of motives is the central concern of social-psychological approach. Motives are defined as needs, wants, drives or impulses within the individual. One person may behave in one way and another person in another way. The difference in behaviour of these persons is due to their respective motives. In essence, motives are the mainsprings of action in an individual. Every individual has many hundreds of needs which compete with one another. At a given time only one need will have the greatest strength. This is known as "motive strength". That need motivates a person to act. For example, a person has A, B, C, D, and E needs. First B may dominate over others in which case B may be said to be the highest strength need. It is this need that determines his behaviour. A motive which is satisfied or denied satisfaction tends to decrease in strength. For example, if thirst is for an individual a high strength need, drinking tends to decrease the strength of this need and other needs may become more important than this one. This is known as 'Change in Motive Strength'.

Check Your Progress Exercise No. 1

1. Why a study of human behaviour is important?

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2. What is 'motive strength'?

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3. What causes a change in motive strength?

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4. Name some of the socio-psychologists who have conducted studies on human behaviour.

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10.2 THEORIES OF MOTIVATION

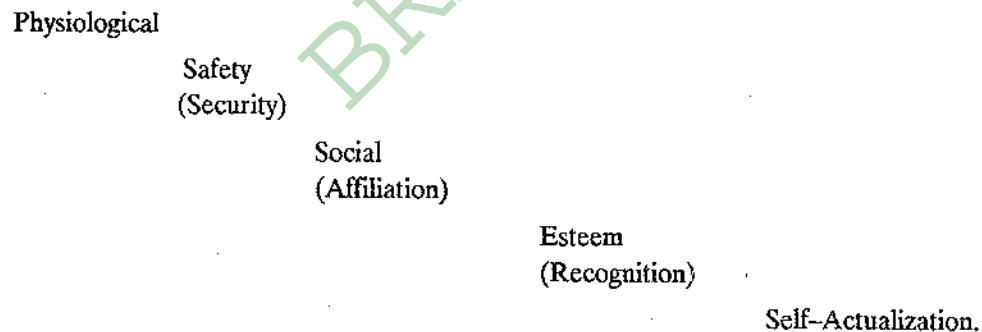
As already noted, people have a variety of needs at a given time. Those needs may be hunger, thirst, sleep etc. The need with the highest strength will determine what they could do or how they would behave. It is necessary to know what needs are commonly most important to people in order that attempts may be made to satisfy those needs and motivate people to act. Such an attempt would help us to understand the past behaviour and also to predict to change and even to control future behaviour.

10.2.1. Theory of Hierarchy of Needs

Abraham Maslow has developed a theory to explain the strength of certain needs of individuals. According to him, there seems to be a hierarchy in which human needs arrange themselves. This theory of Maslow is called as "Theory of Hierarchy of Needs". Maslow identifies the following as human needs in order of priority.

- 1) Physiological needs – e.g., Food, Clothing, Shelter etc.
- 2) Safety (Security) Needs – e.g., Freedom from fear, disease and danger.
- 3) Social (Affiliation) Needs – e.g., Association with others, interpersonal relations etc.
- 4) Esteem (Recognition) Needs – e.g., Self-esteem, recognition from others, respect.
- 5) Self-Actualization needs – e.g., Increased responsibility, Challenging work, growth and development.

Maslow arranges the human needs in a hierarchy as here under:



According to Maslow, human beings try first to satisfy their physiological needs, then proceed to strive for the fulfilment of other needs such as safety, social, esteem and self-actualization needs in that hierarchial order. He says that one "satisfied" need gives place to another and that it goes on like that. Physiological needs tend to have the highest strength until they are somewhat satisfied because they are basic human needs. Once they are gratified, the safety or security needs become predominant. This shows concern for future. Once physiological and safety needs are fairly satisfied, social or affiliation needs will emerge as dominant in the need structure. Then the individuals feel the need for gaining esteem. Once the esteem need begins to be adequately satisfied, the self-actualization needs become dominant.

Maslow felt that this was a typical pattern of needs that would operate most of the time. Therefore, Maslow's theory of hierarchy of needs is useful in predicting behaviour on a high or low probability basis.

10.2.2 Motivation-Hygiene Theory

Of the human needs given by Maslow, the first three, namely, physiological, safety and social needs dominate in all human beings at certain times. As people become mature, needs such as esteem and self-actualization seem to become more important than others. Frederick Herzberg has developed a theory of work motivation based on these two needs which is useful for effective utilization of human resources.

Herzberg felt that knowledge about human nature, motives and needs could be invaluable to organisations and individuals. He observes:

"To industry, the pay off for a study of job attitudes would be increased productivity, decreased absenteeism and smoother working relations. To the individuals, as understanding of the forces that lead to improved morale would bring greater happiness and greater self-realization".

On the basis of his research Herzberg concluded that if people have two different categories of needs which are essentially independent of each other, they affect their behaviour in different ways. He found that when people felt dissatisfied with their jobs, they were concerned about the environment in which they were working. He called these needs "hygiene factors" because they describe people's environment and prevent job dissatisfaction. On the other hand, when people felt good about their jobs, it had to do with the work itself. He called this category of needs "Motivators" since they seemed to be effective in motivating people to superior performance.

(i) Hygiene Factors

Factors like company policies and administration, supervision, working conditions, inter-personal relations, money, status and security, are known as 'hygiene factors'. The word, 'hygiene' is a medical term. Hygiene factors do not produce growth in the capacity of the worker. They prevent losses in worker performance due to work restriction. Due to this reason more recently Herzberg has called them "maintenance factors".

(ii) Motivators

Feelings of achievement, professional growth and recognition that one can experience in a job that offers challenge and scope are referred to as 'motivators'. They are satisfying factors. These factors seem capable of having a positive effect on job satisfaction. Often they result in an increase in one's total output capacity. The Motivation and Hygiene factors are given below in a tabular form.

Motivation and Hygiene Factors

Hygiene Factors	Motivation Factors
Environment	The Job itself
Policies and administration	Achievement
Supervision	Recognition for accomplishment
Working conditions	Challenging work
Interpersonal relations	Increased responsibility
Money, status and security	Growth and development

Maslow's "Theory of Hierarchy of Needs" is helpful to the identifying of needs or motives. Herzberg provides us with insights into the goals and incentives that tend to satisfy these needs in his 'Motivation Hygiene Theory.'

Thus, if we know what high strength needs of the individuals we want to influence, we would be able to determine what goals we should provide in the environment to motivate these individuals. At the

same time, if we know what goals these people want to attain, we can predict what their high strength needs are.

10.2.3. McGregor's Theory 'X' and Theory 'Y'

Two different theories proposed by Douglas McGregor relate to the behaviour of the individual. These two theories are Theory 'X' and Theory 'Y'. There is one main difference between these two theories. Theory 'X' assumes that man resists change while Theory 'Y' assumes quite the contrary to it. It postulates that man, naturally, desires a change. He strives for achievement of the goals of the organization. He welcomes the change which facilitates the attainment of the goals of the organisation.

(i) Theory X

This theory is based on the traditional approach of organization that man works only due to external control and pressure. The following assumptions are the basis for Theory 'X'.

- (a) The average human being has an inherent dislike for work and will avoid it if he can. This assumption of the management places stress on productivity, and rewards for performance. The underlying belief is that management must counteract an inherent human tendency to avoid work.
- (b) Because of this human characteristic of dislike of work, most people must be coerced, controlled, directed, threatened with punishment to get them, to put forth adequate effort toward the achievement of organizational objectives. The dislike of work is so strong that even the promise of rewards is not generally enough to overcome it. People may accept rewards and demand more of them. Hence, not the rewards but only the threat of punishment will help the management to check the tendency to avoid work in their employees.
- (c) The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, wants security above all.

The above mentioned assumptions indicate that man should be controlled, punished and directed. He should be remunerated properly. All this is necessary because, by nature, man thinks of his own achievement, not that of the goals of the organization. He resists change. Hence, he should be made to work to achieve the goals of the organization.

Theory 'X' explains the behaviour of atleast some industrial workers, which is the reason why it has not been rejected. However, in several cases, the assumptions of this theory about human nature appear to be inapplicable. The growth of knowledge in social sciences during the past thirty five years has, however, made it possible to reformulate some assumptions about human nature and human behaviour in the organization. They, to a certain extent, resolve the inconsistencies inherent in theory 'Y'.

Though this theory is concerned with human relations, it does not attempt either to explain or to analyse human nature. Direction and control oriented organization cannot motivate people. Organizations come into being to fulfil the needs of man. But such needs of man are not given importance in this theory. Unless his needs are fulfilled, man may not work for the achievement of the goals of his organization. He may not keep the goals of his organization above his needs. Hence, Theory X which is based on the direction and control view of organization is not fully acceptable. Further, this theory takes into account only the person at the lowest level of an organization which makes for limited applicability. Management approaches based on the assumptions of Theory X may fail to motivate many individuals to work towards organizational goals. So long as the assumptions

of theory 'X' continue to influence managerial strategy, managements fails to "discover, let alone utilise, the potentialities of the average human being".

(ii) Theory 'Y'

Pointing out the limitations of Theory X McGregor observed that management needed practices based on a more accurate understanding of human nature and motivation than brought out by Theory X. He developed a theory of human behaviour called 'Theory Y', which was possible because of the accumulation of knowledge about human behaviour in many specialized fields. Some of the assumptions of Theory Y are:

- (a) The expenditure of physical and mental effort in work is a natural as play or rest. The average human being by nature does not dislike work. On the other hand, if conditions are favourable, he seeks satisfaction through work. Depending upon the controllable conditions, work may be a source of satisfaction or punishment. He will do it if it gives best satisfaction voluntarily but will, if possible, avoid it if it is a source of punishment.
- (b) External control and the threat of punishment are not the only means for bringing about effort toward organizational objectives. Man will exercise self direction and self-control in the service of objectives to which he is committed. Man does not work only because of force. He can be self-directed and self-controlled and creative at work if properly motivated.
- (c) Commitment to objectives is a function of the rewards associated with their achievement. The most significant rewards are the satisfaction of ego and self-actualization needs. They can direct the human beings towards the achievement of organizational objectives.
- (d) The average human being learns, under proper conditions not only to accept but to seek responsibility. Evasion of duties, desire for safety are not man's natural qualities. They are acquired by experience.
- (e) The capacity to exercise a relatively high degree of imagination, ingenuity and creativity in the solution of organisational problems is widely, not narrowly, distributed in the population.
- (f) Under the conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilised.

These assumptions indicate the possibility of human growth and development. If employees are lazy, indifferent, unwilling to take up responsibility and uncooperative, according to Theory Y the cause should be sought in the management's methods of organization and control.

The central principle of Theory Y is that of integration. This emphasizes the need for the creation of such conditions as would enable the members or the organization to achieve their own goals best by directing their efforts towards the success of the enterprise. The idea of integration and self-control is that the organization will be more effective in achieving its objectives if they are integrated with those of its members. The principle of integration demands that the needs of both the organization and the individual should be recognized to achieve the best results; otherwise the organization will suffer and the individual will not put forth his best.

The foregoing assumptions of Theory Y argues that man has potential for self-motivation which need to be used by managers of organizations.

They make it clear that man can be developed. They emphasize that control need not be uniform in all cases but should be flexible so as to suit the situation.

Theory 'Y' tries to reduce external control but not the power of management to control.

This theory is nearer to the new theories of management concerning behaviour, but it is not wholly practicable.

A word of caution is necessary here. One should not get the impression that Theory X is "bad", that Theory Y is good. The assumptions of neither of them can be acted upon all the time. Managers with Theory Y, assumptions about human nature may find it necessary to behave in a directing, controlling manner with people until they truly become Theory Y people. In all organizations people are found with Theory X and Theory Y patterns of behaviour. An organization, to be successful, should try to convert people with Theory X behaviour into those of Theory Y behaviour. Let us look at the assumptions of Theory X and Y in a tabular form:

McGregor's Theory X And Theory Y

Theory X	Theory Y
1. Work is inherently distasteful to most people.	Work is as natural as play if the conditions are favourable.
2. Most people are not ambitious, have little desire for taking up responsibility and prefer to be directed.	Self-control is often indispensable to the achieving of organizational goals.
3. Most people have little capacity for creativity in solving organizational problems.	The capacity for creativity in solving organizational problems is widely distributed in the population.
4. Motivation occurs only at the physiological and safety levels.	Motivation occurs at the social, esteem and self-actualization levels as well as physiological and security levels.
5. Most people must be closely controlled and often coerced to achieve organizational objectives.	People can be self-directed and creative at work, if properly motivated.

Check Your Progress – Exercise No. 2.

1. What are the human needs identified by Maslow?

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2. What is the main difference between the 'theory of Hierarchy of needs' and 'Motivation – Hygiene Theory'?

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3. What is the main difference between Theory X and Y ?

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4. What do you understand about the principle of integration ?

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10.3 SUMMING UP

Theory X and Theory Y of Douglas McGregor are based on the studies of motivation by Herzberg and Maslow. Drawing upon the studies of these social psychologists McGregor developed his two theories about the behaviour of human beings. First, he describes Theory X which is based on the traditional approach to management. It assumes that human beings work because of external pressure and control, otherwise they avoid work. He concludes that managements which adopt this approach fail to discover the potentialities of the human beings. Then he proposes Theory Y which stresses the need for the integration of individual's needs with organizational needs. He states that individuals would direct their efforts towards the achievement of organizational goals if their needs are recognized and integrated with those of the organizations.

10.4 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1.

1. The study of human behaviour is helpful to find answers to questions about human nature.
2. Out of a given set of needs of man, only one will have the great strength. This is known as motive strength.
3. A satisfied motive 'tends' to decrease in its strength. This is known as change in motive strength.
4. Douglas McGregor, Abraham Maslow, Frederick Herzberg.

Exercise No.2.

1. Physiological needs, safety needs, social needs, esteem needs and self actualization needs.
2. Maslow's theory helps to identify human needs. Herzberg provides us with insights into the goals and incentives that tend to satisfy these needs.
3. Theory X assumes that man resists change while Theory Y assumes that man desires a change.
4. The principle of integration emphasizes the need for the creation of such conditions as would enable the members of the organisation to achieve their own goals best by directing their efforts towards the success of the enterprise.

10.5 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each:

1. Critically examine theory 'Y'.
2. Give an account of Theory 'X'.
3. Elucidate the difference between theory 'X' and theory 'Y'.

II. Answer the following in about 15 lines each:

1. What according to Herzberg are the Hygiene factors?
2. State the assumptions of Theory 'X'.
3. Explain Maslow's theory of Hierarchy of needs.

10.7 REFERENCE BOOKS

1. D. Ravindra Prasad, V.S. Prasad and P. Satyanarayana Administrative Thinkers, Sterling Publishers, New Delhi, 1989.
2. McGregor The Humanside of Enterprise, New York, McGraw Hill Book Co. 1960.
3. Fred Luthans Organization Behaviour, McGraw Hill, New Delhi, 1988.

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BLOCK – III

PUBLIC ORGANIZATION : PRINCIPLES

The twelve units of this block deal with the various principles of organization which are regarded important for organizing the human beings into a cohesive group to achieve the common objectives of the organization with their collective effort. The principles which guide the behaviour of organization man also guide the management in guiding and ensuring identical behaviour patterns of the members of the organization. The study of principles of organization assumes importance in view of the fact that they are used, cursed and discussed but not pushed aside.

Unit – 11 : DIVISION OF WORK

Contents

- 11.0. Objectives
- 11.1. Introduction
- 11.2 Meaning of Organization
- 11.3 Relevance of Principles
- 11.4 Work Division – Reasons
 - 11.4.1 Advantages
 - 11.4.2 Limitations
- 11.5 Summing Up
- 11.6 Answers to Check Your Progress
- 11.7 Model Examination Questions
- 11.8 Reference Books

11.0 OBJECTIVES

In this unit you will know about issues concerning the first principle of organization i.e., work division. After reading the unit you will be able to :

- define division of work;
- list out reasons for it and ;
- enumerate its advantages & disadvantages.

11.1 INTRODUCTION

Every organization, big or small, comes into being with an objective. The objective may be construction of a big dam like Nagarjuna Sagar or a small house. The organization may be as complicated as the government of a country or as simple as a shop. It requires many men and women to carry it forward. Whenever many men and women work together, work must be divided among them. Such division of work makes the men and women achieve best results. Hence, it is not possible to achieve the objectives of an organization without first deciding how to divide the work. Luther Gulick, therefore, considers that "work division is the foundation of organisation, indeed, the reason for organization".

11.2 MEANING OF ORGANISATION

An organisation means the act of putting things in working order. To organise means "to frame and put into working order". According to Mooney, "Organization is the form every human association creates for the attainment of a common purpose". To L.D., White, "Organization is the arrangement of personnel for facilitating the accomplishment of some agreed purpose through the allocation of functions and responsibilities". Gladden defines it as "the pattern of relationships between persons in an enterprise, so contrived as to fulfil the enterpriser's function".

The early writer like Urwick, Mooney and Luther Gulick viewed organization in a technical or mechanistic way. They neglected the behaviour of human beings in an organization. But, later writers like Mary Parker Follet, Herbert A. Simon, Chester Bernard and others looked at the organization

from humanistic view. According to them human beings are not cogs in a machine. They have fears, views and jealousies. Hence, the study of an organization should emphasize on human behaviour.

An organization is not merely a structure. It is both structure as well as the human beings who run it. It would be unrealistic to think of an organization as a framework and neglect the importance of people who make it.

11.3. RELEVANCE OF PRINCIPLES

According to writers who viewed organizations from humanistic view, there are no principles of organization. They assert that there are no principles. Because administrative action is human problem and no set mechanistic principles can solve human problems. Herbert A. Simon one of the supporters of humanistic view of organization, dismissed the principles as "myths" and "proverbs". He stressed that for every principle there exists an opposite. For example, there is principle of disintegration as against integration, for centralization there is the principle of decentralization, for unity of command there is the principle of functional command or multiplicity of command.

For those who looked at organization from mechanistic view there are certain principles of organization. For example, Unity of Command, Hierarchy etc., L.D. White says that they "suggest only working rules of conduct which wide experience seems to have validated". Henry Fayol defined them as "acknowledged truths regarded as proven on which to rely". In spite of the opposition to the principles of organization by Simon and others, there can be no organization without certain principles. Hence, some of the well known principles are discussed in the following pages.

11.4. WORK DIVISION

Work division becomes necessary for the following reasons. Men and women differ in nature, capacity and skill. We know that different people have different natures. It may be in the nature of one to prefer typing, another's nature may prefer desk work and so on. One may have the capacity and skill to lead a team of workers in an organization. Another may be good at following but not leading. Yet another person may have the capacity and skill to teach but not to do research.

It is not possible for the same man to be at two places at the same time. Suppose, there is a man in an organization who knows both typing and shorthand. He cannot attend, at the same time, to the typing and shorthand work. He cannot attend, at the same time, to the typing work of the organization and take dictation of notes, letters etc. by his boss. Thus, he cannot be at two places, namely typing room and in the office of the boss.

Closely related to the above factor or a part of the above factor, is that one man cannot do two things at a time. If we take the same example, it is obvious that one person cannot type and take dictation at one and the same time. It is humanly impossible for him to type and take dictation at the same time.

Work division also becomes necessary in view of the fact that the range of knowledge and skill is so great that one cannot know more than a fraction of it in his life time. In other words, "Art (knowledge) is long and life is short".

Another factor which calls for the division of work is specialization. These are the days of specialization. To emphasize the factor of specialization the following example is given. A person with some trouble in his right eye approached a doctor for treatment. The doctor advised the patient to consult an eye specialist, who specialized in that particular area. Knowledge is growing so fast that

one cannot keep track of all developments in all areas. Even if one tries to specialize in more than one area he would learn something of this and something of that but nothing completely. Thus, work division, according to Luther Gulick "is a question of human nature, time and space".

(i) Illustration

Luther Gulick explains the need for and advantages of work division with the help of a shoe factory as follows.

"In a shoe factory it would be possible to have 1000 men each assigned to making complete pairs of shoes. Each man would cut leather, stamp in the eyelets, sew up the tops, sew on the bottoms, nail the heels, put in the laces, and pack each pair in a box. It might take two days to do the job. One thousand men would make 500 pairs of shoes a day".

From the above illustration it is clear that each man, irrespective of his capacity, skill and nature, would be assigned the job of making a pair of shoes. One has to do all the work connected with the making of a pair of shoes. This might lead to spoilage of leather and unskilled handling of the whole job.

The same job of making pairs of shoes may be done by dividing the work among these men in an entirely different way. The men would be divided into groups depending upon their nature, skill and capacity. According to Gulick "one group of men would be assigned to cut the leather, another to put in the eyelets, another to stitch up the tops, another to sew on the soles, another to nail on the heels, another to insert the laces and pack the pairs of shoes".

(ii) Sub-Division of Work

It is true that the whole is equal to the sum of its parts. But, simple parts do not make a whole. To illustrate, a typewriter consists of so much steel, glass, paints and rubber. But different bits of steel, paint and rubber do not make a typewriter. Similarly, certain measure of sand, brick, cement and steel do not make a house. Surely a house means all of them. Thus, unrelated parts do not make one thing meaningful and useful. Any single piece of work cannot be sub-divided into different components without the danger to its central idea, design and operating relationships.

Meaningful sub-division of work would engage many men and women in an activity. When men and women work in an organisation they should know what to do and when to do. Otherwise a great deal of time may be lost, workers may get in each others way, things may be done in a wrong order. Mere sub-division of work creates greater confusion and such a situation calls for the need of overall supervision and co-ordination. The co-ordinator decides what to do first and what next. In other works, he "co-ordinates the work".

Check Your Progress – Exercise No. 1

1. Describe the causes for the division of work.

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11.4.1 Advantages

The following are some of the advantages of work division.

It enables utilization of the varying skills and aptitudes of the different workmen and, encourages the development of specialization. From the work force, the varying skills and aptitudes of the men have to be identified and they have to be entrusted with such work for which they have an aptitude. For example, one may like leather cutting, another packing. If they are given the job of their choice and skill, they would do it better. By doing the same work again and again, they automatically become specialists in that work.

It eliminates the loss of time for a workman in turning from one tool to another. For example, from knife to a punch. A workman in our example, needs a knife to cut the leather, a punch to put the eyelets, a needle to stitch, a hammer to drive nail on the heels etc. Naturally time will be lost in the shift from one tool to another and it is true that one cannot handle all the tools as perfectly as one who is specialized in them.

Another advantage of work division is that it would also facilitate additional economy. This is possible if we assign insertion of laces and packing to unskilled and low-paid workers. Leather cutting would be assigned to skilful workers as it would minimize leather spoilage.

The above mentioned advantages follow even without introducing the new labour saving machinery.

This is the "machine age". Attempts are on, everywhere to replace man power with machines. Automation has become the order of the day. Use of computers in preparing electricity bills, for tabulating results, preparing pay bills of employees has increased. Calculators are used very commonly. Use of typewriters, cyclostyling machines is a common feature in almost all the offices. Use of machinery requires special skills. Thus, introduction of machinery accentuates the division of work. It divides the workers into two categories that is, those who can run a particular machine effectively and those who cannot do it.

In any organization different materials such as wood or paint or cement or steel are used. Use of a particular material time and again by a person or persons improves their skill in handling that material. Thus, special skills are developed not only in handling different machines and tools but also different materials.

Advance of science and technology leads to the invention of new machines. As each field of knowledge and work advances, an individual will be "less and less able to encompass it and maintain intimate knowledge and facility over the entire area". Thus, there will arise a more minute specialization because "knowledge and skill advances while man stands still".

From the above discussion, we understand that it is not only the human nature that warrants the division of work but also the invention and use of machines. Hence, division of work is not only logical but also pragmatic.

Check Your Progress – Exercise No. 2.

1. Explain how introduction of machinery accentuates the division of work.

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2. How work division encourages the development of specialization?

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11.4.2. Limitations

There are some limits beyond which the work division cannot be advantageous. The work should not be subdivided if it does not require a full-time worker. To appoint a full-time worker to do a part time job is uneconomical. However, in such cases where the sub-division of work results in the provision of part-time job, a worker should be appointed to use his spare time.

Another limitation is that the sub-division of work must not pass into organic division, beyond physical division. Luther Gulic explains this point in the following way. He says that "it might seem far more efficient to have the front half of the cow in the pasture grazing and rear half in the barn being milked all the time". But such an organic division of work fails. One cannot separate the front half of a cow from the rear half. Similarly, licking and pasting of an envelope cannot be separated. Licking and pasting is a related activity.

11.5 SUMMING UP

Whenever and wherever many men and women work in an organisation, it becomes necessary to divide the work among them. Such a division provides work to men and women and leads to specialization. Work division is also necessary in view of the fact that persons differ in nature. One person cannot do more than one thing at time and he cannot be at more than one place at a time. It is a question of human nature, time and space. However, no work should be subdivided which does not require a full-time worker. Sub-division of work also should not pass organic division beyond physical division. It is true that the whole is equal to the sum of parts but simple parts do not make a whole.

11.6 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. Organizations are created to achieve what a person as an individual can't achieve. When many persons are brought together to work collectively to achieve the common objective, it becomes necessary to divide the work. Work division becomes necessary to provide work to all on the basis of their capacity, skill, and also to achieve specialization.

Exercise No. 2

1. See 11.4.1.
2. See 11.4.1.

11.7 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each.

1. Discuss the factors responsible for division of work.
2. "Principles of organization are like proverbs." Discuss.

II. Answer the following in about 15 lines each:

1. State the advantages of work division.
2. Why does Gulick consider work division as the foundation of an organization?

11.8 REFERENCE BOOKS

1. Luther Gulick and Urwick (Eds.) Papers on Science of Administration.
2. D. Ravindra Prasad, V. S. Prasad and P. Satyanarayana Administrative Thinkers, Sterling publishers, New Delhi – 1989.

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UNIT – 12 : COORDINATION

Contents

- 12.0. Objectives
- 12.1. Introduction
- 12.2. Meaning and Definitions
- 12.3. Distinction between co-ordination and co-operation
- 12.4. Importance
- 12.5. Types
- 12.6. Means
- 12.7. Limitations
- 12.8. Summing Up
- 12.9. Answers to Check Your Progress
- 12.10. Model Examination Questions
- 12.11. Reference Books

12.0 OBJECTIVES

In this unit we have discussed various aspects concerning the principle of coordination. After going through the unit you would be able to:

- define coordination;
- outline its importance in an organisational frame; and
- list out the types of coordination and the means to secure it.

12.1 INTRODUCTION

In every organisation there is division of work among the various persons and units because one person or unit cannot do all the work of organization. Work is divided into a number of departments, branches etc. in Government organizations. The division of work among the persons and departments is necessary to achieve specialization. Division of work calls for harmonious relationships between the persons and units. The establishment of harmonious relationship is known as Co- ordination. Thus, co-ordination means bringing about harmonious action of persons and units with each other in order to achieve a common purpose. Administration is a collective activity. Every collective activity needs co-ordination.

12.2 MEANING AND DEFINITIONS

Co-ordination has two meanings, one is positive and the other is negative.

According to the positive meaning co-ordination means bringing about co-operation and team work among the employees and units of an organization.

In a negative sense, co-ordination means removing conflicts, overlapping, inconsistencies, friction and working at cross purposes among persons or units of an organization.

The whole idea is to ensure that the parts and persons of an organization work with each other but not against each other to achieve the goals of the organization.

Now, let us turn our attention to some of the definitions of Co-ordination.

According to W.H. Newman, Co-ordination is "the orderly synchronization of efforts to provide the proper amount, timing and directing of execution resulting in harmonious and unified actions to a stated objective".

For Terry, "Co-ordination is the adjustment of the parts to each other and of the movement and operation of parts in time so that each can make its maximum contribution to the product of the whole".

Co-ordination according to Charlesworth is "the integration of the several parts into an orderly whole to achieve the purpose of the undertaking".

Seckler-Hudson offers a simple definition of co-ordination. According to this writer co-ordination is "the all important duty of interrelating the various parts of the work".

According to Mooney, "Co-ordination is the first principle of organization and includes within itself all other principles which are sub-ordinate to it and through which it operates".

Thus, Co-ordination refers to the working of one part with the other, one person with another and one organization with another harmoniously, without conflicts and cross-purpose to achieve the goal of the organization.

Check Your Progress – Exercise No. 1

1. 'If work division is imperative, co-ordination becomes mandatory'. Explain.

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2. State any two definitions of co-ordination.

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12.3 DISTINCTION BETWEEN CO-ORDINATION AND CO-OPERATION

Co-ordination and co-operation are not one and the same. Sometimes co-ordination is confused with co-operation. While co-ordination is "synchronization of efforts", Co-operation is "the collective action of one person with another or others toward a common goal". (Terry). There can be co-ordination without co-operation and co-operation without co-ordination. One may do his own work and help the other in doing his work. This is co-operation. In Co-ordination one should not only do his own work but see that his work does not clash with or cancel the work of others.

12.4 IMPORTANCE

Co-ordination is necessary,

1. to prevent conflicts that may arise in the working of an organization. Such conflicts may arise due to:

- a. ignorance of one of another's work in an organization. Such as ignore may lead to duplication of the same work or a decision may be taken in conflict with the one already taken.
 - b. a tendency among persons to attach great importance to their own work and be unmindful of other's work and encroach upon other's sphere of work. Such persons refuse to see their work as a part of the whole.
 - c. greed for power or a tendency of 'empire building'. Such units or persons indulge in expanding their activities which impinge on other organizations or persons.
2. In the light of greater specialization specialists engage in different and specific aspects of tasks. Co-ordination is necessary to check the narrow attitude of specialists. It can help to make them adopt a wider perspective and be able to relate their field of study to the whole.
 3. An increase in governmental functions calls for the opening of more and more organizations. As the number of the organizations increases, the need for co-ordination automatically increases.
 4. Wherever new units are created the need for co-ordination is felt more greatly in new organizations.

S.P. Bapat feels that co-ordination is necessary in all administrative tasks in order,

- a. To prevent the people concerned from going in different ways;
- b. to prevent them from treading on each other's toes,
- c. to keep them marching in step, and
- d. to see that the right men and right things are available in the right quantity in the right place at the right time.

In simple words, the underlying idea behind the principle of Co-ordination is to see that the work is done harmoniously.

12.5 TYPES OF CO-ORDINATION

There are two types in Co-ordination. They are:-

1. Internal or Functional Co-ordination, 2. External or structural Co-ordination.

Internal or Functional Co-ordination is concerned with the Co-ordination of the activities of the individuals working in an organization.

External or structural Co-ordination is concerned with the Co-ordination of the activities in different units of the organization.

Both internal and external co-ordination is effected horizontally and perpendicularly. Co-ordination between one section and another, one branch and another, one department and another is known as horizontal co-ordination. Co-ordination between an Officer and his employee, a branch and a division is called perpendicular co-ordination.

12.6 MEANS

Co-ordination may be achieved by two ways, automatically and deliberately.

Automatic co-ordination may be achieved by making the individual highest in authority responsible for knowing all the activities of the organisation and by integrating them into a coherent whole. However this is practically possible only in small-scale organizations where the head can know and control every thing and every body. This is also possible in small-scale organisations where each officer or employee knows the other, where there is the possibility to hold frequent meetings to discuss the functions and problems experienced by the other.

Automatic Co-ordination is not possible in large-scale organisations, because it is difficult for an individual to know every other individual and his activity. Hence in such cases Co-ordination has to be deliberately planned.

Deliberate co-ordination can be achieved by one of the two methods-Coercive or voluntary.

Co-ordination may be achieved through the coercive method by ordering the sub-ordinates in an organization to do a particular job. Failure to comply with the orders may force the superior to initiate disciplinary action against such a subordinate. Such instances are rare in organizations and resort to them is at the minimum.

Voluntary co-ordination refers to Co-ordination by mutual consultation, agreement and adjustment. Co-ordination is generally achieved on voluntary basis.

The following techniques are used to secure voluntary Co-ordination:-

1. Co-ordination is achieved when an organization is created. There would be no conflict or friction if the duties and responsibilities of the employees or units of an organization and their links are clearly specified in the beginning.
2. Secondly, Co-ordination can be secured by inculcating 'the institutional spirit' in all the employees. Employees of such organization work for the achievement of the goals of the institution.
3. The third method of voluntary co-ordination is through conferences. Frequent meetings of the employees are called to secure Co-ordination. Such meetings concern themselves with the problems of the organization and sort out differences and remove conflicts within it. It is also common to appoint committees to co-ordinate. Examples of this type of Co-ordination are the conferences of the State Chief Ministers, State Governors, Ministers of Education, Agriculture etc. which are held at Delhi in a bid to co-ordinate the activities of different States.
4. Consultation, references and clearance with all the concerned parties is another method of Co-ordination. For example, questions relating to financial aspects may be referred to and cleared by consultations with the Finance Department.
5. Planning is another device employed to achieve Co-ordination. It involves maximum utilization of men, money and material resources with a view to achieve planned goals.
6. Standardisation of procedures and methods is another device to bring about Co-ordination. If procedures are standardised, every employee works in the same manner under similar circumstances. Examples of standardised procedures are forms, rules and regulations.
7. Organizational devices such as inter-departmental meetings, Co-ordinating officers, staff units etc, also help to achieve Co-ordination.
8. Hierarchy is another means of Co-ordination. Its main purpose is to achieve a consensus in an organization thus avoiding working at cross purposes.

9. Centralized house-keeping is the ninth device of Co-ordination. In India the Union Public Service Commission co-ordinates matters of recruitment to Public Services. The Comptroller and Auditor General of India co-ordinates the work of accounting and auditing. Many such other agencies are involved in securing co-ordination in their respective fields.

All the means listed above are termed as the formal devices of co-ordination. In addition to them there are informal means also to achieve co-ordination in an organization.

Check Your Progress – Exercise No. 2

1. Explain how co-ordination can be achieved through conferences?

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12.7 LIMITATIONS

In spite of the best efforts to achieve co-ordination, there are hindrances to Co-ordination. According to Luther Gulick such difficulties arise from,

1. the uncertainty of the future, particularly with respect to the behaviour of individuals.
2. the lack of knowledge, experience, wisdom and character among leaders and their confused and conflicting ideas and objectives.
3. the lack of administrative skill and techniques.
4. the vast number of variables involved and the incompleteness of human knowledge, particularly with regard to men and life, and
5. the lack of orderly methods for developing, considering, perfecting and adopting new ideas and programmes.

To the above hindrances, Seckler-Hudson adds the following:

1. Size and complexity;
2. Personalities and political factors;
3. the lack of leaders with wisdom and knowledge pertaining to public administration, and
4. the accelerated expansion of public administration to international dimension.

12.8 SUMMING UP

In any organisation many persons work to achieve its objectives. In such cases, conflicts are bound to arise due to ignorance of the others' work, greed for power and the increasing division of work due to an emphasis on specialization. Hence, Co-ordination of the activities of the personnel and units of an organization is necessary. Co-ordination means removing conflicts or achieving team work. Co-ordination can be secured through mutual consultation, agreement and adjustment. The techniques employed to secure Co-ordination are-conferences, planning, standardisation of

procedures and methods, and inter-departmental meetings. Hierarchy and centralized house-keeping are other devices of Co-ordination. Proper understanding of the roles to be played by the persons and units of an organization also help Co-ordination. Constant watchfulness by the leader of an organization and timely measures of correction may eliminate conflicts from arising and smoothen the working of administration. Some of the most common hindrances to co-ordination are uncertainty of future, lack of knowledge, lack of skill, lack of orderly methods etc.

12.9. ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. In an organization work has to be divided among the members of the organization in order to achieve the best possible results. Work division becomes necessary to provide work to the 'organization man'. So that he can work for the attainment of the goals of the organization. A divided work has to be related with other parts of the work. This function of relating the parts with the whole leads co-ordination.
2. a. Co-ordination is the "integration of the several parts into an orderly whole to achieve the purpose of the undertaking". (Charlesworth)
- b. "Co-ordination is the orderly synchronization of efforts to provide the proper amount, timing and directing of execution resulting in harmonious and unified actions to a stated objective" (W.H. Newman).

Exercise No. 2.

1. Conferences are a means to achieve Co-ordination in an organization. Annual conferences of State Chief Ministers, State Chief Secretaries etc., can be cited as an example of conferences in India. The purpose of conference is to bring together the people involved in the attainment of an objective and identify the problems encountered by them and find out a solution to the problem. Face-to-face contact, sharing of experience go a long way in shooting a problem.

12.10 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each.

1. Define Co-ordination and discuss the ways or methods of securing co-ordination.
2. List out the major obstacles to achieve Co-ordination.

II. Answer the following in about 15 lines each.

1. What are the various types of Co-ordination? Which one is best for governmental agencies?
2. Why do you consider Co-ordination as the crux for achieving goals of an organisation?

12.11 REFERENCE BOOKS

1. Avasthi & Maheshwari Public Administration, Laxmi Narain Aggarwal, Agra, 1984.
2. M.P. Sharma & Sadhana Public Administration in Theory & Practice, Kitab Mahal, Allahabad, 1988.

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Unit – 13 : HIERARCHY

Contents

- 13.0 Objectives
- 13.1 Meaning
- 13.2 Importance
- 13.3 Features
- 13.4 Illustrative Explanation
- 13.5 Advantages
- 13.6 Limitations
- 13.7 Application
- 13.8 Summing Up
- 13.9 Answers to Check Your Progress
- 13.10 Model Examination Questions
- 13.11 Reference Books

13.0 OBJECTIVES

This unit explains the place of the principle of Hierarchy as one of the key concepts to understand the process of work in an organization. After going through the unit you would be able to:

- explain its meaning and importance
- enumerate its features and ;
- illustrate it diagrammatically

13.1 MEANING

Few organizations function without a hierarchy. L.D. White states that hierarchy consists in the universal application of superior-subordinate relationship through a number of levels of responsibility reaching from top to bottom of the structure. The Hoover Commission on Administrative Reforms recognised hierarchy as one of the means of control of the higher over the lower. In administrative theory hierarchy means a grading into successive levels or steps. J D Mooney and Reily defined it as a scalar process which is derived from the word scale meaning ladder. Just as there are steps in a ladder there are several levels in hierarchy.

13.2. IMPORTANCE

Organisation begins with a purpose. In order to achieve that purpose it divides its jobs into various functional units. These units are further divided into sub-units until one reaches the base. In an organisation which is arranged hierarchically, authority descends from the top to the bottom step by step or level by level. In hierarchy one has to ascend or descend step by step. There are several levels of authority and responsibility. Every employee has to obey the orders of his superior and issue orders to his subordinates. Thus, hierarchy becomes a means of communication and a chain of command across various levels of authority. The principle of hierarchy demands that no intermediate level be skipped over or jumped while dealing with higher or lower levels. This is known as functioning 'through the proper channel'. Thus, all communications should come from the immediate superior

or the immediate subordinate which ever is relevant. Every officer retains the necessary authority with him and delegates the rest to his subordinates. Thus, hierarchy gives rise to different level of decision-making. With the help of hierarchy, the chief executive can send orders to any level in the organization and allocate responsibility.

13.3 FEATURES

From the above discussion the following features of hierarchy emerge:

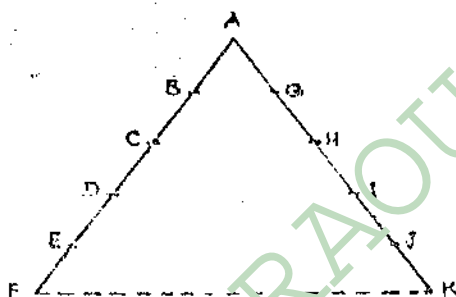
Firstly, the entire administrative function is divided into units and sub-units.

Secondly, these units are organized in the form of a pyramid one below the other.

Thirdly, authority is distributed to various levels.

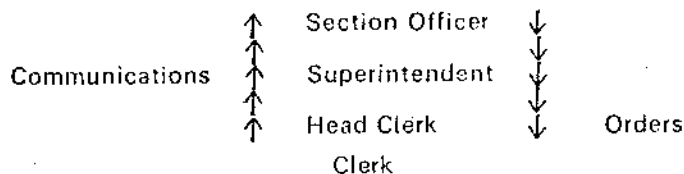
13.4 ILLUSTRATIVE EXPLANATION

The principle of hierarchy can be illustrated as follows:



In the above diagram A is the head of the organization. 'B' is 'A' s subordinate. C is the immediate subordinate of B and also subordinate to A. Thus, if we go down the line, F is the immediate subordinate of E and also subordinate to A. Thus orders flow from top to bottom, namely, from A to B, B to C, C to D, D to E and E to F and communications go from bottom to top, namely F to E, E to D and so on. The same is true on the other side of the triangle B, C, D, E, and if F has to communicate to K, it has to travel through E, D, C, B, and A and descend from A to K step by step. FAK in this diagram represents the line of authority linking the whole organization. The travel of orders from A to F step by step in an ascending order, and the flow of communication from F to A in a descending order is called communication 'through the proper channel'.

This Principle can also be explained with the following example:



If the Section officer wants to issue an order to the clerk, it has to go through the Superintendent and Head-Clerk and then only to the clerk. Similarly, a proposal from the clerk to the Section Officer should travel through the Head-Clerk and Superintendent to reach the Section Officer.

Unity of Command is the essence of the principle of hierarchy. All authority and responsibility is concentrated in one point (A) and the line of authority runs upwards and downwards from it. This means that though the authority and responsibility belong to the Chief Executive they can be delegated down the ladder in the hierarchy. Every post in an organization has a place in the hierarchy.

Check Your Progress – Exercise No. 1

1. What do you mean by hierarchy?

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2. Name the persons who defined hierarchy as scalar process.

- a. Gulick and Urwick ()
- b. Taylor and Fayor ()
- c. J D Mooney and Reily ()

13.5 ADVANTAGES

The principle of hierarchy is one of the universal principles of organization. No organization can escape from it. It integrates the various units of an organization which are divided for the purpose of division of work. As observed by M.P. Sharma "It is an instrument of Organizational integration and coherence. It is the organizational structure what mortar or cement is to building structure".

Secondly, hierarchy facilitates communication upwards and downwards in an organization. Because of a hierarchical pattern every employee knows the steps through which he has to function in the organization and also from whom he has to receive orders and to whom he has to give orders.

Thirdly, the rule of 'through the proper channel' ensures adherence to procedure and avoids short-circuiting. Everything moves up-ward or downward through the proper channel. This makes the process of communication easy.

Fourthly, it establishes a number of subordinate levels below the top level. Each subordinate level acts as a centre at which a specified matter or issue is decided by the exercise of delegated authority. Thus, the employees of the organization are trained to make decisions and guide their subordinates. At the same time it relieves the Chief Executive from less important matters and promotes a sense of belongingness among the subordinates.

Lastly, hierarchy clarifies the position of each employee in the organization.

In short, hierarchy facilitates communication, ensures delegation of authority, provides different levels of decision making and fixes responsibilities of individuals. It also works as a device of control.

Check Your Progress – Exercise No. 2

1. What do you understand by "through proper channel"?

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13.6 LIMITATIONS

The principle of hierarchy suffers from the following disadvantages:

Firstly, every paper has to move step by step either upwards or downwards. At every step it may take a certain amount of time. The waiting of a paper at every level of the hierarchy must be due to non-availability of the person concerned or his preoccupation. Hence, the rigid application of hierarchy leads to delay in the disposal of work.

In order to avoid delay likely to be caused by adhering to the principle of hierarchy, short cuts may be found in actual practice without violating it entirely. Henry Fayol suggests that a bridge can be thrown across the formal lines of authority of the hierarchy so that subordinate officers in one department may contact their opposite numbers in other departments directly. The F and K in the diagram may deal with each other directly without following the 'through proper channel' rule. In order to expedite the work, F and K may contact each other without the prior permission of their superiors. But, they should keep their superiors duly informed of what transpired between them.

Secondly, A can deal with C if C tells B what was discussed by him with A. Thus, one or more intermediate levels may be jumped to establish direct contact between officers. This is known as 'level jumping'.

'Level jumping' and throwing of bridges across the formal lines of authority to reduce, if not eliminate, the delay likely to be caused due to the scalar principle is possible if proper confidence and loyalty between superiors and sub-ordinates at each level is established. Urwick observes that "Every organization must have its scalar chain just as every house must have its drain but it is as unnecessary to use this channel frequently as the sole means of communication, as it is unnecessary to pass one's time in the drain".

13.7 APPLICATION

Before we close the discussion on this principle let us examine whether authority is exercised through the principle or not.

According to some critics like Earl Latham it is wrong to think that superior officers exercise authority over the subordinates indiscriminately. It may be said that the subordinates obey the orders of their superiors because the latter possess superior knowledge due to their rich experience. Sometimes, it is true that the subordinates possess more information due to their handling of the problems, than the superiors. For this reason, their decisions would be accepted by their superiors.

13.8 SUMMING UP

Hierarchy is a universally accepted principle of organization. It emphasizes the need for organic links between the superior and subordinates. It is a ladder of authority with various steps. Communications and orders should go up or come down from each step. Any jumping of levels would result in confusion and disorder. As a principle of organization it facilitates communication upwards and downwards, ensures adherence to procedures, and relieves the Chief Executive from less important matters. Delay is the main disadvantage of this principle. However that can be reduced by resorting to 'level jumping' in the case of urgent matters. According to this principle, an officer at the first level would exercise his authority upon the officers at the other levels. In Indian context, a subordinate may command more respect and may exercise more informal authority than his superior due to his social, political or economic position in society.

13.9 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. Hierarchy is the one of the means of control by the higher authorities over the subordinates. Hierarchy consists in the universal application of superior – subordinate relationship through a number of levels of responsibility reaching from top to the bottom of the structure.
2. J D Mooney and Reily.

Exercise No. 2

1. The principle of hierarchy demands that no intermediate level be skipped over or jumped while dealing with higher or lower levels. This is called "through proper channel". It ensures adherence to procedure and avoids short-circuiting.

13.10 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each:

1. Explain the major features of hierarchy and give two examples of practice of hierarchy in an organization.
2. "Strict adherence to hierarchy kills the initiative." Discuss.

II. Answer the following in about 15 lines each:

1. Why and how is hierarchy known as scalar principle?
2. Mention the advantages and disadvantages of hierarchy.

13.11 REFERENCE BOOKS

1. Avasthi and Maheswari Public Administration, Laxminarain Aggarwal, Agra, 1984.
2. M. P. Sharma and Sadhana Public Administration in Theory & Practice, Kitab Mahal, Allahabad, 1988.

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Unit – 14 : UNITY OF COMMAND

Contents

- 14.0 Objectives
- 14.1 Meaning and Importance
- 14.2 Exceptions
- 14.3 F. W. Taylor's Views
- 14.4 Practice of the Principle
- 14.5 Summing Up
- 14.6 Answers to check your progress
- 14.7 Model Examination Questions
- 14.8 Reference Books

14.0 OBJECTIVES

This unit will acquaints you with the main tenets of the principle of Unity of Command. After going through the unit you will be able to:

- explain illustratively the operation of the principle
- list out arguments in favour of the principle

14.1 MEANING AND IMPORTANCE

No employee should receive orders from more than one superior official. This is what is implied by Unity of Command. A man cannot serve two masters at the same time. Thus Unity of Command means that no employee should be subject to the orders of more than one immediate superior officer. Described positively, Unity of Command means that an employee should receive orders from one superior only.

It has been observed that if an employee receives orders from more than one superior, the orders tend to conflict with one another. The employee may be confused and may not know whom to follow. He may also play off one superior against another. Take for example, a typist who is subject to the orders of two immediate superiors. He may not type the work given by either of them by saying to the first one that he is busy with the other's work and to the second one that he is busy with the first one's work. Thus he may not do any work at all. In this case, the typist is subject to dual control, which leads to confusion and the blurring of responsibility.

14.2 EXCEPTIONS

In theory the principle of Unity of Command appears to be sound and unassailable. But, in practice it has exception. An individual employee is frequently subject to dual control simultaneously. For example, an Extension Officer in the Agriculture Department of a Panchayat Samithi is administratively under the Block Development Officer (BDO) and technically under the supervision of the District Agricultural Officer. In matters such as leave, attendance, progress etc., the E.O. (Agriculture) is responsible to the B.D.O., whereas he is subject to the control of the District Agricultural Officer when it comes to the use of the latest techniques of Agriculture. Thus, all the

technical personnel of organizations are under the administrative control of the head of the organization and the technical control of the expert.

One cannot be an expert in every matter. Hence, any organization has more than two supervisory officers under whom an individual employee has to work. It is difficult to find supervisory officers qualified and competent enough to exercise both administrative and technical control. In view of the difficulty, John. D. Millet and A.W. Mac Mohan formulated the theory of 'Dual Supervision.' This means that there should be both administrative and technical supervision of the work of an employee.

Check Your Progress – Exercise No. 1

1. What do you understand by the observation that 'no man can serve two masters'?

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14.3 F.W. TAYLOR'S VIEWS

F.W. Taylor rejects the principle of Unity of Command or the 'military type of foreman', as he calls it, and advocates 'multiplicity of command'. He suggests that Unity of Command be substituted by functional direction and supervision of each individual worker by eight foremen or supervisors.

He calls them :

1. the gang boss
2. the speed boss
3. the inspectors
4. the repair boss
5. the order of work and route clerk
6. the instruction card clerk
7. the time and cost clerk and
8. the shop disciplinarian

According to Taylor, the first four of these would be in the shop or the factory and personally help the men in their work, each boss helping in his own particular line or function, only and the other four would operate from the planning room, sending their orders and instructions in writing.

According to Taylor the chief advantage of this 'multiplicity of command' is that division of labour among supervisors would facilitate specialization and expert supervision in respect of each function. As we know, a single foreman cannot be an expert in these functions.

Taylor advocates this specialization for industry, but it has made its appearance in public administration too. In public administration technical supervision is increasing side by side with general administrative supervision.

This leads to the conclusion that the principle of Unity of Command has broken down. But, the advocates of the principle of Unity of Command argue that though an employee may be subject to the orders of more than one superior, the principle of unity of command may not be considered as broken. The administrator in government may have many bosses and be able to neglect none of them. According to Seckler-Hudson "From one he may receive policy orders; from another, personnel, from a third budget; from a fourth, supplies and equipments". Different orders may be secured from different bosses on different matters. So long as there are no conflicting orders on the same matter there is no duality of command. Hence there is no conflict in orders.

Another argument of the defenders of the principle of Unity of Command is that the technical experts do not really exercise control; they work only in the capacity of staff advisers and helpers. In the case of conflicting orders, the employee has to follow the orders of the immediate superior of his administrative hierarchy.

Check Your Progress -- Exercise No. 2

1. What are the advantages of multiplicity of command ?

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2. Explain that inspite of 'multiplicity of command' unity of command is still valid.

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(3) Match the following :-

A	B	
(a) Dual supervision	(1) Seckler-Hudson	()
(b) Multiplicity of command	(2) F.W. Taylor	()
(c) Supporter of unity of command	(3) F.W. Taylor	()
(d) Eight foreman	(4) J. D. Millet	()

14.4 PRACTICE OF THE PRINCIPLE

Today, an administrator like a District Collector in Uttar Pradesh is subject to the orders of 23 Departments. The case may not be different in other states. As such, there is no Unity of Command or duality of command but a multiplicity of command. In such a case the traditional approach to the principle of Unity of Command, that an employee should receive orders from only the superior, is not practicable. If there is no conflict in command, duality or multiplicity of commands need not be objected to. In case of conflict or contradiction in orders of the superiors, the employee should accept and obey the orders of his controlling officer and bring to his notice the conflict in the different orders.

14.5 SUMMING UP

In spite of criticism against it, the principle of Unity of Command cannot be neglected. It can, however, be practiced fully only if the superior officer is competent enough to issue orders to his subordinates in all matters. Since, this is not possible or practicable duality or multiplicity of command would continue in administration.

14.6 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. There is a limit to every man's physical and mental ability. As such if he is required to carry on the orders of two masters, he may fail to satisfy any one of them.

Exercise No. 2

1. It facilitates specialisation and expert supervision.
2. At a time a sub-ordinate receives orders from only one superior. Even if he receives orders from many superiors, it is on many subjects but not on the same subject. Hence, it is valid.
3. $a=4$; $b=2$; $c=1$; $d=3$.

14.7. MODEL EXAMINATION QUESTIONS

I. Answer the following in about 20 lines each.

1. Define Unity of Command and explain its practice with examples.
2. Critically analyse the importance of the principle of Unity of Command.

II. Answer the following in about 15 lines each.

1. What are the advantages of multiplicity of command ?
2. What do you mean by dual control ?

14.8. REFERENCE BOOKS

- | | |
|--------------------------|---|
| 1. M.P. Sharma & Sadhana | Public Administration in Theory & Practice, Kitab Mahal, Allahabad, 1988. |
| 2. Avasthi & Maheshwari | Public Administration, Laxmi Narain Aggarwal, Agra – 1984. |

Writer — P. Narasiah

UNIT – 15 : SPAN OF CONTROL

Contents

- 15.0 Objectives
- 15.1 Meaning
- 15.2 Importance
- 15.3 Relationship between Span of Control and Hierarchy
- 15.4 Factors influencing Span of Control
- 15.5 Summing Up
- 15.6 Answers to Check Your Progress
- 15.7 Model Examination Questions
- 15.8 Reference Books

15.0 OBJECTIVES

In this unit we shall discuss the main aspects relating to the principle of Span of Control. After going through the unit you would be able to :

- identify the importance of the principle;
- dwell on its practical utility; and
- sketch its correlation with Hierarchy.

15.1. MEANING

Span of control means the number of subordinates an officer can effectively control. It also means the number of subordinates an officer can direct. It can also be said that the Span of Control means, in simple words, the work of the number of persons a supervisor can supervise.

Span of Control is dependent upon span of attention. None of us can attend to more than a certain number of things at a time. Psychologists call this phenomenon 'Span of Attention'. In Public Administration, the 'Span of attention' of a supervisor is known as his 'Span of Control'. 'Span of Control' is dependent upon 'Span of Attention'.

There are limits both physical and mental, to human capacity. Hence, a supervisor cannot control more than a certain number of subordinates. There is no agreement among the writers about the exact limit of the Span of Control. Sir Ian Hamilton put the limit at 3 or 4. Lord Haldane and Graham Wallace felt that a supervisor could supervise 10 to 12 subordinates. Urwick made a difference in regard to span of control between higher and lower levels. According to him a supervisor cannot supervise directly more than 5 to 6 subordinates at the higher level, whereas at the lower levels where the work is simple and routine in nature the span of control varies from 8 to 12. According to a survey conducted by Wallace in 1937, the span of control of a chief executive differed from country to country. A chief executive in Japan had 13 departments under him, in Canada, Germany and Italy 14; in France 17; in Russia 19 or 20; in England 25; and in U.S.A. about 60. Though the number was not uniform, nowhere did the administration break down. Thus various writers feel that the span of control can be between 3 to 15. Though attempts have been made by many writers to search for the "ideal number" of persons a supervisor can supervise, they have not been able to give such an ideal number.

15.2 IMPORTANCE

We know that hierarchy or 'scalar principle' involves a number of steps or tiers one above the other. How many such levels an organization should have depends upon the total number of employees at the lower level to be supervised effectively by the superior officer. This establishes the fact that there is a close relationship between hierarchy and span of control. Hence, the levels or tiers in hierarchy should be established after taking into consideration the span of control of a superior officer. If a superior officer is expected to control larger number of persons than he can actually control, the result is delay and inefficiency. And to some extent, the quality of work of an organization depends upon effective control and supervision. Hence, the need for the principle of span of control. No organization can function without taking into account the principle of span of control. If the span exceeds the capability of the individual, it results in the breakdown of the organization.

15.3 RELATIONSHIP BETWEEN SPAN OF CONTROL AND HIERARCHY

The levels of an organization should be decided keeping in view the span of control. If the number of employees of an organization is 1,000 and the span of control is 10, the number of levels would be 4 as shown below:

Chief executive
10 Supervisors
100 Supervisors
1000 Workers

On the other hand in the same organization if the span of control is 5, the organisation should have 6 levels as shown below:

Chief Executive
2 Supervisors
8 Supervisors
40 Supervisors
200 Supervisors
1000 Workers

Span of control is an universally accepted principle. The number of subordinates one should have under him is debatable but not the principle as such.

There are two opinions on the number of levels an organization should have. If the number or levels is more, the span of control will be less, and supervision will be more. This has some problems. If the number of levels is more, the number of supervisors will increase resulting in an increase in the expenditure. It also increases the distance between the Chief Executive and the work place. Since communications have to pass through many levels they may undergo change in form and content thus complicating the decision-making process.

On the other hand if the levels are less, work may be expedited. The number of supervisors will decrease and it facilitates more delegation of authority. The advantages of this are that the morale of the employees is increased and they may work with more interest. They also get trained in shouldering responsibility. However co-ordination becomes a problem. Hence, in many organizations the span of control is kept at a minimum and the levels are increased.

Check Your Progress – Exercise No. 1

1. Explain how the span of control determines the levels in a hierarchy.?

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2. Explain why span of control is kept at a minimum.?

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15.4. FACTORS INFLUENCING SPAN OF CONTROL

Span of control depends on certain factors. According to Luther Gulick span of control varies with the following factors:

- i. Function
 - ii. Time
 - iii. Space
- i) **Function** refers to the work to be supervised. A supervisor can supervise a large number of subordinates with homogeneous functions. For example, an engineer can supervise a greater number of engineers. On the other hand if the work of the subordinates is heterogeneous in nature, supervision becomes difficult, and the span of control decreases. For example, it is difficult to supervise the work of doctors, engineers, typists etc., simultaneously in an effective manner, because, it requires knowledge of all the areas. It takes time to change from one mental frame to another.
- ii) **Time** refers to the age of the organization. In old, and established organizations practices become perfect and things get established. Such organizations run themselves. In such organizations supervision can be more rapid and span of control greater. Whereas in newer organizations new problems demand the attention, time and energy of the supervisors. Hence, subordinates depend heavily upon the supervisors and the span of control will be less.
- iii). **Space** refers to the place of work. If all the subordinates are under the same roof along with the supervisor, supervision becomes easier and quicker. If the subordinates are at a distance, it becomes difficult for the supervisor to exercise effective supervision, because he has to deal with them individually. Hence, if the number of subordinates to be supervised is under the same roof supervision is easier.

In addition to the above, the following are some other factors which influence span of control. They are:

- a) Personality
- b) Delegation of authority
- c) Techniques of Supervision
- d) Staff
- E) Subordinates
- f) Discipline and co-operation of subordinates

a) **Personality** refers to the competence of the supervisor. If the supervisor is energetic and competent he can supervise a large number of subordinates. It is needless to say that an incompetent supervisor would supervise a fewer number of subordinates due to his limited abilities and energy.

b) **Delegation of Authority** : Span of control also depends upon the delegation of authority. Some supervisors keep only a few functions for themselves and delegate the rest to their subordinates. Thus they can supervise the large number of subordinates. Whereas there are some supervisors who keep all the functions for themselves and struggle hard to exercise them. Such supervisors cannot control large number of subordinates.

c) **Techniques of supervision** employed by the supervisor also influence the span of control. If the techniques of supervision are standardised, the span of control will be more because subordinates do not need the close supervision of the supervisor. Where the direct supervision of the supervisor is required, the span of control will be less.

d) **Staff** : Span of control also varies with the staff. If the staff is efficient and helpful to the supervisor, his span will be more.

e) **Subordinates** : The span of control of the supervisor depends upon the degree of training and experience of the subordinates. Trained and experienced subordinates carry on their functions without very frequent reference to the superior. Hence, the supervisor can control a large number of subordinates.

f) **Discipline and Cooperation** : A supervisor can control a large number of subordinates if they are disciplined and extend their co-operation to the supervisor.

Check Your Progress – Exercise No. 2

1. What, according to Luther Gulick are the factors that determine Span of control?

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2. Span of control can be more even in new organizations. Explain.

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15.5 SUMMING UP

Span of Control means the number of subordinates an officer can effectively control. It depends upon the span of attention of a superior officer. If the span of a supervisor is more than that which the supervisor can exercise, it leads to inefficiency and delay. If the span exceeds, it results in the breakdown of the organization. Span of control also affects the levels in hierarchy. It has two limits mental and physical. There is no 'ideal number' of persons a supervisor can supervise. Span of control varies with function, time and space. It also varies with the personality of the superior, nature of delegation of authority, subordinates and techniques of supervision etc.

15.6 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. Hierarchy involves a number of Steps. Such a level or levels depends upon the number of employees, at the lower level to be supervised by the superiors. If the span is less there will be more levels and vice versa.
2. Span of control works as a control mechanisms in the organization. If the span of control is kept at a minimum the supervisor can exercise effective control over his sub-ordinates and take personal interest in their job.

Exercise No. 2.

1. Function, Time and space.

15.7 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each:

1. Define Span of Control and explain its importance.
2. What according to Luther Gulick are the factors that determine the span of control?

II. Answer the following in about 15 lines each:

1. Discuss the relationship between span of control and hierarchy.
2. Mention the factors that affect the span of control.

15.8. REFERENCE BOOKS

1. Avasthi & Maheshwari Public Administration, Laxmi Narain Aggarwal, Agra, 1984.
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UNIT- 16 : LINE & STAFF AGENCIES

Contents

- 16.0 Objectives
- 16.1 Introduction
- 16.2 Meaning
- 16.3 Line Agencies : Types
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- 16.7 Distinction between Line & Staff
- 16.8 Summing Up
- 16.9 Answers to Check Your Progress
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16.0 OBJECTIVES

The aim of this unit is to explain the categorization of agencies and the basis for the same. After reading the unit you would be able to :

- differentiate between line and staff agencies;
- outline significance of each one of them and;
- identify the limitations to each one of them.

16.1 INTRODUCTION

A sound system of organisation involves grouping of positions and fixing up of functions and responsibilities. In other words, division of work into units is characteristic of any organisation. An organisation can be generally divided into units in two ways, namely, on the basis of size and nature of work performed. We are familiar with the units of organisation based on size such as department, wing, division, branch, section and lastly the individual post or position. The units of organization based on the nature of work are of two kinds, namely 'Line and Staff'.

16.2 MEANING

Line agencies are executive while staff agencies are advisory in nature. Line means the subordinate division of operating responsibility. The work of Line agencies is directly related to the realisation of the objective of the organization. The Line agencies can issue orders or directions in the discharge of their functions. Staff agencies, on the other hand, are of an advisory character. Staff literally means stick. Old and infirm people lean on a stick or a staff for support. In public organizations, which are growing in size on account of the enormous increase in their functions, the chief executive or the

chief officer needs the support of separate staff. In other words, staff agencies or staff officers help, assist and provide advice in the proper discharge of the functions by the chief executive or the line agencies. They cannot issue orders or directions. They function in the background, more or less in anonymity. They can be described as an extension of the personality of the chief executive meaning more eyes, more ears and more hands to aid him in framing and carrying out his plans. Thus, the central hierarchy of the organization of public administration with a single chain of command is called a Line Agency while the agency which is in the margin (not in the line) but whose work facilitates the work of Line agency can be described as a staff agency.

It may be mentioned in this connection that the concept of Line and Staff agencies is taken from the military administration. In the military organisation the line units through their officer and men fight in the battle field. From the General down to the Second Lieutenant in the army, the chain of command is unbroken. There are also officers and men (who are not in the line) who are engaged in specialised service like food supplies, ammunition, transport and provision of strategic information. These are the staff agencies. If the military is to win war adequate and timely staff support is vital. In the military, the staff organisation becomes larger and more fully developed as one goes upwards in the hierarchy from the Platoon leader to the Company commander, to the Regimental commander, to the Divisional Commander and finally to the Commander-in-Chief. According to the army's humorous description 'the staff are the mules that carry the stuff for the mules who do the fighting'.

Check Your Progress – Exercise No. 1

1. What is the basis for the creation of Department ?

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2. What is the meaning of Staff ?

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3. What is the function of a line agency ?

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4. The concept of Line and staff agencies is borrowed from

- (a) Industrial administration ()
- (b) Civil administration ()
- (c) Military administration ()

16.3 LINE AGENCIES – TYPES

Line units are important because they are concerned with the direct accomplishment of the objectives of the organisation. In public administration they enforce laws, rules and regulations, collect various taxes and other dues due to the Government and implement the numerous welfare and developmental programmes. The range and volume of their activities are increasing very much with the growing expectations of the people from the Government. That is why, they provide a variety of services to the citizens. The Line agencies, necessarily, come into direct contact with the members of the public. In fact, the public judge the work of the Government from the way the Line agencies perform their duties not only the quality and the quantity of work but the way they respond to the desire and aspirations of the people. It is in this context that their work is considered crucial and as such they assume importance. No wonder, they are often described as the kernel of administration.

Line units are further divided into Department, Public Corporation and Independent Regulatory Commission.

16.3.1 Department

(i) It is the most traditional form of the governmental organisation. It is the first and largest subdivision of administrative structure in public administration. In it the line of authority from the top-most point, i.e., the Chief Executive or the Head of the Department to the lowest functionary in the organisation runs unbroken. We know that in the Police Department the chain of command from the Director-General of Police down to the Police constable is unbroken. From the standpoint of the exercising of control and co-ordination, it is far superior to others. It is simple in form without any ambiguity. People generally know which Department deals with what matters. The Department is directly under the Chief Executive and is clearly held with a single chain of command. It represents the integrated system of administration.

16.3.2 Public Corporation

This is another Line unit. It is an organisational device taken from Private administration. The Public Corporation has arisen in the wake of the need for efficient management of government-owned industrial, commercial, business, transport and other economic undertakings. Herbert Morrison defines a Public Corporation as "a combination of public ownership, public accountability and business management for public ends". It is a statutory body, i.e., a legal person. In other words, it can own and dispose of property and has perpetual succession and a common seal. It enjoys autonomy in several respects. It is not under the direct control of the chief executive. Within the parameters of policies laid down by the Government or the chief executive, it enjoys autonomy in respect of its internal management and day-to-day administration. The extent of autonomy varies from corporation to corporation. Public corporations serve definite public ends (e.g., the maximum of public well-being through the provision of services such as efficient transport facility like the A.P.S.R.T.C. and electricity supply like the A.P.S.E.B.) Most of the Public Corporations provide services of a varied nature and are engaged in productive, distributive and other economic activities. A public corporation differs from a department in two ways, namely in its statutory and corporation character and also in its being independent of the chief executive. Moreover the line of authority from the chief executive is not straight as in the case of a Department. The management of Government-owned industries through the device of Government company is most common these days. A government company, like a public corporation, is also a Line agency. Some examples of Line agencies are Tennessee Valley Authority in the U.S.A., British Broadcasting Corporation in Britain and Life Insurance Corporation of India and Food Corporation of India in India, State Road Transport Corporation and State Electricity Boards.

16.3.3 Independent Regulatory Commission

This is yet another Line agency, typically American in origin. The independent regulatory commissions are independent of the chief executive and are outside the framework of any Department. They are not responsible to the chief executive for their work and as such are described as 'Islands of autonomy'. Further, their work is of a mixed character, partly legislative, partly administrative and partly judicial. This work includes the regulation and control of property and activities of the citizen in order to safeguard the social interest. Some of them are concerned with the regulation of specific industries such as Inter-State Commerce and the Federal Power Commission. Some other examples of the Commission are the Federal Communications Commission and the Civil Aeronautics Board in America. These were established to check the possible presidential autocracy. There are no Independent Regulatory Commissions of the American type in India. The closest examples are the Election Commission and the Union Public Service Commission, which are constitutional agencies and are also functionally independent. Thus, the independent regulatory commission which is also a Line agency differs from a Department in its being independent of the chief executive and also in its statutory character. It is more independent of the chief executive than a public corporation.

Check Your Progress – Exercise No. 2

1. What are the advantages of a departmental form of an organization?

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2. State the differences between a department and a corporation.

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3. What are the features of Independent Regulatory Commission?

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4. Public Corporation is a line agency taken from :

- (a) Military administration ()
- (b) Public administration ()
- (c) Private administration ()

5. Independent Regulatory Commission has its origin in

- (a) America ()
- (b) England ()
- (c) India ()

16.4 NEED FOR STAFF AGENCY

In modern times, the chief executive of a public organisation – the Prime Minister of the country, the Chief Minister of a State or the Chairman-cum-Managing Director of a Public undertaking is burdened with multifarious functions. Often times, he does not find enough time to apply his mind to finding suitable solutions to the multitude of problems. The issues have to be studied in depth, the various alternatives and their consequences anticipated and evaluated and then only the most appropriate decisions can be taken. The Chief executive cannot be expected to do all this single-handed without any outside expert help and assistance. That is why, the need for a separate staff agency arises. The indispensability of staff agency was admirably described by Henry Fayol. According to him, the Heads of great enterprises are forced to have recourse to a group of men who have the strategy and competence and the time which the Head lacks. Thus the staff is a help or reinforcement, a sort of extension of the Manager's personality, to assist him in carrying out his duties. Sometimes, it is asked why the Line officers are the ones who pose the problems to be solved by the chief executive. As such, they are interested parties. In other words, they may be interested only in a particular solution. Further, they have knowledge only of the activities of their own units. They are not expected to have knowledge of the general policies. They are generally not aware of the repercussions which a decision might have on the work of other line units. For instance, a Line officer poses the problems of continued agitation by the employees of his unit. Left to himself he would wish to solve it by banning the agitation and taking disciplinary action against the erring employees. But this solution is not so simple as it appears. The chief executive would like to know what repercussions it will have on others and also its political and legal consequences. Sometimes policies are to be made after due investigation and research. In addition the Line agencies who are very much concerned with the day-to-day administration do not have the time or the bent of mind to think and advice. That is why, the need for separate staff agency in large public organisations is self-evident.

It was already pointed out that staff is an extension of the personality of the Chief Executive. It is to help, assist and advice the Chief Executive in the proper discharge of his functions. Through investigation, research and careful planning the problems are anticipated and appropriate solutions suggested. The principal features of Staff agencies are as follows: Firstly, they are not in the line of command; they are in the margin. They are adjuncts to Chief Executive. Secondly, they are not operative agencies. They do not perform duties and responsibilities for which the organisation is created. Thirdly, they do not function in limelight; they work in anonymity. Lastly and most importantly, their work is mainly of an advisory character. They only plan, advise, suggest and assist. That is why, Staff agencies, though function in the background, assume much importance. The quality and performance levels of the Chief Executive are, to a considerable extent dependent on the quality and output of the Staff agency. That is why it is said that Staff Officers must be intellectually virile and possess the sense of resolving a problem in the context of the total needs of administration. They should not be mere idealists living in a dreamy world. They should be realistic in their approach. Further, they should learn to put hard work without seeking publicity.

Check Your Progress – Exercise No. 3

1. Explain the need for staff agency.

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2. What are the principal features of a Staff agency?

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16.5 STAFF AGENCIES – OTHER ASPECTS

16.5.1 Functions

According to Pfiffner, the functions of staff Agencies are .

- a) To advice the Chief Executive as well as the line units, teaching and counselling
- b) To co-ordinate not merely through plans but also through human (personal) contacts and win over opposition to decisions (such opposition arising at any level within the organisation)
- c) To do the job of fact-finding and research
- d) To plan
- e) To have contact and liaison with other organisations and individuals to know what is going on
- f) To assist the line by working with it but without impinging its authority; and
- g) To exercise specially delegated authority from the line of command, within clearly known and defined limits.

According to L.D. White, the main functions of Staff agency are to assist the Chief Executive in foreseeing problems and planning future programmes. Further, it has to prevent from taking hasty judgements and protect his time. It has also to ensure compliance by subordinates with established policy and executive direction.

Mooney stated briefly that staff work has three aspects namely (a) informative, (b) advisory and (c) supervisory. The informative function involves collection of relevant information on which the Chief executive's decisions are based. The information collected has to be digested, summarised and presented to the Chief in a convenient form. For instance, whenever a committee or commission submits its report to the Government of India, the Cabinet Secretariat processes the same, summarises and presents it to the Cabinet in a convenient form. In addition, the staff advises the Chief executive as to what the decision should be while indicating the alternatives. The chief executive thinks twice before he rejects such an advice. The supervisory function is to see that the decision

taken by the Chief Executive is duly communicated to and implemented by the Line agencies. This aspect of the work according to Mooney involves inspection, trouble-shooting and co-ordination.

16.5.2 Staff Agencies in India

There are several Staff agencies in India. Important among them are :

- 1) The Cabinet Secretariat, 2) The Prime Minister's Office 3) The Planning Commission and 4) The President's Secretariat

The Cabinet Secretariat provides secretarial help and assistance to the Cabinet and its Committee. The Prime Minister's Office advises the Prime Minister in all matters ranging from intelligence reports to industrial projects. It provides help and assistance to the Prime Minister in effectively discharging his onerous responsibilities. The Planning Commission is a national agency entrusted with the task of preparing five year plans and evaluating the progress from time to time. The President's Secretariat helps and assists him in the discharge of his constitutional and other functions.

Check Your Progress – Exercise No. 4

1. What, according to Mooney, are the functions of Staff agency ?

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2. What do you understand by the 'Supervisory' function of Staff agency ?

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16.5.3 Kinds

According to Pfiffner, there are three kinds of Staff agencies namely General Staff, Technical Staff and Auxiliary Staff. The General Staff helps the Chief Executive or Chief Officer in his administrative work by presenting the collected information in a suitable and convenient form, showing the important issues and also by research and advice. The Cabinet Secretariat is the best example in this connection. The Technical Staff consists of specialists like doctors, engineers and scientists. They advise the Chief Executive in technical matters and sometimes exercise functional supervision over the work of technical personnel, the line agencies. Examples of Technical Staff are : Central Water and Power Commission and the Scientific Adviser to the Defence Minister. Auxiliary Staff consists of officers or units which perform certain functions common to the various Line agencies but incidental in character. These activities are performed by separate auxiliary agencies in the interests of efficiency, economy and specialisation; for example, departments of Central Public Works, Director-General of Supplies and Disposals, Director of Printing, Stationary and Stores Purchase (in several states).

16.6 AUXILIARY AGENCIES

However, according to White and Willoughby, the Auxiliary Agencies cannot be called staff, because they do not give advice the way staff agencies do. At best they are common institutional activities. Willoughby calls these 'Institutional' or house-keeping agencies while White calls them as Auxiliary Services. Further, these auxiliary Agencies are often given powers of scrutiny and control over the demands of the Line agencies. Staff does not exercise control. Naturally these fall under a separate category of auxiliary agencies or units. They are neither staff nor line units. In the Army they are called as 'Service Staff'.

16.7 DISTINCTION BETWEEN LINE AND STAFF

A distinction is often made between Line and Staff agencies. There are several differences between the two.

- 1) The Line agencies are subordinate units of operating responsibility while staff agencies are an extension of the personality of the Chief Executive.
- 2) The Line units work for the direct accomplishment of programme objectives of the organization while the staff units only work indirectly for the fulfilment of those objectives.
- 3) The Line agencies are executive while Staff agencies are advisory. According to Oliver Shelton the staff organisation may be described as a deliberate organisation for thought, just as the line organisation is the organisation for execution.
- 4) The Line units can issue orders and directives in the discharge of their functions where as the Staff units can not do this. They can only influence.
- 5) The Line units, particularly the field level officials, come into direct contact with the people and also function in the glare of publicity. However, the staff units do not come into direct contact with the public. They function anonymously.
- 6) The Line units perform a variety of activities. They enforce rules and regulations, collect taxes, implement policies and provide a variety of services. On the other hand, staff functions are mainly informative, advisory and supervisory. They help and assist the Chief Executive in the performance of his duties.
- 7) The Line agencies can be described as the kernel of administration while the work of the Staff units is only of an indirect nature. Thus the distinction between Line and Staff is one of the aspects of formal organisation.

The distinction between line and staff, as pointed out earlier, is subjected to severe criticism. It is increasingly realised that the water-tight division of organisational units into line and staff is unrealistic. According to Albert Lepawsky, the Staff and Line are co-ordinators, operating not in a hierarchical relation to Staff over Line but on a horizontal plane of authority and responsibility under the Chief Executive. A Staff man who does not give commands to the Line is ineffectual and a Line man who does not understand and exercise a modicum of staff function is a failure. The distinction between Line and Staff is visible only in large undertakings including public organisations. In smaller public organisations the chief Executive or Chief Officer acts as his Line and Staff. The Block Development Officer of a Panchayat Samithi acts as his Line and Staff as well. Further, according to Simon and others the distinction is unreal. 'Authority is, now, considered to be more a matter of influence than of command or authority. We are aware as to how the Planning Commission

in India which is only an advisory body exercises tremendous power and influence over the State Governments. It is often described as the 'Super Cabinet'. Some of the Staff agencies like Prime Minister's Office are treated as Departments under the G.O.I. Allocation of Business Rules. This is incongruous. In addition, the heads of the Line agencies like the Chief Engineer Irrigation and the Director of Agriculture whose work is of a technical nature do offer advise to the Government with regard to their work. In certain Staff agencies like the Planning Commission, they internally issue orders and exercise control.

Lastly, the Staff agencies exercise authority and control through their ideas. The staff units like the Establishment Division, O & M, Budget Division etc., wield coercive power over the Line agencies. Thus the distinction is relative and not absolute.

Check Your Progress – Exercise No. 5

1. "The distinction between Staff and line agency is relative and not absolute". Comment.

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16.8 SUMMING UP

Line and Staff are the units of organization based on the nature of work. The concept of Line and Staff is taken from the military administration. The Line units assume much importance because they are concerned with the direct accomplishment of the objectives of the organizations. They are divided into three types namely, viz., Department, Public Corporation and Independent Regulatory Commission. In view of the increase in the range and complexity of functions entrusted to the Chief Executive in modern times, the need for separate staff is keenly felt. The staff is considered as an extension of the personality of the Chief Executive. The main functions of the staff are informative, advisory and supervisory. The staff agencies are often classified as the general staff, the technical staff and the auxiliary staff. However, many writers feel that Auxiliary agencies can not be called Staff as they do not have to give advice. There are several points of distinction.

16.9 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. A department may be created on the basis of size and nature of work performed.
2. Staff literally means 'stick'. They are advisory bodies to the chief Executive. They help and assist him in the proper discharge of his official functions.
3. Line agencies are directly incharge of the realisation of the objectives of the organization.
4. (c) Military administration

Exercise No. 2

1. It is simple in form without any ambiguity. It is clearly held with a single chain of command.

2. A department is created by an executive order. A public corporation is a statutory body. A department works directly under the chief executive. A public corporation is autonomous in several respects. The line of authority is not straight in the case of a public corporation.
3. It is typically American in origin. They are independent of the Chief Executive. They are not responsible to the Chief Executive for their work. They perform quasi-legislative, quasi-judicial and quasi-administrative functions.
4. (c) Private administration
5. (a) America

Exercise No. 3

1. In modern times due to enormous increase in the state activities, the chief-executives are over-burdened with multifarious functions. He often does not find time to apply his mind to the study of the problems in depth. He needs help. That help is provided by the Staff agencies. They work as his 'Think - Tank' and 'Trouble - Shooters'.

Exercise No. 4

1. Informative, 2) advisory and 3) supervisory
2. The supervisory function of the staff agency is to see that the decision taken by the chief Executive is duly communicated to and implemented by the line agencies.

Exercise No. 5

1. Staff agencies too receive orders from the Government. While receiving orders for implementation, they are treated as line agencies. The same agency may have to advise the Chief Executive in some cases on technical matters. Then it will be called as Staff agency. As such there is no clear-cut, distinction.

16.10 MODEL EXAMINATION QUESTIONS

I. Answers the following in about 30 lines each

1. Discuss the meaning and importance of line and staff agencies.
2. State the distinction between line and staff agencies.

II. Answer the following in about 15 lines each

1. Justify the need for separate staff agencies.
2. State the various types of line and staff agencies in India.

16.11 REFERENCE BOOKS

- | | | |
|----|--------------------------|---|
| 1. | M. P. Sharma and Sadhana | Public Administration in Theory & Practice, Kitab Mahal, Allahabad, 1988. |
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UNIT- 17 : CENTRALIZATION AND DECENTRALIZATION

Contents

- 17.0 Objectives
- 17.1 Introduction
- 17.2 Meaning & Definition
- 17.3 Some Issues
- 17.4 Facets of Decentralisation
- 17.5 Factors Governing Centralisation and Decentralisation
- 17.6 Centralisation :
 - 17.6.1 Advantages
 - 17.6.2 Disadvantages
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 - 17.7.2 Disadvantages
- 17.8 Summing Up
- 17.9 Answers to Check Your Progress
- 17.10 Model Examination Questions
- 17.11 Reference Books

17.0 OBJECTIVES

In this unit we shall discuss the meaning, factors, and facets of Centralisation and Decentralisation. After reading the unit you would be able to:

- define what is Centralisation & Decentralisation
- establish their utility for bringing effectiveness in the working of public organization
- analyse the advantages and disadvantages

17.1 INTRODUCTION

One of the problems of an organisation including that of a public organisation is the issue of centralisation versus decentralisation. In fact, this is one of the dilemmas facing the government and the administration today. While the compulsions of socio-economic planning, the requirements of national integration and the considerations of defence strategy, pull towards centralisation, the regional and local pressures for autonomy, and the political consideration of greater participation by the people favour decentralisation. We are thus confronted with contradictory pulls and pressures. The decision to split the L.I.C. (Life Insurance Corporation) of India into five autonomous corporations explains the pull towards decentralisation. On the other hand, the establishment of the S.A.I.L. (Steel Authority of India Ltd.) as a holding company for all the public sector steel plants explains the pull towards centralisation. To further illustrate, in the words of Avasthi and Maheshwari, the Planning Commission symbolizes the trend towards centralisation, while 'Panchayati Raj' epitomizes the trend towards decentralisation.

17.2 MEANING AND DEFINITION

The issue of centralisation and decentralisation revolves round the location and the extent of power of decision making in the organisational set-up. Broadly speaking, an organisation is said to be centralised, if most of the power of decision-making is vested in the top level/levels of the organisation of its headquarters so that the lower level/levels of the organisation or its field offices respectively have to refer most of their problems to them for decision-making. A decentralised organisation is one in which the lower levels or the field offices are empowered to decide most of the matters which come up to them, reserving (comparatively) a few bigger and more important problems for the higher ones. No system of administration can be described or designated as fully centralised or fully decentralised. If it is fully centralised, there would be nothing for the lower levels to do except to transmit problems. Such an organisation will fall under the weight of its problems. On the other hand, if it is fully decentralised, there is no need for the head-quarters. It would be contradiction in terms. Further it would result in nothing less than anarchy. Thus, the distinction between centralisation and decentralisation is not absolute; it is relative.

Before proceeding further in this discussion of centralisation versus decentralisation, it would be quite appropriate to understand the meaning of the terms and their definitions. Essentially, centralisation denotes concentration of authority at the top or in the higher levels of the organisation. Decentralisation, on the other hand, denotes dispersal of authority among the lower levels of the organisation or its field offices. According to L.D. White, "The process of transfer of administrative authority from a lower to a higher level of Government is called 'centralisation,' the converse decentralisation". Decentralisation according to David Lilienthal, means three things. (1). The greatest number of decisions should be taken in the field; (2). It should facilitate active co-operation by the people. (3). The Co-ordination of the various agencies work in the field should be done in the field itself. That way, decentralisation means divesting power to authorities situated below which are representative. According to M.A. Muttallib, if centralisation is the systematic and consistent reservation of authority at central points within the organisation, decentralisation applies to the systematic effort to delegate to the lowest levels all authority except that which can only be exercised at central points. Henry Fayol admirably explained the meaning of centralisation and decentralisation in a nutshell. He states that, "Everything that goes to increase the importance of the subordinate's role is decentralisation, everything which goes to decrease it is centralisation". According to Fesler, whether a public organisation leans towards centralisation or decentralisation depends on a variety of factors namely, (1) the importance of matters or issues on which field officials have decision-making authority; (2) the extent of central consultation with field officials in matters that are formally decided at the headquarters; (3) the extent and frequency with which field officials must refer matters to the headquarters; (4) the number and the particular nature of central regulations or orders pertaining to decision-making in the field; (5) the provision for appeals to the headquarters against the decisions of the field and (6) the calibre of field officials.

Check Your Progress – Exercise No. 1

1. What is centralization ?

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2. What do you understand by decentralization ?

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3. What, according to David Lilenthal, is decentralization ?

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4. What, according to Henry Fayol, is the meaning of centralization and decentralization ?

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17.3 SOME ISSUES

The issue of centralisation versus decentralisation has five aspects relating to (1) Superior and Subordinate Officers ; (2) Head office and component parts of the organisation; (3) Headquarters and Field Offices; (4) Chief Executive and Functional Departments and (5) Officials and non-officials. The first two are administrative, the third is geographical, the fourth is functional and the fifth political. To amplify further, it can be stated that if subordinate officers in an organisation are vested with a large measure of decision-making authority it is an administrative aspect of decentralisation. Another administrative aspect of decentralisation is to vest more decision-making authority in the component parts compared to the headquarters. If field offices are vested with more authority referring only a few important matters to the head office, it becomes a geographical aspect of decentralisation. For instance, the trend towards vesting more authority in the zones and divisions of the Railway administration is a geographical aspect of decentralisation. If functional departments are vested with more authority compared to the chief executive, it is a functional aspect of decentralisation. It means leaving the power of decision-making in respect of technical or professional matter, largely to the concerned units. Similarly, in an organisation, if more authority is vested with non-officials compared to officials, it is a political aspect of decentralisation. The example is that of the Panchayati Raj set up in the various States in India. The converse of it can be described as Centralisation.

17.4 FACETS OF DECENTRALISATION

Often, the words decentralisation, devolution, delegation and deconcentration are used interchangeably. However, there is a subtle distinction between these words. Decentralisation,

devolution and deconcentration imply transfer of authority. However, according to Muttalib, "Deconcentration is based on administrative action, devolution on political and legal and decentralisation on political, legal and administrative action". In decentralisation there is the divesting of authority to subordinates, while in delegation, certain specified functions and powers are delegated to the subordinates with the right to take them back or overrule them at any time. As M.A. Muttalib points out "if decentralisation tends to seek justice to the subordinate, delegation does to the superior. For, under decentralisation what was due to the subordinate by virtue of his authority of knowledge is restituted, while under delegation, the superior seeks to provide himself with a relief". Some illustrations will make the distinction more clear. Panchayati Raj is an example of decentralisation. State Governments in India clamouring for more powers, amounts to seeking devolution. The District collector, being vested with authority over development departments in the district, is an example of deconcentration. The Commissioner of Police delegates power to permit holding public meetings to the Assistant Commissioner of the concerned area. This is an example of delegation.

Check Your Progress – Exercise No. 2

1. What are the issues relating to centralization and decentralization ?

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2. Differentiate between delegation and decentralization.

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3. Match the following :-

A	B
(a) Panchayati Raj	(1) Delegation
(b) District collector	(2) Decentralization
(c) Assistant Commissioner of police permits public meetings on behalf of the police Commissioner.	(3) Deconcentration

17.5 FACTORS GOVERNING CENTRALISATION AND DECENTRALISATION

These are certain factors which govern the issue of centralisation and decentralisation. They are : (1) The factors of responsibility; (2) administrative factors; (3) functional factors and (4) external factors. As heads of public organisations or department are vested with the ultimate responsibility for their efficient functioning, they generally, tend to concentrate important powers in themselves. Necessarily the factors of responsibility acts as a deterrent to decentralisation. It is well-known that authority and responsibility go together. There are several administrative factors e.g., age of the organisation, stability of the organisation, competence of the field staff which have a bearing on centralisation and decentralisation. In an old administrative agency where administrative procedures and precedents are well-established and norms of administrative behaviour crystallised, it is easier to decentralise than in others. In newer organisations, a certain amount of centralisation is inevitable. Stability of policy naturally facilitates decentralisation. Frequent changes in policy, as for instance in the case of land ceilings administration, facilitates centralisation. The competence of field staff has vital bearing on decentralisation. The more competent the field staff, the greater the propensity to decentralisation. According to some writers, administrative sophistication also facilitates decentralisation. In other words, the head of the organisation should view the problem intelligently with a constructive approach to securing the co-operation of others in the organisation. Regarding functional factors, it can be stated that the extent of decentralisation depends on the nature of the

functions entrusted to the organisation. If the function is one of national importance it requires some sort of uniformity; it facilitates a function like agriculture crop insurance requiring diversity; it facilitates decentralisation. Further, in multifunctional organisations there is greater scope of decentralisation than in uni-functional organisations. Lastly, some external factors like people's participation and safeguarding regional interests facilitate decentralisation.

Check Your Progress – Exercise No 3

1. What are the factors that govern centralization and decentralization ?

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2. Explain how the age of an organization leads to centralization or decentralization.

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17.6 CENTRALIZATION

After studying the factors governing centralisation and decentralisation, it would be quite appropriate to study the advantages and disadvantages of centralisation and decentralisation.

After the Industrial Revolution, and in the context of enormous advancements in the field of science and technology, centralisation in administrative organisations is growing despite professed concern for decentralisation. V. Subrahmaniam called this the rhetoric of decentralisation and reality of centralisation in the modern world. In the first place comes technology which works in three complementary ways by conquering distance first, by making execution more mechanised, and by helping to process a mass of information through the computer and cybernetics. In other words, through the availability of swift means of communication, distance is no longer an inhibiting factor in the move towards centralisation. Secondly, the history of all imperial conquests followed by nationalist liberation movements showed the centralisation of the decision-making power in few hands. Thirdly, in the context of competitive world economy and the requirements of developing countries, centralised economic planning became inevitable.

17.6.1 Advantages

The advantages of centralisation are several. Firstly, centralised supervision, regulation and control results in economy and efficiency as it reduces the overhead costs. As centralisation provides for greater controls, it is felt that administrative abuses would be fewer. Secondly, centralisation ensures a sort of uniformity and standardisation through out the jurisdiction. In other words, it ensures that the work is done in more or less the same manner in an area, in accordance with the general policies and principles that have been laid down. Thirdly, whenever the importance and urgency of a programme is felt, it is usually centralised. In other words, it is placed under the charge of the central government or the higher levels of the organisation. Fourthly, under modern conditions, financial

considerations facilitate centralisation. Smaller jurisdictions are not considered financially viable, that is, they can not support themselves financially, Fifthly, in the context of national economic planning, centralisation is inevitable. In India, it is part of experience that state Governments have to act at the behest of the Union Government even in matters relating to minor irrigation, electricity, land reforms and so on even when they have constitutional authority over these subjects. Sixthly, the considerations of defence strategy and national integration facilitate centralisation. The establishment of the N.C.C., as the second line of defence on a national basis and the proliferation of central police forces like B.S.F and C.R.P explain the phenomenon. Besides, the Central Government gives grants-in-aid to the State Governments and other public organizations, like the Universities. In order to ensure proper utilisation of these grants, a certain amount of central control is inevitable. This facilitates centralisation.

17.6.2 Disadvantages

Despite the advantages of centralisation as cited above, centralisation suffers from a number of disadvantages. First, it results in congestion of business at the top. In other words, there is heavy concentration of authority at the higher levels of the administration resulting in bottle necks and consequent delays. Further, the flexibility of approach in making decision is lacking in centralisation. In a centralised system decisions are taken at a point far distant from the people and the places which are going to be affected. That tends to make the administration wooden in its approach. In addition, centralisation does not facilitate people's participation. Even the co-operation of the people would be less forthcoming in a centralised system. Centralisation thus, is not an unmixed blessing. Several thinkers are of the opinion that over-centralisation has been the bane of India administration.

17.7 DECENTRALISATION

17.7.1 Advantages

As regards decentralisation, several advantages can be cited in its favour. In a decentralised system, administration is closer to the field of operation and nearer to its clientele. Naturally, decisions and programmes can be adapted to suit the requirements of local conditions. That there is no scope for congestion of business at the top in this system is self-evident. Therefore, there are less of delays and other evils of bureaucracy like 'red-tapism'. Further, administration can be in touch with the people through people's co-operation and participation. In addition to all these, co-ordination of work in the field can be done in the field. Decentralised administration would be more participative in character and people-oriented in outlook. It gives an opportunity to develop resourcefulness and self-respect among subordinate administrators who, thus, have to fend themselves, to take their own decisions and shoulder their own responsibilities". In other words it develops initiative and dynamism among the lower level functionaries of an organisation to boldly take decisions with a sense of responsibility. Further, in this system, a sort of experimentation in decision-making and implementation is possible without committing the entire organisation to one particular line of action. According to Charlesworth, Decentralisation has a more important justification than a mere administrative efficiency. It bears directly upon the development of a sense of personal adequacy in the individual citizen; it has spiritual connotations.

17.7.2 Disadvantages

However, decentralisation too, has its disadvantages. A decentralised system breeds localism and parochialism. Problems are viewed from the immediate local angle: the national perspective usually gets lost. Too much of decentralisation may lead to anarchy. Co-ordination of operations becomes difficult. The calibre of public officials at the lower level of the administration is generally low and naturally decentralisation leads to inefficiency. Moreover corruption and inefficiency are more

perceptible in a decentralised system and people get disgusted and frustrated with the administration. This exasperation with corruption and inefficiency can be evidenced in the working of the Panchayati Raj. Further decentralisation would result in more outlays and more costs as house-keeping activities have to be multiplied. It is also financially not self-supporting. The national political commitment to achieve certain national minimum standard of living cannot be achieved in decentralised system of administration. Decentralisation ipso facto does not bring in democracy. (History has borne testimony to this). According to K. Seshadri, a decentralised administrative machinery in a situation of this nature where feudal interests dominate the rural scene would only make the public service the private service of these classes since the deprived will have no court of appeal against the rural, kulak, tyranny. Certain safeguards have to be structured into the administrative system to offset the disadvantages of decentralisation. For example, clear-cut jurisdictional lines for each level of organisation, and adequate reporting and inspection methods have to be laid down to compensate for the disadvantages of decentralization.

Check Your Progress – Exercise No. 4

1. What are the disadvantages of centralization?

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2. What are the advantages of decentralization?

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17.8 SUMMING UP

It can be stated that the issue of centralisation and decentralisation revolves round the location and also the extent of decision-making in the organisational setup. The discussion on the issue of centralisation and decentralisation leads us to the conclusion that the advantages of centralisation or decentralisation can be effectively rebutted by an equally plausible argument from the other side. Neither centralisation nor decentralisation can be accepted as a principle of good organisation. They have situational relevance. As in the case of other principles, a balance has to be struck. Policy-formulation can be centralised, its implementation or execution should be decentralised. In other words, in matters like planning, industrial development, communications and transport where national uniformity and standards have to be ensured, centralisation is preferable. However, operating decision can be easily decentralised at the appropriate levels. Further, in every public organisation, field authorities should be given sufficient power of decision-making while higher authorities have to post-audit and review such exercise of power to see if it is in conformity with the legal provisions. Thus, in a stable organisation, centralisation and decentralisation are complementary, and not contradictory.

17.9 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. Everything that decreases the role of sub-ordinates is called as centralization by Henry Fayol. It is also known as reservation of authority at central points within the organization. It denotes concentration of authority at higher levels in an organization.
2. Everything that increases the role of sub-ordinates is called as decentralization. It denotes the dispersal of authority among the lower levels of the organization.
3. According to David Lilenthal, decentralisation means that the greatest number of decisions should be taken in the field.
4. Henry Fayol observes that everything which increases the role of sub-ordinates is decentralization and everything that decreases their role is centralization.

Exercise No. 2

1. The issues relating to centralisation and decentralisation are as follows.
 - a. Superior and subordinate officers.
 - b. Head office and component parts of the organization.
 - c. Head quarters and field offices.
 - d. Chief Executive and functional departments and
 - e. Officials and non-officials.
2. In delegation certain specified functions and powers are delegated to the subordinates with the right to take them back or overrule them at any time. Delegation seeks justice to the superior if the superior seeks to provide himself with relief. In decentralisation there is the divesting of authority to subordinates. It tends to seek justice to the subordinate.
3. $a = 2; b = 3; c = 1$

Exercise No.3.

1. The factors of responsibility,
administrative factors,
functional factors;
and external factors.
2. In an old administrative agency administrative procedures and precedents will be well established. It is easier to decentralize in such agencies. In newer organisations certain amount of centralisation is inevitable.

Exercise No.4.

1.
 - a. It results in congestion of work at the top.
 - b. There will be lack of flexibility in decision-making.
 - c. It does not facilitate peoples' participation.
2.
 - a. Administration is closer to its clientele.
 - b. No congestion of business at the top.
 - c. It can be in touch with the people.

17.10 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each:

1. What are the arguments for and against centralization?
2. "Decentralization leads to dilution of authority."—Comment.

II. Answer the following in about 15 lines each:

1. What factors govern Centralization and Decentralization?
2. List out the advantages of centralization.
3. Sum up the arguments against decentralization.

17.11 REFERENCE BOOKS

1. M. P. Sharma and Sadhana Public Administration in Theory & Practice, Kitab Mahal, Allahabad, 1988.
2. Avasthi & Maheshwari Public Administration, Laxmi Narain Aggarwal, Agra, 1984.

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UNIT – 18 : LEADERSHIP

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- 18.0 Objectives
- 18.1 Introduction
- 18.2 Nature and Importance
- 18.3 Some theories of Leadership
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18.0 OBJECTIVES

The aim of this unit is to acquaint you with meaning, nature and important approaches to the understanding of leadership. At the end of the unit you would be able to:

- explain the meaning and different styles of leadership,
- list important theories on leadership; and
- note limitations in expecting ideal leadership.

18.1 INTRODUCTION

The success or failure of an organisation largely depends upon its leadership. The dictionary meaning of the verb 'to lead' has two different meanings. In one sense it means "excel, to be in advance, to be prominent". In another sense, it means "to guide others, to be ahead of an organization, to hold command". So, in simple words, leadership means guidance.

Leadership has been defined by different writers in different ways. Some of the definitions of leadership are given below :

Koontz, and O'Donnel have defined leadership as "the activity of persuading people to co-operate in the achievement of a common objective". According to Terry leadership is "the activity of influencing people to strive willingly for mutual objectives". In the words of Seckler Hudson, "Leadership in large organizations may be defined as influencing and energizing of people to work together in common effort to achieve the purpose of the enterprise". Mooney defines leadership as "the form that authority assumes when it enters into process".

From the definitions listed above it should be clear that a leader has to persuade, influence, encourage, energize and motivate people to achieve the objective of the organization. Thus, leadership is the process of influencing the activities of individuals or groups to achieve the goals of the organization.

18.2 NATURE AND IMPORTANCE

There is no unanimity about the contents of leadership. However leadership is not personal per-eminence. It is also not command and fear. In the opinion of Barnard, Leadership "depends upon three things; 1). the individual, 2). the followers, and 3) the conditions". Though the individual who leads matters leadership is not chiefly personal in character. It is well recognized that it is not only the leader who influences his followers but that his followers also influence him. Hence, this reciprocal relationship is the main characteristic of leadership. Mary Parker Fallet called this as "circular response". The currents should go both ways. According to this writer, "we should think not only of what the leader does to the group but also of what the group does to the leader". The third thing is the conditions in which the leadership operates. According to Millet, "leadership is often made or broken by circumstances". A leader has to be responsive to external political direction and control and also to the requirements of the internal operation of keeping an administrative agency in actual running order.

All organizations—big or small, simple or complex, need leadership. All types of institutions call for one indispensable element, that is, leadership. The successful implementation of all programmes depends upon leadership. Leadership becomes necessary to co-ordinate the activities of a group of persons with a view to achieving the goal of the organization. Leadership is necessary to mobilize and utilize the resources of the people. All associations of human beings require leadership to lead, to guide and to inspire them to achieve their goal. All managements require leadership. Thus, leadership is an important aspect of management. The importance of the leadership lies in the fact that leaders have not only to motivate their followers but arouse in them an interest to work for the realization of the goals of the organization.

Check Your Progress — Exercise No. 1

1. What do you understand by the word leader ?

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2. What is 'circular response' ?

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3. State the three things as listed out by Barnard on which the leadership depends.

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18.3 SOME THEORIES OF LEADERSHIP

In view of the importance of leadership to all kinds of group activities there is a considerable volume of theory and research concerning it. We shall discuss one of the theories of leadership i.e. the traits theory of leadership. Leaders are born, and not made, is the old theory of leadership. This theory of leadership is also known as the 'greatman' theory. This theory considers the leader as a great man. Researchers have tried to identify the physical, mental and personality traits of various leaders.

Various studies of traits have been made. Ordway Tead and Chester I. Barnard are prominent trait-theorists. Ordway Tead has brought out ten qualities of a leader. They are : 1) Physical and nervous energy, 2) a sense of purpose and direction, 3) enthusiasm, 4) friendliness and affection, 5) integrity, 6) technical mastery, 7) decisiveness, 8) intelligence, 9) teaching skill, and 10) faith. Chester I. Barnard indicates two categories of leadership traits. The first category includes outstanding qualities in respect of physique, skill, technology, perception, knowledge, memory and imagination. These qualities are expected to command the subordinates' admiration. The second category includes individual superiority in determination, persistence, endurance and courage. R.M. Stogdill found that various researchers have identified five physical traits such as energy, appearance, and height, four intelligence and ability traits, sixteen personality traits such as adaptability, aggressiveness, enthusiasm and self-confidence, six task relative and nine social characteristics such as co-operativeness, interpersonal skill and administrative ability.

A critical appraisal of the Trait Approach to Leadership reveals that it has not been very helpful in explaining leadership. All leaders may possess all these traits. Many non-leaders may possess all or most of them. The Trait Theory of Leadership also does not give any guidance about the degree of the trait a leader should have. Finally, most of these traits are in fact patterns of behaviour expected of a leader. Alwin W. Gouldner has pointed out some major defects of the trait theory: According to him, 1) there are no common or universal traits of leadership. 2) The comparative importance of different traits has not been indicated; 3) the traits needed for acquiring leadership are not differentiated from those which are necessary for maintaining it, and 4) it has failed to recognize the influence of situational factors on leadership.

18.4 PATTERN OF LEADERSHIP

It is assumed that ability to lead and willingness to follow are dependent upon leadership styles. We can classify leaders on the basis of the use of authority into three categories, namely, a) the autocratic/authoritarian leaders, b) the democratic, and c) the Laissez-Faire leaders.

- a) An autocratic leader is one who commands compliance with his orders. He withholds or gives rewards and punishments. All the policies are determined by him.
- b) A democratic or participative leader consults his subordinates on proposed actions and decisions and encourages their participation in decision-making. All policies are open to group discussion and decision.

There is a main difference between the two styles of behaviour in a leader. This authoritarian style of a leader's behaviour is often based on the assumption that people are innately lazy and unreliable (Theory X approach). The democratic style of leader assumes that people can be basically self-directed and creative at work, if properly motivated (Theory Y approach).

- c) The third type of leader gives his subordinates a high degree of independence in their operations. He acts as a guide to them. Such leaders allow the subordinates to set their own

goals and try to achieve them. In this type of leadership there is no formal leadership and any leadership that is exhibited is informal.

Check your Progress – Exercise No.2.

1. What are the leadership styles?

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18.5 APPROACHES TO LEADERSHIP

There are different approaches to leadership. Some of them are :

18.5.1 Likert's Model

Rensis Likert and his associates at the University of Michigan have studied the patterns and styles of leaders. Likert developed certain approaches to leadership behaviour. He assumed four systems of leadership or management. They are :

- (i) System I : Exploitative–Authoritative management
- (ii) System II : Benevolent–Authoritative management
- (iii) System III : Consultative management
- (iv) System IV : Participative–Group management

- (i) **System I** Management is described by Likert as "exploitative– authoritative" management. In this type, managers are highly autocratic. They have little trust in their subordinates. They motivate people through fear and punishment. They centralise decision–making at the top.
- (ii) **System II** Management is called "benevolent–authoritative" management. In this system managers trust their subordinates. They motivate people through rewards, fear and punishment. They invite ideas and opinions from their subordinates and allow some delegation of decision–making powers.
- (iii) **System III** management is referred to as "consultative" management. In this system Managers do not have complete confidence and trust in their subordinates. They usually try to make use of subordinates' ideas and opinions. They motivate subordinates through rewards and resort to punishment occasionally. They act in consultation with their subordinates. They allow some specific decisions to be taken at lower levels.
- (iv) **System IV** Management "or participative group" management. In this system Managers have complete trust and confidence in their subordinates in all matters. They always consult them and get their ideas and opinions and use them. They reward them with economic rewards. They encourage decision–making at all levels of the organization.

Of the four systems of management of leadership Likert found that those managers who applied the System 4 approach had the greatest success as leaders. He believed that their success was due to the participativeness of the subordinates in the management of affairs.

18.5.2 Robert House Model

The Path-goal Approach to Leadership Effectiveness : This theory of leadership was developed by Robert House on the basis of earlier motivational and leadership theories and his own research. It describes the most effective leaders as those who help subordinates achieve both enterprise goals and their personal goals. The personal goals of the subordinates include money, promotion, opportunities for growth and development. Leaders of this theory remove obstacles to performance, increase opportunities for personal satisfaction in work performance by reducing unnecessary stress and strain.

18.5.3 Situational Model

The Situational Approach to Leadership : The Trait Theory of Leadership emphasizes human personality alone. The situational theory of Leadership on the other hand, believes that the leadership is affected by the situation from which the leader has emerged. It emphasizes the interaction between the group and the leaders. According to this theory leadership differs from situation to situation. The main proposer of the situational theory. F.E. Fielder is of the opinion that people become leaders not only because of the attributes of their personalities but also because of various situational factors, and the interaction between the leaders and the situations. He feels that "it is not meaningful to speak of an effective leader or an ineffective leader. We can only speak of a leader who tends to be effective in one situation and ineffective in another". This means that there is nothing automatic or 'good' in leadership styles. Leadership effectiveness depends upon various factors.

18.5.4 Followers Theory

The Follower Theory of Leadership : In view of the inadequacies of the above mentioned theories F.H. Sanford paid attention to followers who make leadership effective. According to this Theory of Leadership, followers depend upon those leaders who satisfy both their social and personal needs. They extend their willing support and co-operation to those leaders who try to satisfy their needs while motivating them to achieve the goals of the organization.

The foregoing discussion makes it clear that it is unrealistic to seek a single ideal type of leader. Leadership varies from situation to situation, followers etc.. All managers or leaders must design their approaches to suit the situation and the people involved.

Check Your Progress – Exercise No. 3

1. Match the following :-

A	B
1. Rensis Likert	a. Followers Theory of Leadership ()
2. Path-goal Approach	b. Systems of management ()
3. F.E. Fielder	c. Situation Approach ()
4. F.H. Sanford	d. Robert House ()

18.6 IDEAL LEADER : CHARACTERISTICS

The following are some of the characteristic features of an ideal Leadership:

a) Co-existence with followers;

- b) Understanding the feelings and problems of the followers;
 - c) Acceptance of full responsibility;
 - d) Objectivity in relation with followers;
 - e) Self awareness of his preferences and weaknesses.
- a) There cannot be a leader without followers. Leaders exercise authority over their followers. If such authority is not willingly accepted by the followers it results in domination. Leaders cannot lead the group through domination but through the willing co-operation, trust and loyalty of their followers. Hence, Leaders should earn their leadership by winning the confidence or loyalty of their followers. This calls for the co-existence of the leader with his followers.
- b) The strength of a leader lies in understanding the feelings and fears of his followers. A leader should try to fulfil the needs, and dispel the fears of his followers. Followers tend to follow those leaders who satisfy their personal goals. Leaders should know the motives of their subordinates and motivate them in such a way that they would extend their co-operation to the leader and carry out his orders.
- c) The third characteristic of a leader is that he should accept full responsibility in all situations. He must assume full responsibility for the action and inaction of his followers. He should motivate the whole group to work for the achievement of the goals of the organisation.
- d) The leader should be impartial in all his dealings with others. He should deal with all the cases affecting his group in a fair and straight forward manner. Even the slightest doubt that the group might develop about his decisions would pose a threat to his leadership. In the event of non-co-operation by his followers, the leader would be unable to guide and lead the team towards the achievement of the organization goals.
- e) A leader has to be aware of his own preference and weaknesses. This is essential for the leader, since he has to be aware of the impact of his actions on his followers. He has to be certain about the goals and the results of his actions. This enables him to lead and guide his followers with conviction and confidence. That knowledge is power holds good in this case. A knowledgeable leader would not only command respect from his followers but also lead the group towards the achievement of the goals of the organisation since he knows and understands what he is doing and why he is doing it.

Qualities

As he been pointed out, qualities alone do not make one an effective leader. Nevertheless, a leader is expected to possess some qualities which will help him to lead the group. Almost every writer on leadership lists some qualities which a leader is supposed to have. According to Barnard, a leader should have four qualities :-

- i) vitality and Endurance,
- ii) decisiveness,
- iii) persuasiveness, and
- iv) responsibility and an intellectual capacity.

Millet's list of qualities of leadership includes the following.

- i) good health,
- ii) a sense of mission,

- iii) interest in other people,
- iv) intelligence,
- v) integrity,
- vi) persuasiveness,
- vii) judgement and
- viii) loyalty.

According to Appleby, a good administrator shows his willingness to assume responsibilities; demonstrates continuing personal growth; is positively disposed towards action, is a good listener who asks pointed questions; works well with all sorts of people; seeks the help of the ablest among his subordinates; uses institutional resources and not try to do it all and know it all himself; cares for power only in so far as it contributes to effectiveness, chiefly as a reserve asset; has self-confidence, and so is ready to admit his limitations and errors; is hospitable to both bad and good; respects his subordinates so much as his superiors: constantly seeks to improve the institutional performance; and in democratic governments respects political processes and responsibilities.

18.7 FUNCTIONS

According to Barnard, a leader has to perform four main functions.

- a) the determination of objectives;
- b) the manipulation of means;
- c) the control of the instrumentality of action; and
- d) the stimulation of co-ordinated action.

The main function of the leader is to motivate and guide the group of which he is the leader. In order to motivate the people, he should know what their strong motives and satisfied motives are. He can guide, inspire and motivate his followers if he satisfies their needs. The feeling that their needs would be well taken care of by their leader would motivate the followers to obey the orders of their leader.

Another function of the leader is to understand his subordinates and secure their co-operation. To understand his followers, the leader should work with them, move with them and should not think that he is above them. He should tell them what he wants from them and he should know what they want from him. This give and take attitude would go a long way in winning their co-operation.

Check Your Progress—Exercise No. 4

1. The main function of a leader is to motivate his group. Explain?

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18.8 SUMMING UP

All organization need leadership. Leadership is the process of influencing people so that they contribute willingly and enthusiastically to the attainment of organisational goals. It is to provide guidance and motivation for the followers. It is an indispensable element of any organisation. Several investigations have been conducted to find out who a successful or effective leader is, and what factors

contribute to the emergence of a leader. There are various approaches to the study of leadership. They range from the Trait Theory to the Follower Theory. One such approach lists out three styles of leadership—autocratic, the democratic or the participative and the laissez-faire. Likert identifies four systems of Management, namely, "Exploitative—Authoritative" Management, "Benevolent authoritative" Management, "Consultative" Management and Participative", Group Management. He considers Participative Management as the most effective system.

The path-goal approach to leadership suggests that the most effective leaders are those who help subordinates to achieve both organisational and personal goals.

Yet another study in leadership assumes that leaders are the products of a given situation.

The conclusion is that there is no best leadership style. It is unrealistic to search for an "ideal leadership style". Effective or ineffective leadership depends upon followers and situations. Barnard states that he never observed any leader who was able to state adequately or intelligently why he was able to be a leader, nor any statement of followers acceptably that expressed why they followed".

18.9 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. A leader is one who leads his team. He has to motivate the team members to work together for the realisation of the goals of the organization.
2. It is well recognized that it is not only the leader who influences his followers but the followers also influence him. This reciprocal relationship is called by Marry Parker Follet as a "circular response".
3. (a) The individual, (b) the followers and (c) the conditions.

Exercise No. 2

- (1) (a) Autocratic/Authoritarian (b) democratic and (c) Laissez - Faire

Exercise No. 3

1. 1. = b; 2 = d; 3 = c; 4 = a

Exercise No.4

1. A leader has to lead the followers so that they all co-operate willingly to achieve the goals of the organization. It becomes necessary for the leader to identify the needs of the followers and try to satisfy them to the extent possible. A satisfied follower tries to satisfy his leader. The attainment of the laid objective satisfies the leader.

18.10 MODEL EXAMINATION QUESTIONS

I. Answers the following in about 30 lines each.

1. Briefly explain the major theories of leadership.
2. Is there a common style of leadership to run all types of organisations ? If yes, elaborate. If no, why there cannot be uniform style of leader suitable to all organizations ?

UNIT – 19 : COMMUNICATION

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19.0 OBJECTIVES

This unit is intended to acquaint you with the place and significance of communication in public organisations. After going through the unit you would be able to:

- categorise the types of communication;
- sketch the flow of communication; and
- identify the barriers in effective communication

19.1 INTRODUCTION

Communication is found in all organizations such as a family, a business organization and government. Its purpose is to influence action in an organization. Communication refers to transfer of information from the sender to the receiver. It is the means by which organized action is unified. It is also a means by which the goals of an organization are achieved. Communication is absolutely essential for all organization.

19.2 DEFINITION AND IMPORTANCE

The following are some of the definitions of communication.

Harold Koontz and O'Donnel define Communication as "the transfer of information from the sender to the receiver with the information being understood by both the sender and the receiver".

Millet defines Communication as the "shared understanding of a shared purpose".

According to Tread "the underlying aim of communication is a meeting of minds on common issues".

Thus, communication is the transmitting of information or the transfer of information from the officer to his subordinate, from the head office to the field agencies, from the central offices to the branches.

The success of any organization depends upon the understanding of its objectives and goals by the persons working in it. Communication is the means through which the persons of organization can be made to receive the information from their leader. Lack of communication may delay their working. Delay in working delays automatically, the realisation of the goals of the organization.

The flow of blood in the human body keeps body and all its parts in a working condition. Stoppage in the flow of blood to any part of the body paralyses that part. The flow of impure blood causes damage to the body. Similarly, the flow of communication throughout the organization keeps that organization in a working condition. Any defect in communication leads to inefficiency in the working of the organization. Hence effective communication is vital to any organization. Millet rightly regards communication as "the blood stream of administrative organization".

The success of an organization also depends upon the participation, co-operation and team work of the employees of that organization. Communication plays an important role in seeking the willing co-operation and full participation of the employees of the organization. Communication is a link that binds together the people in an organization for the achievement of the common goal. Indeed' any group activity is impossible without the transfer of information from one person to another.

According to Kontz and O'Donnel, communication is needed to establish and disseminate goals of an enterprise, develop for their achievement and

- organise human and other resources in the most effective and efficient way;
- select, develop, and appraise members of the organization; lead, direct, motivate and create climate in which people want to contribute and
- control performance.

Thus, it is essential for any organization to communicate the policies and programmes of the management to the employees so as to seek their co-operation, to achieve co-ordination and the common goal of the organization.

Check Your Progress – Exercise No. 1

1. What do you mean by Communication ?

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2. Why Communication is important for an organization ?

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19.3 CATEGORIES

Broadly speaking, communication is divided into two categories i.e., a) general communication and b) personal communication.

Communication from one part of the organisation to its other parts, and from one man to another is called general communication. General communication is carried on horizontally between the chains of command for securing co-ordination in operations. For example, communication between managers of two parallel departments is general communication. General communication can be upward, downward or sidewise in the structure of the organisation.

Communication between the superior and the subordinate is known as personal communication. It remains between persons within a chain of command. Personal communication is either upward or downward. This is also known as internal communication.

19.4 PROCESS

The process of communication consists of a sender and a receiver. Communication begins with a sender. The sender may transmit the information to the receiver either orally or in writing. The message may be transmitted through the computer, telephone, telegram etc. The proper selection of the channel is important for effective communication.

The receiver should be ready to receive the message. Unless the sender and the receiver understand the communication in the same manner, the communication cannot be complete.

Misunderstanding or wrong interpretation of the communication by the receiver hinders communication. As we know, the purpose of communication is to effect a change in the working of the organisation so as to achieve the organizational goal. Hence, to check the effectiveness of communication, feed-back is essential. Feed-back makes it possible to know whether the communication has been understood as it should be, whether the organizational change has taken place as a result of the communication or not. It also bridges the 'communication gap' between the sender and the receiver.

19.5 FLOW

The amount of information has greatly increased over the years thus causing an information 'overload'. Hence, what is needed is not information but relevant information. It is for the leader of the organisation to determine what kind of information is required for effective decision-making. In an organization communication flows downward, upward and crosswise.

19.5.1 Downward Communication

This is the traditional flow of communication. Downward communication flows from the top to the bottom. This kind of communication flow is found in authoritarian organisations. Downward communication is both oral and written. Instructions, speeches, meetings etc. are the media employed for downward oral communication. Written downward communication is sent through letters, handbooks, pamphlets etc.

In downward communication, information is often lost or distorted. Many instructions or directions or directives are either not read or if read, are not understood correctly. This calls for a feed-back system to ensure that information is perceived as intended by the sender. This is also time consuming.

19.5.2 Upward Communication

Upward communication is the opposite of downward communication. In upward communication information travels from the subordinates to the superiors. The means used for the transfer of information in the upward communication system are suggestions, appeals, grievances, complaints, group meetings, morale, questionnaires etc.

Often, in upward communication, the flow of information is filtered and unfavourable messages are not transmitted to the bosses.

For the effective use of the upward communication channel, an environment where the subordinates feel free to communicate is essential. This means that such an environment should be created by the superiors.

19.5.3 Crosswise Communication

This type of communication is either horizontal or diagonal in nature. The horizontal flow of communication is resorted to with people of the same or similar organizational levels, and diagonal flow with persons at different levels who have no direct reporting relationships. The aim of this communication is "to spread information flow, to improve understanding, and to co-ordinate efforts" for the achievement of organizational objectives.

Crosswise communication includes oral media such as informal meetings. Written forms of communication include company newspapers or magazine and bulletin boards.

In crosswise communication information does not flow in the chain of command. Hence, proper safeguards need to be taken to prevent problems. Koontz and O'Donnel list out the following safeguards that need to be taken in this type of communication. They are :

1. crosswise relationship will be encouraged wherever it is appropriate,
2. subordinates will refrain from making commitments beyond their authority, and
3. subordinates will keep superiors informed of important interdepartmental activities.

Check Your Progress – Exercise No. 2

1. When do you regard communication as complete ?

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2. What do you understand by 'feed back' ?

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3. What do you mean by 'Communication-gap' ?

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19.6 METHODS

There are three important methods of communication, namely : (a) written and (b) oral.

19.6.1 Written

This is used in all organisations. It can be transmitted to a number of persons. Orders, instructions, circulars, reports etc. are sent in writing. The advantage of written communications is that they can be used for the purpose of records, references and legal defences. The other advantage of written communication is that it promotes uniformity in policy and procedures. It can also prevent unauthorized alternations in content.

The disadvantages of written communication are that it may create 'mountains of paper', may be poorly written and may not provide immediate feed-back. Since effective writing is an exception rather than the rule, the following guidelines have been suggested by Keith Devis to improve written communication.

Use simple words and phrases.

Use short and familiar words.

Use personal pronouns (such as 'you') wherever appropriate.

Give illustrations and examples; use charts.

Use short sentences and paragraphs.

Use active verbs such as "the manager plans".

Economize on adjectives.

Express thoughts logically and in a direct way.

Avoid unnecessary words.

19.6.2 Oral

Oral Communication is more effective than written communication. Oral communication can be face-to-face meeting of two persons, an address by the leader to the group. It can be formal or informal, planned or accidental. A study by M.H. Brenner and N.B. Sigband found that 70 per cent of the respondents stated that superiors gave 75 per cent of their assignments orally.

Like written communication, oral communication has both advantages and disadvantages.

The one advantage of oral communication is that it can be used more effectively to verify and ascertain the feelings, immediate responses of the group. It provides speedy interchange of information. Questions can be asked and points clarified.

Oral communication is used for nearby subordinates. It is also used when time is short. However, it cannot be used for distantly placed subordinates, where the communication is lengthy and meant for a large number of persons.

Check Your Progress – Exercise No. 3

1. What are the advantages of written communication ?

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2. What are the disadvantages of 'Oral Communication' ?

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19.7 BARRIERS

Communication is often made ineffective due to some barriers such as:

- (a) Complexity of language makes the communication difficult. Unclear ideas in the mind of the sender of the communication may act as a barrier to effective communication. This could result in poorly chosen words, lack of coherence, poor organization of ideas, and unnecessary jargon.
- (b) Poor retention of information leads to ineffective communication. Often people start writing without first planning and stating the purpose of the message.
- (c) Another hindrance to communication is the size and distance of an organization. If the organization is large and the employees are more in number, communication becomes difficult. Too many levels of hierarchy hinder the free flow of communication. Each level may interpret the information in a different manner and modify or subvert the information.
- (d) Unclarified assumptions may cause confusion in the transmission of communication. For example, a message stating that the Manager would visit the company next week for inspection, does not state whether he would like accommodation reserved for him, or transportation arranged.
- (e) Lack of planning to communicate is another hurdle to a smooth and effective communication system. A study by R Bellows, T.Q. Gilson and G.S. Odierve found that employees retain 50 per cent of the information they receive and supervisors only 63 per cent. This observation calls for the use of several channels of communication to transmit the same message.

Channels of communication are of two types—(a) formal and (b) Informal

Noting on files, movement of files up and down the line of authority, are some of the formal channels of communication.

The informal channels of communication is also known as the 'grapevine'. Informal associations play a vital role in the communication system. In fact, much of the information in an organization is gathered by the members from the grapevine. The grapevine acts with surprising speed in transmitting information to its members. Its importance should be realized and it should also be used as a channel of communication.

Check Your Progress – Exercise No. 4

1. What do you mean by 'grape-vine' ?

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19.8 EFFECTIVE COMMUNICATION

The sender, the transmission of the message and the receiver constitute the communication system. The sender should send the message to the receiver in a language which is easily understood in the manner expected by him.

Feed-back is another device to make communication effective. As we know, the purpose of communication is to effect a change in the organization so as to achieve the goal. Feed-back helps to know whether the message is understood by the receiver or not.

The American Management Association has put together a list called the "Ten commandments of Good Communication". The Commandments are:

- 1) Clarify ideas before attempting to communicate.
- 2) Examine the purpose of communication
- 3) Understand the physical and human environment when you communicate.
- 4) In planning communication, consult others to obtain their support as well as the facts.
- 5) Consider the content and the overtones of the message.
- 6) Whenever possible, communicate something that helps or is valued by the receiver.
- 7) Communication, to be effective, requires follow up.
- 8) Communicate messages that are of short-term and long run importance.
- 9) Actions must be congruent with communication.
- 10) Be a good listener.

According to Millet six factors are necessary to make communication effective. They are

- 1) It should be clear
- 2) consistent with the expectation of the receiver
- 3) adequate

- 4) timely
- 5) uniform and
- 6) acceptable

Terry recommends the following eight practices to make communication effective.

- 1) Inform yourself fully
- 2) Establish a mutual trust in each other
- 3) Find a common ground of experience
- 4) Use mutually known words
- 5) Have regard for context;
- 6) Secure and hold the receiver's attention
- 7) Employ examples and visual aids and
- 8) Practice delaying reactions

19.9 SUMMING UP

Communication is the process of influencing a change in the organization. It is a transfer of information from the sender to the receiver. It has to be understood both by the sender and the receiver. It is sent to the receiver in written or oral or visual form. It flows downwards, upwards and crosswise. Each form of communication has its advantages and disadvantages. Communication need not flow through formal channel. It can also travel through informal channels which are known as the 'grapevine'. Effective communication is hindered by barriers such as language, size of the organization, distance etc. Understanding these barriers and applying the guides for effective communication facilitate the smooth and easy flow of communication.

19.10 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. It is a transfer of information from the sender to the receiver. It is necessary that the receiver should understand the message as intended by the sender.
2. Communication is the means through which the objectives of the organizations are sent to the members of the organization. Proper and effective communication facilitates quick realisation of goals.

Exercise No. 2

1. Unless the sender and the receiver understand the communication in the same manner, the communication cannot be complete.
2. Feed-back Supplies information to the sender whether what he had intended has happened or not. It is an information sent by the receiver to the sender.

3. Any misunderstanding of the message by the receiver leads to a gap in the communication. It may delay the realisation of the goals. This gap between the sender and the receiver in understanding the message is referred to as communication gap.

Exercise No. 3

1. It promotes uniformity in policy and procedure. It can be used for the purposes of records, references and legal defences.
2. It can't be used for distantly placed sub-ordinates.

Exercise No. 4

1. The informal channel of communication is also known as 'grapevine'. Much of the information in an organization is gathered by the members from the 'grapevine'.

19.11 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each.

1. "Effective communication is vital for the success of organizations". Discuss.
2. List out the various categories of communication and state the limitations to achieve perfect communication.

II. Answer the following in about 15 lines each.

1. Spell out the advantages and disadvantages of Written and Oral communication.
2. Discuss the major hurdles in communication.

19.12 REFERENCE BOOKS

- | | |
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UNIT – 20 : SUPERVISION

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20.0 OBJECTIVES

In this unit we have discussed methods and conditions for effective supervision. After reading the unit you would be able to :

- describe various techniques
- list essentials of effective supervision

20.1 INTRODUCTION

Organisation consists of a complex network of inter-relationships between different individuals working at different levels in various capacities. The work of these individuals had to be properly co-ordinated so that there would be no discrepancy in the objectives of the organisation and the activities for their achievement. In the process of co-ordinating the work, supervision assumes a crucial position in the management. Supervision ensures individuals' work with a sense of direction, commitment and a common understanding. In this connection J.D. Millet says that 'supervision entails two primary purposes. One is to achieve co-ordination among the component parts of the agency. Since broad programme-goals are usually divided in operation among several different units of an organisation, management must make certain that the parts proceed in concerted and harmonious adjustment one with the other. The second purpose is to ensure that each unit of an agency accomplishes the task that has been assigned. These two ends are promoted by a system of a process of management supervision. In the heirarchy of organisational structure there would be

different levels of supervision and each supervisory level oversees the work of the individual operating under its purview. Thus, the process of supervision would cover the entire organisation.

20.2 MEANING AND DEFINITION

"From the view point of Management" says Henry Reining Jr. that "the supervisor is that person in the organisation to whom authority for the direction of work of others has been assigned. From the view point of the worker, however, the supervisor is frequently regarded as the organisation itself". Thus, supervision is viewed in relation to the role of supervisor and that of the supervisors in relation to the organisation itself. This would mean that the structure of every organisation consists of a chain of supervisors that help to ensure a perfect coherence in the organisation. Supervision indicates that it is a process which consists of certain officers who would ensure that the corresponding employees of each unit held under an officer utilise their knowledge, expertise and experience to the best possible extent and raise their level of efficiency for discharging their individual responsibilities at a more satisfactory level. In brief, supervision is nothing but observation of results.

Supervision has much more meaning than the concepts of Control and Direction. A supervisor not only controls and directs his subordinates in the organisation but educates, trains and guides them to effectively discharge their responsibilities. Supervision in this context becomes a part of management function and that is why the supervisor is now being viewed as a member of the management team.

The importance of supervision has been recognized long ago in the organisation though literature about its emergence and growth is not readily available. But the available literature itself would indicate that the concept of supervision has been changing so also the roles of the supervisors in the overall context of changing organisations.

F.W. Taylor known as father of scientific management, found the supervisor in the role of functional Foreman, who specialises in a particular field of work for ensuring greater production from workers. Later management thinkers recognised the need for multiple direction and favoured uniformity even at the supervisory level. Thus, the modern concept of supervision entails a multi-role of uniformity, consistency and perfection in co-ordination, direction, control and guidance. The supervisor is an inevitable component of the whole organisation, whose contribution is directly concerned with the achievement of goals of the organisation. Absence of supervision in any organisation would affect the work of each and every individual in the organisation and effects the performance of the entire organisation.

20.3 SCOPE

The Work of supervision involves the knowledge about the policies and procedures of the management and about the work to be done in the organisation. Further it also involves a process of motivating the people to perform their tasks within the framework of management policies and procedures. Elaborating this F.M. Marx says that "the job of supervisor is (1) substantive or technical relating to the work to be done; (2) institutional or adjective-relating to the policies and procedures according to which the work must be done; and (3) personal-relating to the handling of workers". Thus the scope of supervision is varied and multi-dimensional in nature. It is true that generally in most of the organisations a supervisor has to combine all the roles, but the actual content of his role however varies greatly depending on the nature of work; its process, the level of organisation and the work situation. But invariably a supervisor has to combine his technical, substantive and personal roles to fulfil his obligations in the organisation.

Whatever may be the scope of supervisor, the techniques applied in supervision also vary widely from one organisation to the other and within the organisation from one particular level to the other. However there are a number of common techniques generally adopted by management for supervising the work at various levels.

20.4 TECHNIQUES

According to J.D. Millet there are six techniques which may be systematically employed in supervising the work of an administrative agency. They are as follows:

- (i) Prior approval of individual projects before initiation of an operating unit ;
- (ii) The promulgation of service standards;
- (iii) Budgetary limitation upon the magnitude of operations ;
- (iv) Approval of key subordinate personnel ;
- (v) A reporting system on work progress; and
- (vi) Inspection of results.

20.4.1 Prior Approval

Before initiation in the process of achieving the objectives of the organisation, there may be a need for division of work and here it involves formulation of individual work programmes within the framework of general purposes of organisation. This is true of every organisation. Specific projects are generally evolved to accomplish the general goals of the organisation. This may also pre-suppose the decentralisation of responsibilities. At the field level, the concerned officials are supposed to formulate individual projects which would fall within the scope of the general plans of the organisation. The management however adopts here supervisory techniques mainly to control the field staff through the application of method popularly known as 'prior approval of individual projects' by management before they are actually put to implementation. This would check the functioning of the field level agencies as they are not expected to carry on the project until they are cleared by supervisory channels.

The management may gain many advantages by adopting this practice or method. They are :

- a) The management may have full information about the field level agency and understand how these agencies have understood plans and began to interpret them for actual implementation. These may be reflected in individual projects formulated by the field units. Any discrepancy between the general plans and field level programmes may be avoided before the mistake is actually committed.
- b) The field units may well report back about the inadequacies of the general plans which may not be capable of meeting the specific demands of the unit. Hence, they need modification. The modified version would be reflected in the formulation of field level projects and management may appreciate the spirit and content of the projects so sent for higher level approval. This would in a way lessen the burden of the management.
- c) The general plans of the organisation normally be in a skeleton form, which would be commonly applicable to all units. The units are expected to fill gaps and evolve detailed plans of action based on the demands and requirements. The specific activities which are formulated by field units always carry authenticity of field information.

A detailed check at the appropriate time may yield good results in this context and it would be possible only when the field units are asked to formulate plan projects relevant to them.

- d) It may not be always possible for the management to understand the field problems, which may be varied and changing from time to time. Each unit may have peculiar problems and which may be handled in a different way. These things cannot be predetermined at the higher levels and transmitted to the field units for onward application. Formulation of detailed activities at the appropriate levels and approval of them by higher level would serve the interests of both parties involved in it.
- e) This process may also indicate the limitations of both levels as each will clarify its position through communication of what they intend to do and how they can be done.

Prior approval of individual projects of operating units, however sometimes may be disadvantageous and create some problems. Especially it may be (a) time consuming and dilatory process; b) involve unnecessary paper work; c) create confusion at higher levels with conflicting and complex field details; d) eat away the precious time of top level personnel, who may be busy otherwise; e) beyond the comprehension of the top management to approve the detailed activities; f) result in conflict of claims between field units and top management and g) a cumbersome process which make the organisation 'top heavy'.

These problems, however can be avoided, provided the levels between the field and Head Quarters are reduced, field units are given more freedom through the process of delegation of certain authority and some arrangement is made for regular interaction between some of important field officers and concerned Head Quarter officials. These disadvantages also naturally disappear in some cases as the organisations grow older and routinisation picks up. In small organisations these problems may not arise and larger organisations may develop certain well established situational measures which can avoid these problems.

20.4.2 Promulgation of Service Standards

It is said that supervision is nothing but watching the results. In this process, the management may establish certain service standards for ensuring proper performance on the part of every employee. This would not only make possible assessment of the work and performance of field agencies but become a means for assessing the capabilities in discharging the assigned jobs. In some cases targets may be fixed and management may watch whether the targets have been fulfilled or not.

In the case of governmental organisations and particularly when certain welfare and governmental programmes are being implemented, imposition of such type of 'service standards' would provide a check on various functionaries. J.D. Millet observes that, "In any large organisation, there is likely to be a definite tendency to establish routine which becomes more important than rendering service. Only, if a constant standard is set up for the performance of the work itself, can the inclination to procrastination and delay be overcome". In some organisations it may not be possible to fix the service standards, as the work in such cases depends upon the nature of situations. However even in those organisations, based on past experience and close observation and analysis of earlier cases, 'standards' may be fixed to some limited extent. 'Standards' would also serve as 'communications' to inform the 'expectations' of management from the field organisations about the work to be done. The field agencies may also understand by these communications as to how the management 'satisfied' about their work. Thus, it serve as a 'two-way' mechanism in which the expectations of management and performance of field agencies could be measured.

In many organisations service standards would work as the basis for reporting back to the management. Since the management intends to check the performance and behaviour of the field

agencies, through these communications, it can analyse their operational compliance. This may also avoid unnecessary misunderstandings between the field agencies and head quarters.

20.4.3 Budgetary Limitations

In every organisation period – wise budgetary allotments are made based on the work entrusted to a particular unit of the organisation. This would serve as basis for the understanding of the magnitude of work. This particular technique will also be useful to impose certain limitations on the financial powers and serve as a method of controlling the activities. It would also provide, to a certain extent, the operational freedom required for a unit to spend the budgets allotted to it as per the provisions. In public organisations this is a most important technique used for supervising the operations of various units. Since 'budgeting' is generally considered as a means of achieving plan objectives of organisations, the performance of the entire organisation can be effectively geared up towards the successful implementation of the budgetary provisions.

20.4.4 Approval of Subordinate Personnel

It is general prerequisite of the management in all the organisations that the personnel administration is totally kept under its direct control. The management would govern all issues pertaining to recruitment, appointments, placements, transfers, promotions etc, of the organisations. Generally the management will itself directly undertake the activities through its specialised agencies but in other cases when certain powers are delegated, the units may recruit the required candidates subject to the prior approval of the management. In some other cases temporary appointments can be made by the units, but later on they are to be approved by the management. This technique, thus facilitates the management to supervise the recruitment processes at the field level, while ensuring some sort of operational freedom to the units, especially to avoid field level problems.

20.4.5 Sound Reporting System

Every unit within the organisation is expected to submit periodic or special reports to the management about the progress of its work. These reports would explain about various activities undertaken by a particular unit, with supporting statistical information. These reports may also consist of the difficulties encountered in discharging various activities and also lessons from its experience. Management can estimate and assess the levels of performance of the entire organisation by compiling these reports drawn from various units. It can readily evaluate the reports, to offer additional assistance wherever it is required. It can concentrate more and supervise the activities of a particular unit more frequently if it is warranted. The management can also seek "whatever" and "whenever" a particular information is required from a field organisation unit. Through the process of reporting, management is also constantly kept informed about the working of organisation. Such a 'feed-back' would help effectively understand the field operations to readily act on required occasion.

20.4.6 Analysis of Results

Reporting by the operational units is usually followed by some kind of inspection by the head quarters. Inspection is generally considered as a technique of supervision mainly used for the purpose of fact-finding rather than fault-finding of the field organisations. By fact-finding inspection the management may have first hand knowledge of the field operations. In some organisations, there will be regular annual inspections besides the general "surprise-inspection visits" being undertaken by all organisations. This kind of supervision is direct and involves on the spot-enquiries of the achievements and failures of the units. The problems and difficulties encountered by operational units could be assessed and also taken into consideration. Though this kind of supervision is not welcomed by the subordinate staff, there is a general thinking that internal difference among the head quarters' staff and field level staff could be amicably settled during these inspection visits. Thus, this will serve many purposes in the organisation.

Check Your Progress – Exercise No. 2

1. What are the advantages of fact-finding ?

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20.5 EFFECTIVE SUPERVISION – ESSENTIALS

There are many factors which contribute to the growth of effective supervision in an organisation. Some of the important factors are :

20.5.1 Human Relations

The quality and performance of supervision in an organisation depend generally on the personal relations between persons holding high positions and those of lower levels or that of head quarters and field staff. Entrusting supervisory job to a particular officer does not mean that he could use it for coercive purposes to satisfy his own ego, ignoring the team spirit, group participation and the self-respect of others. Effective supervision not only depends on constantly guiding and instructing of the subordinate officials, but on inspiring them towards the accomplishment of organisational goals. The supervisor has to provide leadership and readily respond to the problems which the subordinates encounter. The supervisor should spend more time in listening to the subordinate officials and ascertain the facts and realities before further initiation of any action. He should be a good counsellor so that the people in that organisation feel at home in his company and freely express their feelings, emotions and sentiments. This would unite the members of the organisation to consciously undertake the work entrusted to them with a sense of belongingness and participation. Thus the good supervision in this context depends upon the positive attitude of the supervisors and the 'human element' in their understanding of the subordinates' problems. In this context J.D. Millet says, that supervision means harnessing the productive energies of many persons into a common endeavour so that the desired output is realized with full attention to the peculiar characteristics of the people who make up any organization.

20.5.2 Leadership

Good supervision to a great extent depends on the type of leadership a supervisor provides to his subordinates. The supervisor in an organisation should be equipped with necessary powers so that he may be able to take certain decisions on the spot to avoid field level problems faced by the subordinates. The subordinate officials must find a guide, philosopher and trouble-shooter in the supervisor, then his supervision becomes meaningful and effective.

20.5.3 Managerial and Technical Competence

The supervisor should have the capacity to perceive the problems of the organisation and develop a sense of involvement in solving them. This is further possible only when he has a good background of technical and managerial knowledge of the organisation. The supervisor must be always in a position to observe whether the policies of the organisation are being properly implemented or not and be able to comprehend his ideas and experience before the subordinates.

20.5.4 Improved Head Quarters and Field Relations

The prevalence of cordial Head Quarters – Field relations would itself pave the way for good supervision. The traditions and conventions established from time to time to avoid confrontation between various levels make the supervisor's job easy and pleasant. The supervisor should always be in a position to accept his mistakes and omissions, so that the subordinate staff also voluntarily accept their faults. This mutual acceptance of faults and mistakes would itself solve many problems of the supervisor.

20.5.5 Supervision should be Less-Direct and always be General in Nature

The supervision should normally be general in nature and avoid personality clashes in the organisation. Supervisory practices should not be so exact as to discourage initiative and willingness to act on the part of subordinate officials. The general standards fixed by the management should govern as the basis for supervision and also avoid the frequent changing of the stands and norms..

20.5.6 Training

Every supervisor has to possess certain exclusive qualities, which can be provided to them through extensive training. Technical knowledge, human-relations skills, communication know-how, analytical ability, emotional stability, timely judgement, patience, spirit of understanding and leadership capabilities are necessary for every supervisor and only through a constant process of training, he can acquire them. Thus, training will always enrich the skills of supervisors which enable them to effectively undertake their supervisory responsibilities.

Check Your Progress – Exercise No. 3

1. Explain how good leadership increases production in the organization?

20.6 SUMMING UP

Supervision is that part of management function, which would directly deal with the achievement of objectives of the organization. Supervisors represent management at work, cherish the desires of the subordinate staff at the field level and mould their behaviour towards the organisational achievement. Effective supervision bridges the gulf between the management and the personnel of the organisation, and inspires the latter for maximum administrative accomplishment. Supervision, thus, sets the stage for effective management in an organisation.

20.7 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. A functional foreman is one who specializes in a particular field of work.

Exercise No. 2

1. It provides first – hand information to the manager of field operations.

Exercise No. 3

1. A good leader thinks of his men and takes decisions which will help them in achieving the goals of the organization. He concerns himself with the people but not so much with the production. Automatically satisfied worker tries to satisfy his supervisor with more production.

20.8 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each.

1. Discuss the elements and factors of effective supervision.
2. Explain in detail about the techniques of supervision, which are generally adopted in various organisations.

II. Answer the following in about 15 lines each.

1. Why is supervision essential in an organisation ?
2. Explain the difference between supervision and control.

20.9 REFERENCE BOOKS

1. Koontz & O'Donnell Essential of Management, Mc Graw Hill, New Delhi, 1984.
2. Avasthi & Maheshwari Public Administration, Laxmi Narain, Aggarwal, Agra, 1984.

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UNIT-21 : PUBLIC RELATIONS

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21.0 OBJECTIVES

This unit attempts to acquaint you with basic issues concerning process, methods of public relations in organisations. After going through the unit you would be able to :

- define what we mean by Public Relations, and
- identify its needs.

21.1 INTRODUCTION

Managing the organisation is no more considered as an activity carried on merely at the top in isolation. It has been increasingly recognised that management has to keep in touch with its clientele and also to ensure satisfaction among them towards its performance. In this context public relations assumes a crucial role in the whole process of management.

21.2 MEANING AND DEFINITION

As in the case of other concepts in social sciences, there is no unanimity among the social scientists to define the term public relations and no definitions have received general approval. The International Encyclopaedia of Social Sciences defines Public Relations as "the organised effort to communicate information and to modify attitudes or behavior on behalf of a client or a cause". The phenomenon of public relations thus, consists of 'cause and effect', 'cause' being the activity of an organisation and 'effect' being the response of its 'public or clientele towards the activity'. Further, the public's response may also become a 'cause' and 'the organisations' reception may become 'effect' in a different process. Thus the whole scheme has a cyclical cause and effect interaction. The institute of Public Relations, London, defines Public Relations as a "deliberate planned and sustained effort to establish and maintain mutual understanding between the organisation and its public". Denny Grisword further defines the term as the management function which evaluates public attitudes, identifies the policies and procedures of an individual or an organisation with the public interest and

plans and executes a programme of action to earn public understanding and action. In the same tone Edward L. Banerjee defines, Public Relations as "The attempt by information, persuasion and adjustment to engineer public support for an activity, cause, movement or institution".

Sam Black, a Public Relations expert makes it clear that, "the purpose of Public Relations is to establish a two-way communication to resolve conflicts of interest by seeking common ground or areas of mutual interest and to establish understanding based on truth, knowledge and information. It would mean that the process of Public Relations consists of a free flow of information from an organisation to the public and a feed back from the public to the organisation, and finally resolution of conflicts if any, between the organisation and the public on mutually agreed terms.

Public relations is an integral part of management. It is a powerful 'means' to achieve the objectives of the organisational goals while establishing good will amongst its public. Thus the public relations aspect has far reaching effects on the organisation and its management. In this context Edward J. Robinson elaborately defines the term Public Relations to indicate its important elements. He says, "Public Relations as an applied social and behavioural science

- (i) measures, evaluates and interprets the attitudes of the relevant public;
- (ii) assists management in defining objectives for increasing public understanding and acceptance of an organisation's products, plans, policies and personnel;
- (iii) equates these objectives with the interest needs and goals of the relevant public; and
- (iv) develops, executes and evaluates a programme to earn public understanding and acceptance".

Edward Robinson's definition raises several fundamental questions involved in the context of Public Relations. Since the type of 'public' differs from one organisation to the other, management has to identify who is its 'relevant public'. Then it should make a sustained effort to develop a mutual understanding with its public while defining objectives and gaining public confidence for its operations. The organisation may even change its objectives based on the demand and the needs of public and finally formulate its programmes to earn general acceptance. Thus, if it is Government it has to take into consideration its entire citizen-community. If it is an Automobile Company, the specific type of its consumers-automobile owners, and if it is an ice cream company the consumers of ice-cream must be patronised.

The identification of the relevant public thus followed by the kind of relations to be maintained with it would become the next question. Since the aptitudes and choices of the public are very wide and sometimes differ greatly, their general preferences must be closely considered before actually finalising its 'services'. Thus, Public Relations entails a two-way communication and a conscious effort for mutual understanding between all the people concerned.

J.D. Millet, summing up the discussion says, in broadest sense, then the Public Relations of management embraces four primary aspects; (1) learning about public desires and aspirations, (2) advising the public about what it should desire, (3) ensuring satisfactory contact between the public and Government officials, and (4) informing the public about what the agency is doing.

Check your Progress – Exercise No.1

1. What do you understand by cause and effect in the phenomenon of Public Relations?

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2. Explain how 'public' differs from one organization to the other.

21.3 PUBLIC RELATIONS AND PROPAGANDA

Public Relations differ from propaganda. Propaganda is a conscious effort and it is a one-way process to influence the opinion and actions of the public. It is a method of attracting followers and making them stick to the line, instead of developing a mutual confidence and understanding as in Public Relations. Gubbels, the Don of Nazi propaganda described propaganda as 'an instrument of politics' a power of social control. Public Relations on the other hand recognises a long term responsibility and seeks to persuade the public while achieving a mutual understanding by securing the willing acceptance of attitudes and ideas. Propaganda has an 'authoritative' measure and it may distort the truth or facts or falsify them in order to achieve the organisations' self interest. Public Relations can never justify its existence by such type of falsification of relations.

21.4 PUBLIC RELATIONS AND PUBLICITY

Public Relations is also different from publicity. Publicity involves a one-way process, favouring an organisation to publicise its activities while influencing the public opinion. Publicity may also exaggerate and even misinterpret the facts and realities, though it may also take the tastes and needs of the public into consideration. Public Relations on the other hand, is above 'publicity' and is based on truth, understanding, knowledge and full information.

21.5 NEED FOR PUBLIC RELATIONS

The need for Public Relations in the modern world cannot be over-emphasised. As more and more organisations are emerging and growing with the multi-dimensional expansions of the present day, the managements of these organisations often feel detached from the public that they serve. In the same way, the nature and functions of various organisations are also changing from time to time and the relevant public has to be kept informed about the changes. In these kinds of impersonal and ever-growing complex situations, bridging the gap between the organisation and its public becomes highly essential. Public Relations helps in bridging the gap and assisting the management to maintain a live-channel of communication between the organisation and the public. Public Relations also resolves conflicts and makes efforts to ensure the smooth functioning of the organisation as it facilitates perfect communication among inward and outward functionaries and clientele. It brings harmony among the various groups of people concerned and builds the image of the organisation. It educates the public about the activities of the organisation and enlightens the management of the organisation about the feelings of the public. Since organisations compete with each other, it is the Public Relations men who can effectively ensure and retain public confidence and support.

In a democracy Public Relations becomes an essential function of the Government, mainly to explain its policies and programmes and ensure public participation in its implementation. Based on the public reaction, it may re-design its policies to suit to the growing needs and demands of the public. This would help the Government not only to successfully perform but to enjoy the confidence of the public to continue in power.

No organisation can exist and successfully function without the co-operation of its public. Public Relations ensures the co-operation of the public and helps the public to get better services from the organisation. Organisations also cannot gain profits without proper Public Relations. It is said that Public Relations maintains a balance between the profits and the services of the organisation, thus satisfying both the public and the management.

Check Your Progress – Exercise No. 2

1. Explain the need for public relations in a democracy.

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21.6 PROCESS OF PUBLIC RELATIONS

The Public Relations Process consists of four important steps i.e.,

- (i) Collection of information ;
- (ii) Programme Planning;
- (iii) Communication, and
- (iv) Feed-back and evaluation

(i) Collection

Public Relations starts with the process of identifying the relevant public so that the area of operation and the clientele of the organisation may be determined well in advance. It is followed by gathering all the required information about the 'public' for the benefit of organisation. In the process it may understand the needs and demands of the 'public'. The information pertaining to the attitudes and thinking of the 'public' towards the organisation and its activities may further help the organisation to be 'sensitive' in programme planning. For the purpose of collection of information, there may be a need to conduct research studies, and establish personal rapport with the public. Information may also be gathered from already published material and unpublished documents. Keeping in constant touch with the concerned non-official bodies, consumer organisations etc., may also yield relevant information. In other cases, formal methods may be used for the collection of information.

(ii) Programming

Since Public Relations performs one of the functions of Management it involves the process of programme planning. The programme planning may be on a long range or short range basis and depends on the requirements of the organisation. Long range programme planning may be necessary to cover the organisational goals as a whole from wider perspective. Short term programme planning should meet the day-to-day demands of the organisation and have specific objectives. But in any case, all levels in the organisation have to be involved and opinions have to be elicited. Lack of information and non-involvement of the people concerned may lead to hasty planning and failure to achieve the desired targets. Thus, programme planning involves a conscious effort to design a blueprint of action for creating the necessary environment to achieve the goals. In this connection, R.C. Malhotra says that planning in Public Relations envisages "a searching look backward, a deep look inside, a wide look around, and a long look ahead".

(iii) Communication

Since Public Relations entails a two-way process of communication, inflow and outflow of relevant information is considered as a necessary prerequisite. The process involves downward and upward and horizontal communication from within and necessary outflow of information to the public concerned and a feed-back in-flow of information from the public to the concerned level or official concerned in the organisation. A multi-channel communication network has to be evolved to meet the varied requirements of the organisation and its public. This process may involve some of the following questions : Who is the person concerned? Who says what? and Why? Who should know what? From where to where and to whom is the communication made? What is the essence? What will be the net result and future implications? Is the message clear? Are the sender and receiver clear to themselves in the communication? All these questions have to get proper answers in the process of communication. Communication in the ultimate analysis would include dissemination of information and knowledge, sharing of experiences, circulation of ideas and offering an open and a threadbare discussion on all matters concerned. This would ensure and facilitate mutual understanding and cooperation.

(iv) Feedback and Evaluation

The job of Public Relations cannot be complete unless an evaluation of the programmes is made to highlight the plus-points and drawbacks in the programmes of the organisation. There should be a constant review of programmes and an evaluation of results. It would not only measure the success and failure of the programme but provide lessons for future. It may be complex and difficult process as the performance of an organisation from all its dimensions cannot be properly measured. But to the extent possible, evaluation should help the organisation to strengthen the weak lines in the organisation and correct the mistakes committed earlier for bettering the future performance.

Check Your Progress – Exercise No. 3

1. What is the source of information?

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2. What are the types of programme planning?

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3. What questions have to be answered in the process of communication?

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21.7 METHODS OF PUBLIC RELATIONS

There are several methods through which Public Relations can be effectively maintained. The utility and effectiveness of a particular method depends upon the nature and functions of a particular organisation. Nevertheless, all the methods may be applied either simultaneously or individually as per the requirements of the organisation. The following are the important methods of Public Relations :

1. The Printed Communication

It is an important communication between any organisation and its public. It may also serve as a better communication channel from within the organisation. This method may involve the use of letter heads, invoices, handbills, pamphlets, booklets, reports, technical data sheets and explanations etc. This would effectively communicate the management's point of view in every aspect connected with the organisation.

2. Press Relations

An organisation may have a wide coverage by maintaining cordial relations with the press. A press conference may be organised or a press communique or a printed statement may be released to explain a point of view or release information pertaining to the organisation.

3. Advertising

Advertising has become the art of selling both products and ideas. Several methods of advertisements have been found out to attract people and it is said that in U.S. forty per cent of the cost of a product is added to its final price due to the expenditure on the advertisements of the product. This vividly indicates its importance. An organisation reaches the masses well through this media.

4. Radio and Television

Radio and Television are the much talked of methods of Public Relations. These media may be frequently used for communicating information and getting feed-back.

5. Photographic Aids

Photographic aids related to the organisations' performance and range of activities, may also be used to take the organisation nearer to the people.

6. The Film

The Film media assumes a critical role in the context of the increasing number of theatres even in remote areas. Documentary and informative films may be shown to the public about the organisational activities.

7. The Spoken Word

Public meetings and demonstrations may be arranged. Though this is the oldest means of communication, it still remains a powerful mode in the modern days with the increasing use of microphones and other gadgets.

8. Conferences and Hospitalities

Conferences may be organised now and then to meet the representatives of the public mainly to establish direct contact with them. First hand information may be obtained directly from the public

and their reactions may be taken note of from time to time. Hospitality may increase the good will among the people towards the organisation.

9. Complaint Books and Suggestion Boxes

Display of complaint and suggestion boxes may invite the attention of the public to comment on the working of the organisation. Prompt attention to complaints and suggestions may also develop an interest among the public and make them more responsive and sensitive towards the organisational activities.

10. Exhibitions and Fairs

Certain kinds of organisations may also make use of exhibitions and fairs to present the interesting features to the people. These enable the people to develop a personal contact with the organisation.

11. Creation of Separate cell

Though in the past, the top level management itself looked after the Public Relations, now-a-days separate cell within the organisation has been created to specialise in this function. Since the job of Public Relations has assumed critical importance, in some organisations, the job is entrusted to an outside Agency specialising in Public Relations. Each organisation has now established its own Public Relations Unit.

21.8 CRITICAL ANALYSIS

Though the importance of Public Relations is widely recognised, most of the doubts about the value of Public Relations arise from the difficulties in assessing its results. The outcome of most of its activities cannot be immediately known in some cases and in some other cases, it may never be known. Much research is still to be done to find a suitable yardstick by which the Public Relations activities could be measured. There is also a complaint that newly developing organisations cannot afford to spend fabulous amounts on such affairs. In some other organisations there is another complaint that Public Relations men always spend their time in winning and dining with others and wasting the time and money of the organisation. This distortion may not be true in all the cases.

Check your Progress – Exercise No. 4

1. Explain the importance of a Complaint Book.

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2. Match the following :-

A	B	
(a) Press conference	(a) Film	()
(b) All India Industrial Exhibitions	(b) Advertising	()
(c) We are two, we have two	(c) Press Relations	()
(d) A documentary film on railways	(d) Exhibitions	()

3. Do you agree with the view that Public Relations men always spend their time in winning and dining with others and wasting the time and money of the organization?

21.9 SUMMING UP

In the democratic context management has an obligation to inform the public about its activities. The efficient functioning of the organisation cannot be complete unless it reports all its actions to the public. Information about the expectations, demands and attitudes of the public would help the organisation to redesign and reformulate its activities and learn from the mistakes committed earlier. Public Relations assures its public that past mistakes and failures will not recur in the future. It is true that Public Relations require huge sums of money and the results may not be accurately measured. But it has an important role in modern management. In the overall context, it definitely plays a dominant role in diagnosing the ills of an organisation, suggesting feasible solutions and maintaining cordial relations with the public. While keeping a watch on the performance of the organisation, it ensures wide publicity and proper support. Thus public relations is an essential aid to good management.

21.10 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. The activity of an organization is referred to as 'cause' and the response of its public towards the activity is known as effect.
2. Every organization has its own public. Students are the public of Open University. Similarly patients are the public of a hospital. In other words, the beneficiaries of an organization are known as its public.

Exercise No.2

1. In a democracy people are the source and base of power of the leaders. As such the people's government has to explain to its masters, its policies and programmes to ensure the participation in its implementation. The feed back supplied to the government from the public helps the government to reframe its policies with a view to gain their confidence.

Exercise No. 3

1. Research studies, personal rapport with the public, already published material and unpublished documents are some of the sources of information.
2. There are two types – They are long-range and short-range programme planning.
3. See 21.6.3

Exercise No. 4

1. It provides an opportunity to the public to ventilate their grievances. It gives a feeling to the public that somebody is there to listen to their problems. It completes the communication circle.
2. $a = c; b = d; c = b; d = a$
3. See 21.8.

21.11 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each.

1. What is the need for Public Relations in a modern society?
2. Examine the methods of Public Relations and explain how far they are effective?

II Answer the following in about 15 lines each.

1. What are the main limitations to effective Public Relations in an organisation?
2. What is the nature and scope of Public Relations?

21.12 REFERENCE BOOKS

1. M. P. Sharma & Sadhana Public Administration in Theory & Practice, Kitab Mahal, Allahabad, 1988.
2. Avasthi & Maheshwari Public Administration, Laxmi Narain Aggarwal, Agra, 1984.

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UNIT – 22 : PLANNING

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- 22.0 Objectives
- 22.1 Introduction
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- 22.3 Characteristics
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22.0 OBJECTIVES

In this unit we have discussed the concept of planning and its relevance to modern organizations. After going through the unit you would be able to.

- define planning;
- identify its features;
- sketch the steps and;
- enumerate its benefits and limitations.

22.1 INTRODUCTION

The concept of planning has received wide attention from classical thinkers of organisations and management in the early twentieth century. Thinkers like Henry Fayol, F.W. Taylor, Luther Gulick and Urwick identified it as one of the major-areas of concern of management. The Behavioural thinkers like M.P. Follett, Chester Barnard, Herbert Simon etc., took the queue further and enunciated it as a major component of organisational operations. It became a tool of organisation for successful performance as visualised by the later thinkers.

The growth of human knowledge and extending controls over the environment realised the increasing importance of planning in a society. It is said by one writer that, "an expanding human knowledge gives us greater possibilities for extending purposeful human effort to influence both our physical and social environment, planning as a process becomes more and more the utilisation of knowledge in an intelligent endeavour to promote the great basic purpose of society". Thus, in the age of rapid scientific and technological changes sound planning in business becomes imperative.

The importance of planning also arises from the fact that without proper planning, organisations may have to encounter disorder, confusion, overlapping, disunity and chaos. Proper planning would spoil unfavourable conditions and facilitates a redetermined course of action. Koontz and O'Donnel emphasise that, "without planning, business becomes random in nature, and decisions become meaningless choices". Planning would provide a purpose, guidance and determination for action to

anticipate desired results. Thus, the importance of planning in an enterprise can scarcely be over-emphasised.

22.2 DEFINITIONS

The term planning has been widely defined and in most cases the definition carried the same view-point. Urwick says, 'Planning is fundamentally an intellectual process, a mental pre-disposition, to do things in an orderly way, to think before acting, and to act in the light of facts rather than guesses. It is the anti-thesis of gambling, the speculative tendency'. Thus planning is 'thinking ahead' or thinking before doing process. It is an intellectual process of determination of course of action undertaken in a conscious manner. J.D. Millet describes, 'Planning is the process of determining the objectives of administrative effort and of devising the means calculated to achieve them'. In other words planning is preparation for action. It is rightly said as the endeavour to apply foresight to human activity. Planning anticipates results and prepares the steps necessary for their realisation. Planning is thus an organised attempt to anticipate and to make rational arrangement to deal with future problems. It is a process of conscious understanding of the problem, finding out alternatives and identifying the best way to solve the problems, while estimating for the future. Thus, Planning is the conscious determination of a future course of action to achieve the desired results.

Simon and others defined 'Planning as an activity that concerns itself with proposals and with the methods by which these proposals may be achieved'. Thus, Planning is concerned with future human behaviour and involves both immediate and ultimate objectives of a particular organisation. There can be no effective management of an organisation without undergoing the processes of Planning.

Planning is a conscious activity of rationalising the decision making processes in an organisation. It provides a technically feasible explanation to adopt certain specific strategies for achieving the objectives of the organisation. It is a chain process that involves a powerful means to achieve the ends of the organisation.

Michael P. Barber says, 'Planning is indispensable to the administrative process, as any decision and consequent activities carried out to achieve the objectives of that decision will limit the range of choices available to the administrator in future owing to the limited nature of resources. Planning would facilitate the best utilisation of available resources to the maximum advantage of organisation'. Terry says, 'Planning is the selecting and relating of facts and the making and using of assumptions regarding the future in the visualisation and formulation of proposed activities necessary to achieve designed results'. Cyril L. Hudsons provides a comprehensive definition of Planning which would sum up the earlier debate. He says, 'to plan is to produce a scheme for future action; to bring about specified results, at a specified cost, in a specified period of time. It is a deliberate attempt to influence, exploit, bring- about, and control the nature, direction, speed and effects of change. It may even attempt deliberately to create a change remembering always that change in any one sector will, in some way, affect the other sectors. Planning takes place at each managerial and supervisory level. Therefore, the overall 'Plan' must be made at the top, and subsidiary Plan-making must be relevant to and consonant with major plan. In short, planning must be carefully controlled and co-ordinated activity'. Planning is thus the exercise of foresight and a net-work of action for desired goals.

Check your progress – Exercise No. 1

1. Explain that to plan means to think before acting.

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22.3 CHARACTERISTICS

Planning has the following characteristics i.e.,

1 Clarity

Since every organisation has certain clear-cut objectives, planning would take the responsibility of defining the objectives to be able to identify a course of action for achieving them.

2 Precision

Planning should be simple and precise. Its nature and scope had to be clearly so that all the people concerned would easily understand it. Planning should be realistic because it should be in a position to pin-point the problems, find out solutions and obtain desired results. It should be able to predict future happenings and possess an inbuilt mechanism to tackle every happening most effectively.

3 Continuity

Planning is a regular and a never-ending process. It consists of a series of long-term and short-term activities with intermittent links and connections. In this process a hierarchy of plans operates the enterprise at all times. It would be an ongoing process that ends with the organisation itself.

4 Flexibility

Planning identifies several alternative courses of action and adopts a best method based on the situation. Planning involves choosing of the best course of action from all available alternatives for accomplishing the desired results. It would be flexible enough to shift or change the method to avoid bottlenecks in implementation. It is a self-regulating mechanism with fullfledged systems of adjustments and it never maintains any rigidity to stick on to a particular course unless it is more advantageous to the organisation. It cannot be dogmatic and would be able to correct its mistakes instantly without being succumbed to repeat the same. Flexibility also doesn't mean that it would change the course of action on the slightest pretext or change for want of a mere change unless the situation demands. It maintains the most possible 'rigidity', so that unnecessary 'slackness' may be avoided.

5 Uniformity

Since planning is done at various levels to various purposes ranging from long term to short term it may present a complex phenomenon. The involvement of different people with various backgrounds and technical expertise may sometimes pull the organisation in different directions but planning would take care of such diversity. The determination of objectives would itself provide a base for unity in action. It is a consistent activity with a specific thrust towards achieving the objectives of the organisation.

6 Practical

Planning consists of various programmes with a realistic and practical bent in application. It would always be able to keep its limitations in mind while formulating and implementing the programmes.

7 **Balanced and Straightforward**

Planning presents a most balanced activity with a straight forward look. The priorities and choices are always being kept open to meet the requirements of the organisation and never maintains focus on a particular aspect, while ignoring the others.

8 **Comprehensive and Integrated**

Planning is an activity that covers wide range of activities covering the total setup of the organisation concerned. It is comprehensive enough to touch and every individual aspect of organisation with minute precision and it integrates all the courses of action adopted by the organisation at various levels.

Check Your Progress – Exercise No. 2

1. State the characteristics of Planning

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22.4 ELEMENTS

Planning consists of several elements. They are;

a) Objectives

Planning always consists of specific objectives, that would determine the goals of the organisation. Planning provides guidelines to action in achieving these objectives.

b) Policies and Programmes

Planning also includes policy formulation, and the designed policies are further split into various programmes. Sometimes the policies are made in advance to provide a base for planning. Hence policies either proceed or precede the planning and form a major part of the activity. Programmes deal with specific aspects of the planning while providing details.

c) Targets

Planning always keeps a time perspective for achieving the objectives for the organisation. For this purpose specific targets are fixed at various levels and for various individuals, working in the organisation so that the objectives of the plan may be attained as per the programme and schedule. This would also help to maintain the continuity.

d) Procedures

Procedures indicate steps to be taken and methods to be observed in policy formulation and programme implementation. They also provide more details about the planning. It would also provide a common ground for all the persons working in the organisation to maintain uniformity of thinking and action.

e) **Budgetting**

Budgetting also forms part of planning. When policies and programmes are clearly defined, each activity should also indicate the financial allocation required for their fulfilment.

22.5 STEPS

Planning is a process that would consist of various steps : J.D. Millet says that Planning has the following three steps : a) The formulation of goals or objectives; b) An assessment of the means or resources available to realise these goals, and c) The preparation of work programme designed to achieve the determined objectives. These steps would usually proceed simultaneously and necessarily one reacts upon the other.

Catherine Seclar Hudson suggests the following six steps; a) a careful definition and limitation of the problem to the extent possible; b) exploration of all the available information pertaining to the problem; c) the posing of possible alternative solutions or methods of handling the problem; d) the evaluation of results in the right experience, continuous research and new development, e) the testing of one or more tentative solutions through actual operations and f) reconsideration of the problem and assessing the results and taking decision again if justified.

The discussion on steps in planning indicates that generally planning starts with an identification of objectives of the organisation. Clarity in objectives would to a large extent avoid the difficulties in subsequent steps. This is followed by fixing up of priorities so that the most important one may be taken up first and the others as per the requirements of the organisation. There may be several alternatives to achieve the objectives. After careful analysis of all alternative strategies, the best among them may be selected. This may simultaneously be followed by identifying the resources of the organisation. Here once again the priorities may be redetermined based on the resources. There is a close link between the resources and policy programming. To achieve the objectives based on the priorities, policies had to be evolved and there would be a definite direction with an emphatic thrust on the plan objective. Based on this long-term and short-term plan-programmes may be evolved. The principles of time, space and motion may be kept in mind in evolving the programmes, so that a final blueprint may be ready for action. This further requires adoption of certain procedures, so that duplication may be avoided and consistency and uniformity may be maintained. And then the blueprint would be ready for action. Finally there would be an evaluation of plan implementation and the performance of each unit of the organisation which may be carefully assessed to know whether the stipulated objectives are attained or whether this requires any change in the strategies of action. These steps are to be followed scrupulously in the planning process of any organisation.

Check your Progress – Exercise No. 3

1. State the steps mentioned by Millet in the process of planning.

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22.6 TYPES

Based on time planning may be divided into short-term planning and long-term planning. Short-term planning deals with immediate objectives of the organisation. This type of planning is

generally adopted for quick results. Long-term planning is based on the overall perspective of the organisation in achieving the overall objectives of the organisation. Based on space, planning may be divided into macro-planning and micro-planning. Macro-planning refers to the programmes related entirely to the area of operation of the organisation. While micro-planning concentrates its attention on a specific area. Based on subject matter and overall aspects to be dealt with, planning maybe further divided into many types as follows:

1 Physical Planning

It mainly deals with the spatial decisions of the organisations' assets and the utilization of other physical resources.

2 Economic Planning

Economic planning is generally referred to the National Planning in a country, which deals with overall socio-economic development of the society. Based on the needs and requirements of the people, and problems facing the nation, plans may be prepared while keeping the available resources in consideration. Economic planning takes its origins in socialist countries where planning becomes a way of life in establishing a socialistic pattern of society.

3 Policy Planning

Policy Planning lays down the general goals of administrative activity. It lays down the scope of the activity and procedures to be followed in achieving the desired objectives. In most cases policy planning is done at the higher levels of the organisation.

4 Administrative Planning

It has a close connection with policy planning. In other words it may be an extension of policy planning. In the administrative structures there should be carefully selected personnel methods of administration. Besides detailed procedural planning is also done.

5 Programme Planning

Detailed programmes and activities are evolved in this type of planning so that even the minute attention may be paid at the implementation level. It would also fix the individual responsibilities of the people in organisation. Further financial allocations and target fixations may also be made in this kind of planning.

Besides the above types of planning, several new types of planning have emerged in the recent years which are known as perspective planning, rolling plan. All these types of planning may be found individually or simultaneously in most of the organisations operating at various levels.

Check Your Progress – Exercise No. 4

1. What are the bases on which planning is divided into types?

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2. What is the difference between short-term planning and long-term planning ?

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22.7 BENEFITS

Planning has now become a universal factor in all human activities. Though organisations may differ in their approach to planning, it is widely accepted that without planning there can be no effective management of resources (human as well as material) in any organisation. The benefits may be summarised as follows:

- (i) Planning facilitates speedy implementation of programmes and effective achievement of the objectives of the organisation;
- (ii) planning secures most effective utilisation of resources available with the organisation;
- (iii) Planning reduces the cost by avoiding duplication and overlapping in the organisation;
- (iv) Planning motivates people working in an organisation for better performance and management of things;
- (v) Planning secures unity of purpose, direction and effort in the organisation;
- (vi) Planning avoids hasty decision making and implementation of programmes;
- (vii) Planning encourages innovation, hard work and sense of participation among the people working in the organisation;
- (viii) Planning raises the competitive spirit of the organisation in achieving the objectives;
- (ix) planning transforms the attitudes and develops positive orientation towards change and progress;
- (x) Planning provides the basis for control and co-ordination in the organisation;
- (xi) Planning prevents haphazard action and encourages innovative thought and creativity;
- (xii) Planning facilitates healthy controls, leads to better co-ordination and improves ability to cope with change.
- (xiii) Planning evolves new methods and procedures for better administration of programmes;
- (xiv) Planning helps learning mistakes from past, correct the present-day activity and predict the future. In this process it may also predict the complex problems, that may arise in future;
- (xv) Planning facilitates better communication in the organisation;
- (xvi) Planning provides a base for training the managers to manage the organisation in a most rational manner;
- (xvii) Planning facilitates delegation of authority in an organisation mainly to involve the entire personnel of the organisation in implementing the programmes, and;

(xviii) Planning offers unique contribution towards the efficiency of other managerial functions for best possible performance.

22.8 LIMITATIONS

Despite these benefits, Planning has certain limitations. These are:

- (a) Planning in most cases depends upon possible assumptions and predictions about future. In many cases predictions may prove wrong and adversely effect the entire organisation. In some other cases, prediction may not be possible at all.
- (b) Planning is a costly exercise. It involves huge amounts of money, time and human labour. Small organisations may feel the burden of these things. In certain cases the expenditure on planning may even exceed the total expenditure on the programmes meant for achieving the organisational objectives.
- (c) Planning may lead to administrative delays and red tapism. During emergencies, it may not be possible for organisations to complete all formalities of planning. In some cases, the delay occurred in 'planning' may result in further delays in implementation.
- (d) The external environment in which an organisation functions, influences most of the working of an organisation. If Planning fails to take these external factors (which are not supposed to be of direct concern), into account planning may fail to achieve the desired objectives.
- (e) The success of planning also depends upon the availability of resources of the organisation and its control over the required information. Lack of resources and information would impose severe limitations on planning.
- (f) Simon says planning is concerned with the behaviour of the people in the organisation. If the behaviour of the people is not in tune with the goals of the organisation, planning may become a ritualistic exercise.

22.9 SUMMING UP

Planning is an essential part of management. It is an all pervading process. Its process starts from formulating the objectives to evaluating and monitoring the implementation of programmes. The time, money and labour spent towards planning activity, is necessary for the successful functioning of any organisation. George Asteiner's observation may be more relevant here to sum-up the debate on planning. He says, 'Planning will not solve all the problems of a Manager. Nor will Planning guarantee business success. For some companies, a continuous flow of imaginative ideas is the only thing that can bring success. For some companies, completely unexpected and unpredictable events will bring failure despite sophisticated corporate planning. Some companies will succeed without planning, largely through a benevolent environment. But what has been said here is that, other things being equal, comprehensive corporate planning will bring good results. It will provide a useful framework for better innovations, creativity, vision and decision making. All things considered, managers will be considerably better off with comprehensive planning than without it.'

22.10 ANSWERS TO CHECK YOUR PROGRESS

Exercise No.1

1. Without proper planning organisations may have to encounter disorder, confusion, disunity, chaos etc., In order to do things in an orderly way, think before or think ahead becomes necessary.

Exercise No. 2

1. The characteristics of planning are clarity, precision, continuity, flexibility, uniformity, practicability, balance and straight forwardness and comprehensiveness etc.

Exercise No. 3

1. According to J.D. Millet the following are the three steps in planning. They are
 - (a) Formulation of goals or objectives,
 - (b) Assessment of resources available to realise the goals and
 - (c) Preparation of work programmes to achieve the determined objectives.

Exercise No.4

1. Planning is divided into types based on (a) time, (b) space, and (c) subject matter
2. Short term planning deals with immediate objectives. Long-term planning is based on the overall perspective of the organisation.

22.11 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each:

1. Explain the elements of planning
2. Discuss the nature and limitations of Planning.

II. Answer the following in about 15 lines each:

1. What are the main types of planning?
2. What are the general limitations of planning?

22.12 REFERENCE BOOKS

1. Avasthi & Maheshwari Public Administration, Laxmi Narain, Aggarwal, Agra, 1984.
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BLOCK – IV

BUREAUCRACY

Three units (units 23 to 25) of this Block deal with Bureaucracy. This block starts with Weber's ideas on bureaucracy and examines Marx's views on the same and proceeds to study the role of bureaucracy in bringing about much needed social change. Weber's bureaucratic model assumes importance because of its indispensability to any organisation. Karl Marx's 'class' approach adds a different dimension to the study of bureaucracy. He regards bureaucracy as an instrument of oppression by the 'haves' over the 'have nots'. Bureaucracy as an instrument of social change is well recognized but its contribution to social change is constrained due to personal, institutional and other constraints. On the whole this block gives a broad idea about bureaucracy.

UNIT – 23 : BUREAUCRACY : WEBER'S IDEAS

Contents

- 23.0 Objectives
- 23.1 Introduction
- 23.2 Concept of Authority
- 23.3 Elements of Authority
- 23.4 Types of Authority
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 - 23.4.2 Traditional authority
 - 23.4.3 Legal-Rational authority
- 23.5 Bureaucracy : Weberian Perspective
- 23.6 Critical Analysis
- 23.7 Summing Up
- 23.8 Answers to Check Your Progress
- 23.9 Model Examination Questions
- 23.10 Reference Books

23.0 OBJECTIVES

Max Weber's essential ideas of bureaucracy are discussed in this unit. After going through the unit, you would be able to:

- Sketch the contribution of Weber to the concept of bureaucracy,
- Differentiate between various forms of authority; and
- Evolve a critical perspective.

23.1 INTRODUCTION

In the study of administrative theories, Max Weber's bureaucracy, depicting the structure of the administrative system, provides an influential conceptual framework and a close historical understanding. Max Weber has become a central figure of both an intellectual understanding and a controversy during the last eighty years of evolution of administrative sciences, as most of the thinkers either only attempted to contradict him or formulated theories based on his models. This makes him popular among the students of Sociology, Political Science and Public Administration alike.

Max Weber has formulated the concept of bureaucracy in the context of his thorough discussion on the bases of legitimate authority. Before going into the details of the bases of legitimate authority, an attempt is made here to highlight Weber's ideas on authority, power and control, as he distinguished them from one another.

Weber believes that human behaviour is regularly oriented to a set of rules. These 'rules' also form one of the bases of organisational behaviour as it conveniently identifies the specific behavioural pattern. Weber termed the rules of an organisation as administrative orders or in its strict sense as administration itself. Weber says here in this context that administration and authority are closely interrelated. "Every form of authority expresses itself and functions as administration. Every form of administration in some way requires authority, since its direction demands that some sort of power to command is vested in some one. Thus this position determines the structure of human beings in

the organisation to signify who was to give commands to whom". On the whole, in the Weberian concept of organisation, each member is in the position of either giving or receiving orders. Significantly, the leadership pattern also emerges out of this context of the basis of organisation.

Drawing the clues from historical understanding, Weber also estimates the impact of several social factors such as religion in moulding the pattern of leadership in different organisations. An organisation may be of different kinds denoting the state, the political party, the church, the sect, the firm or a structure of the human group. Further elaborating it Weber says that "it signifies an ordering of social relationships, the maintenance of which certain individuals took as their special task. The presence of a leader and usually also administrative staff was the defining characteristic of an organisation." It is in this background of organisations that Weber discussed certain conceptual categories of his theories related to power, authority, domination and control etc. He also finds the origin and emergence of organisations in the context of power, authority, domination and control. Significantly in a discussion on Bureaucracy again all these concepts occupy a prominent place.

Check Your Progress – Exercise No. 1

1. What made Weber popular among the students of public administration, political science etc.,

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23.2 CONCEPT OF AUTHORITY

Weber emphasises that there may be many kinds of leadership, but those who possess leadership need not necessarily possess the power and authority. This may also depend on the factors that influence the social relationship of human groups. In this context Weber differentiates between power and authority. He observes that a person could be said to possess power, if in a social relationship, his will would be enforced despite resistance. Weber defined power as 'the probability that one actor within a social relationship will be in a position to carry out his own will despite resistance.' It manifests itself when a command of definite content elicits obedience on the part of specific individuals'. In contrast authority is a state of reality where a person willingly complies with legitimate commands or orders because he considers that a person by virtue of his position could issue directives to him. Thus, authority is 'the probability that a command with a given specific content will be obeyed by a given group of persons.' Unlike in "Power" this is willing obedience on the part of clientele to legitimize 'authority'.

Check Your Progress – Exercise No. 2

1. What is the difference between Power and authority?

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23.3 ELEMENTS OF AUTHORITY

Weber notes five essential elements of authority i.e.,

- 1) an individual or a body of individuals who are ruled,
- 2) an individual or a body of individuals who are ruled,
- 3) the will of the rulers to influence the conduct of the ruled and an expression of that will or command, and
- 4) evidence of the influence of the rulers in terms of the objective degree of command, and
- 5) direct or indirect evidence of that influence in terms of subjective acceptance with which the ruled obey the command.

Thus in authority we may find the rulers (those who give orders), the ruled (those who receive orders), the will of the rulers (The command or an administrative order) and the acceptance (obedience of the ruled). This would explain that authority is primarily based on the premises of its 'acceptance' which may provide legitimacy to the very authority itself. An organisation, thus can rule or administer when it has legitimacy. With different forms of belief in the legitimacy of authority were associated different structures of authority and hence organisational forms.

Check Your Progress – Exercise No. 3

1. What elements do you find in authority?

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23.4 TYPES OF AUTHORITY

Weber classified authority into three pure types, on the basis of its claim to legitimacy. They are: 1) Charismatic authority; 2) Traditional authority; and 3) Legal Rational authority.

23.4.1 Charismatic Authority

Charismatic authority rests on the popular belief structure in which the leader survives on the devotion of his followers. The obedience in this case was justified because the person giving the order had some sacred or altogether outstanding characteristic. The leader may be a prophet, a hero or a demagogue, claims legitimacy by virtue of his magical powers or heroism or other extra-ordinary qualities, rather than formal stipulations or prescribed norms or the dignity of one's position. In this system, no specified procedures govern the behavioural pattern of the administration. Max Weber explains, "In contrast to any kind of bureaucratic organisation of offices, the charismatic structure knows nothing of a form or an ordered procedure of appointment or dismissal. It knows no regulated and expert training of the holder of charisma or of his aides. It knows no agency of control or appeal, no local bailiwicks or exclusive functional jurisdiction: nor does it embrace permanent institutions like our bureaucratic department which are independent of persons and of purely personal charisma."

Since the 'charismatic' leader chooses disciples on the basis of their loyalty instead of their qualifications and abilities, the followers also continue to be loyal as long as the leader retains his charisma. Any change in the pattern may cause the breakdown of the system.

23.4.2 Traditional Authority

Traditional authority rests on "an established belief in the sanctity of immemorial traditions and the legitimacy of the status of those exercising authority under them". In this kind of system, the command might be obeyed because of reverence for old established patterns of order, customs, traditions, conventions, beliefs etc. This is a pure type of a feudal patrimonial regime, under which the organisation consists of household officials, relatives, favourites, henchmen and loyal retainers. This may also present an 'unstructured form' with superior-subordinate relations dominating behaviour while there is an absence of any rationally set norms of behaviour. The system retains its legitimacy as long as the customs, traditions etc., are respected in the organisation.

23.4.3 Legal-Rational Authority

Legal authority, which Max Weber calls legal-rational authority, rests on "a belief in the legality of patterns of normative rules and rights of those elevated to authority under such rules to issue command". Under this system, men might believe that a person giving orders was acting in accordance with his duties as stipulated in a code of legal rules and regulations. The persons who receive orders obey only the law and not the person in a superior position, who gives orders. The receivers are obliged to obey the order-givers, only in so far as they are acting in accordance with duly enacted laws. Thus, the whole system of organisation, including all those who occupy various positions from top to the bottom are also subjected to the same principles that govern the organisational behaviour.

In conformity with the above, Weber explains five related beliefs on which legal authority depends. In brief, they are:

- I. That a legal code can be established which can claim obedience from members of the organisation.
- II. That the law is a system of abstract rules which are applied to particular cases, and that administration looks after the interests of the organisation within the limits of that law.
- III. That the man exercising authority also obeys this impersonal order.
- IV. That only the person as a member of the organisation, obeys the law.
- V. That obedience is due not to the person who holds authority but to the impersonal order which has granted him this position.

Weber discusses these three pure types of authority i.e., Charismatic, Traditional, and Legal, in detail, while giving many illustrations about their varying behavioural patterns. He states that these forms, though they existed independently under various regimes are also found in combination at times. With the passage of time and in the changing contexts of socio-economic formations, Weber maintains that one type of authority tends to acquire the characteristics of the other resulting in modifications in the structures and behaviour. Of all the three types of authority, Weber preferred the legal-rational type of authority, which characterised the modern organisations. Weber designed the model of bureaucratic organisation based on this legal rational concept of authority.

Check Your Progress – Exercise No. 4

1. What do you understand by charismatic authority ?

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2. When does charismatic authority break down ?

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3. What are the bases of charismatic and traditional authorities ?

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4. Match the following :-

A	B
a) The leader survives on the 'devotion' of his followers	1. Legal-rational authority ()
b) The leader survives on the belief in the sanctity of immemorial traditional	2. Charismatic authority ()
c) The leader survives on the belief in the legality of rules.	3. Traditional authority ()

5. What type of authority is the basis of bureaucratic model of Weber?

- a) Charismatic authority
- b) Traditional authority
- c) Legal-Rational authority

23.5 BUREAUCRACY : WEBERIAN PERSPECTIVE

Max Weber never defined bureaucracy as a pure type of organisation, but explained it both in general and with specific reference to certain governmental organisations. In the later context, he has described its characteristics in detail. Weber states that Bureaucracy is an 'administrative body of appointed officials'. While distinguishing the term, he explains that. 'No exercise of authority can be purely bureaucratic' unless it is done purely through contractually engaged and appointed officials. The bureaucracy in its most rational form, has the following fundamental characteristics.

Characteristics of Bureaucracy:

1. A continuous arrangement of official functions bound by rules.
2. (a) A specified sphere of competence. This involves; a) a sphere of obligations to perform functions which has been marked off as part of a systematic division of labour; b) (b) The provision or of the incumbent with the necessary authority to carry out these functions; c) the necessary means of compulsion are defined and their use is subject to definite conditions.
3. The organisation of office follows the principle of hierarchy; that is each lower office is under the control and supervision of higher one.
4. The rules which regulate the conduct of an office may be technical rules or norms.
5. The administrative staff should be completely separated from ownership of the production or administration.
6. The administrative acts, decisions, and rules are formulated and recorded in writing, even in case where oral discussion is the rule or is even mandatory.
7. The office is filled by a free contractual relationship. The candidates are selected on the basis of technical qualifications and they are appointed, not elected. They are remunerated by fixed salaries in money, for the most part, with a right to pensions.
8. The office is treated as the sole, or atleast the primary occupation of incumbent. It constitutes a career. There is a system of promotion according to seniority or achievement or both. Promotion is dependent on the judgement of superiors about the performance of the subordinates.
9. Officials do not own the resources necessary for rendering the duties, but they are accountable for use of official resources. Official business and private affairs, official revenue and private incomes are strictly separated.
10. The official should not appropriate neither the post nor the resources which go with it, as private property, and
11. The official is subject to strict and systematic discipline and control in the conduct of the office.

The above features constitute Max Weber's ideal but popular-pure and most rational type of bureaucracy. Weber considered rational bureaucracy as a major element in the rationalisation of the modern world. For him it is most important of all social processes. Martin Albrow pointed out in this context that among other things, this process involved growing precision and explicitness in the principles governing social organisations. Further, he states that it has a series of characteristics – precision, continuity, discipline, strictness, reliability – which make it technically the most satisfactory form of organisation. Weber maintains that, "The fully developed bureaucratic mechanism compares with other organisations exactly as does the machine with the nonmechanical modes of production. Precision, discretion, unity, strict subordination, reduction of friction and of material and personal costs— these are raised to the optimum point, in the strictly bureaucratic administration". Weber himself states while substantiating the point, that the development of modern organisation form in all spheres (state, church, army, party, the economic interest groups, voluntary associations, charitable bodies or whatever) is simply identical with the development and continuous increase of bureaucratic administration.

It is said that Weber believed bureaucracy to be the most efficient form of administrative organisation, because experts with experience are best qualified to make technically correct decisions and because disciplined performance governed by abstract rules and co-ordinated by the authority-hierarchy

fosters a rational and consistent pursuit of organisational goals. The organisation conceived by Weber is therefore designed to achieve a rational orientation towards tasks which are conducive to efficient administration.

23.6 CRITICAL ANALYSIS

The criticism against bureaucracy mainly stems from inherent weaknesses of the model itself. It is said that the very advantages claimed by Weber are turned against his own model. The criticism however revolves round the Weberian ideal bureaucracy, its rationality concept, administrative efficiency, formalism and the relevance of bureaucracy to the changing circumstances.

Among the critics Peter Blaw, Chester Barnard, Warren G. Bennis, Robert Merton, Philip Selzenick, Talcott Parsons, La Palambora, Simon and March, R.V. Presthus, and W. Delany are prominent. Their criticism may be summarized as shown below:

1. Men in Bureaucracy fulfil merely segmental roles over which they have no control. In consequence, they have little or no opportunity to exercise individual judgement, with the result that an employee feels alienated from his work.
2. The structure or organisation—especially its hierarchy and rules, which is rational in Weber's sense can easily generate consequences which are unexpected and detrimental to the attainment of objectives of organisation.
3. The regulation of official behaviour of an employee through formal specifications automatically limits his capacity to adapt to changing circumstances not envisaged by those who drew up the rules. This would also indicate that Weber's model fails to describe the effective role of officials.
4. The very elements of bureaucratic organisation, such as rules which conduce towards efficiency in general, produce inefficiency in specific instances and in general, produce timidity, conservatism and technicism.
5. The impersonal relations with clients and formal behaviour with colleagues produce undesirable consequences. It is but natural that informal relations and unofficial practices develop among the members of the organisation, and these are highly significant in achieving the objectives of the organisation. Weber has totally ignored them.
6. Weber expects the administrative staff to be technically superior as well as possess the right to give orders. But these give rise to conflicts within bureaucracy since it is not always possible to ensure that high position in the hierarchy of authority will be matched by equivalent professional skill.
7. Many of the structural characteristics of bureaucracy are inconsistent. Weber's model does not account for potential conflict between the requirement that officials be appointed on the basis of merit and the rule that superiors be obeyed on the basis of their incumbency of an office.
8. Bureaucratic model can be ineffective in coping with uncertainty and change. It would be useful only for simple tasks and under simple conditions. Further, identification with existing bureaucratic apparatus creates a tendency to sanctify procedures and thus to resist changes in them even though conditions may call for such adjustment.
9. Weber ignored the environmental factors that influence the behaviour of organisations in their functioning.

10. Weber's concept of bureaucracy makes certain implicit assumptions about human motivation which are not necessarily valid in non-western environments.
11. Weber's model not only becomes dysfunctional in developing societies, but necessarily leads to over-centralization and concentration of authority in the hands of few technically competent people, by virtue of their position. Bureaucracy in this context is considered as an antidote to democracy.
12. Bureaucracy may lead to red-tapism, unnecessary delays and procedural rigmaroles.
13. In the context of welfare and developmental administration the bureaucratic model offers only negative benefits.

23.7 SUMMING UP

Martin Albrow said that in terms of the influence it has exerted and the argument it has stimulated Weber's writing on bureaucracy is more important than the sum total of the contributions made by various social scientists on bureaucracy. Yet there is a dearth of detailed exposition of his work, as opposed to straight forward borrowing of particular ideas on the one hand, or critical discussions of some fragment of his writings on the other. Whatever may be the criticism against Weber, his ideal type bureaucracy has been, and is, the single most dominant, conceptual framework in the study of public administration. Weber provides a basic methodology and a frame work to analyse the existing structures of various social organisations. He provides us great insights into the bureaucratic systems that have been formulated to resolve the emerging contradictions of a feudal state in the context of impounding liberal democratic structures. The Weberian model thus provides both positive and negative elements. Though in the changing circumstances Weber's model seems to have been irrelevant to Third World countries, it would however be a source of inspiration for the students of Public Administration in particular, and Social Sciences in general.

23.8 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. Weber is either criticised or quoted or taken as a basis by other thinkers on administrative theories. Many love to hate his model. This makes him popular among the students of public administration and political science.

Exercise No. 2

1. A person is said to possess power if his will could be enforced despite resistance. Authority is willingly complied with by other persons because they believe that the person who gave orders has the legitimacy to do so.

Exercise No. 3

1. See 23.3 para one. para one.

Exercise No. 4

1. In charismatic authority, authority rests on the popular belief structure. The leader survives on the devotion of his followers.

2. Any change in the pattern of behaviour of the leader and the followers may cause the breakdown of the charismatic authority. Loss of magic powers of the leader may change the followers devotion to him. This is known as the change in the behaviour pattern of the leader and the followers.
3. While charismatic authority rests on the popular belief structure the traditional authority rests on an established belief in the sanctity of immemorial traditions and the legitimacy of the status of those who exercise authority.
4. $a = 2; b = 3; c = 1$
5. C = Legal – Rational authority

23.9 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines.

1. What are the characteristics of bureaucracy according to Max Weber ?
2. Discuss the three types of authority formulated by Weber.

II. Answer the following in about 15 lines.

1. State the criticism against Max Weber's ideas on bureaucracy.
2. Enumerate the main elements of authority.

23.10 REFERENCE BOOKS

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UNIT – 24 : MARX AND BUREAUCRACY

Contents

- 24.0 Objectives
- 24.1 Introduction
- 24.2 Background
- 24.3 Observations of Marx on Hegel's Ideas
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- 24.5 State and Bureaucracy : Later Formulations
- 24.6 Withering Away of State and Bureaucracy
- 24.7 Summing Up
- 24.8 Answers to Check Your Progress
- 24.9 Model Examination Questions
- 24.10 Reference Books

24.0 OBJECTIVES

In this unit we shall discuss Marx's basic ideas on bureaucracy. After going through the unit you would be able to :

- grasp main ideas of Marx on bureaucracy; and
- appreciate the relationship between State and bureaucracy

24.1 INTRODUCTION

There is a general impression among certain Marxists, not spared by Marx himself, that Bureaucracy is not a subject matter for independent study like politics. These people totally ignore the stark reality of the most important activity which takes place in the corridors of the State apparatus behind all that is known as politics. Although Marx never wrote extensively on Bureaucracy like Max Weber, he did not overlook the significance of Bureaucracy in a capitalist society.

Marx looks upon bureaucracy as a part of the State apparatus which gets ingrained in society and acts as a mechanism for perpetuation of exploitation. According to Marx, bureaucracy is a central theme for understanding the modern State, and he emphasises the need to know about it both historically and functionally, so that its implications can be worked out effectively.

Much before Max Weber, Marx in his essay, the *Kritik des Hegel'schen Staatsrechts* (1843), discussed bureaucracy and made many references to it. Besides, many inferences can be drawn from his other writings to understand his ideas on bureaucracy.

24.2 BACKGROUND

Marx introduced the idea of bureaucracy in his critique of Hegel's *Philosophy of Right* (1821) in which he criticised Hegel's concept of the executive powers of the State. For Hegel, the State was the last development in a series of rational orders, the first and second being the family and the civil society respectively. Hegel distinguishes between civil society and the State on the ground that the former represents the general interest and the latter the particular interest. Bureaucracy plays the

role of a link between civil society and the State. It was the task of the executive to implement decisions about the nature of the general interests. It was shared between collegial advisory committees of the monarch and the State officials conducted according to the principles of the division of labour, specific duties being allotted to separate departments hierarchically organised under ministers. Officials had to be specially educated and trained for their task and financially supported so that they could serve the universal interest of the community. The self-seeking orientations and instability of the middle class, from which the bureaucrats are generally recruited, Hegel continues, do not stand in the way of bureaucracy to protect the general interest, because on their recruitment they become a part of the bureaucratic system. In this connection Hegel further elaborates that bureaucrats, should be liable to control both internal and external so that they behave in a desirable manner. Internal control refers to the bureaucratic ethos and the system of hierarchic authority, and external control includes control from above, by the prince as well as from below in the form of grievances and petitions by corporations and the general community. Thus in this kind of situation bureaucracy also enjoys a sort of autonomy and may even act as a restriction on civil society. Hegel regards bureaucracy as the embodiment of the idea and does not consider it is a social category with distinctive characteristics. In this connection, some similarities may be found between Hegel and Max Weber as both of them associate such qualities as dispassionateness, uprightness and politeness with bureaucracy.

Check Your Progress Exercise No. 1

1. Where do you find Marx's ideas on bureaucracy ?

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2. Explain what according to Hegel is internal control and external control on Bureaucracy.

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3. What, according to Hegel, the self-seeking orientations and instability of the middle class from which the bureaucrats are generally recruited, will make them a part of the bureaucratic system?

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24.3 OBSERVATIONS OF MARX ON HEGEL'S IDEAS

Marx objected fundamentally to the way Hegel examined the relationship between the State and civil society. According to Marx the civil society and the State are not permanently separated. The civil

society comprises all the individuals, their desires, ambitions and their struggles. The State according to Hegel, acts as an umpire for these conflicting interests, since its own interest is independent of any particular interest. Contradicting this idea Marx says that the State is the creation of the civil society not the other way about, and naturally the State can be an organisation which can guide and mediate among social processes. In his 'Critique of Hegel's Philosophy', Marx further emphasises that, "Hegel starts from the State and makes men the subjectified State; democracy starts from man and makes the State objectified man". Marx thus, does not believe in the distinction and said that man is once a member of both the civil society where his individual desires and struggles lie, and the political State where he participates as a citizen. Since the State is an instrument of exploitation, he captures it and uses it against the exploiters. The Hegelian concept of bureaucracy representing the general interest of the community has appeared to Marx as a completely distorted picture. The theoretical opposition between general and special interests was illusory and was used by the bureaucrats to justify their own special interests. Each of the mechanisms Hegel regarded as ensuring the unity of state and society merely evidenced the conflict between the two. The paper qualifications of the bureaucrat were a mark of this separation from the rest of society, the true purposes of the State were submerged in secrecy, mechanistic action, faith in authority and the quest for higher positions in the hierarchy. In bureaucracy the identify of the interests of State and of the particular private purposes is so established that the interests of State become a particular private purpose confronting other private purposes.

Check Your Progress – Exercise No. 2

1. What, according to Marx, separates bureaucracy from the rest of the society ?

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2. Where, according to Marx, the true purposes of the state are submerged ?

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24.4 MARX ON BUREAUCRACY : EARLY FORMULATIONS

In his 'Kritic dos Hegelschen staatsretets' (1843) Marx had clearly thought about bureaucracy. Here he brought out the distinct aspect of bureaucracy as social format with its particular interests and relationships. Bureaucracy depends directly on the separation of civil society from the State and rests on the existence of division within civil society or corporations (Corporation may refer to industrial concerns, Trade Organisations, business firms and other profit gaining organisations each concerned with its particular interest).

Marx interprets the executive of the modern State as : "there is a distinction between a monarch's decisions and their execution and application or in general between his decisions and the continued execution or maintenance of past decisions, existing laws, regulations, for the securing of common ends and so forth. The task ofsubsuming the particular under the universal is comprised in the

executive power, which also includes the powers of the judiciary and police. The latter have a more immediate bearing on the particular concerns of the civil society and they make the universal interest authoritative over its particular aims".

Marx further describes the empirical situation of the executive in some countries that, "particular interests which are common to everyone fall within civil society and lie outside the absolutely universal interest of the State power. The administration of these is in the hands of their officials, directors, managers and the like. It is the business of these officials to manage the private property and interest of these particular spheres and from that point of view, their commonalities and professional equals. On the other hand, these circles of particular interests must be subordinated to the higher interest of the State, and hence the filling of positions of responsibilities in corporations etc, will generally be effected by a mixture of popular election by those interested with appointment, and ratification by higher authority".

Marx further emphasised that, "the maintenance of State's universal interest, and of legality, in this sphere of particular rights, and the work of bringing these rights back to the universal, requires to be superintended by holders of the executive power, by (a) the executive civil servants and (b) the higher advisory official s(who are organised into committee). These converge in their supreme heads who are in direct contact with the monarch. The bureaucracy is generally drawn from among the petty bourgeois sections of society and subordinate to the bourgeois by offering them attractive positions.

This particular class, otherwise also known as middle class in popular parlance is the one in which the consciousness of right and the developed intelligence of the mass of people is found. The 'sovereign' working on the middle class at the top, and 'corporations' working on it as the bottom, are the institutions which effectively prevent it from acquiring the isolated position of an aristocracy and using its education and skill as means to an arbitrary tyranny. The middle class, the one in which the education is most prominent is also politically conscious. In this context, Marx says that it is also the prime concern of the State that a middle class should be developed but this can be done only if the State is an organic unity like the one described here, i.e., it can be done only by giving authority to spheres of particular interest which are relatively independent, and by appointing an army of officials whose personal arbitrariness is broken against such authorised bodies. Action is in accordance with every one's rights, and the habit of such action, is a consequence of the counterpoise to officialdom which independent and self-sufficient bodies create'.

The examination by which the bureaucrats are recruited does not represent a 'mediation' between civil society and State, separation from civil society of men and their activities for the common good and their transfer to another sphere, that of the State. Thus the examination is nothing but the 'bureaucratic baptism of knowledge'. The service towards the general interest of the community, through a specialized knowledge and training would be only a myth, because they are recruited simply to serve the particular interests of the State. The State cannot behave otherwise, true to the nature of its existence. Unlike the Hegelians who thought that the contradictions had nothing to do with social relationships and the Prussian State could become a 'State of reason', Marx shows that certain structures are generated within the State as a result of the contradictions and nothing like 'good reasoning or rationality' would ever be of any avail. Marx, while presenting his own empirical observation, further emphasised that, "even with the best of intentions, devout humanism, and highest intelligence, the administrative authorities were unable to do more than solve instantaneous and transitory conflicts and were incapable of eliminating the permanent conflicts between reality and principles of administration partly because such measures or activities were not included in the tasks of their positions and partly because even the best intentions were bound to fail in breaking through a substantive relationship".

Check Your Progress – Exercise No. 3

1. What, according to Karl Marx, prevents the bureaucracy from acquiring the isolated position of an aristocracy ?

1. The sovereign
2. The corporations
3. Both 1 and 2

2. Fill in the blank : –

The examinations conducted to recruit the bureaucrats are called by Marx as _____

24.5 STATE AND BUREAUCRACY : LATER FORMULATIONS

After his 'Kritic dos Hegelschen Staetrachts', Marx scarcely gave any attention to the study of bureaucracy. Significantly the Kritic was neither cited nor explained further in his later works but he did occasionally mention bureaucrats at appropriate places. However, from his later formulations on the State many inferences can be drawn for a closer understanding of his ideas on bureaucracy. Marx from the beginning was interested only in explaining how bureaucracy emerged and grew on the basis of changing political conditions of the society and how it reflected the production relations at a time when it was in operation. He did not go into the details of the structural aspects of bureaucracy, but only took cognisance of the content and styles of its working. Though Marx himself never attempted to set out a comprehensive and systematic theory of the State, his early ideas and formulations on the State help us to a great extent to understand his later ideas on bureaucracy. Five basic elements can be observed in Marx's perception of State. First, State is an organ of the economically dominant class and through the power of the State, this class inspite of being a minority class, is able to have political dominance over the majority class i.e., the working class.

Secondly, the State is an alienated and parasitical social force. Marx never maintained that the State is a higher morality and can end all the conflicts in society and bring unity and harmony.

Thirdly, State is neither above society nor can it organise the whole society and harmonise various interests. The State is based on unhampered development of bourgeoisie society, on the free movement of private interests. On some occasions the State may be found to be balanced, and rise above the 'class—as Marx termed it to bonapartism', but in reality the nature of State does not change.

Fourthly, the main objective of the State is to create an order which legalizes and perpetuates the oppression of one class by moderating conflicts.

Fifth, the State is a temporary phenomenon, it will wither away with the abolition of class antagonisms. As there were societies, without the presence of the State there will be societies without the State in future. Since the State has emerged along with the emergence of the classes in the society, it would also wither away along with the abolition of classes in society.

Bureaucracy, both as a structural and political expression of the State emerges, grows and strengthens along the lines of the State and also withers away through its destruction. In Marx's terminology bureaucracy embraces both the system of administration and persons who are charged with the responsibility.

To quote Marx further, "The bureaucracy is the State formalism of civil society. It is the States' consciousness, the State's will, the State's power as a corporation. Being the States consciousness will and power as a corporation, the bureaucracy is thus a particular, closed society within the State. The bureaucracy must thus defend the imaginary universality of particular interests, i.e. the corporation mind, in order to defend the imaginary particularity of the universal interest i.e., its own mind.

The bureaucracy is the imaginary State alongside real State; it is the spiritualism of the State. As a result everything has a double meaning, one real and one bureaucratic. A real thing, however, is treated according to its bureaucratic essence, according to its other worldly, spiritual essence. The bureaucracy has the being of the State, the spiritual being of the society, in its possession, it is its private property. Marx goes on to say that, "the general spirit of the bureaucracy is the secret, the mystery preserved inwardly by means of hierarchy and externally as closed corporation. To make public the mind and disposition of the State appears therefore to the bureaucracy as a betrayal of its mystery." This may be a form of 'privatizing' the civil society by the State, through the mysterious tendencies of bureaucracy. Bureaucracy would not conduct its affairs in public, and keeps itself away from public knowledge, so that it can maintain supremacy of its knowledge and information.

Accordingly, Marx further emphasizes that, "Authority is the principles of the knowledge, and the deification authoritarianism is its mentality". Bureaucracy cannot survive without its 'authority' as its superiority of knowledge also lies on such a foundation. The formalistic behaviour based on fixed principles, conceptions and traditions, passive obedience, trust in authority etc., further entrench it in a mystified environment away from the masses. The spirit of mystery is further safeguarded within itself by hierarchy and outside by its nature as a closed corporation. Thus bureaucracy symbolises 'alienation' for the masses. The bureaucrats get themselves alienated from the masses and the masses also alienate themselves from bureaucracy in the process.

The power mechanism supported by authoritarian structures of hierarchy play the same role for the bureaucracy as private property does for the property owning class. To quote Marx, "As far as the individual bureaucrat is concerned, the end of the State becomes his private end; a pursuit of higher posts, the building of a career. In the first place, he considers real life to be purely material, for the spirit of this life has its separate existence in the bureaucracy. Thus the bureaucrat must make life as materialistic as possible. Secondly, real life is material for the bureaucrats i.e., in so far as it becomes an object of bureaucratic action, because its spirit is prescribed for it, its end lies outside it, its existence is the existence of the bureau. The State, then, exists only as various bureauminds, whose connexion consists of subordination and dumb obedience.. Real knowledge appears to be devoid of content just as real life appears to be dead, for this imaginary knowledge and life pass for what is real and essential." In the process two things may be repeated. First, the bureaucrat essentially gets himself alienated. Second, in his case, the State objective turns into his private objective, into chasing after higher posts, the making of a better career. The safeguards suggested by Hegel in the form of external and internal controls do not prevent it from furthering private ambitions of individual careerism. To quote Marx, "The bureaucracy is a circle from which no one can escape. Its hierarchy is hierarchy of knowledge." Further Marx also rejects the view that any safeguard can be made to depend on the human qualities of the officials themselves.

The educated people, who are already alienated, through their education get themselves ready for the bureaucratic positions after being put to many tests by the State. Since these people are drawn from middle classes, intermediaries, or dispersed peasantry—created artificially or made naturally they form a stable basis for an all powerful and innumerable bureaucracy. It creates a uniform level of relationships and persons over the whole surface of the land. Hence it also permits a uniform action from a surface centre on all points of this uniform mass. It annihilates the aristocratic intermediate grades between the mass of the people and the State power. On all sides therefore, it calls for the direct interference of this State power and the interposition of its intermediate organs. Finally, it produces an unemployed surplus population for which there is no place either on the land or in towns, and which accordingly reaches out for State offices as a sort of respectable aims, and provokes the creation of State post.' The bureaucrats are distinguished by the fact that 'they earn their appointment.' Marx declares: 'The objective factor in their appointment is knowledge and proof of ability. Such proof guarantees that the State will get what it requires, and since it is the sole condition of appointment, it also guarantees to every citizen, the chance of joining the class of civil

servants. The chance which every citizen has to become a civil servant is thus the second affirmative relationship between civil society and State, the second identity. Like the first it is also of a quite superficial and dualistic nature." Marx continues further that, "The link of State office and individual, the objective bond between the knowledge of civil society and the knowledge of the State, or in other words the examination is nothing but the bureaucratic baptism of knowledge, the official recognition of the transubstantiation of profane into holy knowledge. (It goes without saying that in the case of every examination the examiner knows all)."

Check Your Progress – Exercise No. 4

1. What, according to Marx, is the general spirit of bureaucracy ?

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24.6 WITHERING AWAY OF STATE AND BUREAUCRACY

The State and bureaucracy are a part of the superstructure on the sub-structure (base) the economic system of the society. State is neither a natural institution, nor has it been created by the consent of the whole society. Rather, it has emerged at a specific stage of development of the material condition of society. When society was divided into classes and was entangled in class struggle State emerged, mainly to protect the interests of the dominant class and as its instrument, to oppress the working class. State is thus neither above society nor the highest moral idea. Bureaucracy as an essential part of the State also evolved and strengthened along with it to become a powerful instrument of class oppression. State and bureaucracy rule more by false consent and coercive power. The working class, after the revolution and capture of power will destroy the State machinery and establish proletarian dictatorship. Marx is of the opinion that the society born out of the proletarian revolution will do without bureaucracy. It is then that the administration of men would be transformed into administration of things. The old bureaucracy will be shattered but a new one will have to be constructed to make possible the gradual abolition of bureaucracy. In his 'The civil war in France', Marx tried to project an alternative politico-administrative set up under proletarian dictatorship.

24.7 SUMMING UP

Marx's concept of bureaucracy has tremendous potential to explain the implications of an administrative system under the modern State. Though Marx discussed bureaucracy in detail in the initial stages later he examined it from the broader perspective of the background of State and its expanding apparatus. Significantly, Marx had enumerated all the limitations of bureaucracy and its negative role in the development of society much before Max Weber's characterization of bureaucracy. Marx has raised many fundamental questions about the role of bureaucracy which Max Weber failed to answer in his discussion. Thus the study of the Marxian concept of bureaucracy throws light on many facets of administrative performance in the modern State.

24.8 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. We find Marx's views on bureaucracy in KRITIK des Hegel'schen Staatsrechts.

2. Internal control refers to the bureaucratic ethos and the system of hierarchic authority and external control includes control from above, by the prince, as well as from below in the form of grievances and petitions by corporations and the general community.
3. Recruitment

Exercise No. 2

1. The paper qualifications of bureaucrats separate them from the rest of the society.
2. According to Karl Marx, the true purposes of the state are submerged in secrecy, mechanistic action, faith in authority and the greed for higher positions in the hierarchy.

Exercise No. 3

1. (3) both 1 and 2
2. Bureaucratic baptism of knowledge

Exercise No. 4

1. According to Karl Marx, the general spirit of the bureaucracy is the secret, the mystery, preserved inwardly by means of hierarchy and externally as closed corporation.

24.9 MODEL EXAMINATION QUESTIONS

I. Answers the following in about 30 lines each.

1. What are main ideas of Marx on bureaucracy?
2. What according to Marx are the chief characteristics of bureaucracy?

II. Answer the following in about 15 lines each.

1. State Hegel's conception of authority.
2. Discuss the main elements of an administrative system as stated by Marx.

24.10 REFERENCE BOOKS

1. D. Ravindra Prasad, V. S. Prasad and P. Satyanarayana Administrative Thinkers, Sterling Publishers, New Delhi, 1989.
2. Mohit Bhattacharya Public Administration, The World Press, Calcutta, 1981.

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Unit – 25 : BUREAUCRACY AND SOCIAL CHANGE

Contents

- 25.0 Objectives
- 25.1 Introduction
- 25.2 Meaning and Definition
- 25.3 Approaches
 - 25.3.1 Evolutionary
 - 25.3.2 Reformative
 - 25.3.3 Revolutionary
- 25.4 Role of Bureaucracy
- 25.5 Summing Up
- 25.6 Answer to check your progress
- 25.7 Model Examination Questions
- 25.8 Reference Books

25.0 OBJECTIVES

In this unit we would be discussing the place and significance of bureaucracy as an instrument to bring in socio-economic change. After going through the unit you would be able to:

- define what is social change;
- identify its principal features;
- ascertain the role of bureaucracy; and
- estimate the limitations involved in perceiving the role of bureaucracy as change agent.

25.1 INTRODUCTION

The study of social change assumed significance in 20th century. Every day we observe far reaching changes in our social environment. The change is so much in the natural order of human existence and social life that it comes to be taken for granted. Change may be a universal phenomena but its nature and intensity differs from one society to the other. There are many explanations for this. Social scientists look at this phenomena from different perspectives. There is also a wide variation in understanding the meaning of social change itself. In this unit we shall briefly discuss the meaning of social change, different approaches to change and the role of bureaucracy in bringing social change.

25.2 MEANING AND DEFINITION

T. N. Madan says that the definitions of social change vary as some confine its scope only to changes in social relationship, while others extend it also to change in the material as well as non-material culture. Rogers defines social change as, "the process by which alteration occurs in the structure and function of social system". Lundberg and others were of the opinion that, "Any observable difference in any social phenomena over any period of time may be termed as social change". More, while enlarging the scope of the concept, explains that it, "comprises both what is commonly identified as social change with primary behavioural focus and cultural change with a primarily symbolic or

meaningful focus". To clarify this point further he says that, "social change is the significant alteration of social structure (that is of patterns of social action and interactions), including consequences and manifestations of such structures embodied in norms (rules of conduct), values and cultural products and symbols". Gillin and Gillin have defined, social changes as variations from the accepted modes of life, whether due to alteration in geographical conditions, in cultural equipment, composition of the populations or ideologies and whether brought about by diffusion or invention within the group". On the same plane, Ginsberg defines social change as 'change in social structure . . . which also includes changes in attitude or beliefs, in so far as they sustain institutions and change with them'. Mac Iver also claims that, 'change in social relationships' may be known as social change'. Karl Marx, while rejecting all the earlier definitions, defines social change 'as the consequential result of conflict between two diametrically opposite social forces'. Thus social change has been defined by many from different angles and from the dimension of their individual disciplines. Ramakrishna Mukharjee after studying various definitions and concepts says that the crucial questions which emerge from such diverse view points may be chronologically formulated as follows:

- With reference to any set of entities (e.g. social phenomena) would all differences be observed between any two points of time be regarded as change, as Lundberg and his colleagues suggest?
- Should change be equated to a process, or be regarded as the particular end product of a process since the latter may also terminate in status quo ante or continue sine die?
- Should social change be distinguished from other forms of change (e.g., cultural or civilizational), as Mac Iver and Page strongly recommend? and, if so, how would we draw a relation among all these forms, as explicitly as intended by Moore and implied by Ginsberg and Firth?
- How can we evaluate and measure social change in the light of the answers to the above three questions?

These questions may also be relevant to understand the complexities of the concept of social change. There is however, a different category that has not been included in the above which refers to the Marxian analysis of social change, which mainly emphasises contradictions, conflicts and their resolution in the social structure.

Check your progress – Exercise No. 1

1. What do you understand by social change ?

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25.3 APPROACHES

There are several theories of social change as propounded by many social thinkers from time to time. Some theories explain a particular dimension or specific phase of social change, others a number of dimensions and yet others take the entire society into consideration to explain the process of social change. Among the thinkers, Turgot, Saint Simon, Comte, Spencer, Buckle, Lubock, Morgon, Durkheim, Ward, Marx and Engles are prominent.

The theories so far put forward may be classified into three groups viz., 1) Evolutionary, 2) Reformative and 3) Revolutionary. We present the main themes of these theories in the following paragraphs.

25.3.1 Evolutionary Theories

The idea of evolution and progress and their association was earlier emphasised in biological sciences by Darwin in his conception of the "survival of the fittest". Similar views were held by earlier sociologists like Comte, Herbert Spencer, Ward and others. According to these thinkers, change is inevitable in society. Further, it is believed that change will take place in an orderly and evolutionary process with or without the initiation of human effort. These theories however failed due to two important factors: (i) it was being wrongly conceived that change will be unidimensional, automatic and every where consists of certain common characteristics, (ii) lack of clarity about the nature and character of various societies and the process of their transformation.

25.3.2 Reformative Theories

Reformative theories are again put forward by western thinkers, who also believe that change is inevitable but needs to be induced or directed, based on the requirements of the society. For this purpose some reforms are introduced in the structure of the society. It is also, believed that the extent of change depends upon the extent of positive character and the attitude the individual human beings uphold in society. It opposes any revolutionary change in the society on the ground that it may totally disturb the existing social order. Since 'stability' is the central theme of this approach, they permit changes only to the minimum extent possible and that too in the superstructure of the society. As a result the 'base' remains the same and it may not yield positive results in the society. These theories also failed to explain how and by whom the changes can be brought about and a new orientation given to society.

23.3.3 Revolutionary Theories

This theory has been initially adopted by Karl Marx and others who adopted historical and dialectical materialism to explain the changing social phenomena. According to them, the structure of society is an economic creation and its changes essentially are the sequel of economic changes. Further, the stage of technological development determines the mode of production and the relationships and institutions that constitute the economic system. The set of relationships is, in turn, the chief determinant of the whole social order, or, as Marx puts it, 'the sum total' of these relations of production constitute the economic structure of society, the real foundation on which rise legal and political superstructures and to which correspond definite forms of social consciousness. The cultural life of man, his intellectual, spiritual life, his creeds and his philosophies, and the social forms which are their vehicles, are the reflection of the economic order. The 'Material forces of production are subject to challenge, and thus a rift arises between the underlying economic factors and the economic relationships built upon them. The productive forces demand - and of necessity will secure, a transformation of economic relationships and therewith of the whole social superstructure. But, the social and economic order does not conform to gradual emergence of the economic demand. For the order has created its 'ideologies' and its vested interests. It is these, who fettered by the new adolescent order awaken to the consciousness of its decay and accomplish its overthrow. A social revolution, thus, attends the birth of each new stage of society. The ideology of the dominant economic class whom that order suppressed and whom the new would liberate. Thus the history of social change in every society is the history of class struggles.

Thus several theories have been put forward by various thinkers and each theory has its own 'ideology' based on which the social systems are analysed and appropriate strategies worked out. Though the 'revolutionary' theories mainly emphasise the need for greater involvement of the people in the revolutionary transformation of whole society reformists rely more on voluntary associations and bureaucratic organisations. All those development strategies which are propounded in recent years by the Western thinkers, give top priority to bureaucracy and entrust the role of agents of change to its institutions. It is also believed that the Third World Countries can experience better development

by recognising their bureaucratic organisations. The discussion in the next few pages is concentrated on the role of bureaucracy in initiating social change in society.

Check Your Progress – Exercise No. 2

1. What do you understand by evolutionary theory ?

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2. What is the difference between evolutionary theory and reformative theory of social change ?

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3. What is the difference between reformative theory and revolutionary theory ?

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4. Fill in the blanks with the words given below :

- a. Revolutionary theory emphasises the greater involvement of _____.
- i. People ii. Bureaucracy iii. Voluntary agencies
- b. Reformists rely on _____.
- i. Voluntary agencies ii. Bureaucracy iii. People

25.4 ROLE OF BUREAUCRACY

It is said that Bureaucracy plays a dominant role in implementing various programmes meant for introducing social change in a developing society. In relation to this, it is being increasingly recognised that the personnel policies in a country are to be formulated in such a way that it should be able to attract the best of the most qualified persons in the society who can take up the responsibility of acting as 'change-agents'. The traditional concept of the administrative system being more a 'regulatory organisation' has lost its significance, particularly after the II world war, and the liberation of various colonial regimes in Asia, Africa and Latin America. Thus, the recent trend is that the administrative system should be entrusted with all the activities that would generate changes in the society. Several administrative thinkers like F.W.Riggs, Milton J.Esman, Ralf Braibanti, Alfred Diamont, Ferrel Heady and Keith Anderson elaborately discussed the changing role of bureaucracies in the Third World countries.

An analysis of the role of bureaucracy/Administrative system in various socio-economic formations, provides us a basic framework to understand its contribution to social change in a society.

In a capitalist society, normally, the role of State and its bureaucracy would be very limited because of its sophisticated market system that would generally provide all the services required by the people. Because of the high rate of scientific and technological growth, the average man in these societies would be already in a position to conceive modern ideas and get himself transformed to suit to the changing needs of the society. The objective of the State and its bureaucracy would generally be 'maintaining stability and status quo' to a great extent instead of initiating any changes. Thus bureaucracy would confine its role to the discharge of certain limited activities. In some cases, the bureaucracy may also play a 'negative role' to see that no 'change' takes place to disturb the existing capitalist structures in the society.

In socialist regimes, also, the role of bureaucracy is very limited. It has no autonomy in these societies, and plays a secondary role as it is being controlled from all directions by various peoples organisations, party units and Trade Unions. In a way, it is generally believed in these systems that 'bureaucratization' means negative development and hence de-bureaucratization of the governmental administrative set up would rationalize the process of social change. Thus, significantly, both capitalist and socialist societies offer a limited role to bureaucracy in affecting change and development.

The position of the State and bureaucracy in certain dictatorial and colonial regimes provides a different frame work and role to bureaucracy. Here bureaucracy takes no responsibilities of social change but may even go to the extent of committing certain atrocities against the people, who initiate the process of social change in the society. These systems will not permit any change in the society that may affect the interests of the ruling classes and destabilize the existing autocratic state mechanism. Thus, bureaucracy plays a negative role in all these systems.

In contrast bureaucracies in certain other Third World Societies are expected to play a positive role towards social change and development. Everywhere it is noticed that the bureaucracy has expanded more than ten folds compared to what it was during the sixties. The implementation of several welfare and development programmes meant for social change have been entrusted to bureaucratic institutions, and invariably the development in these societies rests to a large extent, on its shoulders. The trend of the State taking over a larger share in production, distribution and exchange through nationalisation is on the increase and it further reinforces the importance of State bureaucracy in the system. Significantly, the role of bureaucracy in Public Policy making has also enormously increased over the years. As a result of all this any desirable 'change' in these societies may depend to a large extent on the performance of bureaucracy. The experience in these systems, however, indicates certain negative results. It seems that the people in power permit only those 'changes' that do not effect their 'interests' and in all other cases, they either simply create obstacles or allow little freedom to bureaucracy to take initiative in this regard. Attempts have not only been made to evolve 'checks and balances within the system, but to 'counteract' the social change process initiated in the society. In this connection, K. Seshadri says, that "It is because of the tact of huge army of salaried employees who bear the whole burden of performing the social functions, that a veritable array of work is done on how to administer them, how to keep of ideology, in congruence between socialism and capitalism, reinforcement of beliefs in religion and other expressions of false consciousness, race hatred, regional jealousies, incentives, bribery, espionage, subversion, blackmail, judicial chicanery, destabilization and open interversion from the very inexhaustible range of weapons in the armoury. Thus both internal and external pressures are mounted again taking up any activity that would disturb the existing socio-economic relations in the society.

Though the 'stated objective in these societies seems to be inducing 'social change' through its bureaucratic systems, in reality the socio-economic structure and the production relations do not

allow them to behave accordingly. Generally, the bureaucracy either plays a submissive role in the context of a dominant political party, or totally subordinates itself to the economically dominant sections of the society, or in some cases may become the direct agent of imperialism. Historically speaking, most of these administrative systems have been evolved under the colonial set up and retained even after independence without much change. The 'regulatory' structures and the negative behavioural pattern continues to be in force despite bureaucracies being declared as public services. The socio-economic background of the civil servants especially the higher civil service do not possess any representative character as these people generally are highly educated mostly urban oriented and drawn from the upper classes. The competitive examinations through which the recruitment is made do not take into account either their personal qualities, their capacities, power, language proficiency and higher contacts. Their ideology generally stands as an obstacle to social change in a society.

These administrative systems, devoid of rationality and commitment to service, possess the characteristics of a poly-normativism and poly-communalism. They combine both traditional and modern norms in their behaviour, mainly to suit their own needs and requirements. Family Welfare, nepotism, favouritism and corruption play a dominant role in the appointments to various administrative positions and in the performance of administrative functions. These officers generally give more priority to their personal aggrandisement than to social change. Their behaviour and performance are influenced by parochialism, narrow beliefs and deceptive outlooks. As a result, they adopt a negative attitude even in these circumstances which do not warrant it.

Besides all these, bureaucracy as a whole is afraid of any radical change in the socio-economic system because, it may reduce their privileges and also their importance. Due to this, they indirectly and sometimes openly oppose the social movements meant for 'change'. They behave in an authoritarian manner, though the political systems claim to be democratic in their nature. There may be some exceptions among the bureaucrats who may be sincere and honest in their functioning but soon they become disillusioned with the system and either get absorbed in it or quit it out of disgust. Such instances may be found here and there in the Third World Countries. Thus, bureaucracy in almost all Third World Countries, instead of taking the challenge of initiating social change in the society, itself becomes a stumbling block toward the process of change.

Check Your Progress – Exercise No. 3

1. Explain why any desirable change in Third World Societies depends to a large extent on the performance of bureaucracy?

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2. Explain why it is said that the bureaucracy seldom shows any interest in doing 'public service' ?

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25.5 SUMMING UP

Social change, rapid in some cases, and slow in others, has characterised all societies. But the speed of change has been much faster in the world since the beginning of the eighteenth century. Two main reasons may be found in the context. First, the Scientific and Technological inventions and second, easy adoption of material culture by the people. Every Scientific and Technological advance, by making it possible for man to achieve certain results with less effort and minimum cost, at the same time, provides new opportunities and establishes new conditions of life. Unlike certain automatic changes like changes in weather or seasons and changes in age, scientific and technological changes are induced in society by man through his mental capacities and human labour and these changes would necessarily lead to the qualitative transformation of human society. Added to this is the struggle between different social groups and the consequent changes in the base-structure and social relations resulting in positive social change in the society. Thus, the process of social change involves a conscious effort on the part of the people of a society.

Among others, bureaucracy is considered as a powerful instrument to bring about positive changes in society. But the experience in this regard is not encouraging since bureaucracy is constrained by many structural limitations to play an effective role in bringing social change.

25.6 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. It is understood as a change in social relationship, a process which alters structure and function of a social system. It may be a variation from the accepted mode of life. It is understood and defined by too many in many ways.

Exercise No. 2

1. Change with or without the initiation of human efforts in an orderly and evolutionary process is called as evolutionary change.
2. Thinkers of Reformatory theory believe that change is inevitable but it needs to be induced or directed, based on the requirements of the society. The thinkers of evolutionary theory believe that change takes place with or without human effort. The main difference is that while the evolutionary theory does not believe only in human effort, the reformatory theory believes fully in human effort, in bringing about social change.
3. Reformists rely more on voluntary associations and bureaucratic organizations for social change. Whereas the revolutionary theories emphasise the need for greater involvement of the people in the revolutionary transformation of the whole society. The reformists talk of piece-meal changes whereas the revolutionaries advocate total change.
4. (a) (1) people

Exercise No. 3

1. The implementation of welfare programmes is entrusted to bureaucratic institutions. The entry of government into business further enhances its importance. The role of bureaucracy in policy making has been on the increase. As a result of all this, any desirable change depends upon the bureaucracy.

2. The socio-economic background of the civil servants, unrepresentative character of their composition, vested interests etc. stand in their way in undertaking social change.

25.7 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each.

1. Give a few definitions of Social Change and write about the importance of social change.
2. Briefly describe the role of bureaucracy in bringing social change.

II. Answer the following in about 15 lines each.

1. Discuss the general problems faced in bringing social change in traditional societies
2. State the main instruments of social change in developing societies.

25.8 REFERENCE BOOKS

- | | | |
|----|--------------------|---|
| 1. | Mohit Bhattacharya | Public Administration, The World Press, Calcutta, 1981. |
| 2. | Bhambri C. P. | Bureaucracy & Politics in India |

Writer — K. Murali Monohar

BLOCK – V

PUBLIC ACCOUNTABILITY

The four units (units 26 to 29) of this block deal with the accountability of the peoples' government to their masters. Some sort of control by the citizens over administration becomes necessary in order to check the negative factors in administration. Such a check, it is expected, would ensure effective functioning of bureaucracy. Some of the means of control are – Legislative control, judicial control and control by the people. While legislature and judiciary exercise control over administration as the organs of the government, institutions like Ombudsman, Lok Pal and Lok Ayukta do so as autonomous organs outside the machinery of government. Every institution has its limitations, nevertheless the contribution of each one of them is not negligible in checking excesses that are committed by the government.

UNIT – 26 : ADMINISTRATION AND PUBLIC POLICY

Contents

- 26.0 Objectives
- 26.1 Introduction
- 26.2 Meaning and Definition
- 26.3 Process
- 26.4 Impact of Environment
- 26.5 Policy and Administration
 - 26.5.1 Bureaucratic Politics
 - 26.5.2 Structure
 - 26.5.3 Personal characteristics of bureaucrats
- 26.6 Accountability
- 26.7 Summing up
- 26.8 Answers to Check yours progress
- 26.9 Model Examination Questions
- 26.10 Reference Books

26.0 OBJECTIVES

In this unit we have discussed the role of bureaucracy in formulation and implementation of public policy. After going through the unit you would be able to:

- define what is policy;
- sketch the process of policy;
- measure the impact of environment on policy; and
- discuss the differences between policy and administration.

26.1 INTRODUCTION

In simple terms, policy may be defined as a general guide to action. Typically it does not tell an individual what to do exactly, though it does point out the direction in which he has to go. It is "designed to give direction, coherence and continuity to the course of action for which the decision making body is responsible". The use of policies is vital in the task of planning a course of action. Public policies, in this context, are major instruments that are carefully formulated to move the society towards the goal—for instance, those enshrined in the preamble of our Constitution.

26.2 MEANING AND DEFINITION

Public policy is concerned with governmental agencies and officials. Indeed, the process of policy formation is one of the central processes of government. According to Appleby "the essence of public administration is policy making. What the government chooses to do or not do forms the core of enquiry in the Public Policy. Major policy decisions are taken by the government in such areas as agriculture, defence, rural development, industrialisation, and so on. Policy decisions lead to important and wide ranging consequences. Since public policies determine the future shape of the

society, scientific knowledge about policy making is emphasized. In this unit, we will examine the meaning of public policy and the role of administration in policy formulation and implementation and also examine the accountability aspects of administration.

Policy is a positive course of action followed by an factor or set of factors in dealing with a problem or matter of concern. It follows from this that Public Policies are those policies which are evolved by governmental bodies and officials. Several implications flow from this conception of Public Policy. Some of them are:

1. It is purposive or goal oriented.
2. It is a course or pattern of activity and not simply a decision.
3. It is what the governments actually do with regard to public issues and not what they intend to do or say they are doing.
4. It involves positive and negative forms of action; i.e., governments may take positive action or negative, may not take any action.
5. It is based on law.

Not all government actions are expected to have a clear goal or objective but we generally assume that the actions of the government are positive and goal oriented, when it chooses to do (or not do) a thing. Thomas R. Dye, defined public policy simply as "whatever governments choose to do or not to do". Thus public policy is concerned with what actually the governments do (or abstain from doing) Understood thus, it appears that policy does not end with policy formulation but includes policy implementation too. The implementation of any policy requires that government authority concerned has the discretion and on every occasion in which discretion is used, it carries the 'authority' in making the policy . So the policy process includes both policy formulation and implementation. To understand the policy process, one may view it as a sequential pattern of action involving a number of functional categories of activity. Then, what is the policy process?

Check your Progress :- Exercise No.1

1. What forms the core of enquiry in Public Policy?

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2. What is a Public Policy?

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3. What is the definition of Public policy as given by Thomas R. Dye ?

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4. What are the implications of concept of public policy ?

26.3 PROCESS

Public policy includes:

1. Identification of a Problem : Before a policy is thought of, an effort would first be made to identify the problem. Exercises in this will be gone through to gather the necessary information.
2. Formulation : After the identification exercise various alternatives will be considered and a range of options built up pertaining to the problem.
3. Adoption : At this stage, one of the policy alternatives is chosen and acted upon.
4. Implementation : Money, men and material are mobilised to operationalise the policy.
5. Evaluation : At this stage, the effectiveness or impact of a public policy is studied.

A government agency may gather the feed-back and publish it in periodic reports and statements of accounts and statistics. Sometimes non-official bodies, like research institutes may also undertake the job of evaluating the impact of a policy.

At the last stage of the policy process i.e. evaluation, sometimes there may be demands for change or repeal of the policy. Since there is a time lag between policy formation and implementation, and in the light of changed goals due to changes in the environment (social, economic and political conditions) the demand for change or repeal of a policy may come up. A new problem may be identified at the evaluation stage and it may figure in the government agenda. Thus, the wheel turns a full circle. In the light of altered conditions and the experience gained, the policy is reformulated. In other words policy formulation appears to be a continuous activity. Public policy is thus dynamic. It is an unending process.

Check Your Progress-Exercise No.2

1. Explain the need for the evaluation of public policy ?
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26.4 IMPACT OF ENVIRONMENT

Another dimension of public policy that needs to be considered is the impact of the environment (social, economic and political) on policy formulation. The policy makers are not free to formulate policies arbitrarily. A number of factors like environment and actors (interest groups) influence them. For example, the policy must be in consonance with the provisions of the Constitution as interpreted by the judiciary and the laws made by the legislature. The prevailing social forces and factors like, level of education, religious mores of the society, social traditions and morals and public opinion on the issue have to be considered in formulating a policy. The nature of modern policy has been highlighted by Hared Stein, when he says that policy is the outcome of the interaction of interests, individuals, institutions and ideas. It is evident that policy is not merely a guide to action, but is in the nature of a consensus wherein different facts of public interest are considered and accommodated.

A sound policy decision should therefore be in tune with the accepted socio-economic and political goals of any nation. It also should be the end product of planned development rather than the outcome of the result of convenient decisions made on the spur of the moment. Policy making rather than being a step gap or corrective measure is expected to anticipate the emerging configuration of forces and conditions and is supposed to provide for active intervention in the dynamics of the environment.

Yet another characteristic of a sound policy is that it should be clear and definite. It has to be formulated in such a way that the chances of misinterpretation are reduced to the minimum.

A vague or confused policy directive gives scope for discretion in the implementation of the policy in which case personal consideration bypasses objectivity in decisions. This may distort and hamper effective implementation of policies. Finally, a sound policy decision should, by and large, ensure consistency and contribute to the stability of the government. Inconsistency in policy may be due to an attempt by policy makers to satisfy or please many or all sections of particular interest groups.

Check Your Progress – Exercise No. 3

1. State the characteristics of public policy.

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2. Explain the impact of the environment on public policy.

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26.5 POLICY AND ADMINISTRATION

It was Woodrow Wilson (1900), in an essay on the study of Administration, suggested a right distinction between policy and administration. It was felt that policy making was a political function while administration was concerned only with the implementation of policies. However, this view was since

been disproved and disallowed. Administrators, do not simply enter the policy process at the stage of implementation. Policy is a continuous process and bureaucracy is involved not only at the formulation phase but also at the stages of implementation and evaluation.

The primary responsibility for policy decisions rests with the political system. However, it must be remembered that the political system and the administrative system have to function closely and hence a clear distinction between the two sometimes appears to be difficult to maintain. Bureaucracy with its rich experience and expert knowledge, undoubtedly plays a crucial role in policy formulation. Political masters who represent a party carry with them their own interests and are generally guided by their calculation.

Looked at from another dimension it appears that policy directives sometimes sound vague and inconsistent and give scope to bureaucracy to use its discretion in their implementation.

On a closer look at the role of bureaucracy in policy formulation the political executive, (for instance the Prime Minister and the Council of Ministers) and the permanent executives have their respective roles to play. As already stated, while the policy decisions are taken by the political executives, who are constitutionally responsible for their actions, the major task of bureaucracy is to aid and assist the former to arrive at policies. Once the political executive states the broad objective, the next step in the policy-making process is to list the alternatives or options, for attaining it, and gather all the information that is available regarding these options. After considering the financial implications of various alternative policies, the 'best' policy is chosen, adopted and enacted. As already mentioned, the primary responsibility for providing information to policy makers as well as suggesting alternatives generally rests with bureaucracy. Some argue that bureaucracy may not always remain a neutral instrument in providing information and options to the policy makers. Among the factors that influence the alternatives the bureaucracy presents to the policy makers, the following are the important ones :

26.5.1 Bureaucratic Politics

Organisational parochialism or the narrow outlook of a particular governmental agency as well as the bureaucrats influence the 'information' that is offered to the policy makers.

26.5.2 Structure

The nature of formal relations among the bureaucratic units and the standard operating procedures used in each agency may effect the information. For instance, the hierarchy of the organisation creates a top. The longer the line of communication, the greater are the chances of judgements replacing facts.

26.5.3 Personal Characteristics of the Bureaucrats

Self-esteem and other psychic needs etc. may also influence to some extent the nature of information that is collected and passed on to the decision makers.

Coming to the policy execution, it is again the administration that plays a significant role. It is the bureaucrats who control the personnel, money and materials of the Government. It is they who receive most of the implementation directives from the legislative, executive and judicial branches. Once the policy decision is made, it is the bureaucracy that is expected to implement the policy. The policy that has been formulated so far would be in broad outline. At this stage, the administrators step in and work out various strategies for implementation. The policy implementation process involves the formulation of various plans to achieve the objectives of the policy, programming the schedule for execution, and finally, formulation of the plan at the operational level. Once these steps have been taken, the operational aspects of the policy begin to assume importance. Even at this level

the administrator has a large measure of discretion. The men who implement policies are in many ways independent of the nominal supervisors who make the policy decisions. This independence is magnified many times by the fact that many national and state policies are ultimately implemented by local officials. The administrators therefore have a large measure of discretion. How they see the policy in question, and how they project its effects on the general interest and their personal and organisational interest, are the crucial factors that may influence the policy to be implemented. Policy makers, who are sensitive to the problem of implementation therefore, must take certain steps to effectively carry out the implementation.

The above discussion makes it clear that public officials have a place in both policy formulation and execution. Peter Odegard has therefore commented that "policy and administration are the siamese twins of politics". Policy making is an area of governmental activity where the political and permanent executives have to work in close co-operation and with the maximum understanding.

Check Your Progress – Exercise No. 4

1. Who suggested a rigid distinction between policy and administration?

- a. Luther Gulick
- b. Thomas R.Dye
- c. Woodrow Wilson

2. Explain the respective roles of political executive and the permanent executive in policy-making.

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3. What factors influence the alternatives the bureaucracy presents to the policy-makers?

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4. Explain the role of bureaucracy in the execution of public policy.

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26.6 ACCOUNTABILITY

In the discussion above, it was noted that public policies are based on law. They are formulated and implemented, by what Easton has called authorities — formal political elite and the government officials. Again within these there is, usually, the political executive which will have a final say in policy

formulation and monitors its implementation. The actions of the political elite—legislative, and particularly the political executive, are usually accepted as binding most of the time by most of the members of the society. Of course they have to act within the limits of their role as stipulated in the basic law or Constitution of a given country. While public opinion can keep these authorities within the limits of their role, the public generally lack both the resources and information to monitor the policy process and to guard it from official negligence and corruption. In the light of the vast finances and wide ranging consequences that public policies will produce, the need to make the political elite, particularly the political executive, accountable for their actions and policies arises.

Let us now examine how the political executive, (for instance the Cabinet) is made accountable. India being a Parliamentary democracy, the Cabinet is responsible to the Legislature. The occasions for exercise of Parliamentary control over the policies are many and varied — law making, President's address, general discussion on the budget, voting of grants, interpolations, adjournment motions and resolutions. However, it must be remembered that not every public policy requires legislative enactment, and that legislatures do not generally take the initiative in sponsoring legislation. Yet, as has been pointed out that the legislature does, to a large extent, determine the final shape of most of the policies. Similarly, it can also oversee the implementation of the policy, and make the executive accountable for its actions. This function is largely carried out by the Parliamentary Committees, the most important being the Government Assurances Committee, the Public Accounts Committee, the Public Estimates Committee and the Committee on Public Undertakings. The members of these Committees are appointed by the speakers or elected by the House from amongst its members. They are authorised to call witnesses and collect evidence by asking for official papers and records.

The Committee on Government Assurances is a standing Legislative Committee, an innovation of the Indian Political system. The functions of this committee are to scrutinize the assurances given by the Ministers from time to time on the floor of the House and to report on (1) the extent to which such assurances have been implemented and (2) where implemented, whether such implementations have taken place in the minimum time necessary for the purpose.

The Public Accounts Committee (PAC) not only checks the audit reports of the Comptroller and Auditor General and other records and operations for technical irregularities, but is also interested in investigating into cases of wastage, corruption, inefficiency and operational deficiency. Thus the PAC does not limit itself to the formal scrutiny of the expenditure but also examines wisdom, faithfulness and economy aspects of expenditure. It brings to the notice of Parliament the irregularities noticed by it through annual reports. Morris Jones has therefore described the PAC as the guardian of the people against official negligence and corruption.

Other committees of Parliament that keep the political and Permanent Executive on their toes are the Public Estimates Committee and the Committee on Public Undertakings. The Estimates Committee examines the annual estimates and suggests alternative policies to the government to ensure efficiency and economy in administration. The Committee on Public Undertakings examines the working of public undertakings, including their financial matters. Thus, one way or the other, the policy makers, are under the scrutiny of the people. Both in policy formulation and implementation, the policy makers may be brought to book, by not only public opinion, but also by formal structures like the Parliament and its various committees.

Check Your Progress – Exercise No. 5

1. Public policies are formulated and implemented by authorities—formal political elite and the government officials. Who said this?
 - a. Thomas R. Dye
 - b. Easton
 - c. Woodrow Wilson

2. What are the agencies that exercise control over the political executive in India in regard to Public Policies ?

26.7 SUMMING UP

Bureaucracy plays a significant role in policy formulation and implementation. It gets direction from the political executive and it also suggests ways to achieve the goals. By virtue of its experience it assists the executive in shaping policies cautioning where it is required, and encouraging the innovativeness on the part of the Political Executive. Some observers point out the reflection of personal predilections of the administrators on the policy process. The impact of the Minister-Civil Servant relationship on policy making as well as implementation is a well known aspect and has been dealt with in Course II on Indian Administration.

It would be clear from the discussion above that administration is endowed with considerable responsibility in policy formulation and implementation. It is therefore no exaggeration to say that the essence of public administration is public policy as has aptly been pointed out by Appleby.

26.8 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. What the government actually chooses to do or not to do forms the core of enquiry in public policy.
2. Public policies are those policies which are evolved by governmental bodies and officials. It is a general guide to action.
3. Thomas R. Dye defined public policy as what ever governments choose to do or not to do.
4. Public policy process includes both policy formulation and implementation.

Exercise No. 2

1. Evaluation of public policy becomes necessary to study its impact. In view of time-lag between policy formulation and implementation, new problems may be identified. Evaluation works as a feed back mechanism.

Exercise No. 3

1. Impact of the environment is one dimension of public policy. The other dimensions are that it should be clear and definite. Thirdly a sound public policy should ensure consistency and contribute to the stability of the government.
2. Policy makes are not free to formulate policies arbitrarily. They have to take into consideration a number of factors and one of them is environment. Factors like the Constitution, social forces, religious mores, public opinion cannot be neglected.

Exercise No. 4

1. (C) Woodrow Wilson
2. Policy decisions are taken by the political executive and the permanent executive's primary responsibility is to provide information to them.

UNIT – 27 : CITIZENS' CONTROL OVER ADMINISTRATION

Contents

- 27.0 Objectives
- 27.1 Introduction
- 27.2 Need for Control
- 27.3 Ideas and Issues
- 27.4 Expanding Administrative Machinery & Growing dissatisfaction of people
- 27.5 Institutions for redressal of citizens' grievances
 - 27.5.1 Ombudsman
 - 27.5.2 Administrative Courts
 - 27.5.3 Procurator
 - 27.5.4 Central Vigilance Commission
 - 27.5.5 Lok Ayukta
- 27.6 Summing up
- 27.7 Answers to Check Your Progress
- 27.8 Model Examination Questions
- 27.9 Reference Books

27.0 OBJECTIVES

In this unit we would be discussing the need for exercise of control over administration by the people. After going through the unit you would be able to:

- identify the need for citizens' control and
- describe the institutional arrangement for the redressal of citizens' grievances.

27.1 INTRODUCTION

You have studied in the earlier units how the administrative system operates in developing countries. It is worth recalling here that the administrative system exhibits such features as formalism, heterogeneity and overlapping etc. It is generally held that the administrative systems are quite unresponsive to the citizens' needs. Before we go into the ramifications of citizens' control, let us first of all try to understand the assumptions that provide a theoretical framework to the citizens' control.

27.2 NEED FOR CONTROL

Broadly, it can be said that the elections are an instrument of control in a democracy. The fact that the people are given the right to choose their representatives every five years bears ample testimony to the right of the citizens to vote out of power a government that does not reach its expectations. This is, of course, at a very comprehensive level. In a democracy the people should have some control over administration, whereas it may not be thought of in dictatorial or monarchical regimes. People do interact with the administrative systems continuously in a democracy. The impact of administrative systems, either positively, is felt by the people. Naturally one would expect some sort of control by the citizens over administration in order to check the negative factors. This would not only ensure

effective functioning of bureaucracy but would also provide a forum where the administrators and people can sort out the problems faced by them in the functioning of the administrative system. As has rightly been pointed out by Nehru, "vigilance is the price of democracy". One of the factors for the success of any democracy is a constant interaction between the administrative system and people". As has already been mentioned in the first unit of this course, the functions of an administrative system, especially in developing countries, have increased enormously. From mere law and order and revenue functions the administrative systems today perform varied and multifarious functions. Governments in societies passing through the transitory period are faced with several challenges. The administrative systems are characterised by such features as formalism, heterogeneity and overlapping. Besides these the unresponsiveness of bureaucracy to citizens needs renders the bureaucracies ineffective. Owing to the lack of time, specialization, and feeling of concern for the masses, bureaucracies in developing societies are not responsive to the needs of the people. Institutional devices were of course provided to take care of the bureaucratic indifference. However, these devices have not been functioning to the satisfaction of the authorities concerned. Citizens of a country generally experience several problems in their day to day life. Take for instance, the functioning of a Municipal office. When you want to build a house you must get the approval of the officials concerned and obtain the necessary clearance certificate. The experience of many people in this regard had been unpleasant and hardly requires description. There are several other instances of citizens feeling frustrated about the administrative process. That administration as a means exists for the public is yet to be recognised. Mohit Bhattacharya has identified two approaches to the issue of Administration and public. The first is instrumentalist and the second participative. The first view holds that the machinery and the process of government treats the public as the recipient of administrative benediction. The second gives precedence to people in the administrative process and treats their participation as essential for the effective functioning of the administration. The relationship between the administration and the public raises a few conceptual issues.

Check Your Progress – Exercise No. 1

1. Explain how elections are an instrument of control in a democracy.

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2. Explain the need for citizens control one administration.

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27.3 IDEAS AND ISSUES

According to Katz and Danet the structures of bureaucratic organizations subsume a set of norms which generally guide the relationship between administrative systems and its beneficiaries or clientele. These include (1) Specificity, (2) Universalism and (3) Affective neutrality.

Specificity refers to the strictly limited area of interaction between administration and the client as formally defined by the organization. Take for instance, the functioning of a ration shop which is an important unit in the public distribution system. Green card holder pays for a quantity of rice and the person in-charge of the ration shop assures him that he can get the quantity of rice he is entitled to. Universalism stands for equal treatment being meted out to a defined group according to specified rules. Taking the same illustration, every Green Card holder has to pay the same quantity of rice and the person in-charge of the ration shop is expected to treat all the people equally. Affective neutrality means an unbiased attitude towards all the clients. These, structural norms guide the relationship between an administrative system and its clients. Besides these there are also a few factors which influence the relationship between the client and an administrative system. These include the manner, the procedures and the resources exchanged. Manner refers to the behavioural aspect. For example, the way in which the government officer talks to or receives a member of public in a Panchayat or Municipal office. Procedure refers to the administrative process involved in an interaction. For example, formalities for obtaining a ration card or the amount of time spent on getting a ration card. The resources aspect refers to the final act. Is a person whose income increased after taking the green ration card, entitled to draw the ration on it? Can a person open a bank account without being introduced by anybody?

Thus the structural norms as well as the three dimensions of interaction discussed above are useful for our understanding of the bureaucracy client relationship in particular situations.

Many writers have called for a closer relationship between administration and its clients and recommended changes in the bureaucratic organisation which can be made responsive to the needs of its citizens. There have been some important studies on the relationship between the bureaucracy and the client. For instance, Peter Blau has discussed the issue of organizations and client relationship from different dimensions and felt that professionalization of bureaucracy will result in furthering the welfare of clients. Other writers like Katz, Eisenstadt and Janowitz have touched on several aspects of administration citizen relationship. Particular mention may be made of the bureaucratic dominance which reflects on the administration citizen relationship. To bring about rapid change subservience of the bureaucracy to the socio-economic system has also been stressed upon.

Check your progress – Exercise No. 2

1. What according to Katz & Danet are the norms which generally guide the relationship between administrative systems and its beneficiaries ?

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2. Name some writers who studied the relationship between the bureaucracy and the clients.

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3. What do you understand by universalism ?

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27.4 GROWING DISSATISFACTION OF PEOPLE

Reforms for changing the colonial style were attempted by expanding the governmental activities, creating the necessary institutional infrastructure (for example, Panchayati Raj) in order to encourage people's participation as well as simplifying the administrative procedures. Before we attempt an analysis of these measures let us briefly discuss the general perceptions of people about the administration. As has been summarised by Mohit Bhattacharya in his work titled **Public Administration**, these include (a) Ignorance of citizens' about procedures in the government, (b) Unhelpful and unresponsive attitude of officials especially at the lower levels, (c) Inordinate delay in Government transactions, (d) Favouritism in administration, (e) Corruption. (f) Reliance on middle men (popularly known as pyravikars) to get things done. This is the general feeling of the people about the administrative system in India.

However, the administrative agencies of Western countries have evolved fairly efficiently, unlike their counterparts in Asia, Africa and Latin America. This is not only owing to economic affluence and well developed internal norms and ethics, but also due to the vigilance of various agencies or institutions like the political parties, the press and public opinion. Yet, these Western countries too have felt the need for institutional control mechanism to check the bureaucracy and to ensure that public administration really serves the public purpose.

Three important institutional devices known as the Ombudsman, the Administrative Courts and the Procurator are operating in some countries with a high degree of efficiency. We shall discuss each of these now.

Check Your Progress – Exercise No. 3

1. What are the general perceptions of people about administration?

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2. State the important institutions devised in the world to exercise citizens' control over administration.

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27.5 INSTITUTIONS FOR REDRESSAL OF CITIZENS' GRIEVANCES

Many countries have established institutions for the redressal of citizens' grievances. Some of them are:-

27.5.1 Ombudsman

Created for the redressal of citizens grievances, the institution of Ombudsman is essentially a product of direct democracy of Sweden where it came into existence as early as 1809. Being the most simple and speedy method of handling appeals against arbitrary administrative decisions it has attracted the attention of many countries around the world in the post war period.

The Swedish 'Ombudsman' stands for an "officer appointed by the legislature to handle complaints against the administrative and judicial action". The Ombudsman is a statutory post and its incumbent is politically independent of the legislature. Traditionally, the appointment is based on the unanimity principle with all the political parties supporting the proposal. As an impartial investigator, the Ombudsman makes investigations, collects the facts objectively and reports back to the legislature. He has the power to inspect the courts and the administrative agencies. However, the Ombudsman's right to investigate does not automatically enable him to quash or reverse a decision, nor does he have direct control over the courts or administrative agencies. Its strength lies primarily in the wide publicity that is given to its working in the press and other forums. The Ombudsman usually takes up the cases on the complainants, appeal against an administrative decision, but he can also investigate on his own initiative. Being the most simple, speedy and cheap method of handling appeals against administrative decisions, the system of Ombudsman is the most popular institutional device around the world serving as a bulwark of democratic government against the tyranny of officialdom.

27.5.2 Administrative courts

Another institutional device for the redressal of citizens' grievance is the French system of Administrative Courts which enjoy a separate identity and are placed in an important position in the hierarchy of courts. A distinction is made between acts for which a government servant is personally liable and can be sued in the ordinary courts and those which are the results of administrative faults. It is the latter class of faults that come under the jurisdiction of appropriate administrative courts. These courts are empowered to either annul administrative decisions or recognise the existence of a subjective right which the administration has damaged and obtain appropriate redressal. The gradual spread of this French institution to Greece, Belgium, Turkey etc. is a testimony of its efficacy.

27.5.3 Procurator

The prevalence of these institutional devices for redressal of citizens grievance is by no means confined to liberal democratic politics. Socialist countries like the USSR, Czechoslovakia, Hungary, Poland and Romania have their own institutions called the Procurator system. It generally consists of a central apparatus and a number of offices. An affected citizen has the right to move the procuracy which in turn will advice the authority concerned to initiate action, It can also process cases on its own. The procuracy takes the responsibility to process the complaints submitted and thus ensures the observance of legality at all levels of administration.

Coming back to countries like India, the Executive is even stronger than is the case in the developed Western societies. This is largely a result of increased tempo of developmental activities since the attainment of independence and also due to the colonial legacy. While on the one hand, the administrative agencies are proliferating in the course of development, on the other they have yet to overcome the colonial hangover. We frequently notice the tendency of the administrative system to concentrate on power rather than on service, and therefore it continues to carry the elitist and

isolationist posture. Tuned essentially to the needs of the imperial regime in the past the Indian administration is still in the process of adjusting itself to the changed needs.

It is in this context that we have to examine the need for institutional arrangements to deal with corruption and administration injustice. Suggestions have been made from time to time by committees and commissions to bring about administrative changes and create new controlling agencies. The Santhanam Committee on Prevention of Corruption (1964), the Administrative Reforms Commission (1966) and the periodic Law Commissions are a few examples in this direction. The Santanam Committee Report thought it necessary to devise adequate methods of control over the exercise of discretion by different categories of government servants. Based on its recommendations, vigilance commissions were set up at the Centre in 1964, and in various States later. Vigilance cells have also been created in several Government departments and public sector undertakings to check corruption. Let us briefly discuss the set up of the Central Vigilance Commission now.

27.5.4 Central Vigilance Commission

The Central Vigilance Commission is headed by a Commissioner appointed by the President of India. He is assisted by secretarial and technical staff. It receives complaints directly from the aggrieved persons and also through press reports, audit reports, allegations made by Members of Parliament etc. On receiving complaints the Commission may refer the matter to the Ministry or department concerned or direct the Central Bureau of Investigation (CBI) to register and investigate the case. The jurisdiction of the Commission is presently limited to gazetted officers of equivalent status. Of course the Central Vigilance Commission is certainly no substitute for an Ombudsman. It is virtually an extension of the bureaucratic apparatus of the Central Government. Moreover its operations are curtailed by the over-powering Ministries and political forces. The Administrative Reforms Commission of 1966 took up, on priority the matter of redressal of citizens grievances and found the Ombudsman a *Sine Qua non* for an effective functioning of democracy. The Commission, therefore, recommended a two tier machinery of Lok Pal and Lok Ayukta for redressing citizens' grievances. The former was to deal with complaints against the Ministers and Secretaries to the Government at the Centre and also in the State. The latter located at the centre and also in the States would attend to complaints against the rest of the bureaucracy. The legislation for the institutions of Lokpal and Lokayukta were introduced in Parliament in 1968 and again in 1971. However, all of them lapsed with dissolution of the respective Parliaments. A Bill introduced on the same issue in 1990 is before Parliament.

27.5.5 Lok Ayukta

Some of the State in India have created institutions resembling the Ombudsman. For instance, Maharashtra in 1971, Rajasthan and Bihar in 1973 had set up Lok Ayukta institutions primarily to check corruption, administrative delay and a host of other maladies afflicting the system. A thorough study covering all aspects of the impact of these new institutions is yet to be conducted.

The Andhra Pradesh Government has enacted a Law in 1983 setting up the Lok Ayukta with powers to enquire into allegations of corruption against Ministers, employees etc. Simultaneously, the Government has also set up the Dharma Maha Matra to check corruption among higher civil servants. Consequent to the operational problems between Lok Ayukta and Dharma Maha Matra, the latter has been abolished. Let us now discuss the powers and functions of Lok Ayukta in Andhra Pradesh.

The Government of Andhra Pradesh created the institution of Lok Ayukta and Upa Lok Ayukta in 1983, primarily to check corruption. It is invested with powers to enquire into allegations of corruption, redtapism as well as cases of nepotism in administration. Its jurisdiction covers the entire state of Andhra Pradesh. All the ministers (other than the Chief Minister) present or past for the state of

Andhra Pradesh including Ministers of State and Deputy Ministers or a Parliamentary Secretary came under the purview of the Lok Ayukta. Besides all the Chairmen of Zilla Parishads, Mayors of municipal corporations, the chairmen of municipal councils, Chairmen of corporations, companies, Co-operative societies come under the scope of Lok Ayukta. Officers drawing above Rs. 1150/- also come under the sphere of Lok Ayukta.

The Governor appoints the Lok Ayukta and Upa Lok Ayukta in consultation with the Chief Justice of the High Court. According to the Lok Ayukta Act the person appointed as Lok Ayukta should be a Judge or a retired Chief Justice of a High Court. Upa Lok Ayukta is appointed from among the Grade I District Judges out of five names forwarded by the Chief Justice of the High Court of Andhra Pradesh.

The Lok Ayukta and Upa Lok Ayukta should not hold any office of profit or be a member of either House of Parliament or legislature and should not be a member of any political party before he joins the office.

The tenure of Lok Ayukta and Upa Lok Ayukta is of five years. They are ineligible for reappointment and are further barred from taking employment either in government or any local authority, corporation or government company or society.

The Governor is empowered to remove the Lok Ayukta and Upa Lok Ayukta on grounds of mis-behaviour or incapacity after an enquiry. The State Legislature too can recommend their removal to the Governor if a resolution is passed to that effect supported by two thirds of the members of the house.

Check your progress – Exercise No. 4

1. Match the following:

A	B	
(a) Ombudsman	(1) India	()
(b) Administrative Courts	(2) India	()
(c) Procurator	(3) Sweden	()
(d) Central vigilance commission	(4) USSR	()
(e) Lok Ayukta	(5) France	()

2. How does the Ombudsman function?

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3. Name the countries which have Administrative courts ?

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4. What are the committees/commissions in India that suggested the creation of new controlling agencies ?

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5. Who recommended a two tier machinery in India for redressing citizens' grievances ?

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6. What are the powers of the Lok Ayukta of Andhra Pradesh ?

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7. Match the following :

A	B
(a) Maharastra	(1) 1983
(b) Rajasthan	(2) 1973
(c) Bihar	(3) 1971
(d) Andhra Pradesh	(4) 1973

27.6 SUMMING UP

Thus several institutional experiments have been made at different levels at the Centre, in the States but the problem of redressal of citizens' grievances still remains largely unresolved. The dissatisfaction with the functioning of governmental departments is seen especially at the point where government meets the people. Corruption, inefficiency and insensitivity of administration continues to be unabated. The Ombudsman type of institution ensures a certain degree of administrative efficiency so that most cases of citizens are generally dealt with fairly and promptly by the regular machines such as administrative agencies and the judiciary, where the normal administration is faulty, slow moving and corrupt. The Ombudsman is likely to be drowned in piles of cases pushed to him due to general incompetence and dishonesty below. The administrative Reforms Commission has rightly pointed out that the setting up of these authorities is not the complete answer to the problem of redressal of citizens' grievances. They only provide the ultimate set up for such redressal as has not been available through the normal governmental machinery and do not absolve the department from its obligations to citizens for administering its affairs without generating, as far as possible, any legitimate sense of grievances.

27.7 ANSWERS TO CHECK YOUR PROGRESS

Exercise No 1

1. People in a democracy are given the right to choose the representatives periodically. It implies that they can reject those representatives and parties who do not reach their expectations.
2. People do interact in a democracy with the administrative systems. The impact of administrative systems is felt by them. Some sort of control over administration by the citizens over administration is necessary to check the negative effects of administration.

Exercise No. 2

1. (1) Specificity (2) Universalism and (3) Affective neutrality
2. Peter Blau, Katz, Elsenstadt, Janowitz are some of the writers who studied the relationship between administration and clientele.
3. Universalism stands for equal treatment being meted out to a defined group according to specified rules.

Exercise No. 3

1. See 27.4.
2. The Ombudsman, the Administrative Courts and the Procurator are some of the important institutions devised in the world to enable citizens' to exercise control over administration.

Exercise No. 4

1. a = 3, b = 5, c = 4, d = 2, e = 1
2. He takes up the cases on the complaints and appeal against an administrative decision. He can also investigate on his own initiative.
3. France, Greece, Belgium and Turkey are some countries which have Administrative Courts.
4. The Santhanam Committee, the Administrative Reforms Commission and the periodic Law Commissions have suggested the creation of new controlling agencies in India.
5. The Administrative Reforms Commission
6. He has powers to enquire into allegations of corruption, and mal-administration in administration.
7. a = 3, b = 4, c = 2, d = 1

27.8 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each.

1. State the need for citizens' control over Administration.
2. Describe the powers and functions of Lok Ayukta in Andhra Pradesh.

II. Answer the following in about 15 lines each.

1. What are the conceptual issues that arise in the relationship between administration and citizens?
2. Why do you think that the administrative system should be responsive to the citizens' needs?

27.9 REFERENCE BOOKS

1. Avasthi & Maheswari Public Administration, Laxmi Narain Aggarwal, Agra, 1984.
2. Mohit Bhattacharya Public Administration, The World Press, Calcutta, 1981.
3. R. B. Jain Contemporary Issues in Indian Administration, Vishal Publications, New Delhi, 1976.

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UNIT – 28 : LEGISLATIVE CONTROL OVER ADMINISTRATION

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- 28.0 Objectives
- 28.1 Meaning and Importance
- 28.2 Methods of Control in Parliamentary System
 - 28.2.1 Questions
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- 28.3 Methods of Control in Presidential system
- 28.4 Limitations and Effectiveness
- 28.5 Summing Up
- 28.6 Answers to Check Your Progress
- 28.7 Model Examination Questions
- 28.8 Reference Books

28.0 OBJECTIVES

In this unit we would be discussing the place, significance and methods of legislative control over administration. After going through the unit you would be able to:

- identify the need for legislative control;
- differentiate between the methods in vogue in parliamentary and presidential governments; and
- sketch the limitations.

28.1 MEANING AND IMPORTANCE

Legislative Control is one form of external control over Administration. Broadly speaking, the Legislature exercises its control over Administration through formulation of policies, enactment of laws including their amendment and repeal, power over the purse which includes raising the revenues and granting supplies and 'overall direction, supervision and control of public administration'. The aim of Legislative Control is to channelise energy and power towards goals based upon a widely popular consent reflected in party support that lies behind and connects the legislative majority that has enacted the statute.

It is but natural that in a democracy, the administration is accountable to the Legislature which consists of the representatives elected by the people. The legislature should have sufficient opportunities to ventilate the grievances of the public and take the administration to task for its various acts of omission and commission. In the absence of this, it can be stated that the legislature would not realise its own mandate from the people who represent the ultimate sovereign. Administration implements the laws enacted by the Legislature and operationalises the policies laid down by it. In this context the Legislature must ensure, through its various devices of control that the administration's activities reflect the Legislature's intent. Legislative control over administration

implies the Government's (in effect, the Administration's) obligation 'to elucidate and justify its policies and actions to the Legislature and also afford opportunities to its members to comment, repudiate, modify or initiate new policy measures'.

The methods of control vary according to the type of the Government – Parliamentary or Presidential. In the Parliamentary system, the de facto Chief Executive i.e., the Council of Ministers headed by the Prime Minister/Chief Minister form part of the Legislature and is responsible to it, individually. The Executive, in its turn holds the administrative officials in the Ministries/Departments accountable for carrying their responsibilities. (It may be pointed out in this connection that the Secretaries to the Government are subordinate to the respective Ministers). This is called Executive Control over Administration. In other words, in the Parliamentary system, the public officials are responsible to the Legislature only indirectly.

Check Your Progress – Exercise No.1

1. How does legislature exercise control over administration in a broad sense ?

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2. Who is the de facto Chief Executive in the Parliamentary system ?

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28.2 METHODS OF CONTROL IN PARLIAMENTARY SYSTEM

The important methods of legislative control over administration in Parliamentary system of Government are several and can be conveniently studied under three heads viz., (i) Control through Questions, Motions and Debates: (ii) Control over the Public purse and (iii) Control through Committees.

28.2.1 Questions

The business of the Legislature in the Parliamentary system of Government generally starts with the 'Question Hour' which is interesting and informative. Members can put questions to Ministers on a variety of matters pertaining to the Government and the Administration seeking information, drawing attention to the lapses and misuse of authority or seeking clarifications or policy statements from the Minister. "Every administrative action may provoke a question, every question, an adjournment debate, and every adjournment a full dress debate or discussion". The legislators are also allowed to put supplementary questions. These supplementaries, in a way, test the grip of the Minister on his Ministry. There are however, certain limitations regarding the admissibility of the questions by the Presiding Officer. Further, the Minister may refuse to answer a question either in the 'public interest' or if the matter is subjudice, etc. That way questions are a potent weapon to exercise a political check on Minister and to 'discipline the Administration. In other words. Administration is conducted with

the full knowledge and awareness of its responsibility to the Legislature and the public at large. According to W.B. Munro a Parliamentary question is worthy to be ranked with trial by jury and writ of Habeas Corpus. Further, the question hour enables the Government to quickly feel the pulse of the nation, gauge the public reaction to its policies and administration and adapt its policies to suit the changing requirements. That way, it can be stated that the Parliamentary question is an important device to make public administration more public-open and people-oriented. Its effect is to keep the whole of the civil service on its toes.

28.2.2 Adjournment Motions

A member of the Legislature can raise the matter of urgent public importance, by interrupting the regular business of the Legislature. Matters like police firings, strikes by organised employees or lockouts by employers and other 'law and order' situations, concentration of troops by neighbouring countries, are generally raised through Adjournment Motions. That is why administrative officials have to be very vigilant and act cautiously more so when the Legislature is in session.

28.2.3 Debates and Discussions

There are very important devices for the Legislature 'to examine and scrutinize the administrative activities and the operational efficiency of the Government agencies'. Members of the Legislature comment upon and criticise the various policies and programmes of the Government as also the activities of the administration in pursuance of these. The president's speech or the Governor's speech in the States in India and the Speech 'from the throne' in Britain, the introduction of a Bill or the amendment of an existing Act and presentation of the Annual Budget, provide valuable opportunities for the Legislature to have a full dress debate extending to two or three days. Administrative lapses, cases of maladministration, injustices perpetrated by the Administration apart from the inefficient functioning of administrators in certain vital spheres, are brought to light in these discussions. The utility of these debates and discussions lies in the fact that what is said and done is exposed to the public gaze. In addition to the debates and discussions as mentioned already, in India, there is provision for (a) a Half-hour discussion and (b) a short discussion (two hour discussion). During the discussion, the Legislature may extract more information on a matter of policy from the Government, or may put pressure on the Government to modify the policy in accordance with its wishes.

28.2.4 Calling Attention Motions

Through this device, peculiar to Indian Legislatures, a member of the Legislature may call the attention of a Minister to a matter of urgent public importance with a request to make a statement thereon.

28.2.5 No-Confidence Motions

A vote of no-confidence or a censure motion can be moved against the Council of Ministers as a whole, or individual Ministers by the Lower house of the Legislature like the Lok Sabha. This can be moved to express regret, displeasure or indignation of the house against the policies of the Government or acts of Ministers or both. In its very nature, it is political and is used more as a threat. It provides yet another opportunity to take the Government and the Administration to task for their various acts of omission and commission.

28.2.6 Control over the purse

Control over the public purse—public revenues and public expenditure—constitute the most important segment of Legislative Control over Administration. The control exercised is of two types namely, Budgetary Control and post-Budgetary Control (exercised through the Parliamentary financial

Committees). The Budgetary Control usually comprises of five stages (1) Presentation of the Budget, (2) General discussion on the Budget, (3) voting on demands for grants (only in the Lower House). (4) consideration and passing of the Appropriation Bill, and (5) consideration and passing of the Finance bill. The presentation of the Budget is a formality. The general discussion enables most of the members to comment upon the overall economic and financial policies of the Government and provides a valuable opportunity to represent the grievances of the people as regards the policies of the Government and activities of the Administration. Voting on demands for grants is crucial. The Lower House can assent, reduce or reject the demand but cannot increase it. Even if a single demand is not voted, it amounts to a vote of no confidence. Further, while moving the demands in the House, the Minister explains the policies and working of the Department under his charge. The members of the Legislature comment, criticise and suggest changes in the working of the Department for better administration and optimal utilisation of the resources. The Appropriation Bill gives legal authorisation to draw money from the Consolidated Fund. Taxation proposals are embodied in the Finance Bill. The taxes can be reduced or even abolished but cannot be increased. In Britain, which has also the Parliamentary system of government, a similar procedure exists but with slight modifications. Voting on demands for grants and taxes is done in the committee of the Whole House by the Committee of Supply and Committee of Ways and Means respectively. The Budget speech is made afterwards when the revenue part of the budget is introduced in the Committee on Ways and Means. Despite such discussion in the Legislature, the demands for grants, the Appropriation Bill and the Finance Bill are sure to be passed in view of the majority support commanded by the ruling party in the Lower House of the Legislature. Although the Budget comes out of the Legislature with few modifications in respect of taxation proposals, the real value lies in the Budget prepared by the Administration at the instance of the Executive which is subjected to Legislative scrutiny. Incidentally this provides some more opportunities to the Legislature to point out the defects of the Administration and to discipline it to a certain extent.

28.2.7 Control through Committees

Apart from the enactment of the budget, the Legislature exercises its control over finances through its Financial Committees viz., the Public Estimates Committee, the Public Accounts Committee and the Committee on Public Undertakings. The Estimates Committee acts like a continuous economy committee. It mainly concerns itself with the suggestions on economy and the form of estimates and would not generally meddle with policies. It exerts a healthy influence upon the course of public expenditure. The knowledge that the estimates of expenditure of the Government would be examined by an independent authority acts as a deterrent to extravagance in public expenditure. In India, the Estimates Committee consists of 30 members elected by the Lok Sabha and its Chairman is nominated by the Speaker. It functions as a select committee at the House for the detailed examination of the estimates of the various Ministries and Departments.

The Public Accounts Committee serves as a machinery by the Legislature to see that the amounts voted by it are spent properly for the very same purposes provided by it. In this context, it examines the audit report of the Comptroller and Auditor-General who assists it in the discharge of its functions. The power of the public Accounts Committee is indirect and lies nominally in the potential results of its reports and in the publicity which it is able to give to questions it investigates and the moral effects of its criticism. In India, it consists of 22 members, 15 from the Lok Sabha and 7 from the Rajya Sabha elected by the members from among themselves. The Chairman is nominated by the Speaker. As a convention, the Chairman is chosen from the opposition party.

The Committee on Public Undertakings has come as an offshoot of the enormous growth of public undertakings. It consists of 15 members, 10 from the Lok Sabha and 5 from the Rajya Sabha. It examines the reports of public undertakings and also the reports of the Comptroller and Auditor-General of India relating to public undertakings. It examines whether their affairs are being managed on the basis of sound managerial principles and prudent commercial practices.

Apart from the three Parliamentary Financial Committees, there are other committees like Committee on Government Assurances, Committee on subordinate Legislation and the Committee on Petitions which are also tools of Legislative control over Administration. In this connection mention may be made of the Committee on Government Assurances which scrutinises the promises, assurances, etc., made or given by the Ministers on the floor of the House from time to time and examines the extent and course of their implementation. The Government and the Administration are kept alert to implement the assurances effectively in the time specified. The Committee on Subordinate Legislation scrutinises the regulations, rules, subrules and bye-laws made by the Administration in pursuance of the laws. This is an effective control mechanism to check the rule-making power of the Administration under the authority of the Legislature.

Check Your Progress – Exercise No. 2

1. When can a Minister refuse to answer a question ?

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2. What is the effect of question hour ?

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3. What are the matters that can be raised under Adjournment Motion ?

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4. What aspects of administration may be brought to light through discussions ?

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5. What is the objective of no-confidence motion ?

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6. What are the Financial Committees of the Parliament through which the Parliament exercises control over administration ?

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7. What are the functions of the Public Accounts Committee ?

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8. What are the other Committees of Parliament through which control is exercised over administration ?

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9. What are the functions of the committee on Government Assurances ?

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28.3 METHODS OF CONTROL IN THE PRESIDENTIAL SYSTEM

The principal methods of Legislative Control over Administration in this system are :

1. Statutory definition of the organisation, powers and duties of the administrative authorities;
2. Legislature laying down policies, methods and procedure;
3. Legislature sanctioning public expenditure through appropriation acts, fixing the purposes and amounts of expenditure, passing tax legislation, examining the accounts and audit: review and approval or disapproval of budgetary requests;
4. Legislature's (congressional) investigation i.e., appointing Legislative Committees – standing or select committees – for investigation of Administration's programmes:

5. Confirming or rejecting the appointment of high-ranking officials like departmental heads, Ambassadors and Ministers (These are done by the President, with the advice and consent of the Senate);
6. Requiring administrators to report either past action or future plans to Committees of Congress or to Congress as a whole which Fellex A. Nigro Calls 'the concept of co-directorship'.

It could thus be seen that the methods of Legislative Control over Administration in the Presidential form of Government are quite different from those available under the Parliamentary system. Firstly, in the Presidential system of Government based on 'separation of powers', the Executive is independent of the Legislature and is not directly responsible to it. Secondly, the U.S. President and his Secretaries are not members of the Congress and do not attend its meetings. Naturally, control devices like Questions and Motions are conspicuous by their absence. Thirdly, details of administrative organisation are laid down by the Legislature. Its role in financial administration like approval of the Budget is greater than under the Parliamentary system of Government. Fourthly, the power of Legislative investigations is a much-used tool of control. It has been stated that numerous Legislative investigations have spurred administrative agencies to function more effectively.

Check Your Progress – Exercise No. 3

1. What are the differences between the methods of legislative control over administration in the Presidential and parliamentary systems ?

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28.4 LIMITATIONS AND EFFECTIVENESS

Although Legislative Control over Administration is substantial, it is mostly political in its nature. There are several limitations to Legislative Control over Administration. Firstly, in view of the increase in the range, volume and complexity of Administration, the initiative as regards policy formulation has in most cases passed on to the Executive. From them it has, to a considerable extent, slipped into the hands of Civil Servants. Secondly, by its very nature modern administration is becoming increasingly technical and specialised while the legislators are mostly laymen. Many legislators, particularly the new entrants, do not fully comprehend the intricacies of administration, procedural formalities and the rules of legislative business and the technicalities of financial administration. Thirdly, the legislature's control over Administration is not continuous as it is not in session throughout the year. There has been an increasing tendency, particularly in some States in India, to avoid Legislative sessions to the extent possible. Fifthly, there is an increase in the volume of Government business in the Legislature. Most of the Bills introduced in the Legislature are Government Bills. Very few private members' Bills are introduced or have a chance of being enacted without the support of the Government. Sixthly, in financial matters, the Executive alone has the initiative (in the Parliamentary type of Government). The Budget that is introduced in the Legislature comes out more or less in same shape as it is introduced. Lastly, in view of party loyalties, the issue of the 'whip' by the ruling party, and the Executive's power to dissolve the Lower House (in the Parliamentary type of government) Parliamentary control becomes ineffective. In the light of these limitations, it is believed by some that Legislative control over Administration amounts to all barking and no biting.

Despite such limitations, the Legislative control over Administration is effective in its own way. It was already pointed out how the control devices of Question and Motions are effective in influencing the policies and actions of the Administration and in adopting them to suit the changing requirements of the people. It was also noticed that Legislative control, to a certain extent disciplines the Administration. The control exercised through the Legislature's Financial Committees like the Estimate Committee is salutary indeed. The permanent officials appear before these Committees and have to answer their queries. There is a sort of face-to-face contact here. The numerous reports of the Public Accounts Committee and the Estimates Committee bear ample testimony to the effectiveness of the popular control over Administration.

Check Your Progress – Exercise No. 4

1. What are the limitations to legislative control over administration ?

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28.5 SUMMING UP

In a democracy, Legislative control over administration assumes great importance because the Legislature consists of representatives elected by the people. In other words, through the various Legislative control devices it can be ensured that the administration's activities reflect the legislature's intent. In the very nature of things, the methods of control and their effectiveness vary according to the type of Government. In the Parliamentary system, for instance, Legislative control through the devices of Questions, Motions and Debates is considered very important. R.B Jain mentions three case studies viz., Government's price policy for sugarcane and sugar, cotton and cotton textiles and food grains to illustrate the occasions when the Parliament has been able to influence its outcomes in respect of some important economic matters of concern. No doubt, its role has more of an 'influence' and less as an initiator of policies. On the other hand, in the Presidential type of Government, Legislative investigation is considered as an effective control device in making the Administrative agencies function effectively.

However, one need to be cautioned about excessive Legislative control. Paul Appleby points out that the Legislative criticism of small decisions on the part of the administration "greatly aggravates an excessive tendency in the bureaucracy to avoid taking responsibility for decisions and going ahead to get things done". In other words, this fear of Legislative criticism acts as a great inhibiting factor to bureaucratic initiative and dynamism.

It may, thus, be stated that the Legislative control over Administration should not be sweeping and excessive, stalling the initiative of the civil servants in the decision making and implementation process. It may be pointed out that the success of democracy depends on the harmonious co-operation between the lay politician and the expert civil servant.

28.6 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. In a broad sense the legislature exercises control over administration through formulation of policies, enactment of laws, power over the purse etc.

2. The Council of Ministers

Exercise No. 2

1. He can refuse to answer a question either in public interest or if the matter is subjudice.
2. It is a potent weapon to exercise a political check on ministers and to discipline the administration.
3. Matters like police firing, strikes, lockouts, law and order situations can be raised through adjournment motion.
4. Administrative lapses, cases of maladministration, injustices, inefficient functioning of administration can be brought to light through discussions.
5. This can be moved to express regret, displeasure or indignation of house against the policies of the government.
6. Public Estimates Committee (PEC), Public Accounts Committee (PAC) and the Committee on Public Undertakings (CPU)
7. It has to see that the amounts voted by the Parliament are spent properly for the very same purpose for which it provided it.
8. The other committees of Parliament which exercise control over administration on behalf of Parliament are – Committee on Government Assurances, Committee on Sub-ordinate Legislation and the Committee on Petitions.
9. The committee on Government assurances scrutinizes the promises, assurances etc., made or given by the ministers on the floor of the house from time to time. It also examines the extent and the force of their implementation.

Exercise No. 3

1. In the Presidential system, the Executive is independent of the Legislature. The President and his Secretaries (in the USA) are not members of the Congress. The power of legislative investigations is a much used to control. In a Parliamentary form of government the Executive is a part of Legislature. The Ministers are first Members of the Parliament then they become Ministers.

Exercise No. 4

1. See 28.4.

28.7 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each.

1. Briefly describe the methods of legislative control over administration in a Parliamentary democracy.
2. Explain the limitations on legislative control over Administration.

II. Answer the following in about 15 lines each

1. Do you think that the legislative control over administration is necessary ?
2. Explain the various methods of legislative control in a Presidential system.

28.8 REFERENCE BOOKS

1. Avasthi & Maheshwari Public Administration, Laxmi Narain Aggarwal, Agra, 1984.
2. R. B. Jain Contemporary Issues in Indian Administration, Vishal Publications, New Delhi, 1976.
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BRAOU

UNIT – 29 : JUDICIAL CONTROL OVER ADMINISTRATION

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- 29.1 Introduction
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29.0 OBJECTIVES

The aim of this unit is to discuss methods of judicial control over administration. After going through this unit you would be able to :

- sketch the scope of judicial control;
- list the methods with explanation; and
- enumerate the limitations.

27.1 INTRODUCTION

Judicial control is yet another form of external control over administration. While the Legislative control over administration as discussed in the previous unit is predominantly intended to control public policy and public finance, the objectives of judicial control over administration are different. The judiciary ensures the legality of administrative Acts and thereby safeguards the Constitutional and other statutory rights of the citizens. Judicial control over administration means the power of the system of courts or a body of judges to examine the legality of the acts of public officials and safeguard the rights of the citizens from unlawful encroachment on their rights. According to M. P. Sharma official liability before the courts, and judicial remedies for the citizens against official excesses or abuse of power are the two faces of the same coin".

As long as there is the possibility of official error, partiality or abuse in the exercise of administrative powers, safeguarding the citizens' rights assumes as much importance as the implementation of a fundamental policy of the Government. Therefore, it is to the Judiciary, an important branch of the Government, that the citizen looks for safeguarding his rights from the onslaught of administrative Acts. Thus provision for an independent and impartial Judiciary constitutes the bedrock of a democratic system. No wonder, Lord Bryce pointed out decades ago that there is no better test of the excellence of Government than the efficiency and independence of its judicial system. Further,

in the context of the ever-expanding activities of the Government and the growing authority and discretionary powers vested in the various administrative agencies and public officials, the need to protect and safeguard the citizens' rights from encroachment, assumes significance and priority. As Earnest Freud rightly remarked that increased administrative powers call for increased safeguards against their abuses. Also, the Judiciary has a vital role to play through the instrumentality of judicial control, in securing to the citizens the objectives of liberty, equality and fraternity enshrined in constitutions like the Indian Constitution. Lastly, the Judiciary, in modern times, particularly in developing societies, has to ensure that the principle of social justice is not a mirage for the underprivileged and poverty stricken sections. In other words, they should not be left 'high and dry' at the mercy of circumstances over which they have no control. In this context, the concepts of legal aid to the poor and 'public interest litigation' assume great importance.

Thus Judicial control assumes importance in restricting the discretion and arbitrariness on the part of the Government and its administrative agencies, safeguarding the rights of the citizens, helping in the redressal of public grievances, declaring ultra vires the decisions of the Government and administrative actions in excess of their jurisdiction and promoting social justice.

Check Your Progress – Exercise No 1

1. Why does the citizen look to the judiciary ?

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2. Match the following :-

- | A | B | |
|--|------------------|-----|
| a. As a matter of fact official liability before the courts, and judicial remedy lies for the citizens against official excesses a abuse of power are the two faces of the same coin | 1. Lord Bryce | () |
| b. There is no better test of the excellence of Government than the efficiency and independence of its judicial system | 2. Earnest Freud | () |
| c. Increased administrative powers call for increased safeguards against their abuses | 3. M.P. Sharma | () |

29.2 SCOPE

It must be admitted that the courts cannot interfere in the administrative activities on their own accord even if such activities are arbitrary. They act only when their intervention is sought. Judicial intervention is restrictive in nature and is limited in its scope. Generally, judicial intervention in administrative activities is confined to the following types of cases.

i) **Lack of jurisdiction** : If any public official or administrative agency acts without or beyond his or its authority or jurisdiction the courts will declare such acts as ultra vires. For instance, according to the Service Rules in India, no Government employee shall be dismissed by an authority lower in rank than the one who appointed him. Any act of dismissal contrary to the above rule is an act lacking in jurisdiction.

ii) **Error of law** : When a Public official misconstrues the law and imposes duties and obligations which are not in accordance with the requirements of law, it is a case of error of law. The courts are empowered to set right such cases.

iii) **Error of Fact** : If public official errs in the discovery of facts and acts on wrong presumptions, it is a case of error of fact. If any citizen is adversely affected by this, he may approach the court for its intervention.

iv) **Error of procedure** : Public officials have to act in accordance with the procedure laid down by the law in the performance of the administrative activities. If the prescribed procedure is not followed, the courts intervene and question the legality of such acts.

v) **Abuse of authority** : If a public official exercises his authority vindictively to harm some person or uses his authority for personal gain, it becomes a case of abuse of authority or malfeasance. The court may punish him if he is found guilty.

29.3 LIABILITY OF THE STATE UNDER RULE OF LAW AND ADMINISTRATIVE LAW

The forms of methods of judicial control vary from country to country depending upon the type of the Constitution and the system of law. Broadly speaking, there are two alternative systems of law viz., Rule of law, and 'Droit Administrative' (administrative law) followed in democratic countries of the world. 'Rule of law' is followed in Britain, in other Commonwealth Countries including India, the U.S.A. and Belgium, and 'Administrative law' is followed in France and other continental countries like Germany and Italy. 'Rule of law' implies that every person irrespective of his status or wealth is subject to the same ordinary law of the Country under the jurisdiction of the ordinary law courts and that the official cannot take shelter under the cloak of State sovereignty in his official capacity. The State cannot be held liable for torts (civil wrong), committed by its officials even if they had done an injury to a citizen while discharging their official duties. In other words the officials themselves are personally liable for their wrongful acts. On the other hand, in countries where 'administrative law' is in vogue, the liability of the State for the wrongful act of its officials is fully established. In this system while private citizens are subject to the ordinary law courts, public officials are subject to administrative law enforced by special administrative courts. These administrative courts can award damages from the State funds to the affected persons. The advantages of the administrative law system over the rule of law system as regards safeguarding the individuals rights against the Public officials is well recognised. Gone are the times when the administrative law was dubbed 'Administrative lawlessness'. In recent time in several countries governed by the 'Rule of Law system, the liability of the State for the tortious acts of its officials is extended.

Check Your Progress – Exercise No. 2

1. What are the two alternative systems of Law ?

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2. What are the countries that follow Rule of Law ?

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3. Name some countries that do not follow Rule of Law ?

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4. What do you understand by Rule of Law ?

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5. What is the function of Administrative courts ?

29.4 METHODS

The Principal methods of Judicial Control over administration are: (i) Judicial Review, (ii) Statutory Appeals, (iii) Suits against the Government by citizen in torts or contracts, (iv) Criminal cases and Civil Suits against public officers and (v) Extraordinary Remedies.

29.4.1 Judicial Review

Judicial Review implies the power of the courts to examine the legality and constitutionality of administrative acts as regards their scope or form. This is a very important method of Judicial control.

In India, Judicial Review is restricted by certain provisions of the Constitution as well as of Acts declaring finality of administrative decision in particular matters. However it can be stated that the Legislatures in India, being non-sovereign bodies cannot exclude judicial Review in certain cases unless there is a provision to that effect in the Constitution. Generally, the courts do not interfere with purely administrative action unless it is *ultra vires* as regards its scope or from.

In Britain, Judicial Review is limited and does not extend to the entire field of administration. In view of the Parliament's sovereignty in Britain, many administrative acts and decisions are excluded from judicial review by the Parliamentary statutes. Many other administrative acts are excluded from judicial review by the courts themselves under what is called judicial self-limitation. However, it

must be noted that administrative actions can be challenged for want of jurisdiction or abuse of authority.

In America, Judicial Review, at least in theory extends to the entire field of administrative action. However, in practice, the courts in America have, by self-denial restricted their power in several ways. For instance, courts usually do not review certain types of decisions particularly concerning administrative discretion. They also hesitate to review decisions relating to the necessary functions of the Government like collection of revenues and military regulations. According to L. D. White Judicial intervention tends to be the least in cases involving public health and safety, and the greatest in cases concerned with public courts as public amenities. The power of the courts as regards Judicial Review, although not crystallised, is potentially great.

29.4.2 Statutory Appeal

This arises when the law itself provides that in a particular type of administrative action, the aggrieved party will have a right of appeal to the courts or to a higher administrative tribunal. Sometimes legislative enactment itself may provide for judicial intervention in certain matters. According to Section 11 of the Andhra Pradesh Panchayat Samithis and Zilla Parishads Act, 1959, the District Munciff is empowered to decide questions related to disqualification of members of the Panchayat Samithi.

29.4.3 Suits Against the Government

There are several limitations, varying from country to country, as regards filing suits against the Government for its contractual liability. The contractual liability of the Union and the State Governments is the same as of an individual citizen under the ordinary law of contracts, subject however to any statutory conditions of limits the Parliament can regulate under Article 300 of the Constitution. The State is liable for the tortious acts of its officials in respect of the non-sovereign functions only. In Britain, under the Crown Proceedings Act of 1947, the State is liable for torts committed by its servants i.e., public officials, subject to two exceptions. In U.S.A. subject to a few exceptions, there is no statutory provision to sue the State in tort. On the other hand, the liability of the State for the wrongful acts of its officials is fully established.

29.4.4 Suits Against Public Officials

The position regarding the public officials personal liability and suability in respect of acts done by them in their official capacity varies from country to country. In India, civil proceedings can be instituted against a public official for anything done in his official capacity after giving two months notice. When criminal proceedings are to be instituted against an official for the acts done in his official capacity, previous sanction of the Head of the State i.e., the President or the Governor is required. The President and the Governor are immune even in respect of their personal acts. Ministers, however, do not enjoy such immunity. The Monarch in Britain and the President in the U.S.A are immune from legal liability.

29.4.5 Extraordinary Remedies

Apart from the methods of Judicial Control already discussed, there are the extraordinary remedies in the nature of Writs of Habeas Corpus, Mandamus, Prohibition-Certiorari and Quo warranto. These are called extraordinary remedies because the courts grant these Writs, excepting the Writ of Habeas corpus, in their discretion and not as a matter of right and that too when no other adequate remedy is available. In India, these Writs are available under the provisions of the Constitution. While the Supreme Court is empowered to issue these Writs or orders or directives only for the enforcement of Fundamental Rights, the High Courts are empowered to issue these Writs not only for the enforcement of Fundamental Rights but also for other rights. In Britain, these are called Prerogative

Writs issued in the name of the king as the fountain head of justice. In the U.S.A. these are provided for partly by common law and partly by statute. The Writ of injunction is not specifically provided in the Constitution. However, it is issued by the Indian courts. A Writ is an order of the court enforcing compliance on the part of those against whom the Writ is issued. Some of the Writs are:

- **Habeas Corpus**

Habeas corpus literally means to have the body of. This Writ is an order issued by the court against a person who has detained another to produce the latter before the court and submit to its orders. If it is found that the person is unlawfully or illegally detained, he will be set free then and there. A friend or a relation of the detained person may also apply for this Writ on his behalf. This Writ is a great bulwark of individual freedom and can be described as the cornerstone of personal liberty. This Writ is granted as a matter of right if Prima facie, it is established that the person is unlawfully detained. Its utility is, however, restricted in India in view of the provision for preventive detention.

- **Mandamus**

If a public official fails to perform an act which is part of his public duty and thereby violates the right of an individual, he will be commanded to perform the act through this Writ. Mandamus literally means command. From the stand point of judicial control over administrative lapses, it is an effective Writ. In India, this can also be issued to compel a court or judicial tribunal to exercise its jurisdiction.

- **Prohibition**

While Mandamus commands activity, prohibition commands activity. This Writ can be issued only against judicial or quasi-judicial authorities to prevent exercise of excess of jurisdiction by a subordinate court. As such its significance as a method of judicial control over administration is limited.

- **Certiorari**

While prohibition is preventive, certiorari is remedial and curative. It literally means to be certified of. When a judicial or quasi-judicial authority has exceeded its jurisdiction, the Writ is issued to quash the order or decision of that authority. From the standpoint of Judicial Control over purely administrative acts, this Writ is not of much significance.

- **Quo Warranto**

Literally it means 'on what authority'. When any person acts in a 'public office' in which he is not entitled to act, the court, by the issue of this writ, will enquire into the legality of the claim of the person to that office. If the said claim is not well founded, he will be ousted from that office. It is, thus, a powerful instrument against the usurpation of 'public Offices'.

- **Injunction**

Injunction is of two kinds – mandatory and Preventive. Mandatory injunction resembles the Writ of Mandamus while preventive injunction resembles the Writ of Prohibition. Through this Writ, a public official can be restrained from doing a thing which, if done, would cause irreparable damage to the vested rights of individuals. This Writ can be issued to the parties in dispute whoever they may be.

Check Your Progress – Exercise No. 3

1. What do you mean by judicial review ?

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2. What do you understand by Habeas corpus ?

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3. What is the difference between Mandamus and Prohibition ?

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4. Explain the meaning of injunction.

29.5 LIMITATIONS AND EFFECTIVENESS

Judicial remedies or methods or Judicial Control, as already discussed, are very useful in providing effective control devices to check administrative excesses and protecting the liberties and other rights of the citizens. However, there are several limitations to judicial control.

1. Judicial intervention takes place only when it is sought by a person whose rights are affected or going to be affected by acts of public officials. In other words, courts move only when they are moved. Generally, people are reluctant to go to the courts in each and every case of administrative injustice. Courts review only particular cases brought before them. Therefore, it can be stated that the effect of judicial intervention on the general course of administrative activity is indirect.
2. Judicial Control is generally, a sort of post-martem control. Its intervention comes after enough mischief has already been done.
3. Courts may be statutorily prevented from exercising their jurisdiction in certain spheres. There are several administrative acts which cannot be reviewed by the courts. Under the Administration of the Evacuee Property Act, 1950, final judicial powers were vested in the Custodians and Custodian-General of Evacuee property and the courts have no jurisdiction.
4. The Judiciary itself follows a sort of self-denying Ordinance in denying to itself jurisdiction in certain purely administrative matters.

It is generally held that the judicial process is slow, cumbersome, vexatious and costwise prohibitive and is, to a large extent, beyond the reach of the common man. Cases are kept pending before the courts for years together on account of several reasons. For example, increase in the number of cases filed without adequate increase in the number of Judges and frequent adjournments sought by the legal practitioners can be cited. Thus the old adage 'justice delayed is justice denied' still holds good. The aggrieved party gets exasperated when the decision of the court comes after damage beyond repair has already been done. People may lose faith in the efficacy of judicial control.

6. The highly technical nature of the most of the activities of the administration in recent times acts as a further limitation on Judicial Control because the Judges who are only legal experts generally have no expert knowledge of technical matters.
7. In most developing societies, vast sections of the people do not have sufficient awareness of their rights, leave alone the remedies to their rights, the benefits that accrue to them and the remedies open to them. Judiciary may not be of much help to those citizens.
8. Judicial remedies, except the writs that undo the administrative excesses or inaction, are inadequate to meet the requirements. It is on account of this factor that a very small percentage of administrative excesses are brought before the courts for their intervention.

In this context, several welcome trends can be pointed out. The need for supplementing the ordinary courts with a system of administrative tribunals is well recognised. Apart from the Income tax Appellate Tribunal and the Railway Rates Tribunal, mention may be made of the A.P. Administrative Tribunal, established in 1976, to adjudicate in respect of matters like recruitment, transfer and promotion of civil services.

Check Your Progress – Exercise No 4

1. Why Judicial control is called as a post-actum control ?

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2. What do you mean by the observation that the offer of judicial intervention on the general course of administrative activity is indirect ?

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3. What steps do you suggest to make the Judicial control over administration, effective ?

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29.6 PUBLIC INTEREST LITIGATION (PIL)

In recent times, the Supreme Court and the High Court are allowing the representations and petitions from members of the public through post-cards and even newspaper editorials and letters written to the newspaper Editors as Writ Petitions. Justice is meted out to the affected parties irrespective of whether they are bonded labourers or undertrials languishing in jails for years together. This is what is called 'public Interest Litigation' (PIL). In the well-known Asiad workers case Justice Bhagwati of the Supreme Court explained its importance. "Now for the first time the portals of the court are being thrown open to the poor and the down-trodden. The courts must shed their character as upholders of the established order and the status quo. The time has now come when the courts must become the courts for the poor and struggling masses of this country".

One of the difficulties faced by the poor in approaching the courts has been the rule of standing (the locus standi doctrine) which allowed only the person wronged to sue for judicial redress. Under the new judicial policy the Supreme Court has radically modified the rule of standing with a view to allow representative suits, class actions and public interest litigation by any member of the public on behalf of the poor. In such cases, the court is concerned only with the bonafide nature of the action and, if a legal injury is noticed, it will waive even procedural requirements for initiating litigation by entertaining letters and postcards and even newspaper editorials as Writ Petitions. Naturally this policy made the courts accessible to vast sections of the poor and illiterate people of India, ensuring a truly 'Social Justice State'. In addition to the PIL, institutionalising the arrangements for providing legal aid to the poor in India need to be commended.

Check Your Progress – Exercise No 5

1. What is the locus standi doctrine or rule of standing ?

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2. What do you understand by Public Interest litigation (PIL)

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29.7 SUMMING UP

The main objective of Judicial Control is to ensure the legality of administrative Acts. In other words to check administrative excesses and to safeguard the citizens rights. In developing societies like India, the Judiciary has to play a 'pro-active' role to ensure the principle of Social Justice to the vast sections of the country particularly the under privileged citizen. the forms of judicial control vary according to the type of the Constitution and the system of law. The Administrative law and the Rule of Law, in safeguarding the individual's rights from administrative excesses is well recognised. Although there are several forms of Judicial Control under the Rule of Law system, 'Writs' are

considered more effective in undoing administrative excesses. There are several limitations to Judicial Control over administration. There are three main welcome trends in the context of making judicial control more purposive and effective. They are (a) the establishment of administrative tribunals; (b) Public Interest Litigation and (c) institutionalising the arrangements for providing legal aid to the poor through the establishment of the Legal Aid Advisory Bodies at the State and District levels and also the Legal Aid Clinics in India.

29.8 ANSWERS TO CHECK YOUR PROGRESS

Exercise No. 1

1. The citizen looks to the Judiciary for safeguarding his rights from the onslaught of administrative Acts.
2. $a = 3, b = 1, c = 2$

Exercise No. 2

1. Rule of Law and Droit Administrative (Administrative Law)
2. Britain, India, the USA, Belgium
3. France, Germany and Italy.
4. Every person is equal before law.
5. They can award damages from the State funds to the affected persons.

Exercise No. 3

1. Judicial Review means the power of the courts to examine the legality and constitutionality of administrative acts as regards their scope or form
2. It is a cornerstone of personal liberty. It means production of a person who is detained by the government before the court.
3. Mandamers commands the public officials to perform their official duties. Prohibition commands inactivity. It prevents exercise of excessive jurisdiction by a sub-ordinate court.
4. Through this Writ a Public Official can be restrained from doing a thing which if done, would cause irreparable damage to the vested rights of individuals.

Exercise No. 4

1. Judicial control starts after the mischief has already been done.
2. Courts take-up only those cases of administrative injustice which are brought before them. The effect is not on all matters but only on those cases which are brought before them.
3. Disposal of cases as quickly as possible, clearing of arrears of cases pending before the courts on priority basis through pending cases clearance year or months etc., opening of administrative tribunals, are some of the suggestions. Prevention is better than cure. It is desirable to take steps to minimise cases of administrative injustice.

Exercise No. 5

1. Locus standi doctrine allows only the persons wronged to sue for judicial redress. It does not allow representative suits.

2. The Supreme Court and High Courts are allowing the representations and petitions from the members of the Public through postcards, telegrams etc. This self-reforming judicial reforms are welcomed by one and all. This threw open the doors of the courts even to the poor and the down trodden. It does not insist on the doctrine of locus standi.

29.9 MODEL EXAMINATION QUESTIONS

I. Answer the following in about 30 lines each.

1. Examine the scope of Judicial control over administration.
2. Describe the different methods of judicial control over administration and explain their importance.

II. Answer the following in about 15 lines each.

1. What do you understand by judicial control over administration?
2. Mention the various limitations of judicial control over administration.

29.10 REFERENCE BOOKS

1. Avasthi & Maheshwari Public Administration, Laxmi Narain Aggarwal, Agra, 1984.
2. R. B. Jain Contemporary issues in Indian Administration, Vishal Publications, New Delhi, 1976.

Writer – P. Krishna Murthy

Dr. B.R.AMBEDKAR OPEN UNIVERSITY

Faculty of Social Sciences PUBLIC ADMINISTRATION

Course – ELEMENTS OF PUBLIC ADMINISTRATION

B.A., II Year SYLLABUS

Block – I	Nature of Public Administration
Unit – 1	Meaning and Scope of Public Administration
Unit – 2	Relations with other Social Sciences
Unit – 3	Importance of Public Administration in Developing Societies
Block – II	Approaches to Organization
Unit – 4	Classical Approach
Unit – 5	Human Relations Approach
Unit – 6	Behavioural Approach
Unit – 7	Ecological Approach
Unit – 8	Comparative Approach
Unit – 9	Development Approach
Unit – 10	Social Psychological Approach : Theory X and Theory Y
Block – III	Public Organization : Principles
Unit – 11	Division of Work
Unit – 12	Coordination
Unit – 13	Hierarchy
Unit – 14	Unity of Command
Unit – 15	Span of Control
Unit – 16	Line & Staff Agencies
Unit – 17	Centralization and Decentralization
Unit – 18	Leadership
Unit – 19	Communication
Unit – 20	Supervision
Unit – 21	Public Relations
Unit – 22	Planning
Block – IV	Bureaucracy
Unit – 23	Bureaucracy : Weber's Ideas
Unit – 24	Marx and Bureaucracy
Unit – 25	Bureaucracy and Social Change
Block – V	Public Accountability
Unit – 26	Administration and Public Policy
Unit – 27	Citizens' Control Over Administration
Unit – 28	Legislative Control Over Administration
Unit – 29	Judicial Control Over Administration

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PUBLIC ADMINISTRATION
Course – I Elements of Public Administration

B.A., II Year MODEL EXAMINATION PAPER

Time : 3 Hours

Max. Marks : 100

Section – A

4 x 15 = 60

Note : Answer any FOUR of the following in about 30 lines each.

1. Explain the meaning and scope of Public Administration.
2. What is the significance of classical approach?
3. Identify the fundamental differences between Theory 'X' and Theory 'Y'.
4. Analyse the ideas of Marx on Bureaucracy.
5. Define leadership and analyse the qualities required for a good leadership.
6. How far the legislature is effective in controlling the administration ?
7. What are the recent trends in the evolution of Public Administration?
8. Write an essay on Development Administration.

Section – B

5 x 8 = 40

Note: Answer any five of the following in about 15 lines.

9. What is ecological approach?
10. Examine the relationship between politics and administration.
11. Write a note on span of control.
12. What are the assumptions of behavioural approach ?
13. State the advantages of division of work.
14. Describe various kinds of staff agencies?
15. What is the significance of coordination?
16. State the relationship between Public Administration and Economics.
17. What is human relations approach?
18. What is the role of public relations in administration?

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PUBLIC ADMINISTRATION
Course – I Elements of Public Administration

B.A., II Year

ASSIGNMENT – I

Time : 2 Hours

Note :

1. Do not copy the answer directly from any of the books.
2. As far as possible, try to answer the questions independently in your own words.
3. If it is necessary to quote from any source, give the correct reference.
4. Use your own foolscap pages for writing the assignment.
5. Leave sufficient margin for the comments of the evaluators.
6. Completion of this assignment normally should not take more than an hour's time.

Part – A

I. Answer the following in about 30 lines each.

1. Explain the meaning, nature and scope of public administration.
2. Explain the relationship between public administration and political science.
3. Critically examine the classical approach.

Part – B

II. Answer the following in about 5 lines each.

1. State the characteristic features of prismatic society.
2. State the criticism on comparative administration.
3. Findings of Hawthorne studies.

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B.A., II Year

ASSIGNMENT – II

Time : 2 Hours

Note :

1. Do not copy the answer directly from any of the books.
2. As far as possible, try to answer the questions independently in your own words.
3. If it is necessary to quote from any source, give the correct reference.
4. Use your own foolscap pages for writing the assignment.
5. Leave sufficient margin for the comments of the evaluators.
6. Completion of this assignment normally should not take more than an hour's time.

Part – A

- I. Answer the following in about 30 lines each.**
1. Compare and contrast theory X and theory Y.
 2. Explain the factors that govern centralization and decentralization.
 3. Critically assess the importance of principles of organisation.

Part – B

II. Answer the following in about 15 lines each.

1. Write a note on 'zone of indifference'.
2. Techniques of co-ordination.
3. Factors responsible for work division.

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Course – I Elements of Public Administration
B.A.. II Year

ASSIGNMENT – III

Time : 2 Hours

Note :

1. Do not copy the answer directly from any of the books.
2. As far as possible, try to answer the questions independently in your own words.
3. If it is necessary to quote from any source, give the correct reference.
4. Use your own foolscap pages for writing the assignment.
5. Leave sufficient margin for the comments of the evaluators.
6. Completion of this assignment normally should not take more than an hour's time.

Part – A

I. Answer the following in about 20 lines each.

1. Discuss the characteristic features of Weberian concept of Bureaucracy.
2. Explain the methods of legislative control over administration.
3. Examine the role of bureaucracy in social change.

Part – B

II. Answer the following in about 15 lines each.

1. Hindrances to effective communication.
2. Public Interest Litigation (PIL)
3. Differences between publicity and propaganda.

BRAOU

BR. BRAOU
2020/10/18

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