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STUDY MATERIAL

for

POLITICAL SCIENCE V: PUBLIC ADMINISTRATION

Prepared as per the syllabus prescribed by Karnataka State Law University (KSLU), Hubballi

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KLE SOCIETYS LAW COLLEGE, BENGALURU
POLITICAL SCIENCE- V
PUBLIC ADMINISTRATION
II BALLB – IV SEM

UNIT I

PUBLIC ADMINISTRATION

<u>**SYNOPSIS**</u>

- ❖ **Introduction**
- ❖ **Meaning and Definition**
- ❖ **Nature of Public Administration**
- ❖ **Scope of Public Administration**
- ❖ **Difference between Public and Private Administration**
- ❖ **Similarities between Public and Private Administration**
- ❖ **Importance**
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INTRODUCTION

Administration as an activity is as old as society itself. But as an area of study it originated, with the publication of Wilson's essay on study of Administration in 1887. As a process, administration occurs in both public and private organisations. It occurs in such diverse institution as settings as a business firm, labour unions, religious or charitable organisations, educational institutions, etc. Its nature is affected by the sphere with which it is concerned. Administration is commonly divided into two types, Public and Private Administration. As an aspect of government activity, it has existed since the emergence of political system(s). While public administration relates to the activities carried out by government, private administration refers to the management of private business enterprises. It is important to understand the functioning of administration for on this lies the understanding of the government. In this Unit an effort has been made to bring the concept of administration, public administration in particular, closer to you. This understanding will take you through the entire course of Public Administration. In what follows, we will examine the meaning, nature and scope of public administration.

The word 'administer' is derived from the Latin word administered, which means to care for or to look after people, to manage affairs. Administration may be defined as "group activity which involves cooperation and coordination for the purpose of achieving desired goals or objectives".

Broadly speaking, the term administration appears to bear at least four different meanings or different senses depending upon the context in which it is used:

(1) As a Discipline: The name of a branch of learning or intellectual discipline as taught and studied in colleges and universities.

(2) As a Vocation: Type of work/trade or profession/occupation, especially one that involves knowledge and training in a branch of advance learning.

(3) As a Process: The sum total of activities undertaken to implement Public Policy or policies to produce some services or goods.

(4) As a Synonym for 'word' Executive or Government: Such other body of persons in supreme charge of affairs, for example, Modi Administration, Trump Administration, etc.

Noted below are definitions by a few famous writers.

E.N. Gladden "Administration is a long and slightly pompous word, but it has a humble meaning, for it means to care for or look after people, to manage affairs…. is determined action taken in pursuit of conscious purpose".

Brooks Adams "Administration is the capacity of coordinating many, and often conflicting, social energies in a single organism, so adroitly that they shall operate as a unity.

Felix A. Nigro "Administration is the organisation and use of men and materials to accomplish a purpose".

J.M. Pfiffner and R. Presthus "Administration is the organisation and direction of human and material resources to achieve desired ends".

L.D. White "The art of administration is the direction, co-ordination and control of many persons to achieve some purpose or objective".

Luther Gullick "Administration has to do with getting things done, with the accomplishment of defined objectives".

F.M. Marx "Administration is determined action taken in pursuit of a conscious purpose. It is the systematic ordering of affairs and the calculated use of resources, aimed at making those things happen which one wants to happen and foretelling everything to the country".

Herbert Simon, D.W. Smithburg and V.A. Thompson "In its broadest sense, the administration can be defined as the activities of group cooperating to accomplish common goals."

A brief analysis of the definitions listed above reveals that administration comprises two essentials, namely (1) cooperative effort, and (2) pursuit of common objectives. One does not find any administration if there is only a common purpose without a collective effort or vice-versa. Administration is also called a 'technology of social relationships. Thus, administration is a process common to all group effort, public or private, civil or military, large scale or small scale. It is process at work in a department store, a bank, a university, a high school, a railroad, a hospital, a hotel or a local government.

ADMINISTRATION, ORGANISATION AND MANAGEMENT

Before we discuss about the meaning, definition, nature, scope and importance of public administration we will try to know what is administration, organisation and management. As these terms are often used interchangeably and synonymously, it is pertinent to know the differences and distinctions between these three terms.

According to William Schulze Administration is the force, which lays down the object for which an organisation and its management are to strive and the broad policies under which they are to operate.

An Organisation is a combination of the necessary human beings, materials, tools, equipment and working space, appurtenances brought together in systematic and effective co-relation to accomplish some desired object.

Management is that which leads guides and directs an organisation for the accomplishment of pre-determined object.

To put the above in simple terms, administration sets the goal, management strives to attain it and organisation is the machine of the management for the attainment of the ends determined by the administration.

Some scholars have a different view about the administration and management. According to Peter Drucker management is associated with the business activity, which has to show economic performance, whereas administration is associated with the non-business activities like activities of the Government.

The other view is that administration is associated with performing routine things in known settings in accordance with certain procedures, rules, and regulations. The Management is associated with performing functions like risk taking, dynamic, creative and innovative functions.

Some scholars of Public Administration are closely associated with the first view that is, administration is a determinative function. Management, on other hand is an executive function that is primarily concerned with carrying out the broad policies laid down by the administration. Organisation is the machinery through which coordination is established between administration and management.

DEFINING PUBLIC ADMINISTRATION

L.D. White observes that although public administration varies in form and objects, and although the administration of public and private affairs differs at many points, there is an underlying similarity, if not identity. As an integral aspect of such generic concept, public administration could be related to that type of administration, which operates within a specific ecological setting. It is a means to carry out the policy decisions made by political executive.

To be seen along with it is the 'Public' aspect of Public administration, which attributes a special character and focus to it. 'Public' can be looked at formally to mean 'government'. So, public administration is government administration, government in action, or a socio-economic and politico-administrative confluence, the focus being especially on public bureaucracy. Encyclopaedia Britannica defines public administration as 'the application of a policy of a state through its government.'

Public Administration, therefore, refers to that part of administration, which pertains to the administrative activities of the government.

Now we will try to look into the definitions of Public Administration provided by various scholars. Woodrow Wilson Public administration is the detailed and systematic application of law. Every particular application of law is an act of administration.

L.D. White "Public administration consists of all those operations having for their purpose the fulfilment or enforcement of public policy". As per White, this definition covers a multitude of particular operations in many fields the delivery of a letter, the sale of public land, the negotiation of a treaty, the award of compensation to an injured workman, the quarantine of a

sick child, the removal of litter from a park, manufacturing uranium 235, and licensing the use of atomic energy. It includes military as well as civil affairs, much of the work of courts, and all the special fields of government activity-police, education, health, construction of public works, conservation, social security, and many others. The conduct of public affairs in advanced civilisations requires the employment of almost every profession and skill-engineering, law, medicine, and teaching; the crafts, the technical specialties, the office skills, and many others.

Percy Mc Queen Public administration is related to the operations of government whether local or central.

Luther Gulick Public administration is that part of the science of administration, which has to do with the government; it concerns itself primarily with the executive branch where the work of the government is done; though there are obviously problems also in connection with the legislative and judicial branches.

J.M Pfiffner "Administration consists of getting the work of government done by coordinating the efforts of people so that they can work together to accomplish their set tasks".

Nicholas Henry "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 requisites of the citizenry".

The traditional definitions of Public Administration, which are given above reflect the view that the Public Administration is only involved in carrying out the policies and programmes of the government. It reflect that it has no role in policy making and also locates the administration in the executive branch but today the term public administration is used in a broader sense that it is not only involved in carrying out the programmes of the government, but it also plays an important role in policy formulation and covers the three branches of the government. In this context, we may reflect on the definition offered by F.A. Nigro and L.G. Nigro. According to them Public Administration:

In this context we can reflect the definition offered by F.A. Nigro and L.G. Nigro. According to them Public Administration:

• is co-operative group effort in a public setting;

• covers all three branches-executive, legislative, and judicial, and their inter-relationships;

• has an important role in the formulation of public policy and is thus a part of the political process;

• is different in significant ways from private administration; and

• is closely associated with numerous private groups and individuals in providing services to the community". In sum, public administration:

• is the non-political public bureaucracy operating in a political system;

 • Deals with the ends of the State, the sovereign will, the public interests and laws;

• is the business side of government and as such concerned with policy execution, but it is also concerned with policy-making;

• covers all three branches of government, although it tends to be concentrated in the executive branch;

• provides regulatory and service functions to the people in order to attain good life;

• differs significantly from private administration, especially in its emphasis on the public; and

• is interdisciplinary in nature as it draws upon other social sciences like political science, economics and sociology.

NATURE OF PUBLIC ADMINISTRATION

There are two views regarding the Nature of Public Administration, that is, Integral and Managerial.

 According to the integral view, 'administration' is the sum total of all the activities – manual, clerical, managerial, etc., which are undertaken to realise the objectives of the organisation. In this view all the acts of officials of the government from the Attendant to the Secretaries to the government and Head of the State constitute Public Administration. Henri Fayol and L.D. White are the supporters of this view.

According to the managerial view of administration, the managerial activities of people who are involved in planning, organising, commanding, coordinating and controlling constitute Public Administration. This view regards administration as getting things done and not doing things. Luther Gullick, Herbert Simon, Smithburg and Thompson are the supporters of this view. The managerial view excludes Public Administration from non-managerial activities such as manual, clerical and technical activities.

The two views differ from each other in many ways. According to Prof. M.P. Sharma the difference between the two views is fundamental. The integral view includes the activities of all the persons engaged in administration whereas the managerial view restricts itself only to the activities of the few persons at the top. The integral view depicts all types of activities from manual to managerial, from nontechnical to technical whereas the managerial view takes into account only the managerial activities in an organisation. Furthermore, administration, according to the integral view would differ from one sphere to another depending upon the subject matter, but whereas that will not be the case according to the managerial point of view because the managerial view is identified with the managerial techniques common to all the fields of administration.

The difference between the two views relates to the difference between management and operation or we may say between getting things done and doing things. The correct meaning of the term administration would however, depend upon the context in which it is used. Dimock, Dimock and Koening sum up in the following words:

"As a study public administration examines every aspect of government's efforts to discharge the laws and to give effect to public policy; as a process, it is all the steps taken between the time an enforcement agency assumes jurisdiction and the last break is placed (but includes also that agency's participation, if any, in the formulation of the programme in the first place); and as a vocation, it is organising and directing the activities of others in a public agency."

SCOPE OF PUBLIC ADMINISTRATION

By the scope of Public Administration, we mean the major concerns of Public Administration as an activity and as a discipline.

Scope of Public Administration as an activity broadly speaking, Public Administration embraces all the activities of the government. Hence as an activity the scope of public administration is no less than the scope of state activity. In the modern welfare state people

expect many things – a wide variety of services and protection from the government. In this context public administration provides a number of welfare and social security services to the people. Besides, it has to manage government owned industries and regulate private industries. Public administration covers every area and activity within the ambit public policy. Thus, the scope of public administration is very wide in modern state.

Scope of Public Administration as a Discipline The scope of public administration as a discipline, that is subject of studies, comprises of the following:

The POSDCoRB view several writers have defined the scope of public administration in varying terms. Gullick sums up the scope of the subject by the letters of the word POSDCoRB which denote: Planning, Organisation, Staffing, Directing, Co-ordinating reporting the Budgeting. Planning means the working out in broad outline the things to be done, the methods to be adopted to accomplish the purpose.

Organisation means the establishment of the formal structure of authority through which the work is sub-divided, arranged, defined and coordinated.

Staffing means the recruitment and training of the personnel and their conditions of work.

Directing means making decisions and issuing orders and instructions.

Coordinating means inter-relating the work of various divisions, sections and other parts of the organisation.

Reporting means informing the superiors within the agency to whom the executive is responsible about what is going on.

Budgeting means fiscal planning, control and accounting.

According to Gullick the POSDCoRB activities are common to all organisations. They are the common problems of management which are found in different agencies regardless of the nature of the work they do.

POSDCoRB gives unity, certainty, and definiteness and makes the study more systematic. The critics pointed out that the POSDCoRB activities were neither the whole of administration, nor even the most important part of it. The POSDCoRB view overlooks the fact that deferent agencies are faced with different administrative problems, which are peculiar to the nature of the services, they render and the functions they performed. The POSDCoRB view takes into

consideration only the common techniques of the administration and ignores the study of the 'subject matter' with which the agency is concerned. A major defect is that the POSDCoRB view does not contain any reference to the formulation and implementation of the policy. Therefore, the scope of administration is defined very narrowly, being too inward looking and too conscious of the top management.

The Subject Matter View

We all know that public administration deals not only with the processes but also with the substantive matters of administration, such as Defence, Law and Order, Education, Public Health, Agriculture, Public Works, Social Security, Justice, Welfare, etc. These services require not only POSDCoRB techniques but also have important specialised techniques of their own which are not covered by POSDCoRB techniques. For example, if you take Police Administration it has its own techniques in crime detection, maintenance of Law and Order, etc., which are much and more vital to efficient police work, than the formal principles of organisation, personnel management, coordination or finance and it is the same with other services too. Therefore, the study of public administration should deal with both the processes (that is POSDCoRB techniques and the substantive concerns). We conclude the scope of public administration with the statement of Lewis Meriam: "Public administration is an instrument with two blades like a pair of scissors. One blade may be knowledge of the field covered by POSDCoRB, the other blade is knowledge of the subject matter in which these techniques are applied. Both blades must be good to make an effective tool".

We may conclude the discussion with the observation of Herbert Simon who says that Public administration has two important aspects, namely deciding and doing things. The first provides the basis for the second. One cannot conceive of any discipline without thinking or deciding. Thus, Public administration is a broad-ranging and an amorphous combination of theory and practice.

PUBLIC AND PRIVATE ADMINISTRATION

The major concern of administration is to properly organise men and material for achieving desired ends. As a co-operative group activity, administration is truly universal and operates in all types of public and private organisations. In other words, administration occurs in both public and private institutional settings. Its nature depends upon the nature of the setting and goals with which it is concerned. On the basis of the nature of the institutional setting, public

administration can be roughly distinguished from private administration. Public administration is governmental administration concerned with achieving state purposes, determined by the state. Private administration, on the other hand is, concerned with administration of private business organisation and is distinct from public administration. Let us elaborate this

Distinction between public and private administration John Gaus, Ludivig Von Mises, Paul H. Appleby, Sir Josia Stamp, Herbert A. Simon, Peter Drucker, etc., in their writings, have made distinction between public and private administration.

According to Simon, the distinction between public and private administration relates mainly to three points:

• Public administration is bureaucratic whereas private administration is business like;

• Public administration is political where as private administration is non-political; and

• Public administration is characterised by red-tape where as private administration is free from it.

Felix A. Nigro has pointed out that government is also different from private organisation, as no private company can equal to it in size and diversity of activities.

According to Sir Josiah Stamp, the four principles, which differentiate public from private administration, are:

• Principle of Uniformity: Common and uniform laws and regulations mostly regulate public Administration.

• Principle of External Financial Control: the representatives of the people through a legislative body control Government revenues and heads of expenditure.

• Principle of Ministerial Responsibility: Public administration is accountable to its political masters and through them to the people.

• Principle of marginal Return: The main objective of a business venture is profit; however small it may be. However, most of the objectives of public administration can neither be measured in money terms nor checked by accountancy methods.

According to Paul H. Appleby public administration is different from private administration. He remarks, "In broad terms the governmental function and attitude have at least three

complementary aspects that go to differentiate government from all other institutions and activities: breadth of scope, impact and consideration; public accountability; political character. No non-governmental institution has the breadth of government.

Appleby notes that the political character of Public Administration differentiates it from private administration. Public Administration is subject to political direction and control. This is the primary distinction between the two. He further argues, "Administration is politics since it must be responsive to the public interest. It is necessary to emphasise the fact that popular political processes, which are the essence of democracy, can only work through governmental organisation, and that all governmental organisations are not merely administrative entities, they are and must be political organisms."

Appleby reflects further on the distinction between public and private administration in the context of public accountability "Government administration differs from all other administrative work to a degree not even faintly realised outside, by virtue of its public nature, the way in which it is subject to public scrutiny and outcry. This interest often runs to details of administrative action that in private business would never be of concern other than inside the organisation.

According to Appleby private administration cannot claim the breadth of scope, impact and consideration of the public administration. He observes, "The organised government impinges upon and is affected by practically everything that exists or moves in our society. It involves policies and actions of immense complexity. Its fullest possible understanding requires the wisdom of many specialists as well as the key participants in public and private life.

The more important distinguishing features of Public administration may be described under the following sub-heads:

Political Direction: Public administration is political, while private administration is non-political, public administration takes place in a political context.

Absence of profit motive: The absence of profit motive from the Public administration is another feature, which distinguishes it from the private administration. The primary purpose of governmental organisation is to provide services to the people and promote social good.

Prestige: Public administrators who serve in the Government enjoy high status and prestige in comparison to their counterparts in private enterprises especially developing countries.

Public Gaze: All the actions of public administration are exposed to wide public gaze because the public closely watches it. This does not happen in private administration.

Service and Cost: Most governments spend more money than their income or revenues. That is the reason for finding generally a deficit budget that is, expenditure exceeding income. Conversely, private administration income often exceeds expenditure without which they cannot survive.

Legal framework: Public administration operates within a legal framework. It is rule oriented. The responsibilities of public administrators are fixed by a set of constitutional practices, laws and regulations. Government officials are obliged to act within their legal powers and not outside the law.

Consistency of treatment: A government official is required by law to maintain a high degree of consistency in his dealings with the public. He has to observe the principle of equality of treatment in serving the people. It is a legal obligation to not to discriminate against any person.

Public accountability: Public accountability is the hallmark of Public administration in a democracy. Public administration is responsible to the public, though not directly but indirectly through political executive, legislature, judiciary, etc.

Large-scale administration: Public administration is large-scale administration. It is said that almost anything under the sun is directly or indirectly under the domain of public administration. It is by all means larger than any big private concern in terms of size., complexity and diversity of activities.

Monopolistic and Essential Services: In the field of public administration, there is generally a monopoly of the government and it does not generally allow private parties to compete with it. For example, no person or bodies of persons are allowed to establish or perform functions related to public services like national security, foreign relations, law and order, mint and currency, as these are the exclusive fields of the government and thoroughly important for the community and polity to prosper.

Officials remain Anonymous: In public administration, even the most senior officials remain anonymous and their identity is not disclosed. This is so because whatever they do, they do in the name of the government and not in their own name.

Financial meticulousness: Public administration has to be very careful in financial matters because it is working as custodian of people's money.

Lower level of Efficiency: Efficiency is said to be the cornerstone of any organisation. However, due to varied responsibilities, lack of effective control, less accountability, involvement of a large number of levels and job security of employees, efficiency has not been there in public organisations to the effect desired. When compared to private administration, one finds that the degree of efficiency in public organisations is at a lower level. With profit as the major motive coupled with excessive control and flexibility in personnel administration the level of efficiency in private organisations is much higher.

Similarities between Public and Private Administration

Scholars like Henry Fayol, Mary P. Follet and L. Urwick do not make a distinction between public and private administration. The classical writers held the view that public and private administrations are the undifferentiated members of the genus administration. Henri Foyal, for example, says that there is only one administrative science, which can be applied equally well to public and private sectors. In his address in the Second International Congress of Administrative Science, Fayol remarked, "The meaning which I have given to the word administration and which has been generally adopted, broadens considerably the field of administrative sciences. It embraces not only the public service but also enterprises of every size and description, of every form and every purpose. All undertakings require planning, organisation, command, co-ordination and control and in order to function properly, all must observe the same general principles. We are no longer confronted with several administrative sciences but with one which can be applied equally well to public and to private affairs".

The following similarities between the two types of administration may be noted:

1. Both public and business administration rely on common skills, techniques and procedures.

2. In modern times the principle of profit motive is not peculiar to private administration, because it is now accepted as a laudable objective for public sector enterprises also.

3. In personnel management, the private organisations have been influenced greatly by the practices of public organisations.

4. The private concerns are also subjected to many legal constraints. Government is exercising much control over business firms through regulatory legislation such as taxation, monetary and licensing policies, etc. Consequently, they are not as free as they once used to be.

5. There is a similar type of hierarchy and management systems, both in public and private sectors. Both have same kind of organisation structure, superior – subordinate relationships, etc.

6. Both Public and private administration carries on continuous efforts to improve their internal working and also for efficient delivery of services to people or customers.

7. Public and private administration serves the people, whether being called clients or customers. Both have to maintain close contact with people to inform about their services and also to get feedback about services and product. In both the cases, public relations help them to inform and improve their services to the people.

The preceding discussion shows that the distinction between public and private administration is not absolute. In fact, they are becoming more and more alike in many respects. However, it does not mean that there are no significant differences between these two types of administration. Waldo observes that Public administration is distinct because it reflects the peculiar characteristics of government activity and the public setting in which it functions.

Given the wide acceptance of the ideas of liberalisation, privatisation and globalisation, both public and private administrations have to compete in the same area to provide services to people. Here both are dealing with customers, who pay for their services, in such a situation it narrows down the differences between the public and private administration. New Public Management, which has come into prominence, recently, puts emphasis on managerial techniques, which are to be adopted by public administration for the efficient delivery of public services. But in providing public services in the field of social and welfare areas there exists a difference between public and private administration

With this brief characterisation, it could be stated that both public and private administration are placed in different environments. But this difference is more apparent than real. According to Waldo, The generalisation which distinguish public administration from private administration by special care for equality of treatment, legal authorisation of, and responsibility of action, public justification of decisions, financial probity and meticulousness, etc. are of very limited applicability," In fact public and private administrations are the "two

species of the same genus, but they have special values and techniques of their own which give to each its distinctive character.

IMPORTANCE OF PUBLIC ADMINISTRATION

We will be discussing the importance of public administration as a specialised subject of study and later the role and importance of public administration in the modern society.

Importance of Public Administration as Specialised Subject of Study

The study of administration assumed significance, according to Woodrow Wilson, as a consequence to the increasing complexities of society, growing functions of state and growth of governments on democratic lines. This exhaustive list of functions made to think as to 'how' and in what 'directions' these functions should be effectively performed. To this Wilson suggested that there was a need to reform the government in the administrative field. As per Wilson, the object of administrative study is to discover what government can properly and successfully does and how it can do these things with utmost efficiency and the least possible cost either of money or of energy.

The importance of public administration as a specialised subject can be attributed to the following reasons:

• One of the important reasons is the practical concern that the government today has to work towards the public interest. The first and foremost objective of public administration is to efficiently deliver public services. In this context, Wilsonian definition of the subject as efficiency promoting and pragmatic field was the first explicitly articulated statement on the importance of a separate discipline of public administration. During the first half of the preceding century, a number of countries have appointed committees to look into the problems of administration and recommended suitable administrative machinery to respond to diverse public needs. The Haldane Committee Report (1919) in Britain; the President's Committee on Administrative Management (1937) in the United States; A.D. Gorwala Committee's and Paul H. Appleby's Reports in India are some of the examples of the efforts by various countries to make changes in public administration. During the last four decades also, a number of reports, produced by committees/commissions appointed by governments in various countries or multilateral agencies, and books published by scholars have enriched the discipline and provided new perspectives to public administration to tune it to the changing needs of the times. They include: Report of the Committee on the Civil Services (Fulton Committee Report, U.K.,

1968); various reports of the Administrative Reforms Commission (India, 1967-72); Reinventing Government (U.S.A., look by David Orborne and Ted Gabler, 1992), Governance and sustainable Development (UNDP, 1997) and World Development Report: Building Institutions for Markets (The World Bank, 2002).

• Administration is looked at, in the social science perspective, as a cooperative and social activity. Hence the concern of academic inquiry would be to understand the impact of government policies and operations on society. What kind of society do the policies envisage; To what extent administrative action is non-discriminatory; How is public administration functioning and what are the immediate and long-term effects of governmental action on the social structure, the economy and polity; etc. are questions requiring careful analysis. From the social science perspective, public administration, as a discipline, has to draw on a variety of sister disciplines such as History, Sociology, Economics, Geography, Philosophy, Psychology, etc., with the objective to explain and not just to prescribe.

• Public administration has a special status in the developing countries. Many of these countries, after independence from the colonial rule have stressed upon speedy socio – economic development. Obviously, these countries have to rely on government for speedy development. The latter requires a public administration to be organised and effectively operated for increasing productivity quickly. Likewise, social welfare activities have to be effectively executed. These aspects have given birth to the new sub-discipline of development administration. The emergence of development administration is indicative of a felt need for a body of knowledge about how to study the third world administration and at the same time to bring about speedy socio-economic development with government's intervention. Development administration has therefore, emerged as a sub-discipline to serve the cause of development.

• Public administration, as witnessed holds a place of significance in the lives of people. It touches them at every step. For most of their needs, the citizens depend upon public administration. In view of the important role of public administration in the lives of people, the citizens of a country cannot ignore. Therefore, its teaching should become a part of the curriculum of educational institutions. People must get to know about the structure of government, the activities it undertakes and the manner in which these are actually performed. The study of public administration will contribute to the realisation of the values of citizenship.

Importance of Public Administration as an Activity

The contemporary age, which has witnessed the emergence of 'Administrative State', public administration has become an essential part of society and a dominant factor. The functions it is called upon to perform, have expanded in scope and nature, and what is more, are continually increasing. Many of them are more positive in nature because they care for the essential requirements of human life, be it health, education, recreation, sanitation, social security or others. It is, therefore, a creative factor, with its motto being 'human welfare'. These functions are over and above its regulatory functions. The viewpoints of eminent scholars, as referred to below, amply reflect the significance of public administration.

Woodrow Wilson: "Administration is the most obvious part of government; it is government in action, it is the executive, the operative and the most visible side of the government.

Brooke Adams: "Administration is an important human faculty because its chief function is to facilitate social change and to cushion the stock of social revolution".

W.B. Donham, 'If our civilization fails, it will be mainly because of breakdown of administration'.

Paul H. Appleby: 'Administration is the basis of government. No government can exist without administration. Without administration government would be a discussion club, if indeed, it could exist at all'.

The role of public administration in various facets is noted below:

• Basis of the Government: A Government can exist without a legislature or an independent judiciary. But no Government can exist without administration.

• An instrument for providing services: Public administration is mainly concerned with the performance of various activities performed by government in the public interest. Felix A. Nigro aptly remarks, "The real core of administration is the basic service which is performed for the public".

• An instrument for implementing policies: Modern governments go a long way in formulating and adopting sound policies laws and regulations. It should not be forgotten that such policies, laws, etc. are not merely printed papers. Such paper declarations of intent are translated into reality by public administration thus converting words into action and form into substance.

• A stabilising force in society: Public administration is a major force for bringing stability in society. It has been observed that though government often changes, but violent change is seldom experienced by administration. An element of continuity between the old and the new orders is provided by public administration. It does not hold true only of constitutional changes of government in democratic countries, but is also reflected when there are revolutionary changes in the form and character of government.

• An instrument of social change and economic development: Public administration's role as a change agent is particularly crucial in developing nations. It is expected of the state at present to work for accelerating socio-economic change and not to be a passive agency to maintain the status quo.

• Technical Character: The present-day government is expected to provide various services to its population. The increase in the number of functions undertaken by the government requires highly specialised, professional and technical, services. Modern public administration usually represents a galaxy of all of a nation's occupations.

According Gerald Caiden public administration has assumed the following crucial roles in contemporary modern society:

• Preservation of polity;

• Maintenance of stability and order;

• Institutionalisation of Socio-Economic changes;

• Management of large-scale commercial services;

• Ensuring growth and economic development;

• Protection of the weaker sections of society;

• Formation of public opinion; and

• Influencing Public policies.

The points mentioned below summarise the reasons for the growing importance of public administration:

• Emergence of Welfare and Democratic state Emergence of welfare and democratic state has led to an increase in the activities of public administration compared to that of the laissez-faire state. The state has to now serve all sections of people in the society. This amount to enhanced responsibilities of public administration. Public administration is also to regulate and control private economic enterprises to meet the objectives of the state.

• Industrial Revolution The industrial revolution gave rise to socio-economic problems making the government to assume new roles and responsibilities such as protection and promotion of the rights of workers in industrial establishments, etc. Consequently, the state has 20 enacted a number of Industrial and Labour laws and it is imperative for public administration to implement such laws in order to meet the requirements of labour welfare.

• Scientific and Technological Development Scientific and technological developments have brought about welcome additions in infrastructure such as power, transport and communication system. The invention of telephone, telegraph and other mechanical devices such as typewriter, tele-printer, and calculators, photocopying machines, computers, fax and the electronic mail has brought revolutionary changes in office administration. All these have made possible 'big government' and 'large scale administration'. Besides changing the ethos and character of public administration, the revolution in information and communication technologies have contributed to improved delivery of services to people.

• Economic Planning Centralised economic planning has been pursued in many developing countries as a method for socio-economic development. It requires a large number of experts and elaborate administrative machinery for plan formulation, implementation, monitoring, and evaluation. Apart from the reasons cited the rapid growth of population, modern warfare, increase in natural and manmade disasters, decline in social harmony, increase in violence due to conflicts, communal riots, ethnic wars, terrorism, etc. have increased the importance of public administration.

It goes without saying that public administration is not only the operative but also the most obvious part of the government. It is government in action and occupies a significant place not merely as an instrument of governance but also as an important mechanism for preserving and promoting the welfare of community. It has substantive impact upon the life of the people. It is a vital process charged with implementation of pre-determined, welfare oriented, and developmental objectives.

ROLE OF PUBLIC ADMINISTRATION UNDER LIBERALISATION, PRIVATISATION AND GLOBALISATION (LPG)

Since the 1980s a number of countries, have been influenced by the concept of liberalisation, privatisation and globalisation. In the 1980s India has also started the process of liberalisation, privatisation and globalisation (LPG). One form of LPG has entrusted the management of public sector enterprises partially or fully to private companies. Another form of LPG is disinvestment in public sector enterprises, which is followed in India. As a result of this the public sector enterprises find themselves in a competitive and challenging environment. However, the role of public administration under LPG continues to quite significant. It requires dismantling of a regime of regulations, controls, restrictions, licences, secrecy and delay. The bureaucracy has to play an investor friendly, responsive, transparent, open and competitive role. So, this requires necessary administrative reform, which should aim at elimination of redundant practices, procedures, administrative laws and corruption. Thus, the policy of LPG affects the role, values and skills of public bureaucracy. It also decreases the scope of the functions of the state, resulting in minimum of state interference in the lives of the individuals. The state is called upon to oversee the operational side of the enterprises. This gives the state a new role as regulator.

Today, the role of public administration is towards more of governance, then of direct involvement. The public administration has to play enabling, collaborative, cooperative, partnership and regulatory roles. Coming to the core areas such as defence, atomic energy, law and order, foreign policy it has a direct role to play. In certain other areas such as telecommunications, airlines, insurance, etc., it has to compete with the private sector, for which there should be regulatory commissions to provide for equal level playing fields for both the sectors. There are other areas which it can have partnership with the citizens for efficient delivery of services, for example, maintenance of schools, hospitals, irrigation water and civic amenities. An example we can give is the 'Bhagidari Scheme' adopted by the Delhi Government. In certain areas like electricity, water and transport it can have partnership with the private sector. A number of states have partnership with the private sector in providing these services. Other such areas are protection of forests, empowerment of women, micro credit, health schemes, and awareness programmes, it can have partnership with the Non-Governmental (NGO) and Voluntary Organisations.

In analysing the emerging role of public administration in the new millennium, we are dealing with governance. And governance implies that public administration has to operate in a wider context and coordinate efforts and activities of the governmental agencies at various levels with that of the market/the private sector, civil society groups, NGOs and contextual participant or elected local government bodies, self-help groups, etc. The role and character of public administration had seen a major transformation. Although it appears that its directly handled operations have declined in some of the non-traditional areas, public administration has to provide synergy and direction for many collaborative, cooperative and regulatory activities with other segments of the society. The accent is also on promotion of greater public participation. Yet, it is still accountable for the outcomes of all the activities in which it participates directly or indirectly.

CONCLUSION

In the preceding text, the importance of Public Administration as a discipline and as an activity has been discussed. Subsequent developments in the discipline in response to both practical problems and academic questions have further enhanced its importance as a vibrant and meaningful field. In the contemporary world, the burden of public duties on government has been steadily increasing. It seems that public administration is indispensable because contemporary civilisation cannot progress without a sound administrative system. According to Gerald, E. Caiden "The positivistic-interventionist role of government would automatically find reactions in academic inquiry. And as history has shown, the importance of Public Administration as a discipline has been closely associated with the increasing activist role of government everywhere. In the context of the newer and the wider duties and responsibilities thrown on the state, the role of public administration is more vital and important than of almost any other branch of government. As a growing field of knowledge and practice, Public Administration has attempted to meet this challenge".

ORGANISATION

SYNOPSIS

- ❖ **Meaning and Definition**
- ❖ **Division of Labour**
- ❖ **Delegation of Authority**
- ❖ **The Scalar Principle**
- ❖ **Unity of Command**
- ❖ **Hierarchy**
- ❖ **Span of Control**
- ❖ **Unity of Command**

Organisation: Meaning, Process and Principles

Meaning of Organisation:

The word organisation is used and understood widely in our daily lives. The organising function is important in the managerial functions. It is the primary mechanism with which managers activate such plans.

"Organising" is the function of gathering resources, establishing orderly uses for such resources and structuring tasks to fulfil organisational plans. It includes the determination of what tasks are to be done, how the tasks are to be grouped, who is going to be responsible to do these tasks and who will make decisions about these tasks.

Organisation has been defined in a number of ways by psychologists, sociologists, management theorists as well as practitioners. A definition of organisation suggested by Chester Barnyard, a well-known management auctioneer, nearly sixty-five years ago still remains popular among organisation and management theorists.

According to him, an organisation is "a system of consciously coordinate activities or efforts of two or more persons".

In other words, a formal organisation is a cooperative system in which people gather together and formally agree to combine their efforts for a common purpose. It is important to note that

the key element in this rather simplistic definition is "conscious coordination" and it implies a degree of formal planning, division of labour, leadership and so on.

Ralph C. Paris has defined organisation in terms of people, while Oliver Sheldon, has defined it in terms of activities.

According to Davis, "Organisation is a group of people, who are cooperating under the direction of leadership for the accomplishment of common end".

According to Sheldon "Organisation is the process of so combining the work which individuals or groups have to perform with the facilities necessary for its execution, that the duties so performed provide the best channels for the effective systematic, positive and coordinated application of the available effort".

Terry defined "Organisation is the establishing of effective behavioural relationships among persons so that they may work together efficiently and gain personnel satisfaction in doing selected tasks under given environmental conditions for the purpose of achieving some goal or objective."

Koontz and O'Donnell, defined organisation as "the structural relationship by which an enterprise is bound together and the framework in which individual effort is coordinated."

Urwick defines it as "dividing up of the activities which are necessary to any purpose and arranging them in groups which are assigned to individual."

On the basis of these definition organisation is treated as a mechanism to achieve certain objectives by division of work, authority and responsibility among its members and coordinating their activities. It is structural framework within which the various efforts are coordinated and related to each other.

The Process of Organising:
The process of organising has the following steps:
1. Determination of objectives.
2. Determining activities.
3. Grouping activities.
4. Assigning duties.

5. Developing relationships.

1. Determination of Objectives:

The first step in the organising process is to determine the organisational goals and objectives. So, it is necessary to state in clear terms what the objectives are.

2. Determining Activities:

Managers prepare and analyse the activities needed to accomplish the objectives in the second stop. There may be specific activities, which are unique to the type of business that an organisation is in. Example: In the restaurant, the two major activities or tasks are cooking food and serving customers.

3. Grouping Activities:

Once the tasks have been determined, these tasks must be classified into manageable work units. This is usually done on the basis of similarity of activities. The major categories of tasks can be subdivided into smaller units to facilitate operations and supervision.

Example:

There may be different persons for taking cocktail orders, for food orders and for clearing the tables in the area of serving customers in the restaurant.

4. Assigning Duties:

After grouping the various activities into manageable units, suitable persons are selected to be assigned the duty or responsibility for each group of activities.

For example:

The purchase manager is assigned the duties relating to purchase of goods, the sales manager relating to sale of goods.

5. Developing Relationships:

It is necessary to define the relationships among the employees, when two or more people work together. Here, everyone should clearly know who is his superior from whom he has to take orders and to whom he will be answerable. This will help the smooth working of the enterprise by facilitating the delegation of responsibility and authority.

Principles of Organisation:

The following important principles of organisation are given below:

Everything you need to know about the principles of organisation. Organisation is peopled by human beings arranged in relationship with one another.

There are always chances of friction amongst them owing to misconception of authority responsibility, thereby affecting the whole enterprise adversely.

Though such misconceptions are inevitable, they can be minimised. Several management theorists have studied this problem and through their observations, investigations, analysis and experience, have put forward some "principles" for creating a sound organisation.

Some of the principles of organisation are: -

1. Delegation of Authority 2. The Scalar Principle 3. Unity of Command 4. Principle of Objective 5. Principle of Division of Labour or Specialisation or Principles of Departmentation 6. Principle of Unity of Efforts 7. Principle of Authority 8. Principle of Responsibility 9. Principle of Definition 10. Principle of Co-Extensiveness

11. Span of Management 12. Principle of Balance 13. Principle of Continuity and Flexibility 14. Principle of Span of Control 15. Principle of Scalar Chain 16. Principle of Absoluteness of Responsibility and a Few Others.

Additionally, some of the cardinal principles of a sound organisation are: -

1. Align Departmental Objectives to Corporate Goals 2. Cost-Effective Operations 3. Optimum Number of Subordinates 4. Specialisation 5. Define Authority 6. Flow of Authority 7. Manage via Exceptional Cases

8. Ensure One Employee, One Superior 9. One Head and One Plan 10. Define Responsibility 11. Commensurate Authority and Responsibility 12. Attain Balance 13. Ensure Flexibility 14. Provide for Continuity.

Principles of Organisation: Division of Labour, Delegation, Scalar Principle, Coordination, Flexibility, Efficiency and a Few Others

Principles of Organisation – 4 key Principles: Division of Labour, Delegation of Authority, The Scalar Principle and Unity of Command

There are four key principles of organisation. Let us discuss them one by one.

Principle # 1. Division of Labour:

Division of labour (also called the principle of specialization) was first highlighted by Plato in 350 BC when he compared the workmanship of people in small cities with their counterparts in big cities.

The application of division of labour principle can be found in contemporary organisations. The assembly lines in automotive manufacturing have work stations in a sequence and on each work station; a worker performs a highly specialized task. For example, on one work station, a worker fits the head lights to the chassis of the car which comes before his work station on a moving conveyor.

This principle of specialization has major advantages in the form of increased productivity and decreased per unit cost of production for products having less variety. However, it has

disadvantages like monotony on part of workers who feel bored of doing the same task over and over again.

This anomaly can be overcome by job rotation of workers (e.g. assigning them to different work stations after every few months) and by job enrichment (e.g. by adding some supervisory duties to the task set of a worker).

Principle # 2. Delegation of Authority:

Authority refers to the rights inherent in a managerial position to give orders and expect the orders to be obeyed. Delegation of authority is the process by which managers allocate authority downward to the people who report to them.

Delegation of authority should be accompanied with responsibility and accountability on part of the manager to whom the authority has been delegated. The manager should feel responsible or obliged to perform the duties assigned to him while using the authority vested in him. Similarly, the manager should be made accountable for the resources consumed by him in the discharge of duties.

When authority is suitably delegated, it leads to empowerment, in that the people have the freedom to contribute ideas and perform their jobs in the best possible ways.

Principle # 3. The Scalar Principle:

The scalar principle states that there should be a clear and unbroken chain of command or line of authority from the top level of hierarchy to the lowest level by including all intermediate levels. If deprived of such an unbroken chain of command, the benefits of delegation would not be reaped to the fullest possible extent by the organization.

Schermerhorn (2005) contends that higher the number of levels in the hierarchy of the organisation, the overhead costs increase, the communication flow slows down, decision-making becomes tardy and worst of all, the organization may lose contact with the customer. Therefore, a shorter chain of command is preferable by way of lesser number of hierarchy levels in an organization.

Principle # 4. Unity of Command:

Unity of command is another classical management principle which recommends that every individual in the organisation should report to a single boss. This is necessary to avoid confusion on part of the individual if s/he receives directions and orders from more than one superior. The situation may get even more complicated if the individual receives (at times conflicting) instructions from his/her boss and also from the boss's boss.

In contemporary organisations, however, there is relatively less unity of command due to cross-functional teams, matrix organization structures etc. There are however other benefits in such

cases which offset against the confusion resulting due to lesser/lack of unity of command in such scenarios.

Principles of Organisation – Cardinal Principles of a Sound Organisation

The following are the cardinal principles of a sound organisation:

a. Align departmental objectives to corporate goals – It is to be ensured that the objectives of different departments in the organisation are unified and aligned to the corporate goals.

b. Cost-effective operations – An organisation is said to be efficient if it can achieve the goals at the lowest costs and with minimum undesirable consequences.

c. Optimum number of subordinates – In each managerial position, there is a limit to the number of persons an individual can effectively manage. The optimum number will depend on various factors such as efficiency of the superior and subordinates, the nature of work—routine or special, responsibility, and so on.

d. Specialisation – Similar activities are grouped together to ensure better performance of the work and efficiency at each level.

e. Define authority – The authority and responsibility relationships underlying each position in the organisation have to be defined clearly to avoid confusion or misinterpretation.

f. Flow of authority – This refers to the line of authority from the top management in an enterprise to other levels. If this is clear, then the terms of responsibility also can be understood. Further, this will strengthen the flow of communication to different levels in the organisation.

g. Manage via exceptional cases – An organisation should be geared in such a way that manager's attention is drawn only to exceptional problems. In other words, a system (such as – organisation manuals) should be developed to take care of routine administration.

h. Ensure one employee, one superior – Each subordinate should have only one superior. There should not be any room for conflict of command.

i. One head and one plan – Every group of activities with common objective should be handled by one person and one plan. If handled by different persons, the organisation may lose direction.

j. Define responsibility – A superior is responsible for the omissions and commissions of his subordinates and at the same time the subordinates must be held responsible to their superiors for the performance of the work assigned.

k. Commensurate authority and responsibility – Authority is the right instituted in a position to exercise discretion in making decisions affecting others. The manager occupying that position

exercises the authority. Responsibility is the willingness on the part of the employee to be bound by the results.

The authority and responsibility should always be commensurate and coextensive with each other. In other words, if the authority is less than the responsibility, the manager cannot deliver performance of the task and similarly, if the responsibility is less than the authority, the employee may go berserk and unchecked. In other words, the manager cannot discharge his responsibility for want of necessary authority to execute the work assigned.

l. Attain balance – Every organisation needs to be a balanced one. There are several factors such as – decentralisation of authority, delegation of authority, departmentation, span of control, and others, that have to be balanced to ensure the overall effectiveness of the structure in meeting the organisational objectives.

m. Ensure flexibility – The more the flexible structures, the better is the scope to be successful. The principle of contingency endorses this. Where the organisation procedures are cumbersome or rigid, it is necessary to develop an in-built mechanism to forecast any type of constraint.

n. Provide for continuity – The organisation structure should provide for the continuation of activities. There cannot be any breakdown in the activities of the organisation for the reasons such as – a change in the policies or retirement or death of any key employee in the organisation.

Principles of Organisation – 10 Principles of Organisation according to Urwick

Organisation is peopled by human beings arranged in relationship with one another. There are always chances of friction amongst them owing to misconception of authority responsibility, thereby affecting the whole enterprise adversely. Though such misconceptions are inevitable, they can be minimised.

Several management theorists have studied this problem and through their observations, investigations, analysis and experience, have put forward some "principles" for creating a sound organisation. Taylor, Fayol and Urwick have embodied their experience into a set of principles; especially Urwick has laid down a set of "Ten Principles" as a measure of sound organisation.

These principles are:

1. Principle of Objective:

The organisation as a whole as well as its parts must have a clear-cut idea about the objectives of an enterprise. Every organisation is evolved for a specific purpose. It does not exist in a vacuum. Every part of the organisation and the organisation as a whole must be geared to the objectives laid down for the enterprise. This will secure unit of objectives.

2. Principle of Division of Labour or Specialisation or Principles of Departmentation:

The workload is so divided that each member of the organisation is called upon to perform a single function. Overburdening as well as entailing diverse duties must be avoided. Aptitude of the employee must be considered while assigning him a specific job. If a man fits into a job, his productivity enhances.

It thereby maximises the productivity of an enterprise as a whole. Most efficient break down of activities reflecting proper departmentalisation is a must for a sound organisation. The term "departmentation" stands for the division and classification of an industrial enterprise into several distinct departments or sections.

It helps in fixing definite responsibility, in measuring the efficiency of each functional performance, in drawing departmental budgets accurately, in obtaining true departmental costs in manpower planning and in controlling the whole spectrum of activities of the organised unit.

3. Principle of Unity of Efforts:

For the good performance of different activities, the enterprise itself is divided into a number of divisions, departments and sections. Though there are different divisions, departments and sections carrying out specific activities, all these activities ultimately aim at bringing the unity of efforts. Coordination is necessary there to move in the direction of the given objectives. It will avoid bottlenecks, frictions, conflicts and rivalries.

4. Principle of Authority:

The chain of command, i.e., the line of authority, must be well defined so that every subordinate knows who is his superior. The authority of different individuals, at different levels, must be spelt out. Who shall take a decision, issue instructions, recruit staff, control work, must be fixed in advance.

Then only can the work be carried out by the subordinates as planned. There should never be confusion as to whom to report or refer to for decisions. There are different levels of authority in an organisational structure from the top executive to the worker.

The scalar principle maintains that these levels represent gradation of distributed authority, each successive level downward representing a decreasing amount of authority, a decreasing

scope of authority and often a different kind of authority. This is important in the sense that it sheds light on the way in which the different parts of an organisation are created and held together. Moreover, it also helps in understanding the authority relationships in the organisation.

5. Principle of Responsibility:

A superior is always responsible for the success or failure of his subordinates. It means the responsibility can never be delegated, though authority can percolate from upwards to downwards. In any organisation, the superior is held responsible for the actions of his subordinates and the subordinates are accountable for the work to their superiors.

6. Principle of Definition:

There are authority-responsibility relationships in an organisation. The scope of authority and responsibility must be spelled out in definite terms. Everyone in the organisation must clearly know what his authority is and what his responsibility is and how he stands in relationship with other positions in it.

7. Principle of Extensiveness:

The authority and responsibility must be coextensive and coterminous. For the discharge of responsibility, a subordinate must be given adequate authority. Authority without responsibility will make him irresponsible, while responsibility without authority will make him impotent. Responsibility can be carried out effectively only with adequate authority.

8. Span of Management:

The span of management is the number of subordinates that a manager can supervise. The basic questions surrounding the span of management are- (1) How many subordinates should be assigned to a superior, and (2) Should the organisational structure be "wide" or "narrow?" The types of organisational structure involved in each instance.

Generally speaking, the effort to identity a specific number or range of subordinates has not been productive. In practise, the number varies widely.

Factors that Determine the Best Span for a Manager:

The span of management appears to depend on the manager's ability to reduce the time and frequency of subordinate relationships.

These factors, in turn, are determined by-

(1) How well the subordinate is trained to do his job;

(2) The extent of planning involved in the activity;

(3) The degree to which authority is delegated and understood;

(4) Whether standards of performance have been set;

(5) The environment for good communications; and

(6) The nature of job and the rate at which it changes.

Span of control has attracted much attention from the writers on organisation. An organisation's success undoubtedly rests heavily on the abilities of the organisational people, and so there is need for avoiding overburdening managers with supervisory responsibility. It calls for the search of a maximum number of subordinates that one man should be asked to supervise.

The span of control principle merely acts as a check to see whether the intended groupings are "manageable". It depends not only on the number of subordinates that the manager of the grouping must supervise but also on the nature of the activities in the grouping, the cooperation among the subordinates, the abilities of the particular manager and many other factors.

The strongest arguments that have advanced to support a limited span of control have a theoretical rather than a practical basis. Graicunas, the French mathematician and consultant, puts forward a theoretical formula for determining the span of control.

The possible total number of "relationships", according to Graicunas, can be found from the following formula-

$$N\left(\frac{2N}{2} + N - 1\right)$$

$$\text{or} \quad N\left\{2^{n-1} + (N-1)\right\}$$

Where N- number of subordinates.

According to this formula, where there are only two subordinates, there could be six relationships, where there are- subordinates, there could be as many as one thousand and eighty relationships, all of which could demand the attention of the supervisor. This formula is quantitative rather than qualitative.

The theory is amenable to criticism since it ignores the fact that the complexity of the supervisor's task varies with the organisational level. A greater span of control is possible at the lowest level.

It is important to avoid the overburdening of the manager by limiting his span of control. However, while doing so, we lengthen, the chain of command and increase the organisational levels. There are consequential problems of communication and motivation. The matrix of departmental objectives becomes more complex.

Promotion comes at a dead slow speed and loses its motivational value, so the need to limit the span of control must be carefully weighed against the benefits of reducing the number of organisational levels.

In the case of managers who are reluctant to delegate, increasing the span of control gives positive benefits. It is necessary to appreciate the benefits than can be gained by increasing rather than restricting the span of control.

Factors Relevant in Determining Span of Control:

(a) The ability of the manager and the amount of work other than supervision he has to do. It is often overlooked that supervision is only a part of a manager's total function. It is increasing the number of his subordinates, therefore, his workload increases, but not in the same proportion.

(b) Span of control is affected by the supervisory needs of the subordinates. It, in turn, depends upon the competence of subordinates and on the group behaviour — whether co-operative or conflicting. It also depends on how much their jobs have been simplified by a good information system and routine decision making. Moreover, where the jobs of subordinates are very similar, their supervisory needs will also be similar, and so they will make smaller demands on the supervisor's time.

(c) Personal assistants can be used to relieve managers of specified duties.

Spans of Control are Limited:

At high levels the responsibility in the company are great and the work assignments are broad and general so the span is small (often between 5 and 9). At lower levels, the responsibilities are more limited and work assignments are detailed and specific but they don't change often and so spans can be larger (often they are between 20 and 30).

What factors affect the proper number of men that a man should supervise? First is the complexity of the work being supervised? At the bottom of the organisation, men usually work on highly structured jobs which need directions only at the start of a job. Once the worker learns his job, a machine operator, for example, he needs little supervision.

How many men one foreman can supervise depends upon both-

(1) The complexity of the work, and

(2) The frequency of new work assignments. Besides these two conditions, there are at least two more factors which affect the span of control;

(3) The ability of people being supervised; and

(4) How much time the foreman spends on non-supervisory work.

9. Principle of Balance:

An organisation is made up of different units. All these units should be kept in balance. Each function should be given its proper emphasis with regard to its basic purpose in the organisation. Moreover, a good organisation must be balanced with respect to centralisation and decentralisation, authority and responsibility, span of control and line of communication. Giving dominion to one activity over the other will hamper smooth and balanced working of an organisation. The object of this principle is that each portion and function of an enterprise should operate with equal effectiveness in making its allotted contribution to the total purpose. An organiser must assume the responsibility of ensuring a reasonable balance of the vertical and horizontal dimensions of his structure. A growing business takes into its stride new departments and new levels. There is, however, a strong temptation to go too far in either direction with the result that the line of communication is unduly lengthened and overhead expenses are increased.

"The final result is that instead of higher efficiency and greater profit expected from specialisation, there is a lower overall efficiency and lower profit. It is, therefore, necessary to take care, particularly in a growing organisation, to see that the organisational structure does not become extremely tall or flat and to ensure that its dimensions are in a reasonable balance."

10. Principle of Continuity and Flexibility:

An organisation is a continuous process. The organisational structure must adopt itself to the environmental changes. As the enterprise grows, its activities become varied and complex. The existing organisational structure must be flexible enough to incorporate such a growth.

It must be able to adapt readily to the technological and business changes. Reorganisation is a sign of a continuous and dynamic organisation. No company is static. Its goals may change for many reasons.

For each such change, there should be a concomitant modification in the organisational structure, it means that the organisational structure should be such as to provide not only for the activities immediately necessary to secure the objectives of the enterprise but also for the continuation of such activities in the foreseeable future.

In addition, a good organisation must incorporate the following principles:

(a) Unity of Command:

According to this principle, an employee receives orders only from one superior officer and none else. He is responsible only to one particular superior and to none else in the organisation. If two superiors exercise their authority over the same individual or department, there is going to be confusion. In order to expedite decisions and, at the same time, to prevent the consequences of dual command, Urwick has recommended the device of the Gang Plank. It means that two or more supervisors may authorise their immediate subordinates to settle directly certain matters but require that they will be kept informed. The principle of unity of command, in other words, reduces to "no man will serve to two masters". It avoids conflict and frictions arising out of dual commands. It also helps effective communication.

(b) Unity of Direction:

The total work is divided and subdivided. The activities are classified and grouped. For each group, of activities, there must be only one plan and the efforts must be towards one and the same end. This will help removal of conflicts and confusion.

(c) Exception Principle:

The principle states that the routine matters should be left to the subordinates while only important matters (policy matters) be left to the executive. One cannot imagine an executive concentrating on routine matters and allowing less time for deciding on policy matters.

The executive must not be burdened with routine matters which can be easily dealt with by the subordinates. The executive must be able to concentrate on important matters and perform the managerial functions. Only those matters which are exceptions to routine matters will be referred to the executive.

(d) The Principle of Simplicity:

It means that an organisation should strive for structural simplicity for fulfilling the purpose in mind. It provides the company an economically effective means of accomplishing its objective. Simplicity helps in the minimisation of the fixed costs and eases out the difficulties arising from the complicated organisational structure.

PRINCIPLES OF ORGANISATION – 14 PRINCIPLES

1. Principle of Objective:

An organisation and every part of it should be directed towards the accomplishment of basic objectives. Every member of the organisation should be well familiar with its goals and objectives. Common objectives create commonness of interests.

In the words of Urwick, "Every organisation and every part of the organisation must be an expression of the purpose of the undertaking concerned." The application of this principle implies the existence of clearly formulated and well-understood objectives. An organisation structure must be measured against the criterion of effectiveness in meeting these objectives.

2. Principle of Division of Work:

The total task should be divided in such a manner that the work of every individual in the organisation is limited as far as possible to the performance of a single leading function. The activities of the enterprise should be so divided and grouped as to achieve specialisation. However, the principle of division of work does not imply occupational specialisation. The allocation of tasks should be on the basis of qualification and aptitude and should not make work mechanical and boring.

3. Principle of Unity of Command:

Each person should receive orders from only one superior and be accountable to him. This is necessary to avoid the problems of conflict in instructions, frustration, uncertainty and divided loyalty and to ensure the feeling of personal responsibility for results. This principle promotes co-ordination but may operate against the principle of specialisation.

4. Principle of Span of Control:

No executive should be required to supervise more subordinates than he can effectively manage on account of the limitation of time and ability. There is a limit on the number of subordinates that an executive can effectively supervise. However, the exact number of subordinates will vary from person to person depending upon the nature of job, and basic factors that influence the frequency and severity of the relationships to be supervised.

5. Principle of Scalar Chain:

Authority and responsibility should be in a clear unbroken line from the highest executive to the lowest executive. As far as possible, the chain of command should be short. The clearer the line of authority from the ultimate authority in an enterprise to every subordinate position, the more effective will be decision-making and organisation communication.

6. Principle of Delegation:

Authority delegated to an individual manager should be adequate to enable him to accomplish results expected of him. Authority should be delegated to the lowest possible level consistent with necessary control so that co-ordination and decision-making can take place as close as possible to the point of action.

7. Principle of Absoluteness of Responsibility:

The responsibility of the subordinate to his superior is absolute. No executive can escape responsibility for the delegation of authority to his subordinates.

8. Principle of Parity of Authority and Responsibility:

Authority and responsibility must be co-extensive. The responsibility expected for a position should be commensurate with the authority delegated to that position, and vice-versa. In addition, authority and responsibility should be clearly defined for all positions.

9. Principle of Co-Ordination:

There should be an orderly arrangement of group efforts and utility of action in the pursuit of a common purpose. This would help in securing unity of effort.

10. Principle of Flexibility:

The organisation must permit growth and expansion without dislocation of operations. Devices, techniques and environmental factors should be built into the structure to permit quick and easy adaptation of the enterprise to changes in its environment. Good organisation is not a strait jacket.

11. Principle of Efficiency:

An organisation is efficient if it is able to accomplish predetermined objectives at minimum possible cost. An organisation should provide maximum possible satisfaction to it members and should contribute to the welfare of the community. The principle of efficiency should be applied judiciously.

12. Principle of Continuity:

The organisation should be so structured as to have continuity of operations. Arrangements must be made to enable people to gain experience in positions of increasing diversity and responsibility.

13. Principle of Balance:

The various parts of the organisation should be kept in balance and none of the functions should be given undue emphasis at the cost of others. In order to create structural balance, it is essential to maintain a balance between centralisation and decentralisation, between line and staff, etc.

Vertical and horizontal dimensions must be kept in reasonable balance by ensuring that the structure is neither too tall nor too flat.

14. Principle of Exception:

Every manager should take all decisions within the scope of his authority and only matters beyond the scope of his authority should be referred to higher levels of management. In other words, routine decisions should be taken at lower levels and top management should concentrate on matters of exceptional importance.

Principles of Organisation – 15 Principles of a Sound Organisation Structure

Sound organization structure is an essential pre-requisite of efficient management. It depends upon certain established principles which must be kept in mind while establishing and developing organizational structures.

The most important of them are as follows:

(1) The Principle of Unity of Command:

Henry Fayol, a French Management theorist, deserves credit for publicising the principle of unity of command, but, no doubt, the idea had occurred to many managers long before his time. The basic idea is that no member of an organization should report to more than one superior. If two superior bosses wield their authority over the same individual or department, everything will be in disorder. The boss by-passed will naturally feel irritated and there would be hesitation on the part of the subordinate. In order to ensure quick action and at the same time to prevent the consequence of dual command, Urwick has recommended the device of Gang Plank. It means that two or more superiors may authorise their immediate subordinates to settle directly certain matters but require that they will be kept informed of what has been agreed to by the latter.

(2) The Scalar Principle:

It holds that in every organization there must be an ultimate authority from which a clear authority must be derived to every subordinate position in organization. Some advocates of the Scalar Principle imply that most organizations could place greater stress on hierarchy, and greater stress on definition of responsibilities up and down the line. When applied this way the scalar principle becomes controversial. The extent to which definition of responsibilities is productive, are matters of degree on which this principle is unclear. In planning an organization, it may be appropriate to begin with the vertical structure of authority, but this provides little guidance in determining what the character and extent of that authority should be.

(3) The Span of Control Principle:

This is also known as Span of Management Principle. Like unity of command, the famous principle of span of control arouses doubt when expressed in an extreme form. The principle states that there is a limit to the number of subordinates that should report to one superior. Some writers state precisely that five or eight people are the maximum number one-man can supervise. Supervision of too many people can lead to trouble. The superior will not have the time to devote to any one subordinate to do an adequate job of supervision. He may be distracted by the large number of contacts required in his position so that he neglects important question of policy. Some theorists have pointed out that as the number of people reporting to a superior increase arithmetically, the number of possible interrelationships among them and with the superior increases geometrically, rapidly reaching a point at which the structure becomes too complex for management by single individual. The appropriate span depends upon a number of considerations. It is easy to supervise a large number of subordinates doing routine jobs and located in a single room; but it is difficult to supervise highly diverse and specialized personnel scattered widely geographically. The ability of the employees, their willingness to assume responsibility, and the general attitude of management towards delegation and decentralization, should influence the decisions on span of control.

(4) The Management by Exception Principle:

F. W. Taylor advocated another widely accepted generalization-the Exception Principle. According to this concept, decisions which frequently should be reduced to a routine and delegated to subordinates, leaving more important issues and exceptional matters to superiors.

(5) The Principle of Unity of Objective:

It holds that each part and sub-division of the organization should be the expression of a definite purpose in harmony with the objective of the undertaking.

(6) The Principle of Unity of Direction:

There must be only one plan for a group of activities directed towards the same end. If each person in a department begins to work under a different plan or programme of action, nothing but confusion will follow. Unity of direction is a 'must' for sound organization.

(7) The Principle of Simplicity:

Simplicity should be an objective of organizational planning. It is, however, a relative term. It means that an organization should strive for structure which is the simplest possible and yet, will fulfil the purposes intended and provide for economic and effective means of

accomplishing desired objectives. Simplicity helps in the minimization of the overhead costs and reduces the difficulties that may arise due to complicated organization structure.

(8) The Principle of Continuity:

It means that the organization structure should be such as to provide not only for the activities immediately necessary to secure the objectives of the enterprise but also for the continuation of such activities the foreseeable future.

(9) The Principle of Ultimate Authority:

The responsibility of a higher authority for the act of its subordinates is absolute. Hence delegation of authority does not entail resignation of responsibility.

(10) The Principle of Parity of Authority and Responsibility:

The responsibility for the execution of work must be accompanied by the authority to control and direct the means of doing the work.

(11) The Principle of Assignment of Duties:

The duties of every person in an organization should be confined as far as possible to the performance of a single leading function.

(12) The Principle of Definition:

The duties, authority, responsibility and relations of everyone in the organizational structure should be clearly and completely prescribed in writing.

(13) The Principle of Homogeneity:

An organization, to be efficient and to operate without friction, should be so designed that only duties and activities that are similar or are directly related are combined for execution by a particular individual or particular group.

(14) The Principle of Authority-Level:

In every organization there should be some level in which authority for decision must reside. And only decisions that cannot be made at a given level must be referred to upward levels.

(15) The Principle of Organization Effectiveness:

The final test of an industrial organization is smooth and frictionless operation. Organization should determine the selection of personnel; rather than personnel determine the nature of organization.

A member does not, by delegation, divest himself of responsibility. Two members should not delegate responsibility to the same member.

Hierarchy in Public Administration: Definition, Functions and Limitations

Definition, Nature and Origin:

Hierarchy means a gradation of social positions or status. It implies structural or fixed inequality in which position is unconnected with individual ability. This is the exact meaning of hierarchy employed or used in public administration. In many organisations the principle of hierarchy is employed for the better or efficient management of organisation. Some executives or administrations call organisation an idea and in this system, hierarchy is also an idea. Let us quote few words from Earl Latham's article published in Waldo's -Ideas and Issues of Public Administration—organisation is an idea, if so, what is hierarchy? It is also a bit idea; it is the idea men have about whom they follow and whom they lead-Hierarchy or Hieratics. In an organisation there are different types and grades of work or responsibility and all the employees of the management are not eligible for all posts or works. Again, the qualification and eligibility of all are not same. But all the employees contribute to the betterment or development of the organisation.

In order to place a right man in a proper place is an important job which the authority must perform. Moreover, every employee is not eligible for every job. All these are prelude to the system of hierarchy. Hence hierarchy can be defined as an idea or system of management which suggests to employ a person to a post for which he is eligible. Apart from this, in every organisation there is a chief executive to manage the whole body. Since he himself cannot manage it alone he requires other people to help him. All of them do not hold the same rank or perform the same duty. There are different persons who perform different duties. Some experts of public administration are of opinion that the concept of hierarchy is quite prevalent in theology. In church and related fields, the system of hierarchy is generally found. Latham in the same article has said: "Like an article of faith in a religious creed, hierarchy is a symbol of the belief in the mythic form of administrative organisation. Like an article of religious faith, it is believed in spite of the lack of evidence to support it".

Some people think that in public administration the idea of religious faith is quite prevalent. The employees of the lower rank never raise the question of the system of hierarchy and they ungrudgingly obey the order of the higher officer. Latham further says; "Here is the familiar symbolism of the theology of the administration, including the mystic sign of Pyramid."We have just now stated that the concept of hierarchy is just like religious faith. The employees of the lower rank generally do not raise question about the power or authority of their higher

officer. They simply take it for granted that the higher officer has the ability and qualification as well as power to issue order and direction. Hence it is a kind of faith which may easily be compared with religious faith. The employees of the management spontaneously obey the order of the higher officer. Here is an issue of faith and loyalty.

If this faith and loyalty for one reason or other are disturbed, the. system of hierarchy cannot function satisfactorily. Hence loyalty to and faith in higher authority are of vital importance in the system of hierarchy. An important aspect of hierarchy is that in the organisation there shall exist mutual faith and harmony and order shall prevail in the whole body of organisation. Latham says: "But unless the administrator sees this group as a coherent social unit, he is likely to develop not harmony and order, but disorder and discouragement." So, we can say that unity and cooperation are the two most important properties of hierarchical system. Along with it there shall exist mutual belief and faith. Every employee must take it for granted that an officer above his head has the right to give order and it is his duty to obey the order. This is a question of faith as well as an important issue of cooperation.

James Mooney has called the hierarchy a type or form of scalar process or principle. He calls it so as in all organisations there is a highest rank and a lowest rank and in between these two there exist number of ranks. The stages are generally arranged in order of "importance". In public administration all the stages or all the persons of a stage are not of equal importance. Each person holds a rank and there is scope of promotion to higher rank. Promotion is determined by several factors. James Mooney, however, says that the scaler principle works. We quote him: "The scaler principle is the same form of organisation that is sometimes called hierarchical. But to avoid all definitional variants, scaler is preferred."

Hierarchy is applied on the consideration that all the functions of an organisation are not of equal importance, and, on that ground, they are arranged in order of importance. Needless to say, that this is the central theme of the concept of hierarchy. It has been asserted that all types of organisation in one form or other follow or adopt the principle of hierarchy. It is said that hierarchy may be vertical or horizontal. Whatever may the type be, hierarchy is hierarchy and every organisation follow or adopts it.

Functions of Hierarchy:

In the public administration systems of all modern states there exists bureaucratic structure and this is inseparable from hierarchy. Long ago the German sociologist Max Weber pointed out

this and since then bureaucracy, public administration and hierarchy are well-knit concepts. In the structure of hierarchy there is a chief executive who gives orders and it is channelled through the system of hierarchy. For this reason, L.D. White calls it a Channel of Command. The order of the chief executive passes through several stages and it finally reaches its destination. It is said that it is impossible for the chief executive to send his order personally to all concerned. Needless to say, that here lies the crucial role of the hierarchy.

Another function of hierarchy is called channel of delegation. The decision of one person or a decision taken at a particular stage is delegated or sent to another stage and in this way the public administration performs its duty. It is not feasible for the chief executive to take all decisions regarding the management of organisation. He simply formulates the general guidelines and, at subsequent stages, authorised persons or departments to take decision or make changes in the original policy. In the British parliamentary and other parliamentary systems there is a very well-known concept which is called "delegated legislation". Its meaning is-the parliament adopts the general principle of a policy and the general administration has been empowered to make minor changes. The system of hierarchy falls in this category.

The third important function of hierarchy is that the modern public administration is to perform numerous and different types of function and it is not possible for any particular department to do all the duties. There are different departments and various aspects of a decision are performed by them. In this way, public administration is run today. No one department is absolutely responsible for any decision or performance. Sometimes the reconsideration or reformulation of the original policy or decision may be required and hierarchical system does this job. L.D. White has pointed this out.

Still there is another function. It is said that hierarchy ensures channel of internal control. This may be called checks and balances. This system is prevalent in American constitutional structure. In the structure of hierarchy no one particular section or department is fully empowered to take all decisions. The final form of a decision passes through a number of sections and after this it assumes final shape.

L.D. White has mentioned an important function of hierarchy. He says: The linkage of civilian officers in a chain of command and responsibility of the main two-way highway along which public business travels is an endless stream. The duty or responsibility of each section or person is specified and naturally there does not arise any ambiguity. Each person or department

performs specific duty and in this way the management of the organisation is run. The specification of duty is an essential aspect of this system and this feature helps running the public administration. The hierarchy introduces in an indirect way a type of division of labour. The public administration has numerous aspects and all these cannot be fruitfully performed by any single person. Naturally, the division of labour or duty is an essential part of every organisation.

Limitations and Criticisms:

Peter Self does not hold favourable opinion about hierarchy. In governmental system the application of this policy or idea is not a realistic one. Let us see what he says: "A hierarchical image of government is not very realistic… This is because the procedural rules or conventions which legitimise the ultimate exercise of authority are rarely clear enough." Hierarchy is a very well-known feature of modern administrative system. But there are several shortcomings-and one such shortcoming is conflicts frequently arise among various ranks and office-holders. Many employees of different ranks may refuse to cooperate with the higher officer. It is very often found that the order of the higher officer does not conform to reality and, in that case, employees of the lower rank may raise objection.

A very important aspect of hierarchy is cooperation. There must be cooperation among all the sections or departments of organisation. But in reality, it is found that this does not exist. This damage the function of hierarchy as well as organisation. If in any organisation there are recalcitrant employees whose leitmotif is not to cooperate with the management or to find fault with others in that situation the normal functioning of the organisation is likely to be adversely affected. Again, the management cannot be in a position to get rid of such employees because in many states trade unionism is very powerful. The feature or special aspect of hierarchy is that all the departments or sections must cooperate with each other and must try to make the organisation a grand success.

For successful functioning of hierarchy there must exist cordial relation among all sections — especially between the chief executive and his subordinates. In many cases the relation is a sour one and the inevitable consequence is that fruitful functioning of the organisation is affected. Since hierarchy is not controlled or managed by definite laws or principles conflicts become the normal feature of the organisation.

Another drawback of this system is authority, labour and remuneration are not always properly distributed; grievances among many are bound to crop up. This usually happens in large organisations. Some persons get higher remuneration doing less work and many others get more salary doing less job. This very often acts as potential source of conflict. Since there are no fixed principles of hierarchy, the system is not uniform everywhere. The system works differently in different organisations. This evidently creates problem for hierarchy in public administration. It may be an idea or principle but public administration as a distinct discipline of social science; it must have a clear principle. It may be stated here that in order to be a clear and effective principle the hierarchy must have definite ideas, processes and rule and these must have as far as possible—universality (universality not in the strict sense).

Another criticism against it is that it creates a wall between the superior and his subordinates. But the fact is that in an administration everyone is essential. One employee may not always be more important than others. But in the hierarchical structure the black spot is superior and subordinate and this is likely to sour the relationship. This is undesirable—we must remember this. These shortcomings can, however, be overcome if cautious steps are adopted.

Span of Control

The larger an organisation, the more management layers it has. As a result, a hierarchy is born. Multiple people in a department deal with a single superior. Some departments might only have ten people, while others consist of over a hundred employees. In both cases, span of control is present to properly manage all layers of the organisation. The Span of Control is the number of employees a manager can supervise as effectively as possible. The addition of new hierarchical layers makes the organisational structure steeper. A large Span of Control leads to a flatter organisational structure, which results in lower costs. A small span of control creates a steeper organisational structure, which requires more managers and which will consequently be more expensive for the organisation. It is therefore useful for an organisation if its managers have a large span of control.

Two dimensions

The Span of Control always involves two dimensions:

Horizontal dimension

This is the number of direct subordinates a manager actually supervises. This is also referred to as Span of Control.

Vertical dimension

This is the number of levels that are (in)directly managed. It refers to the extent to which the manager's wishes trickle down to the lowest levels of the organisation. This is also known as **Depth of Control**. It is mainly aimed at the extent of communication between a manager and his subordinates in the levels he is responsible for. Without a good leader, downward communication can be impaired.

Factors

Good leadership partially has to do with a manager's innate talents. In addition, there are several other factors that play a role. One example would be the size of the Span of Control and the number of subordinates.

It also has to do with:

- A manager's experience and expertise.
- A manager's personality and people skills.
- Employees' experience, expertise and their behaviour towards each other.
- The nature of the work and the complexity of the assigned tasks.
- The nature of the organisation and the level of communication, delegating and interaction.

Increasing Span of Control

When a manager supervises a large number of employees, he often has little time to align activities and monitor the quality of how activities are executed.

Every situation needs to be assessed individually based on factors that determine the span of control. If a situation arises in which a supervisor manages too many employees, there are several ways for finding a solution to increase the Span of Control:

- Training the manager, teaching him management skills such as delegating and clear communication.
- Training employees, teaching them to work independently and make better use of their time.
- Delegation by the manager, decreasing his workload and improving the division of labour.
- Improving procedures and systems; when procedures take up a lot of time, it is a good idea to find efficient solutions with the help of the management team.
- Involving HR, who will unburden the manager by taking over certain specialist tasks such as the department's HR policy.

- Assigning a personal assistant, who can take over routine activities, reducing the manager's workload.
- Appointing an assistant-manager who reports to the manager, but in the perception of the subordinates is fully qualified in terms of executive and policy tasks and can act as manager when needed.

Span of Control example

Here are two examples to illustrate the harmony between Scope of control and Span of Control. First is a situation with a manager with years of experience leading a team of approximately 40 people. Problems arise when his team is reduced to 20 people as a result of cutbacks. At first, everything still seems to be okay. Everyone knows what is expected of them, but as time goes by, the manager starts feeling uneasy. He wants to have more control and make things go his way. Employees start to feel the manager is constantly looking over their shoulder and see his presence as a hindrance. It is likely that the manager will start to get bored and will no longer be able to find intrinsic motivation in his work. Conflicts may arise and small problems become big ones very easily. In some cases, the manager can feel he is not sufficiently stimulated, which can have very negative consequences. The second situation involves a manager who is used to leading a team of about five employees. He will experience stress when he is made responsible for a group of 20 people. If the employees are able to function on their own, things might be al-right at first. But when problems or conflicts arise, the manager needs to be there for all 20 of his subordinates. He will find it difficult to delegate tasks, because he is used to working one-on-one with only about five employees. The situation becomes more complicated for the manager when the majority of the 20 employees are not able to function independently. The manager will be confronted with his own lack of delegating skills. In both cases it is important to identify the problem and offer practical solutions.

Unity of Command

Unity of command is one of the fourteen principles of Fayol regarding the management of an organisation. For better discipline and improved management, it has been suggested by Fayol that an employee will be responsible only to one master or boss and no one else. It is mainly due to the fact that if an employee is compelled to carry out the orders of more than one master, that will create confusion in mismanagement. The organisation will be plunged into problem. The term unity of command does not admit of any difference of opinion in the administration.

It implies that in management there shall be transparency and when the chief executive issues command or order this shall be treated as final.

Henri Fayol thought that for the better and efficient management it is essential that unity of command should be strictly followed. Fayol has said that there are three things in the idea of unity of command —the person who issues command or order, the employee who carries out the command that is executes the order and, finally, if the organisation is being managed in accordance with the order. Fayol observed that in the French military department the principle of unity of command was strictly followed and according to Fayol that produced good results. Still today in many states (in some departments this principle is strictly followed) the existence of this principle comes to our notice. Henri Fayol was quite eager to implement this principle in the management world of France and from the history of public administration we come to know that it achieved success. In the opinion of Fayol, the crucial aspects of unity of command are- there must exist an authority who has the power or right to issue order, the power to extract obedience, and there is an atmosphere of implementation.

A number of objections have been raised against this principle and one such has been made by some specialists such as Dimock and Dimock. They are of opinion that if the organisation is small in size the principle will have some practical importance that is it may or will be executed. Even in military department the unity of command has been fruitfully implemented. But in general, public administration or civil administration the principle cannot be implemented. Particularly if the organisation happens to be large, there is not one person to give orders. A worker may have to serve more than one master and, in that case, he will carry out the orders of whom. This relates to the structure of one management. In that situation an employee cannot say that he will carry out the order of a particular boss and no other bosses. In many organisations there is a group of managers and all of them are authorised to issue command. The unity of command principle will create confusion in such an organisation. Some people say that in Fayol's time there was no existence of large organisation.

There is another drawback of this principle. For better or efficient management the principle of coordination should be strictly-followed. But some critics say that in their principle the coordination has no importance. In modern organisation the division of labour or division of work is sincerely followed. But many critics are of opinion that there is conflict between unity of command and division of labour or division of work. The size of the organisation is

expanding day after day and in this background the utility of this principle is decreasing gradually. There must exist strict and effective coordination among all the departments of an organisation. Simon in his Administrative Behaviour has vehemently criticised this principle. He does not contribute to the idea that if the principle of unity of command is sincerely followed that will result in the efficiency and better management of the organisation. The whole idea is exaggerated.

Simon has said that the efficiency of a management depends on a number of factors and the unity of command is one of them. But this is not an important one. Simon has further said that the unity of command is against the well-known principle of specialisation. Let us quote him: "The real fault that must be found with this principle is that it is incompatible with the principle of specialisation". It is said that for the better management of any modern organisation both specialisation and unity of command are indispensable and in that case both cannot co-exist. He has further observed that the unity of command is an over simplified principle. Modern organisation is too complex to apply it. Simon has said that when the specialisation and unity of command are in conflict situation the management will be complex.

Peter Self has criticised it from another standpoint. He says that the principle in its full form is "unworkable". Let us see what he says: "The modified unity of command model is more often accepted in theory, but the coordinative and arbitrative power of the line supervisors is often much less than the theory suggests. Unity of command often suggest no more than the existence of procedures for settling disputes". In conclusion we are of opinion that because of these shortcomings there is no reason to reject the principle. To speak the truth no principle of public administration is free from defects and the unity of command is no exception. Instead of saying unity of command it is better to say unity of direction.

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UNIT II

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LINE AND STAFF

Synopsis

- ❖ **Introduction**
- ❖ **Meaning and Definitions**
- ❖ **Line and Staff Agency**
- ❖ **Line Staff conflicts**
- ❖ **Conclusion**

Introduction

According to the literature available, the administrative organization of government institutions generally consists of three types of agencies, namely, line, staff and auxiliary. The distinction that exists between those three organization units lies in the nature of work performed by them. All this constitutes the subject matter of this article.

II. Purpose of Article The purpose is to define and illustrate the differences between line, staff and auxiliary and their interdependence.

III. Line and Staff

Meanings

The administrative organization of government consists of three types of agencies, namely, line, staff and auxiliary. The distinction between these three organizational units lies in the nature of work done by them. The line agencies directly work for the achievements of the organizational purpose, the staff agencies advice and assist the line agencies in their activities, and the auxiliary agencies provide common house – keeping services to the line agencies. According to L. D. White, the business of government is transacted by means of an elaborate organization held together in a universal superior – subordinate relationship, and based on the principle of specialization. The central hierarchy comprises the line; assisting the line are various units, some concerned with advisory and preparatory operations, known as staff, some concerned with house – keeping operations described as the auxiliary agencies. The line comprises the central element of any administrative system; staff and auxiliary agencies are necessary in a large and complex organization, but they are secondary. They serve the line. The

distinction between line and staff in public administration is adopted from the military administration where it was developed first.

Views of scholars

The following views expressed by various scholars clearly bring out the line staff distinction and its relevancy

Pfiffner and Presthus: in general, the distinction between staff and line follows that between direct and indirect labour, the direct line and the indirect staff

Oliver Sheldon: The staff organization may be described as a deliberate organization for thought, just as the line organization is the organization for execution

Dimock, Dimock and Koieng: Staff and line coordinates, 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.

Koontz and O'Donnell: Line and staff are characterizations of authority relationships and not departmental activities.

Line agencies

There are four types of line agencies in public administration

- Government departments
- Public corporations
- Government companies
- Independent regulatory commission IRC

The first three are found in all the countries of the world while the last one is a special feature of the administrative system of USA.

The line agencies have the following characteristic features

i. They directly carry out the function of accomplishing the sustentative of the organization.

ii. They are given authority to make decisions and issue orders and directives

iii. They directly come in contact with the people and provide them various services, regulate conduct, and collect taxes.

Thus, the line agencies are executive in nature and are subordinate divisions of operating responsibility working under the direct control, direction, and supervision of the chief executive. According to L. D. White, major functions of the line agencies include:

- making decision
- taking responsibility
- interpreting and defending policy and operations
- Maintaining production and seeking efficiency and economy.

Staff agencies

The important staff agencies of the government of India are:

1. Cabinet secretariat

2. Prime minister's office

3. Cabinet committees

4. Planning commission

5. Department of economic affairs

6. Administrative vigilance division

7. Staff inspection unit

The staff agencies have the following characteristic features.

1. They perform secondary or supportive functions, that is, assist the line in the accomplishment of organizational purpose.

2. They do not have the authority to make decisions and issue orders and directives. Their role is advisory in nature and they exercise some influence rather than authority

3. They do not come in contact with people directly. They function anonymously. According to the Brownlow commit of USA (1937), the staff should have a passion for anonymity

According to Mooney, the staff agencies perform three functions

i.   Informative function, that is, collection and provision of information to the chief executive, research, study and enquiry.

ii.   Advisory function, that is, advising the chief executive on making decisions

iii. Supervisory function that is, seeing that the chief executive's decision is implemented by the line agencies concerned.

Pfiffner says that the staff agencies perform the following functions

i.   Advising, teaching and consultation

ii.   Coordination

iii. Fact finding and research

iv.   Contact and liaison

v.   Assisting the line

vi.   Exercising delegated authority from line.

vii.   Planning

L. D. White has mentioned the following functions of staff agencies

1. to ensure that the chief executive is adequately and currently informed

2. to assists him in foreseeing problems and planning future programmes

3. to ensure that matters for his decision reach his desk promptly and to protect him against any hasty or ill – considered judgments

4. to exclude every matter that can be settled elsewhere in the system

5. to protect his time

6. to secure means of ensuring compliance by subordinates with established policy and executive direction

According to Mooney, the staff is an expansion of the personality of the executive. It means more eyes, more ears, and more hands to aid him in forming and carrying out his plans. Pfiffner and Presthus have describer that staff as the alter ego of the chief executive.

According to Pfiffner, staff agencies are of three kinds, namely

i.   The general staff, which assist the chief executive in his administrative work, generally by advice, collection of information, research, and so on. The fundamental purpose of general staff is to act as a filter and funnel to the chief executive

ii.   The technical staff, which advises the chief executive in technical matters and exercises functional supervision. It is also known as special staff or function staff iii.

iii.   The auxiliary staff, which provide common housekeeping services to the line agencies.

However, L. D. White and Willoughby do not include the auxiliary agencies under the category of staff agencies (auxiliary staff) and consider them as a separate and distinctive unit. White calls them as auxiliary services, while Willoughby refers to them as institutional or housekeeping services, John Gaus calls them auxiliary – technical staff services.

Auxiliary agencies

The important auxiliary agencies of the government of India are:

- Central public works department

- Law ministry/finance ministry\information and broadcasting ministry

- Union public service commission

- Parliamentary affairs department
- Director – general of supply and disposal

Like staff agencies, the auxiliary agencies also assist the line agencies in the accomplishment of organizations purpose and do not come in contact with the people. But they differ from the staff agencies in the following respects.

i. The staff agencies advise the line agencies, while the auxiliary agencies provide common housekeeping services to the line agencies.

ii. The staff agencies have no operating responsibilities, while the auxiliary agencies do have operating responsibilities.

iii. The staff agencies do not exercise authority and do not make decisions, while the auxiliary agencies exercise limited authority and make decision in their own sphere.

iv. The staff agencies have multiple functions and wider jurisdiction than auxiliary agencies which are concerned with maintaining the line agencies

Line staff conflicts

Though line and staff units are indispensable in all government organizations and are meant to complement each other, the relationship between them is not always cordial and happy. The relations in practice between line and staff units are characterized by conflicts, clashes, tensions, suspicions and so on. The reasons for such a conflicting situation are as follows;

i. The staff agency, being close to the chief executive, tend to usurp the authority of the agency

ii. The differences between line and staff officials in terms of age, status, outlook, experience, technical competence, and so on.

iii. The staff people usually adopt ivory-tower approach, that is, they suggest unrealistic plans and ideas to the line people who are more practical in their approach. Consequently, they do not care much to such suggestions, leading to misunderstanding and tension between the two.

iv. The tendency of the line officials to disown responsibility and blame the staff officials for mistakes. \

v. The staff officials tend to discover the deficiencies in the work and procedures of line authorities.

Measures to reduce the conflict, rivalry and rancour in line – staff relationship are: -

i. The chief executive should clearly specify the nature of responsibilities of line and staff people. This enables him to hold them responsible for their mistakes ii.

ii.   The opportunities to exchange roles should be created, that is, there should be periodic transfer between the line and staff

iii.   The chief executive should encourage both to get better acquainted with each other as well as with their mutual roles. He should highlight the desirability of close relationship between line and staff officials for accomplishing organizational purpose and objectives

iv.   The line people should be given training in staff work and vice – versa. This enables them to know the proper aspects and dimension of their duties and responsibilities. Moreover, matrix organization can be adopted to overcome the problem of line – staff controversy.

Conclusion

From the study, it is concluded that the administrative organization of government consisting of three types of agencies, namely, line, staff, these three organizational units lies in the nature of work performed by them, that is,

- line agencies directly work for the achievement of the organizational purpose;
- staff agencies advise and assist the line agencies, and
- the auxiliary agencies provide common house – keeping services to the line agencies.

CHIEF EXECUTIVE

Synopsis

- ❖ **Introduction**
- ❖ **Features**
- ❖ **Functions and Role**
- ❖ **Types**

1. Introduction to the Chief Executive:

The chief executive occupies a central position in Public Administration. By chief executive we mean the person or body of persons at the head of the administrative system of a country. The administrative structure of a country is like a pyramid broad at the base and ending in a single point at the apex. The chief executive is the apex of the administrative pyramid. In England, the chief executive is the Queen/King, the head of the state. The ruling head in India is the President, in Switzerland it is the Federal Council headed by a chairman whose offices rotates yearly among the councillors. In U.S.A. the President is the chief executive. Sometimes, a difference is made between the nominal and the real chief executives. In parliamentary governments, the head of the State is called the nominal chief executive, while the cabinet is called the real chief executive.

In Presidential executive the Chief Executive is head of the state as well as of the Government. In Public Administration we consider the chief executive and his functions not as the head of state but as the head of administration. It may be noted that the chief executive is available at every level of government. For instance, there is a chief executive at the State level who is called Governor of the state. At the level of local government, we have the mayor, chairman or president. They are the administrative heads of their own jurisdiction. It may also be noted that the chief executive, at whatever level, is the political leader as well as the administrative head. In public Administration we are concerned with his administrative functions only. His political role is outside the scope of our study. In Public Administration, the role of the chief executive has been compared to that of General Manager in a corporate undertaking. The General Manager in a corporate enterprise is subordinate to the Board of Directors. He is the agent

through which the Directors carry out their powers of general administration. He is subject to the direction, supervision and control of the Board of Directors and is accountable to it. He is actually responsible for running the enterprise smoothly and efficiently. W.F. Willoughby is strongly of the opinion that the office of the chief executive must be raised to the status of General Manager. He should perform the same functions as are performed by the General Manager. Willoughby wanted the necessary changes in the American constitutional set-up in order to erect the chief executive, i.e., the President as the General Manager. In view of the ever-growing complexity of the activities of modern States, it is not desirable for the legislatures to have direct dealings with the administration. Consequently, the chief executives of several countries have come to enjoy vast powers in the administrative field. Today they combine in themselves the three major functions of political leadership, administrative management and ceremonial representation. From the standpoint of the legislature this means that the latter will look primarily to the chief executive for the efficient carrying out of its administrative determination.

Features of General Managerial System:

The system of administration in which the chief executive functions as the General Manager of administration has the following main features:

(i) Scalar System:

This system establishes a pyramidical system. It consists of arranging the administrative groups or units, steps upon steps in a scale from which the term 'scalar' has been derived. In it the supreme leadership is represented by an individual or individuals at the top of the pyramid, but in order to exercise this leadership it becomes necessary to delegate authority and responsibility to the sub-leaders on the various subordinate steps of the scale. These sub-leaders are the heads of various departments which are further sub-divided into divisions, branches and sections. The essence of this system is the unity of command. The line of authority runs through the chief executive to the legislature and not directly. The authority of the legislature, no doubt, shall be still supreme but this is to be exercised through the chief executive.

It means that all administrative officers including the departmental heads shall be responsible for their acts to the chief executive who shall be held responsible if anything goes wrong. This principle has reached to its logical conclusion in the cabinet system of government where the official cannot be even referred to in the parliament but the minister has to shoulder the entire responsibility of his subordinates.

(ii) Chief Executive, the Master of Civil Service:

It means that all members of civil service are under the direct control of the Executive. It has the right of selection, promotion and removal of them. While with regard to the lower employees, the discretion of the Executive is limited by the authority of the Public Ser. ice Commission, with regard to the head of departments, the executive enjoys fall discretion in matters of their appointment and removal.

(iii) Control over Institutional Activities:

The Executive exercises fall control over institutional activities of the administrative services, i.e., it prescribes and controls the methods in which the several operating services perform their duties. The legislature does not interfere in these matters.

(iv) Control over Administrative Reports:

All administrative reports are submitted to the legislature through the executive. The heads of departments do not appear before the legislature.

Administrative Functions of the Chief Executive:

The chief executive has to perform a number of functions. Luther Gulik coined the word "posdcorb" for the administrative functions of the chief executive. The 'posdcorb' stands for Planning, Organising, Staffing, Directing, Co-Ordinating, Reporting and Budgeting. Marshall Dimock summarises these functions in one sentence. "He is a trouble shooter, a supervisor and a promoter of the future programme".

L.D. White has put these functions under the following main categories:

(i) Deciding Administrative Policy:

The legislature lays down the policy to be followed by the government in general terms. For the implementation of the general policy the executive has to decide a large number of questions pertaining to administrative policy. The administrative policy has been defined by E.M. Gladden as **"the form in which the ministerial administrator or board carries the will of the government into effect."**

As general administrator, the chief executive has to issue a number of instructions and orders, written or oral, to enable the administrative officers to perform their duties in a proper manner. Apart from these, the departmental heads and division chiefs also issue a number of orders, instructions, circulars, formal letters and proclamations.

The chief executive is sometimes consulted by the departmental heads and other principal officers on many State matters particularly those which are important and controversial, e.g., Hindi agitation, Akali movement, etc. in case of India. The ability and personality of the chief executive has a close bearing on administrative efficiency.

(ii) To Authorize Details of Organization:

Legislature usually provides for the establishment of main units of organization, like departments, commissions, corporations. Details are left to be filled in by the executive at his discretion. The chief executive leaves the shaping of divisions, branches and sections in the hands of their chiefs subject to his approval. The number and duties of the various sub-units, the setting up of various ad hoc committees to meet particular situations are determined by the executive, e.g., In India the Reorganization of States Commission was appointed by the Union Cabinet in 1954 without any reference to the legislature. The Boundary Commission under the chairmanship of Justice Shah of the Supreme Court to reorganize Punjab in 1966 was also appointed without reference to Parliament. Many such instances can be quoted from USA.

Similarly, the executive prescribes the manner in which the several operating services shall perform certain or all of their duties. As told elsewhere, the working activities of an administrative service may be institutional or functional. The institutional activities are those which the service has to perform in order that it may exist and operate as an institution. Functional activities are those which it must perform in order to accomplish the purpose for which it has been established. The institutional activities embrace such work as maintenance, care and operation of plant, the recruitment and management of personnel, the purchase, custody and distribution of supplies, the keeping of accounts, the maintenance of files, etc. The two types of activities differ not only with regard to their end for which they are performed but also in character. Institutional activities differ from service to service. It is highly important, therefore, that institutional activities should be performed in a uniform manner.

In order that uniformity may be secured and most efficient methods employed, it is necessary that the power to prescribe and subsequently to enforce the manner in which these duties shall be performed shall be vested in some agency exercising general jurisdiction over all services. That agency may be the chief executive.

(iii) To Coordinate the Organisation:

Modern administration is a mosaic of departments, commissions, divisions, sections each performing only a specialized part of the function. In order to create unity in this huge mass of diversified activities, a very high degree of coordination and integration is needed. This has to be done at lower as well as higher levels. To achieve the purpose of administration, i.e., the general good of the people, integration is desirable from every point of view. In spite of the presence of coordinating machinery, mutual feuds due to personnel rivalries are likely to arise. All these are settled by the executive. Coordination is rightly considered as the heart of administration. Hence Chief Executive's role in this field is of pivotal importance. It is suggested that the chief executive should adopt a strong line of action in the matter so that the conflicts may be reduced in number and his decisions may be readily acceptable to the parties concerned.

(iv) To Appoint and Remove the Personnel:

The chief executive is responsible as general manager for the manager in which the heads of the several departments perform their duties. Since the responsibility ultimately is that of the chief executive, it is logical that he should have the power to select and remove the officers. In modern times thousands of people are required to fill in the various administrative posts. A substantial majority of these is appointed on the basis of merit Most of the personnel are selected by the Civil Service Commissions. The Commissions are merely recommendatory and not appointing authorities. The executive which is the appointing authority may refuse to accept the recommendation. Appointments of a high category such as of ambassadors are made by the chief executive. In the United States the President makes high appointments subject to the approval of the Senate. After appointment all the questions of training, pay, increment, and promotion are determined by the executive.

The chief executive also has the power of dismissal or demotion of public servants, if he finds it necessary in the interests of administrative efficiency. In general, with regard to the removal of high officers whose appointments he has made, he has full discretion; but, in the removal of personnel of the lower cadre, he is guided by the Civil Service rules. There are certain constitutional and statutory guarantees which the executive cannot override, e.g. Article 311 of our Constitution provides that no member of the civil service will be removed or dismissed by any authority subordinate to that by which he was appointed, and that no such person shall be

removed or dismissed or reduced in rank until he has been given a reasonable opportunity of showing cause against the action proposed to be taken against him.

(v) To Control the Management of Finance:

With regard to public finance, especially in the parliamentary system of government, the chief executive enjoys wide authority. As general manager, he has the duty of making full report regarding past operations and present conditions and to make a statement as to the provision, which, in his opinion, should be made for meeting the revenue and expenditure needs of the government in the future. This recommendation goes in the form called 'Budget'. The legislature after considering the various items passes it in the form of an Appropriation Act. After the passage of this Act the executive has the duty of supervising the expenditure and collection of money. In parliamentary form of government, the chief executive or his representative presents the budget in the legislature and sees to its passage. Rejection of budget means no confidence in the government. In the Presidential form of government, the formal budgetary authority is vested with the legislature. In actual practice the President of U.S.A. is the Chairman of the Bureau of Budget which frames the budget and then it is handed over to the Congress for its passage. The President possesses effective veto power over the Budget. Hence generally Congress passes the budget with minor modifications.

(vi) To Supervise, Control and Investigate the Administrative Operations:

The function of the executive is not only to carry on the public business itself, but also to see that it is being carried on properly. As such, it has to supervise the work, give necessary instructions, warn when the work is not being done properly and encourage when it is running smoothly. It can make inquiries to investigate any administrative matter and set up investigation committees for the purpose, e.g., the Government of Punjab set up Vigilance Committee to investigate into the charges of corruption against high public officials including the Ministers and Chief Minister. Similarly, the central government set up Das Commission to enquire into the conduct of the Punjab Chief Minister, Partap Singh Kairon. An Administrative Vigilance Commission and the Central Bureau of Investigation which are working on permanent basis in the central government are also meant for the same purpose.

(vii) To Participate in and Control Public Relations:

The chief executive has important responsibilities affecting administration outside the system, notably in representing and defending its work. Since the public administration is ultimately responsible to the public, it has always to keep the people informed about the nature and purpose of its activities and remove all the misunderstandings of the people. Very often we hear of corruption and red-tapism in a particular department, of indifference or bad treatment of an officer towards the public. In the face of these complaints it becomes the duty of the executive to clarify the position and defend the administration. It is for the executive to maintain relations with the press, interested groups, voters, and the legislature, hear their views and tell them the views of the government. So important is this function that a Department of Public Relations has become almost indispensable for every government. Donald C. Stove has nicely portrayed the significance of this function in the words "It is the executives' job to cultivate relationships with the heads of others government agencies with members of legislative bodies with private institutions and with the public so that his staff will have a favourable climate within which to function."

The above functions of the chief executive make it clear that he is the administrator-in- chief or the General Manager of public administration. He is the head of administration and all the administrative departments are responsible to him. He looks after the entire administration.
As general manager it is his primary responsibility to see that the administrative affairs of the government are being honestly, efficiently and economically run. In short, the responsibility of proper administration rests upon the chief executive.

Willoughby has suggested the following steps to erect the Presidential office in the United States into that of General Manager:

(i) Line of administrative authority should run through the chief executive to the legislature.

(ii) Heads of administrative services should be appointed and be removable by the chief executive.

(iii) Chief executive should exercise control over institutional activities of the administrative services.

(iv) Administrative reports should be submitted by or through the executive.

(v) Budget should be prepared and submitted by the Chief Executive.

Willoughby finds the following benefits in erecting the office of Chief Executive into that of General Manager:

(i) The administrative branch, both its organization and its practical operations should become a single piece of administrative mechanism, in which its several parts shall work in unison and not pull in contrary directions.

(ii) It shall make the formulation of general programme and its subsequent implementation possible with the benefits of coordination and cooperation.

(iii) It will fix responsibility and see that it is enforced.

If these views of Willoughby are to be implemented the authority of the chief executive becomes onerous as his powers are enormous. Hence, he will be requiring assistance of staff and auxiliary agencies which act as 'filter and funnel'. Only very prominent matters and that too duly perused and sifted at lower levels come to his table for final orders. He may delegate power for his convenience but delegation does not amount to abdication. The Chief Executive is always the chief executive. He heads the administration. Hence, he is responsible for its proper functioning. His assignment as a chief executive necessitates maximizing his influence throughout his organisation. He is not supposed to rely exclusively upon his formal authority and the power of command. He should harness his talents is being the catalyst, perfect in assimilation, and assemblage of the varied ideas and export in getting agreements nailed down. He symbolizes organisation par excellence in his country.

Much depends upon the personality and caliber of the chief executive as to succeed he has to get assistance from a band of well-chosen colleagues for running the administration efficiently and smoothly. In USA where Presidential system of government exists the President chooses his adviser and colleagues in the cabinet not only from his own party but also the opposition party if they are men of calibre and possess the requisite abilities for holding a particular assignment. President elect in November 2008. Barrack Obama appointed his main rival – Hilary Clinton, as secretary of state a pivotal post. Likewise, a few young Indian Americans find berth in his cabinet.

The Parliamentary and Presidential Types of Chief Executive:

The parliamentary executive is the one where the executive is responsible to the legislature whereas in a presidential executive the executive is independent of the parliamentary control.

The U.K. and India provide the examples of parliamentary executive whereas in the U.S.A., there is presidential executive. In a parliamentary executive the chief executive is the Prime Minister who is the creator, preserver and destroyer of the cabinet. The President or the King is only the nominal executive. Thus it may be said that the real chief executive in the parliamentary countries is a plural body, viz the Council of Ministers which consists of a Prime Minister and a number of other ministers, while in the countries, opting for Presidential saltern the chief executive is a single individual heading both, the State and Government. A body of advisors known as his cabinet assists him. This difference between the parliamentary and presidential chief executive has got an administrative significance.

The cabinet headed by Prime Minister in Parliamentary government with its plural composition is less troubled with the problems of the 'span of control' than an individual head like the U.S. President. Under the parliamentary form the task of supervision and control gets distributed among the ministers and comparatively few problems need go to the Prime Minister. Secondly, in a parliamentary executive there are less chances of the rise of dictatorship of a single individual than in a presidential one. The second main difference between the two types is related to the legislative-executive relationship. Under the parliamentary type there is close collaboration between the legislature and the executive. The members of the executive are the members of the legislature. They sit in the legislature, lead it, initiate and pilot bills and the budget, and assume responsibility for the entire administration. They can be put questions and censured for negligence or carelessness.

In a presidential executive like that of the U.S.A. the theory of separation of powers and a system of checks and balances prevails. The secretaries in the USA who constitute the Presidential cabinet are not the members of the Congress. They are not responsible to it. They are the boy-errands of the President. They are his creation. He is their boss and not the leader unlike that of Prime Minister in parliamentary democracy. He can fire them whenever he likes. Hence, they are categorized as Kitchen Cabinet or his family. They are accountable to him and not the Congress. The consequence is that legislative-executive relations are precarious at times. The third difference between the two types is that parliamentary executive is responsible to the legislature for all its policies and acts while there is no such responsibility to the legislature in the presidential executive.

The result is a certain amount of distrust of executive on the part of the legislature and an unwillingness to grant it additional functions and powers. As such, a parliamentary executive is more adequately equipped with the means of meeting its responsibilities than the presidential type of executive. Comparing both the types of executives, the parliamentary type is better suited for administrative efficiency because it establishes a responsible and effective chief executive. For efficiency of administration the chief executive must supply administrative direction, driving power and coordination between executive-legislative operational relationships. Even in the U.S.A., thoughtful critics have advocated the modification of the presidential system along parliamentary lines to assure its smooth functioning. It has been observed that in case the House of Representative and the Senate are having the majority of the opposition party, the American President invariably faces insuperable Bottlenecks and the administration comes to a standstill.

The Swiss Executive embodies features of both of these types. The seven councillors constituting the executive are elected for a fixed period. They are accountable to the legislature but cannot be ousted by it. They do not have right to vote though can sit in the legislature and participate in discussions. They cannot dissolve the legislature as is the case in parliamentary executive. Such a type of executive possesses the advantages of both the systems though avoiding their defects. However, such a type of government can exist in a small country like Switzerland.

DELEGATED LEGISLATION

Synopsis

- ❖ **Nature and Definition**
- ❖ **Causes for growth**
- ❖ **Merits and Demerits**
- ❖ **Safeguards**

The Nature and Definition of Delegated Legislation

The term legislation refers to the process of making or enacting and repealing a positive law in written form by a branch of government constituted to perform this process, which is the legislature. The legislative organ of every country has the power to make laws on every matter concerning the lives of its citizens and the government subject to the limitations imposed by the constitution. In England, where the doctrine of parliamentary sovereignty is propounded, parliament as a matter of principle can enact or repeal legislation as it sees fit. Whether there is a clear limitation or not, the legislature is in charge of making laws in the form of primary legislation. Any other legislation that is subordinate or auxiliary to primary legislation is known as delegated (or sometimes ancillary) legislation.

In short, delegated legislation means the exercise of legislative power by an agency that is subordinate to the legislature. This subordinate body acquires the power from the act of the legislature. Power is transferred from the principal lawmaker to the lower body, which may be the executive, cabinet, council of minister, or a specific administrative agency, by the mechanism of delegation. Generally, delegation refers to the act of entrusting another authority or empowering another to act as an agent or representative. By the same token, delegation of legislative powers means the transfer of law-making authority by the legislature to the executive, or to an administrative agency. In line with the power granted to them by the legislature administrative, agencies can issue rules, regulations and directives, which have a legally binding effect.

The study of rule-making (delegated legislation) by the executive branch of government occupies a significant place in the administrative law due to its increasing growth, complexity and the dangers it poses to individual liberty and freedom. Scholars regard delegated legislation as a typical characteristic of administrative activity in public administration. One of the most significant developments of the present century is the growth in the legislative powers of the executive. Measured by volume, more legislation is produced by the executive government than by the legislature. The increase in quantity and quality of delegated legislation, if not supplanted by clear procedures and effective controlling mechanisms, may ultimately result in arbitrariness and abuse of power, which in turn leads to injustice and violation of liberty. That is why it is regarded by many as a "necessary evil." It was considered a danger to the liberties of the people and a devise to place despotic powers in few hands. It was said that delegated legislation preserved the outward show of representative institutions while placing arbitrary and irresponsible power in new hands.

However, in reality, the intricacies and complexities of modern government have proved beyond doubt that the delegation of legislative powers to administrative agencies is a compulsive necessity. In no democratic society committed to the establishment of a welfare state, the legislature monopolizes the legislative power. It will be futile for the legislature to solve the ever increasing social and economic problems, unless it shares some of its powers with the executive and other administrative organs of the state. A statute may be inexact, incomplete, and unintelligible, and may even be misleading unless it is read with specific rules and regulations made there under. Delegated legislation also serves a technique to relieve pressure or legislature's time so that it can concentrate on principles and formulation of polices. After this, it has to leave technical and detailed matters which are necessary to fill the gaps in the primary legislation. Nowadays, administrative rule-making has become a typical characteristic of the administrative law and administrative activity. The 20th century has been termed as the age of regulation due to the increasing number of instruments issued by the executive branch of government. Most of the legislations that govern the conduct of the individual come from administrative agencies, not from the legislature.

How do you distinguish administrative actions from quasi-legislative actions?
There is only a hazy borderline between legislation and administration, and it is difficult to show there exists a fundamental difference between the two. One common point of difference is that the legislative power is the power to lay down the law for people in general, whereas

administrative power is the power to lay down the law for them, or apply the law to them in some particular situation. It is also a common principle of legislation that legislative acts should be public. One test of distinction may be that where the former is a process of performing particular acts or of making decisions involving the application of general rules to particular cases, the latter is the process of formulating a general rule of conduct without reference to particular cases and usually for future operation. Rule - making action of the administration partakes with some exceptions, all the characteristics of a normal legislative action process. These may be generality, non-retroactivity and a behaviour which bases action on policy consideration and gives a right or a disability. In some cases, however, administrative rule making action may be particularized, retroactive and based on evidence. On the other hand, a quasi-judicial action is particularly based on the facts of the case and declares a pre-existing right.

4.2 The Need for Delegated Legislation

Despite the ever-increasing volume of primary legislation, the complexities of governing a sophisticated society (and even a developing society) demands the delegation of some legislative functions to inferior bodies such as ministers and administrative agencies. Clearly parliament does not have time or resources to enact every single piece of legislation that is needed in the form of primary legislation, which can be fully debated and scrutinized in accordance with legislative procedures. The result is delegated legislation- legislation produced by an 'inferior body' which nevertheless has the force of law. Tackling the complexities of modern administration in an efficient and efficient manner demands an atmosphere of complexity. Parliament has to follow strict legislative procedures to make a single law. Hence, it will be far from being flexible without delegating some of its powers to the executive.

Can you try to identify impacts of retaining all legislative power by the lawmaker (parliament)?

The complexities of modern administration are so baffling and intricate and bristle with details, urgencies and difficulties. Therefore, to tackle these problems, an atmosphere of flexibility is needed. A parliament which sits for a limited period of time and which is required to observe strict legislative procedures will be far from being flexible without delegating some of its powers to the executive.

Taking into account the above general justification, the following factors may be mentioned as reasons for the need for delegated legislation.

A) Limitation on Parliamentary Time

Art 58(2) of the F.D.R.E. constitution reads:

"The annual session of the house shall begin on Monday of the final week of the Ethiopian month of Meskerem and end on the 30th day of the Ethiopian month of sene. The House may adjourn for one month of recess during its annual session" As stated in Art. 58(2) of the constitution, assuming that there is one-month recess, for how many maximum days will the House of Representatives sit in parliament? Then subtract 39-week days and multiply it by 8 working hours. Taking into consideration the average time necessary to make law, do you think the house of people's representatives has sufficient time to provide all the laws in quantity and quality? It is said that even if today parliament sits all the 365 days in a year and all the 24 hours, it may not give the quantity and quality of law, that which is required for the proper functioning of a modern government. Therefore, it is clear and self-evident that the main reason for delegation of legislative power is to relieve the pressure on parliamentary time.

B) Technicality Subject of Matter

Read carefully the following provisions:

I.) "For the purpose of fostering monetary stability and credit and exchange conditions conducive to the balanced growth of the economy of Ethiopia, the Bank may issue directives governing its own credit transactions with banks and other financial institutions, and credit transactions of banks, and other financial institutions.**"(Art 28(1) of Monetary and Banking Proclamation No.83/1994)**

II) "The council of ministers may by regulations exempt any income recognized as such by this proclamation for economic, administrative or social reasons" **(Art 13(e) of Income Tax Proclamation No.286/2002)**

1. Regulations and directives may be issued for the complementary of this proclamation.

2. The regulations shall, in particular, provide for the payment of fees in connection with applications for the grant of patents and utility model certificates and for the registration of industrial designs and matters related thereto." (Art 53 sub 1 and 2 of Inventions and Industrial Designs Proclamation No 123/1995)

Which of the above provisions do you think are technical matters which do not involve policy issue and need some expertise knowledge?

Legislation has become highly technical because of the complexities of a modern government. Members of the parliament are not experts, and so they cannot comprehend the technicality of the subject matter of some economic and social issues. Technical matters, as distinct from policy issues, are not susceptible to discussion in parliament and therefore cannot be readily be included in legislation. Therefore, technicality of the subject matter stands as another justification for delegation. It is convenient for the legislature to confine itself to policy matters only and leave the technical law-making sequence to the administrative agencies.

C) Flexibility

Ordinarily legislative process suffers from lack of viability and experimentation. A law passed by parliament has to be in force till the next session of parliament when it can be replaced therefore, in situations which require adjustments frequently and experimentation, administrative rule making is the only answer. The need for frequent adjustment or flexibility can be observed from the following provision. "The Bank may, from time to time, prescribe by regulations the terms and conditions upon which persons departing from Ethiopia may carry with them foreign exchange or make remittance for services." **(Art 55 of Monetary and Banking Proclamation No.83/1994).** In the above provision, the terms and conditions for carrying foreign exchange by persons departing from Ethiopia could be changed from time to time. Hence this flexibility could be attained through delegation of power to make these rules.

D) Emergency

During emergency, it may not be possible for the parliament to pass necessary legislation to cope up with the situations. Under such conditions, speedy and appropriate action is required to be taken. The parliament cannot act quickly because of the time that requires passing an act. Moreover, immediate knowledge and experience is only available with the administration. For this reason, wide legislative power must be conferred up on the executive to enable the government to take actions quickly. The above grounds clearly justify the need for administrative rule making. On the other hand, this rule-making may have some negative effects. Can you give one undesirable impact of the administrative rule making?

4.3. Theoretical Objections against Delegated Legislation

The fact that delegation is indispensable and inevitable due to practically convincing needs, it has not been a bar to theoretical challenges and criticisms against it. The main constitutional objection raised against delegation of rulemaking power to administrative agencies has been

the doctrine of non delegability of power, which holds that power delegated to one branch may not be redelegated to another. People elect their representatives based on their fitness, knowledge and ability to represent their interest. Hence, it is a generally accepted rule that this mandate bestowed by the people cannot be delegated to another individual or organ, which does not stand in a direct relation to the people. It is a cardinal principle of representative government that the legislature cannot delegate the power to make laws to any other body or authority.

One of the most commonly cited sources of the rule of non-delegation is the common law maxim delegates potestas non potest delegari which means that a delegate cannot further delegates his power. Simply, the maxim indicates that power that has been delegated originally may not be redelegated. The maxim was originally invoked in the context of delegation of judicial power and implies that in the entire process of adjudication, a judge must act personally except in so far as he is expressly absolved from his duty by a statue. Therefore, the basic principle underlying the maximum is that discretion conferred by the statute on an authority must be exercised by that authority alone, unless a contrary intention appears from the language, scope or object of the statute. Generally, it implies that, since the people delegated legislative power to the lawmaker, executive power to the prime minister and cabinet and judicial power to the courts, none of the institutions may redelegate its power to any other authority.

Another objection to delegation of power is based on the doctrine of separation of powers. In America, the doctrine of separation of powers has been raised to a constitutional status. The U.S. Supreme Court has observed that the doctrine of separation of power has been considered to be an essential principle underlying the constitution and that the powers entrusted to one department should be exercised exclusively by that department without encroaching up on the power of another.

ADMINISTRATIVE ADJUDICATION

Synopsis

- ❖ **Meaning**
- ❖ **Agencies for Administrative Adjudication**
- ❖ **Kinds**
- ❖ **Causes for the growth**
- ❖ **Advantages**
- ❖ **Disadvantages**
- ❖ **Safeguards**
- ❖ **Limitations**
- ❖ **Central Administrative Tribunal**

1. Meaning of Administrative Adjudication:

Modern public administration has taken a leaf not only from the legislature's book but also from that of the judiciary. Administrative Adjudication is the latest addition to the administrative techniques. Administrative Adjudication means the determination of questions of a judicial or quasi-judicial nature by an administrative department or agency. Like a regular court, administrative bodies hear the parties, sift evidence, and pronounce a decision in cases where legal rights or duties are involved. In the words of Prof White, "…administrative adjudication means the investigation and settling of a dispute involving a private party on the basis of a law and fact by an administrative agency." Prof Dimock defines Administrative Adjudication as the process by which administrative agencies settle issues arising in the course of their work when legal rights are in question. Blachly and Oatman describe administrative tribunals or Administrative Courts as, "authorities outside the ordinary court system which interpret and apply the laws when acts of public administration are attacked in formal suits or by other established methods."

The agencies for administrative adjudication may comprise:

(i) The minister;

(ii) The head of the department (permanent);

(iii) A ministerial tribunal;

(iv) A special committee or commission like Independent Regulatory Commissions;

(v) Specialized courts of law;

(vi) Single member tribunal;

(vii) Composite tribunal. Dr. Robson has thus remarked, "One of the most striking developments in the British Constitution during the past half century has been the acquisition of judicial power by the great departments of the state and by various other bodies and persons outside the courts of law." The main point of difference between administrative adjudication and administration of justice by the courts is that administrative justice is administered by administrative agencies instead of regular courts. The administrative courts follow the principles of natural justice and common good whereas the courts of law follow the settled principles of law and evidence. The administrative courts are manned by officers belonging to the executive branch whereas the judges are the members of the judiciary independent of executive control.

2. Kinds of Administrative Adjudication:

Administrative adjudication may take the following forms:

(i) Advisory administrative adjudication which means that the power of final decision is vested in the head of the department or other authority.

(ii) Administrative Adjudication may constitute a part of the regular functions of an administrative officer.

(iii) Administrative Adjudication may be combined with a legislative administrative process.

(iv) Regular suits may be filed against administrative decision.

(v) Administrative Adjudication sometimes applies to licensing activities.

(vi) Administrative Adjudication may be adopted for the settlement of claims.

(vii) Administrative Adjudication may sometimes serve as a condition precedent to the performance of an administrative act.

3. Causes of the Growth of Administrative Adjudication:

The following causes have led to the growth of administrative adjudication:

1. A By-Product of the Welfare State:

The Administrative Tribunals rendering Administrative justice constitute a by-product of the welfare state. In the 18th and 19th century when 'laissez' faire theory held sway, law courts emerged out as the custodian of the rights and liberties of the individual citizens. At times they protected the rights of the citizens at the cost of State authority. With the emergence of welfare state, social interest began to be given precedence over the individual rights. The existing

judiciary failed to uphold the new system. In the words of Robson, "with the extension during the nineteenth and twentieth centuries of the functions of the government to one new field after another, with the progressive limitation of the rights of the individuals in the interests of the health, safety and general welfare of the community as a whole, with the development of collective control over the conditions of employment and manner of living and the elementary necessities of the people, there has arisen a need for a technique of adjudication better fitted to respond to the social requirements of the time than the elaborate and costly system of decision provided by litigation in the courts of law." In brief the new system of administrative adjudication suited new social ends espoused by a welfare state. It proved a potential instrument for enforcing social policy and legislation.

2. Suitable to Industrialized and Urbanized Society:

Administrative Adjudication suits modern industrialized and urbanized society as well. The latter necessitates positive and prompt action which is possible if the problems arising out of the new order are not left to the mercy of ordinary courts. In the words of Robson, "Parliament did not overlook the courts of law but they found the possibility of setting up new organs of adjudication which would do the work more rapidly, more cheaply and more efficiently than the ordinary courts, which would possess greater technical knowledge and fewer prejudices against government, which would give greater weight to the social interests involved and show less solicitude for private property rights which would decide with a conscious effort at furthering the social policy embodied in the legislation. This prospect offered solid advantages which induced the legislature to extend in one sphere after another the administrative jurisdiction of governmental departments so as to include judicial functions affecting the social services."

3. Ordinary Law Courts Not Competent:

(i) Law courts, on account of their elaborate procedures, legalistic forms and attitudes can hardly render justice to the parties concerned in technical cases. Ordinary judges brought up in the traditions of law and jurisprudence are not capable enough to understand technical problems which crop up in the wake of modern complex economic and social processes. Only administrators having expert knowledge can tackle such problems judiciously. In the words of White, "Another important consideration was the desire to secure adjudication by a body of experts in the subject-matter of litigation rather than by a body of experts in the law." Lord

Summer also held a similar opinion. According to him, the common law judges are "ill-equipped to weigh the merits of one solution of a practical question against another."

(ii) The expedient adopted by the courts is to examine the experts of the subject. The expert witnesses are only too often hired assassins of the truth; and even if they were just men made perfect the assimilation of technical facts at short notice, through the testimony of another individual, is a different thing from a first-hand knowledge of the groundwork based on personal experience or training. In the recent past in a decision given by Madras High Court, it frankly admitted that it knew nothing of the subject. That clearly reflects the handicaps of regular judiciary.

(iii) The court procedures when tested by times are found wanting. Litigants have to face exasperating delay because of crowded dockets of these courts and an excessive right of appeal to the higher courts.

(iv) The justice in these ordinary courts has neither been speedy nor cheap. It has been dilatory or cumbersome. Hence an improvement was contemplated in administrative courts.

(v) Ordinary courts were under too much strain. Hence, they were to be relieved of the strain. Dr. White has graphically summed up defects of the ordinary courts which caused aversion to them and a swing towards administrative courts, in these words "For a half century, there had been growing dissatisfaction with the court procedure. Litigants were faced with exasperating delay… they found the technical rules of evidence sometimes inappropriate and conducive to dispute among lawyers rather than to a just and early settlement; they were dubious about the value of jury in many kinds of cases; and the cost of judicial action including Attorney's fees sometimes reduced victory to a hollow success."

4. Safety to be Ensured:

A good number of situations are such as require quick and firm action otherwise health and safety of the people may remain in jeopardy. For instance, ensuring of safety measures in coal mines, preventing of illegal transactions in foreign exchange, and unfair business practices necessitate prompt action. Such cases, if to be dealt with in the ordinary courts of law, would cause immense loss to the state exchequer and undermine national prestige. However, the administrative courts presided over by the experts would ensure prompt and fair action.

5. Standards of Conduct to be Devised:

Besides the points suggested above, the main business of the ordinary courts is to settle disputes and not to set standards of human behaviour. It is for the legislature to set such standards. The legislatures are not in a position to prescribe in exact details the pattern of conduct. This power is delegated by the legislature to the administration. The disputes arising out of the enforcement of these standards can be properly tackled by the Administrative courts alone. For instance, the factory rules provide certain safety measures. A workman working in the factory gets injured. Has he been injured due to bad workmanship or non-compliance of the safety measures by the management can be decided only by the administrative expert rather than an ordinary judge? The sporadic rise of administrative adjudication was, however, widely denounced by the freedom-loving people of the democratic countries. In England, parliament was compelled to appoint a Select Committee on Ministers' Power in 1931 to go into the question. The Committee was, however, of the view that the system of Administrative Adjudication was not inconsistent with the Rule of Law. Still they suggested certain safeguards to meet the dangers of the practices?

4. Advantages of Administrative Adjudication:

The following are the advantages of Administrative Adjudication:

(a) Cheaper:

Administrative justice is cheaper comparatively. In suits, lawyers may or may not appear. No court fees are to be paid, no solicitors are to be instructed, no counsel is to be briefed, no pleadings are to be printed, no affidavits are to be sworn. Robson opines that it is also cheaper from the point of view of the state, if the relative salaries of the official members of the administrative tribunals and the judges are taken into consideration.

(b) Speedy Justice:

Justice by the Administrative Tribunals is speedy. Oral hearings are dispensed with. Intricate trial procedures are abandoned. Vexatious rules of evidence are conspicuously absent.

(c) Adequate Justice:

In the fast-changing world of to-day, administrative tribunals provide the most effective means of rendering fair justice to the individuals. Lawyers steeped in the old traditions and philosophy of law and environed by procedural dialectism generally discernible in the ordinary courts of laws, can hardly appraise the needs of the modern welfare society. Hence administrative courts alone can render adequate justice.

(d) Burden of Courts Lessened:

The system provides the much-needed relief to the ordinary courts of laws which are overburdened with varied types of ordinary suits. Many of the disputes coming before the ordinary tribunals are of ordinary nature and do not warrant the attention of highly paid judges or the necessity of elaborate procedures and rules of evidence. Such cases can easily be referred to these tribunals.

(e) Useful in Developing Democracies:

In developing democracies which experiment with new social and economic programme, ordinary courts would be completely misfit. All the disputes arising out of such programmes will get struck, thus giving a setback to the programme itself unless we switch over to the Administrative Courts.

(f) Fixing of Standards:

The disputes which come for adjudication before the Administrative Tribunals arc not concerned with the proprietary or other claims of the disputants but the fixation of public standards of performance. Such standards of performance can be determined only by these administrative and not ordinary courts. For example, a dispute concerning an injured employee's claim for compensation from the employer is more a problem of enforcing standards of safety in the factory than a mere dispute of rights between the employer and the employees. Obviously ordinary courts are not capable of undertaking such work.

(g) Flexibility:

The legalistic approach to problems is static, un-progressive and individualistic. An ordinary court intervenes only when a conflict arises. It moves in the direction of controversy alone. It is not concerned with the problems arising from the decisions the complications following such decisions and the other inter-relations involved. The fast-changing society necessitates a progressive attitude and an adaptation of policies to meet changing conditions. Administrators formulate policy, develop administrative techniques, work out new methods of adjusting controversies, check and modify their standards in the ordinary functions and difficulties confronting everyday life and adjust their decisions and attitudes. Thus, conditions fostering controversies are removed through such a type of flexibility.

Moreover, such tribunals are not bound by precedents. They are free to go against the existing precedents. This makes administrative law flexible and enables administrative tribunals to further a policy of social amelioration unhampered by legal rigidities. Robson has well summed up the advantages of Administrative Adjudication in these words, "cheapness, and speed with which they usually work; the technical knowledge and experience which they make available for the discharge of judicial functions in special fields; the assistance which they lend to the efficient conduct of public administration; and the ability they possess to lay down new standards and to promote a policy of social improvement."

Frederick and Miriam are also of the same view, "Administrative courts not only relieve the ordinary courts of a great bulk of work, but also serve purposes foreign to the latter…The informal and inexpensive procedure before most administrative courts and the possibility of specialization either in separate courts or in chambers are generally considered very desirable… The weight of expert opinion considers the continental system more satisfactory than the separate administrative courts practically always subject in certain respects to the judicial courts which are found in England and the United States. There IS no doubt that the administrative courts of some kind are a necessary and increasingly important part of modern governmental machinery."

5. Disadvantages of Administrative Adjudication:

Though these advantages of Administrative Courts are quite impressive, yet they have been targeting of criticism at the hands of certain critics like Dicey, Lord Hewart, Allen and K M Munshi. Lord Hewart calls administrative adjudication as 'organised lawlessness'. Dicey considers it derogatory to the rule of law. An Editorial Note in Times of India describes it a 'Martial Law'. K.M. Munshi while realizing the indispensables of Administrative Courts opines, "… it would in my opinion undermine the democratic structure if administrative methods of adjudication are considered convenient alternatives to the court of law."

Following are the main defects of the administrative adjudication:

(a) Violation of Rule of Law:

It violates the rule of law-the cornerstone of democracy. Rule of Law stands for equality before law, supremacy of law and due procedure of law over governmental arbitrariness. The administrative tribunals, with their separate law and procedure often made by themselves, seriously circumvent the celebrated principles of Rule of Law.

(b) Principle of Natural Justice Undermined:

Administrative Adjudication violates the principles of natural justice, viz., no man should be a judge in his own case; no party ought to be condemned unheard; party should know the reason for the decision. The Administrative courts do not often give the reasons for decision.

The quality of investigation is also poor. Free from the trammels of judicial procedure, administrative courts depend on unsworn written statements, unsupported by verbal testimony given on oath and subjected to cross-examination. Neither the documents are sent for nor witnesses are compelled to attend. Thus, justice remains at stake.

(c) Limited Right to Appeal:

The right to appeal from the decisions of these courts is either very limited or is non-existent. The opportunity for judicial review is restricted. This is apt to lead to miscarriage of justice.

(d) Lack of Publicity:

The rules of procedure of administrative courts do not provide for the publicity of proceedings. Provision of oral hearing may not be there or if it is there it may not be open to the public and the press. Reports of the cases so decided may not be publicized.

Even the statement of reasons on which they are based, may not be given. In the absence of proper publicity, it is not easy to predict the trend of future decisions. In the words of Robson, "without publicity, it is impossible to predict the trend of future decisions and an atmosphere of autocratic bureaucracy is introduced by the maintenance of secrecy which in the ordinary course of events is quite unnecessary…"

(e) Tribunals do not Act Judicially:

Tribunals are not maimed by judicial luminaries. As such, they do not have the impartial outlook. They become the limbs of the executive, and dance to its tune and cease to act judicially.

(f) Prediction of Future Decisions not Possible:

The Administrative courts hold summary trials and do not take into consideration precedents. Hence, it is rather impossible to predict the course of future decisions. It is contended by the critics that administrative law today is a medley of confusion practically in all those countries where rule of law prevails. It is neither written, nor definite, nor known.

(g) Uniform Procedures Non-Existent:

The Administrative courts do not observe uniform procedures. It leads to inconsistent and arbitrary decisions. Fixed standards of conduct are conspicuous by their absence. Hence justice is negated.

Lord Hewart correctly remarked, "Justice should not only be done but should undoubtedly and manifestly be seen to be done." In the U.S.A., however, the Administrative Procedure Act 1946 has clearly laid down minimum procedural requirements. According to Schwartz, "The Administrative Procedure Act represents the first legislative attempt in the common law world to state the essential principles of fair administrative procedure. The Congress, in enacting the law of 1946, mirrored the mood of discontent with the administrative process which existed in the United States among many of those subject to administrative authority…"

Though these defects seem to be quite alarming yet they are not inherent defects. There is a necessity of providing proper safeguards to eliminate these defects. In reality, there is a need for striking a proper balance between cheapness and promptness of justice and the liberty of individuals.

6. Safeguards in Administrative Adjudication:

Three types of safeguards if provided, Administrative Adjudication may prove an asset to a democracy. They are – organisational, procedural and judicial.

A. Organisational Safeguards:

(a) The Adjudicator of disputes should be a person different from the one who is involved in a dispute against the individual or group of individuals. He may be drawn from the same service responsible for administration of the functions of the agency.

(b) An adjudication board or tribunal rather than a single officer should be empowered to adjudicate. This is in consonance with a well-established rule of fair justice.

(c) The appointment of the members and particularly of the chairman should not vest solely with the minister concerned. The Franks Committee in U.K. had recommended that to insulate the Tribunal from departmental influence, the chairman of all such Tribunals should be appointed by the Lord Chancellor.

It further suggested that the members of such Tribunals should be appointed by Council on Tribunals. Such a suggestion may be of use for India as well. A Council or Tribunal in India may comprise judges both existing and retired, lawyers, academicians and reputed persons in other walks of life. Such a council should be consulted in matters concerning composition and procedures of administrative tribunals.

B. Procedural Safeguards:

Purely from procedural point of view the Administrative Tribunals in countries following the Anglo-Saxon system of law present a picture of complete disharmony and utter confusion. The Committee on Ministers' Powers appointed in U.K. reported in 1932 that administrative tribunals should follow the principles of natural justice.

They suggested:

(i) No man should be a judge in his own case;

(ii) No man should be condemned unheard;

(iii) Party concerned should know the reasons for the decision. Besides the above, following procedural improvements can also be helpful;

(iv) All the evidence and documents on the basis of which a decision is to be taken should be disclosed. No one should be taken by surprise;

(v) The concerned should be entitled to represent his case either by himself or through a legal expert.

(vi) The accused should be entitled to cross-examine the evidence and challenge the evidence produced against him.

(vii) The accused should not only be given an opportunity to examine the evidence produced against him but should also have an opportunity to call evidence, oral and documentary.

(viii) He should be given the right to full judgment which should reveal the reasons for the order and not merely the order.

(ix) He should possess the right to appeal for further and higher judgment.

C. Judicial:

The system of Judicial Review over judicial and semi-judicial action of the administrators and tribunals can prove a very adequate safeguard. In France and Germany, supreme Administrative Court has been provided to supervise all administrative tribunals and authorities. In the Rule of Law countries, the jurisdiction of the Supreme and the High Courts should not be curtailed. The right to judicial review on points of law should remain unimpaired. In the words of M.C. Setalvad, India's Attorney General, "Any judicial review of administrative action in which the highest court of the country is not the predominating authority, would not inspire public confidence."

In a developing democracy like India in particular, the judicial review is almost a necessity. Articles 32, 136, 226 and 227 of the Constitution provide for judicial review of the decisions of the Administrative Tribunals. Some of the Acts are immune from judicial control. The Opium Act, 1857, the Ganges Tolls Act, 1867, the Explosives Act, 1884 the Ancient

Monuments Preservation Act, 1904, the Indian Cotton Cess Act, 1923, the Trade Marks Act 1940 the Mines Maternity Benefit Act, 1941, the Minimum Wages Act, 1948, and the Representation of the People Act, 1950, the Air Corporation Act, 1953, and the Inter-State Water Dispute Act, 1956, are some of the examples of such Acts. Though these safeguards will help in removing the lacunae of the functioning of the Administrative Courts, yet it is advisable that indiscriminate recourse to Administrative Courts must be avoided. The democratic superstructure is likely to be undermined if administrative adjudication is used as an alternative to the ordinary court system.

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Lord Green has rightly remarked "It is only certain classes of questions which are suitable for submission to a special tribunal to the exclusion of the courts, In deciding whether a case falls within these classes, it is relevant to consider the number of individuals likely to be affected and their probable pecuniary position the necessity or otherwise of providing a speedy and inexpensive procedure and one affording opportunities for decentralization… In all cases there should be a right of appeal to the courts on questions of law. In no circumstances should the power of the courts to restrain a special tribunal from exceeding its jurisdiction be taken away." Talking of suitability of Administrative Adjudication to India, S.R. Dass, ex-Chief Justice of India, correctly stated. "To us who have been brought up on the tradition of the Anglo-Saxon system of jurisprudence and nurtured on the basic ideals of the Rule of Law, the idea of Tribunals appears to be odious. But we have to adjust ourselves to the needs of modern times."

7. Administrative Tribunals (Court) in Various Countries:

Administrative tribunals radically differ from the ordinary courts regarding their constitution and procedure. They consist of administrative officials and experts and not judges. Their procedure is simpler and much more informal than that of ordinary courts. The usual rules of evidence are not observed. Lawyers are not allowed to appear. Facts are ascertained through questioning by the hearing officers. Decisions are speedily arrived at.

Examples of Administrative Tribunals:

In continental country like France, a systematic hierarchy of administrative courts headed by the Council of State exists. It is the case in Germany.

Administrative Tribunals in U.K.:

In the Anglo-Saxon countries like England, a large number of Administrative Tribunals have come to exist. Railway Courts, the Transport Tribunal, Road Transport Licensing Authorities National Health Service Tribunals, School Tribunals, National Insurance Tribunals National Assistance Tribunals, Pensions Tribunals, Rent Tribunals, Local Valuation Tribunals, Land Tribunals are the examples of regular Administrative Tribunals. Besides, certain ministers perform judicial functions. Adjudicatory powers have been entrusted to particular officers, viz., District Auditors, Registrar of Friendly Societies, etc.

Administrative Tribunals in U.S.A.:

In the U.S.A., there are four types of Administrative Tribunals:

(a) Independent Administrative Courts, viz., the U.S. Customs Courts, Board of Tax Appeals, Courts of Claims, etc.

(b) Special Administrative Courts, viz... Board of Appeal in the Patent Office, Board of Veterans appeal in the Veteran Administration.

(c) Regulatory bodies, viz., the Interstate Commission, Federal Trade Commission.

(d) Licensing authorities like the Bureau of Marine Inspection and navigation. Civil Aeronautics Authority, etc. Besides these courts, some of the executive departments or their heads, e.g., the Secretary of Agriculture, also possess adjudicatory powers. In U.S.A., the number of Administrative Tribunals goes on increasing annually. In U.K., their number is no less. About 14 closely printed pages of Pollards' book. Administrative Tribunals at Work are devoted to a mere mentioning of such courts. Their constitution, however, differs. Some of them consist of single officers, others are plural in composition. Some are independent or quasi-independent of executive control. Some are departmental in character. Their proceedings may be private or public. Personal hearing may or may not be permitted. Lawyers may or may not be allowed to appear as defence counsels. Reasons for decisions may or may not be quoted. Appeals may or may not be allowed.

Administrative Tribunals in India:

In India also like U.K. and U.S.A., their growth has been rather haphazard. They have come into existence as or when required. Though their number has been gradually multiplying, yet they have never been organized into a coherent system. Over 3,000 such courts exist in India. Income Tax Appellate Tribunal, Railway Rates Tribunal, Labour Courts, Industrial Tribunals, Wage Boards, Compensation Tribunals, Election Tribunals, Central Administrative Tribunal,

Rent Tribunals are some of the examples of such Tribunals. Certain other agencies of Government as Central Board of Revenue, Collectors of Customs and Excise, Custodian General of Evacuee Property also perform adjudicatory functions. They constitute part of administrative machinery. There is a common feeling that the administrative tribunals in India do not act impartially and the citizens fail to get justice at their hands. The principles of natural justice are not observed and the administrative courts do not give speaking orders.

However, the Constitution of India under Articles 32, 136, 226 and 227 provides adequate safeguards against the miscarriage of justice. The decisions of administrative courts are open to judicial review.

(i) Income Tax Appellate Tribunal:

Section 252 of the Income Tax Act, 1961 provides that the Central Government shall constitute an Appellate Tribunal consisting of an many Judicial Members and Accountant members as it thinks fit to exercise the powers and functions conferred on the Tribunal by the Act. Under the Act, a judicial Member shall be a person, who has held a judicial office for at least ten years or has been a Member of the Central Legal Services and has held a post in Grade II of that service or any equivalent or higher post for at least three years or who has been an Advocate for at least ten years. For an Accountant Member, the person must have been for at least ten years a Chartered Accountant or a member of the Income Tax Service Group A and has held the post of Additional Commissioner of Income Tax or any equivalent post for at least three years.

The powers and functions of the Tribunal are exercised and discharged by the Bench constituted from amongst the members of the Tribunal. A Bench consists of one Judicial Member and one Accountant Member. The Benches of the Tribunal have been constituted in different parts of the country presently there are 63 benches. The Tribunal is empowered (i) to hear and decide appeals; (ii) to state a case to the High Court on any question of law arising in the case. The powers of the Tribunal include the imposition of a penalty in addition to the tax, up to a maximum limit of one and a half times the amount of the tax. It may confirm, reduce, enhance or set aside the assessment or may send back the case to the lower authority. The Tribunal is the final court of Appeal in Income Tax matters. However, an appeal on a question of law can be taken to the High Court first and then to the Supreme Court. The Tribunal follows judicial procedure in the hearing of a case.

(ii) Central Administrative Tribunal:

Article 323 A added in the Constitution of India in 1985 provides for the setting up of Administrative Tribunal for adjudicating the disputes relating to service matters of persons employed to public services and posts in the Central Government and the States. In Pursuance of the above amendment the Administrative Tribunals Act, 1985 was enacted. The CAT enjoys the status and powers of a High Court in respect of service matters Appeals against its orders He to the Supreme Court only. It has 17 regular Benches operating at the principal seats of High Court. These regular Benches also hold circuit sittings at other seats of High Courts.

The sanctioned strength of the CAT is Chairman – 1, Vice-Chairman 16, Members – 49. The process of appointment of Chairman, CAT is initiated by the Chief Justice of India on a reference made to it by the Central Government. The appointment of Vice-Chairman and Members of CAT are made on the basis of recommendations of a Selection Committee chaired by a nominee of the Chief Justice of India who is a sitting judge of the Supreme Court. The appointments are made with the approval of the Appointments Committee of the Cabinet. The members are drawn both from judicial as well as administrative streams.

The CAT is distinguished from the ordinary courts in the following respects:

(i) The Tribunal exercises jurisdiction only in relation to the service matters of public servants covered by the Act;

(ii) The Tribunal is free from the shackles of many of the technicalities of the ordinal courts in respect of hearing of evidence and pleading by the lawyers and the presentation of the case.

(iii) The government can present its case through the departmental officers or legal practitioners.

 (iv) Further, only a nominal fee is to be paid by the petitioner for filing an application before the Tribunal.

(v) The members of the Administrative Tribunals are drawn from the administrative stream also, whereas the judges of ordinary courts belong to the legal stream.

(vi) The Ministry of Personnel, Public Grievances and Pensions looks after the Administrative Tribunals providing them better conditions of service and improve their functioning.

One of the main objectives of setting up the Administrative Tribunals was to provide cheap and speedy justice to public employees in disputes relating to their service matters. The CAT has been able to achieve this objective to a considerable extent, despite many constraints faced

by it. Through an amendment in the Administrative Tribunal Act, 1985, the States have been given the power to abolish the State Administrative Tribunals if they so desire.

UNIT III

BUREAUCRACY

Synopsis

- ❖ **Meaning and Definitions**
- ❖ **Features**
- ❖ **Role of bureaucracy**
- ❖ **Control over Bureaucracy**
- ❖ **Weber's Bureaucratic model**
- ❖ **Types**
- ❖ **Conclusion**

Meaning, Features and Role of Bureaucracy

Bureaucracy: Meaning, Features and Role of Bureaucracy

Bureaucracy or the Civil Service constitutes the permanent and professional part of the executive organ of government. It is usually described as the non-political or politically neutral, permanent, and professionally trained civil service. It runs the administration of the state according to the policies and laws of the government political executive. Upon the qualities and efficiency of bureaucracy depends the quality and efficiency of the state administration. It, however, works under the leadership and control of the Political Executive.

Bureaucracy: Meaning and Definition:

The terms bureaucracy, civil service, public servants, public service, civil servants, government service, government servants, officials of government, officials, permanent executive and non-political executive are used to describe all such persons who carry out the day to day administration of the state. The terms Bureaucracy' and 'Civil Service' are popularly used as synonyms.

Narrow and Broad uses of the term Bureaucracy:

In a narrow sense the term Bureaucracy is used to denote those important and higher-level public servants who occupy top level positions in the state administration. In the broad sense, it refers to all the permanent employees of the government right from the peons and clerks to the top-level officials. Presently, we use the term in its broader dimension.

Definitions:

(1) "Bureaucracy means the civil servants, the administrative functionaries who are professionally trained for the public service and who enjoy permanency of tenure, promotion within service-partly by seniority and partly by merit." -Garner

(2) "In its broad larger sense, the term Civil Service is used to describe any personnel system where the employees are classified in a system of administration composed of a hierarchy, sections, divisions, bureaus, departments and the like." -Willoughby

(3) "Civil Service/Bureaucracy is a professional body of officials permanent, paid and skilled." -Finer

Bureaucracy: Main Features:

1. Permanent Character:

The civil servants hold permanent jobs in government departments. They mostly join their services during their youths and continue to work as government servants till the age of retirement which is usually 58 to 60 years.

2. Hierarchical Organisation:

Bureaucracy is hierarchically organised in several levels. Each official is placed at a particular level of hierarchy and he enjoys the privileges and powers which are available to his co-level officials. He is under his immediate higher-level officials and is above his immediately lower level officials. The principle of rule of the higher over the lower governs the inter-relations between various levels of bureaucracy.

3. Non-partisan Character:

The members of the Bureaucracy are not directly involved in politics. They cannot join political parties and participate in political movements. They are not affected by the political changes which keep on coming in the political executive. Whichever party may come to power and

make the government, the civil servants remain politically neutral and carry out their assigned departmental roles impartially and faithfully.

4. Professional, Trained and Expert Class:

The Bureaucracy constitutes the educated and professionally trained class of persons which helps the political executive in carrying out its functions. The members of civil service are recruited through competitive examinations for appearing in which they have to possess some minimum educational qualifications. Before their appointments, they get special trainings. During the course of their service they attend orientation and refresher courses. They have the knowledge, training and expertise necessary for carrying out their administrative work.

5. Fixed Salaries:

Each member of the Bureaucracy receives a fixed salary. Right at the time of appointment he is allotted a scale of pay, which depends upon the nature and level of his job-responsibility. All the civil servants belonging to a particular class of administrative hierarchy are placed in one scale of pay. Each job also entitles them to some allowances.

6. Bound by Rules and Regulations:

The Bureaucracy always works in accordance with 'rules and regulations. 'Strict obedience to rules', 'Through Proper Channel', 'Decision-making after satisfying the rules', are the principles which always guide, direct and regulate the working of bureaucracy. Each official works only within the sphere prescribed for him by the rules of his department.

7. Class Consciousness:

The Civil Servants are highly class conscious. They jealously work to protect and promote the interests of their class of civil servants. They are called the white-collar class because of their faith in their 'superior status' as government officials.

8. Public Service Spirit as the Ideal:

Modern Bureaucracy identifies itself with public service spirit. It always tries to project itself as the civil servants devoted to the promotion of public welfare through the satisfaction of public needs. They are expected to behave as 'officers' responsible for public welfare, with service as their motto.

9. Bound by a Code of Conduct:

The civil servants have to follow a code of conduct. They have to act in a disciplined way. Their rights, duties and privileges stand clearly defined. The procedure of work is definite and settled. They can be punished for misbehaviour, incompetence or negligence or for a violation of their conduct rules. In short, Bureaucracy is characterised by political neutrality, professional competence, permanent/ stable tenure, fixed salaries and strict obedience to rules.

Role of Bureaucracy: Functions:
Bureaucracy or Civil Service plays a key role in running the Public Administration e by performing the following functions:

1. Implementation of Governmental Policies and Laws:

It is the responsibility of the bureaucracy to carry out and implement the policies of the government. Good policies and laws can really serve their objectives only when these are efficiently implemented by the civil servants.

2. Role in Policy-Formulation:

Policy-making is the function of the political executive. However, the Bureaucracy plays an active role in this exercise. Civil Servants supply the data needed by the political executive for formulating the policies. In fact, Civil servants formulate several alternative policies and describe the merits and demerits of each. The Political Executive then selects and adopts one such policy alternative as the governmental policy.

3. Running of Administration:

To run the day to day administration in accordance with the policies, laws, rules, regulations and decisions of the government is also the key responsibility of the Bureaucracy. The political executive simply exercises guiding, controlling and supervising functions.

4. Advisory Function:

One of the important functions of the Bureaucracy is to advise the political executive. The ministers receive all the information and advice regarding the functioning of their respective departments from the civil servants. As amateurs, the ministers have little knowledge about the functions of their departments. They, therefore, depend upon the advice of bureaucracy. As

qualified, experienced and expert civil servants working in all government departments, they provide expert and professional advice and information to the ministers.

5. Role in Legislative Work:

The civil servants play an important but indirect role in law-making. They draft the bills which the ministers submit to the legislature for law-making. The ministers provide all the information asked for by the legislature by taking the help of the civil servants.

6. Semi-judicial Work:

The emergence of the system of administrative justice, under which several types of the cases and disputes are decided by the executive, has further been a source of increased semi-judicial work of the bureaucracy. The disputes involving the grant of permits, licences, tax concessions, quotas etc. are now settled by the civil servants.

7. Collection of Taxes and Disbursement of Financial Benefits:

The civil servants play a vitally important role in financial administration. They advise the political executive in respect of all financial planning, tax-structure, tax-administration and the like. They collect taxes and settle disputes involving recovery of taxes. They play a vital role in preparing the budget and taxation proposals. They carry out the function of granting of legally sanctioned financial benefits, tax reliefs, subsidies and other concessions to the people.

8. Record-Keeping:

The Civil Service has the sole responsibility of keeping systematically all government records. They collect, classify and analyse all data pertaining to all activities of the government. They collect and maintain vital socioeconomic statistics which are used for the formulation of Public policies and plans.

9. Role in Public Relations:

The era of modern welfare state and democratic politics has made it essential for the government to keep close relations with the people of the state. The need for maintaining active and full public relations is a vital necessity of every state. The civil servants play an active role in this sphere. They are the main agents who establish direct contacts with the people. They serve as a two-way link. On the one hand, they communicate all government decisions to the people, and on the other hand, they communicate to the government the needs, interests and

views of the people. Thus, Bureaucracy plays a vigorously active and highly important role in the working of the government.

Control over Bureaucracy:

The rise of modern welfare state and increase in its functions has been a source of big increase in the powers and role of Bureaucracy. It has, therefore, given rise to an additional need for exercising control over bureaucracy. An effective control system has become essential both for preventing the civil servants from abusing their powers as well as for ensuring their active and positive role. In fact, every state maintains a system of internal and external control over Bureaucracy.

(A) Internal Control:

It means control applied from within the organisation i.e. by the administrative machinery. The administrative organisation is hierarchical and is divided into wings, divisions, branches and sections. There are present some internal controls in its every section. The tools of control are budgeting, accounting, auditing, reports, inspections, efficiency surveys, personnel control, code of conduct, and discipline and leadership control. In particular, regular internal inspections, auditing of accounts and evaluation of the performance of each civil several act as main means of internal control over Bureaucracy Internal control is necessary for keeping the bureaucracy efficient and productive of desired results.

(B) External Control:

External control is that which flows from outside agencies. These agencies are the people, the legislature, the executive and the judiciary.

WEBER'S BUREAUCRACY:

Scientific management and theory of bureaucracy mark the first major developments in the theory of organisation. These theories were responding to the needs of industrial organisations. Theory of bureaucracy was needed to bring the efficiency in its functioning. As stated by Weber 'no special proof is necessary to show that military discipline is ideal model for the modern capitalist factory. The example of most developed form of organisation, bureaucracy, the theory of which Weber found, is developed from the Prussian military forces, and which enterprises such as the British Railway Companies actually found in the ranks of the British Army, was to become the specific form of management of big business. Weber felt that

emergence of modern bureaucratic organisation is 'demanded', he further says 'a peculiarity of modern culture', and specific of its technical and economic basis, demands the very 'calculability of results'. More specifically 'today it is primarily the capitalist market economy which demands the official business of the administration be discharged precisely, unambiguously, continuously, and with as much speed as possible'. Bureaucratisation offers above all, optimum possibility for carrying through the principle of specialising administration functioning according to purely objective considerations. Above lines show that the Weber's theory of bureaucracy was a response to the demands of industrial capitalist economy, which required an efficient administration. While Taylor attempted to rationalise functions of modern factory, Weber made an attempt at the rationalisation of bureaucratic structures. Both of them emphasised on control and discipline in the working of organisations.

THEORY OF BUREAUCRACY

Bureaucracy was discussed prior to Weber's writings. The invention of word bureaucracy belongs to Vincent de Gourney, a French economist in 1745. He took the conventional term 'bureau' meaning writing-table and office, and added to it the word derived from the Greek suffix for the 'rule', in order to signify bureaucracy as the rule of officials. It rapidly became a standard and accepted term in the conventions of political discourse. By the end of 19th century the term was widely held to have been of German origin. J.S. Mill, an eminent political scientist included bureaucracy in his series of analysis. Karl Marx also discussed about bureaucracy at certain places. According to Marx, bureaucracy like a state itself is an instrument by which the dominant class exercise its domination over the other social classes. Hegel conceived the governing bureaucracy of public administration as a bridge between the state and the civil society.

Bureaucracy as an institution existed in China even in the period of 186 B.C, public offices were in existence and persons for those offices were recruited through competitive examinations even then. The above discussion shows that there existed a bureaucracy much earlier to Weberian writings and also there were attempts to understand the bureaucracy by different writings. But the Weber is considered to be the first person to attempt at the systematic understanding of the bureaucracy.

MAX WEBER ON AUTHORITY

Max Weber's concept of bureaucracy is closely related to his ideas on legitimacy of authority. He worked on theories of domination, leadership and legitimacy of authority. Weber differentiated authority, power and control. To him, a person could be said to poses power, if in a social relationship, his will could be enforced despite resistance. Such exercise of power becomes controlled. Authority manifests when a command of definite content elicits obedience on the part of specific individuals. For Weber, 'authority' was identical with 'authoritarian power of command'. Authority is 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 orders to him. Unlike in 'power' there is willing obedience on the part of clientele to legitimise authority.

Components of Authority

Weber identified five essential components of authority. They are:

(1) an individual or a body of individuals who rule,

(2) an individual or a body of individuals who are ruled,

(3) the will of the rulers to influence conduct of the ruled,

(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.

Categories of People in Organisation

The authority exists as long as it is accepted as legitimate by the ruled. Thus, an administrator or organisation can rule only when it has legitimacy. While explaining authority in various organisations, Weber concluded "all administration means dominance". Weber categorised persons in the organisations in to four types:

(1) those who are accustomed to obey commands,

(2) those who are personally interested in seeing the existing domination continue,

(3) those who participate in that domination, and

4) those who hold themselves in readiness for the exercise of functions.

Types of Authority

Since Weber believed that authority could be exercised as long as it is legitimate, he divided the authority in to three types based on sources of legitimacy for each authority. Weber classified authority in to three 'pure' or 'ideal' types based on its claim to legitimacy. They are: (1) traditional authority, (2) charismatic authority and (3) legal-rational authority.

Traditional Authority

It 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 authority, a command is obeyed because of the belief in age-old customs, traditions, conventions and beliefs. Those who exercised authority does so under the rules that have always existed, but may also exercise personal prerogative. This is a pure type of feudal, patrimonial regime under which the organisation consists of household officials, relatives, and loyalists. Under this type, obedience is given not to the rules but to the rulers, not to the superiors, but to the chiefs. New rules are not enacted, they are "found". The only documents in the administration of law are the "documents of tradition, namely precedents". Resistance, when it occurs is directed against the person of chief or a member of his staff. The accusation is that he has failed to observe traditional limits of his authority. Under the traditional authority a person enjoy authority by virtue of their inherited status. The persons who obey orders are called 'followers. They carry out the commands out of personal loyalty to the ruler and pious regard for his time honoured 'status'. The system retains legitimacy as long as the customs and traditions are respected in the organisation.

Charismatic Authority

It "rests on devotion to the specific and exceptional sanctity, heroism, or exemplary character of an individual person and of the normative patterns or order revealed or ordained by him". The term charisma (gift of grace) is taken from the vocabulary of early Christianity. Here it is applied supernatural, super human or extraordinary qualities of a leader. Among the holders of charisma are the sorcerer, the prophet or the warrior of chieftain or the personal head of a party and demagogue. In this type of authority obedience was justified because the person giving order had some sacred or outstanding character. The leader exercises authority based on his personal qualities rather than formal stipulations or prescribed norms. Those subject to the authority is "followers" of the leader, not "subject". The only basis of legitimacy is personal

charisma. He can exercise his authority, so long as it is proved, that is so long as it receives recognition and is able to satisfy the followers.

Under this authority the leader selects his disciples or followers as his officials based on their personal devotion to him rather than their special qualifications or status. These 'disciple officials' constitute an organisation and their sphere of activity and power of command depends upon likes and dislikes of the leader.

Legal-Rational Authority

It rests on "a belief in the legality of patterns of normative rules and the right of those elevated to authority under such rules to issue commands. Obedience is owed to the legally established impersonal order. It extends to the persons exercising the authority of office only by virtue of the formal legality of their commands, and only within the scope of the authority of the office". Manifestations of legal authority are found in organisations where rules are applied judicially and in accordance with ascertainable principles valid for all members in the organisation. The members who exercise power under this authority are the superiors and are appointed or elected by legal procedures to maintain the legal orders. The organisation is a continuous process and all its members are subject to certain rules. Weber considers the legal authority as the most rational form of authority. Obedience to the authority depends upon certain related believes. They are: (1) that a legal code can be established which can claim obedience from members of the organisation; (2) that, the law is a system of abstract rules, these rules are applied to particular cases, and the administration looks after the interest of the organisation within the limits of the law; (3) that the man exercising authority also obeys this impersonal order; (4) that only 'qua' member does the member obey the law; and (5) that obedience is done not to the person who holds the authority but to the impersonal order which has granted him this position. Of all the three types of authority Weber considers the legal authority, not only the most rational authority, but also the most efficient form of authority. He considers bureaucracy as legal-rational type of authority.

CONCLUSION

Weber can be considered as one of the eminent thinkers of twentieth century. Though he has written extensively on various subjects, his contribution to the theory of bureaucracy is highly valued. Today we can see it in practice in all the societies of the world. Weber being proved

correct when he said that the societies once governed by the bureaucracy can never get rid of it. His ideas on authority, rationality of bureaucracy continues to be relevant for the present-day society. Most of the time, those who criticise the Weberian model are not actually criticising Weber, but the present-day bureaucracy, which reflect the changes that are taking place in the contemporary period. Bureaucracy might need certain reforms to make it more relevant to the society.

RECRUITMENT

Synopsis

- ❖ **Introduction**
- ❖ **Meaning**
- ❖ **Method of Recruitment**
- ❖ **Merits and Demerits of Direct recruitment**
- ❖ **Qualifications**
- ❖ **Recruitment system in India**
- ❖ **Criticisms**
- ❖ **Committee recommendations**

INTRODUCTION

Recruitment is one of the most crucial problems of personnel administration. It forms the first stage in the process which continues with selection and ceases with the placement of the candidate. Naturally, it is the next step in procurement function, the first being the man power planning. In fact, the success and failure of an organisation, be it public or private, completely depends upon the recruitment policy adopted. Considering this fact, 0. Glenn Stahl rightly remarks that recruitment is the "cornerstone of the whole public personnel structure".^ The purpose of recruitment is to locate sources of manpower to meet job requirements and job. Recruitment has been regarded as the most important function of personnel administration, because the right type of people is hired even the best plans, organisation charts and control systems would not do much good. With an unsound recruitment policy, there can be little hope

of building up a first-rate staff. According to Avasthi and Maheshawari a faculty recruitment inflicts a permanent weakness up-on the administration, the latter virtually becomes a heaven for the dull and the incompetent. No amount of in-service training can make faultily recruited persons 2 bright and efficient". The nature and degree of usefulness of the administrative machinery also largely rests on the recruitment policy. Thus, the need for a sound recruitment policy is hardly over-emphasised. On the whole, it determines the "tone and calibre" of the personnel administration. The aim of recruitment is to locate the right type of persons for various jobs.

Meaning

Ordinarily, the concept of 'recruitment' is used as a synonym of appointment. But it is not correct. "In the technical phraseology of administration, recruitment means attracting the proper and suitable type of candidate for the 4 post to be filled". In other words, recruiting is the discovering of potential applicants for actual or anticipated organizational vacancies. It is a linking activity bringing together those with jobs and those seeking jobs. Accordingly, recruitment is a process to discover the sources of manpower to meet the requirements of the staffing schedule and to employ effective measures for attracting that manpower in adequate numbers to facilitate effective selection of an efficient working force. It includes all the processes occurring from issuing the filling of an application for a particular position.

1. Location of the Appointing Power:

The first question to be decided in respect to the selection of personnel is to which authority the selection of public officials shall be vested, i.e., whether the people will directly elect the public officers or they will be appointed by some officer or organ of the government proper. The first method called the democratic method is supported on the basis that democracy can have full effect and meaning only when all public officers are directly elected by the people. To provide for effective public control over the public employees this method is necessary. Such method is made use of when the service to which appointment is to be made, is purely of a policy-making nature, e.g., Chief Executive or when the service is of a local or restricted nature, e.g., Village Panchayats in India. If we study this method critically, we would find that it can be made use of only when the service, to which appointment is made, is purely of a policy-making nature or when the service is purely of a local and restricted nature. It is quite proper that the officers whose functions are of a political character, that is having to do with

the formation of policies, should be selected by the people by ballot. But they should not be given the right to select the officers, whose duties are purely of an administrative, technical or special character, calling for experience and previous training.

The reason is that sentiments and catchwords play an important part in elections. Technical competence can be secured only by appointment and not by election. The democratic principle, therefore, under which voters elect directly by ballot their officers, is far more applicable to directing than to administrative personnel. The second method of locating the appointing authority is vesting the power of appointment formally in the Chief Executive but actually in a semi-judicial autonomous body—termed Civil Service Commission. The latter functions as a general personnel agency of the government. In the United States, however, the appointment of the more important executive or administrative officers by the chief executive does not become effective until approved by the Senate. It would be out of place to attempt any consideration here of the way in which the Senate has used or misused this power. As a matter of fact, the Senate has so stretched its powers as practically it has usurped the appointment of officers. Such a system does not prevail in India.

2. Methods of Recruitment:

The next problem no less important than the preceding one is that of Recruitment from within and Recruitment from without.

As Lewis Mayers has said, "Methods of selection are basically two in number-selection from without the service, or recruitment, and selection from within the service, embracing reassignment and promotion. The problem goes, however, much deeper than the mere technical choice between detailed methods. It goes to the nature of the whole personnel system. Upon its answer, as much as upon any other factor, and perhaps more depends the attractiveness of the service, ultimate calibre of the personnel recruited and trained and its moral. If compensation standards be regarded as the foundation of the personnel system, the lines of promotion and the levels of recruitment constitute its framework."

Before we proceed further to examine the relative merits and demerits of the two systems, it may be pointed out that the problem really arises in case of the higher middle positions only. It is obvious that the lowest posts must be recruited from without for there is no lower class of personnel from which to promote, and it is also equally obvious that recruitment of fresh and

inexperienced men from outside to the highest positions like those of heads of departments will not do.

Merits of Recruitment from Within (Promotions):

(a) It provides ample opportunities for advancement to the employees. As such, it serves as a great incentive to the hard-working and conscientious employees. This indirectly helps in effecting efficiency.

(b) The very expectation of promotion as a reward for honest and intelligent workers heightens their morale.

(c) The experience gained by the employees in the lower jobs helps them in undertaking jobs entailing higher responsibilities. The Government can safely entrust to them jobs of higher responsibilities.

(d) The Examination system is not a real test of one's abilities. As such, the defect of the examination system is removed through recruitment from within or promotion. The employee's work is the best criterion to judge his worth.

(e) Procuring of efficient employees through this system is easier than that of direct re-cruitment.

(f) It is economical as cost of training is saved. The employees get practical training while serving in an office.

(g) The burden of Public Service Commission's is lessened a great deal, as promotion to higher posts avoids the undergoing of process of advertisement, examination and interviews through it.

(h) It is essential element of career service. According to a "Report, "…a career cannot be said to exist if top positions are generally recruited from outside, from men who do not understand the work in such a way as to create an effective bar to advancement from the bottom to the top of the service itself."

(i) It re-establishes the human factor in public administration which is lost if recruitment is made through external agencies like Civil Service Commissions. Personal contacts between the officers and the subordinates are apt to be established if on the report of the officers the promotion of the subordinates is to be affected.

Lewis Mayers has well summed up advantages of recruitment from within in these words:
"The obvious reason why the restriction of selection to those in the service may be urged as a matter of principle is that it increases the opportunity for advancement within service, and Still more, that it gives those in the service a definite assurance that under given conditions

advancement will come. The anticipated results in terms of a better class of personnel recruited and retained in the lower rank, and a better morale, are obvious. Great as is the desirability, in any personnel system, of multiplying and widening the avenues for advancement to the greatest extent possible, it is especially necessary in the personnel system of governments where at best the opportunities for advancement are not apt to be as great as in private undertakings."

Defects:

The obvious objection to consistent restriction of selection to those already in the service is firstly that it so severely narrows the area of selection. Unquestionably where the restriction of selection for the highest posts to those already in the service is in force, it not infrequently results in the selection of a less capable or less brilliant officer than could have been found outside the service. But against the resulting loss of individual efficiency is to be set the increased efficiency due to better morale and greater incentive, displayed by the rank and file of the service, and the intermediate officers. The knowledge that the highest posts may be the reward of faithful and zealous service is a force, making for a day-to-day productiveness, often far more valuable than any results that may be achieved by the chief executives, however able, with a force but mildly interested in its work.

Secondly, it is arguable that, regardless of the relative efficiency of the personnel which may be recruited from without the service as against that which may be promoted from within, adherence to selection solely from within the service leads to stagnation and conservation; that frequent or at any rate, occasional, injection of new blood into a system, particularly at or near the top, is highly desirable. Thirdly, it undermines the principle of equality of opportunity as recruitment is confined to those who are already in service. It puts premium on experience and as such ignores brilliant, university trained youth. The mediocrities may go on getting higher position simply because of seniority i.e. of being in service. As such, this is condemned as an undemocratic system.

Without depreciating the force of the above contention, it should always be borne in mind that the occasional injection of directing personnel from without represents a merely sporadic attempt to cure a condition which is capable of prevention. Where a proper incentive to efficiency and to progress, exists throughout a service, and central control and supervision as will expose, by periodic survey and appraisal, as well as by current contact, un-progressiveness or incapacity of the directing personnel as soon as it appears, it is perfectly possible to prevent

stagnation at the top from developing; and only occasionally will conditions get to a point where there is imperative need of regeneration by one unfettered by any previous familiarity with the organization. In this view, to the extent that stagnation exists at the top in the federal service it is chargeable to an improper system of administration in the large, and should be corrected by a revision of that system rather than by attempting, at irregular and accidental intervals, to galvanize the sluggish organism into action. Nor should the fact be lost sight of that stagnation of the subordinate personnel, which results from the lack of opportunity for advancement, is no less hurtful to efficiency than is stagnation in higher quarters.

Merits of Direct Recruitment:

Direct recruitment system which India has adopted from the British has some striking advantages as follows:

First, it is claimed that it is in consonance with the principle of democracy in as much as all qualified persons get an equal opportunity for public office. Second, it widens the area of selection, and, therefore, the best talent in the country may be found. Third, it brings in new blood into the service. By giving the young men and women an opportunity to enter the services, it keeps them continuously adapted to new ideas and outlook of society and prevents services from becoming the exclusive preserve of the experienced and conservative people. Fourth, in the absence of direct recruitment the persons who are promoted to higher positions are promoted at an age when they have lost all initiative, quickness and vigour. After serving for a number of years in one of the lower positions, a person comes to develop a somewhat cramped outlook which vitiates his thinking when he holds a higher position.

Hence it is argued that experience of a lower position may, far from being an asset in the higher position, prove to be actually a liability. Fifth, in technical and professional fields, development of new techniques requires new entrants to provide leadership in the adoption of those techniques. Last, recruitment from without impels the employees already in service to keep abreast of new developments in their several fields lest they might prove inferior in competition for higher posts when pitched against the young men abreast of new techniques and new methodology.

Demerits of Direct Recruitment:

Direct Recruitment has also been denounced by the critics on the grounds stated below:

First, the system entails huge expenditure as lot of money is to be spent on the training of the raw young men joining service for the first time. Second, it reduces incentive to good work as chances of promotion to higher services are bleak when posts of higher rank are filled through direct recruitment. Third, the system is apt to cause lot of heart-burning and jealousy. The old, experienced people already in service will not tolerate young men, fresh from the colleges or universities to boss over them.

Fourth, even if the people within service are given an opportunity to compete with the young collegians, they are likely to lag far behind, as they are not acquainted with the latest knowledge of the university subjects. Otherwise too with the advanced age, their memory is not as sharp and power of comprehension is not as good as that of the young collegians. Fifth, under this system, recourse is generally taken to examinations or tests or interviews, which are not the sure test of judging individuals' abilities. They cannot be considered as fool-proof methods for assessing the personal traits of the applicants. Last, Public Service Commissions or other agencies of recruitment will be over-burdened if for all services; recruitment is to be made from without.

3. Qualification of Employees:

The next problem in the recruitment of personnel is that of determining the qualifications of the employees. In every country, some qualifications are laid down for entry into public service. These qualifications are of two types- (i) General, and (ii) Special. In the former are included citizenship, sex, domicile and age, and in the latter personal qualities like education, experience and technical knowledge.

We shall consider each qualification separately:

General Qualifications:

(i) Citizenship:

In every country, only citizens are appointed to public services. Aliens, who do not owe allegiance to the state, are appointed only for a brief period on ad hoc basis. It is but reasonable that all employees of a government should owe allegiance to it. Loyalty and faithfulness to the government are necessary for keeping the secrets of office which has become so vital these days.

(ii) Domicile:

Along with citizenship sometimes domicile qualifications are required for entering into public services. It is specially so for State services. This qualification began in the U.S.A. and has entered in the Indian State services also. In the U.S.A. domicile qualification plays an important part in the personnel system of the national government too. Though the law may not require, the convention or practice is firmly established that the offices of postmasters, collectors of revenue, etc., shall be filled from persons residing in the state. This is, however, an undesirable practice. It does violence to the merit principle. The candidates having high qualifications may be passed over in favour of persons having inferior qualifications simply because the former does not live in the state. Besides affecting efficiency and talent adversely, it also creates provincialism and develops narrow outlook in public administration. According to a Report, "We were greatly concerned to observe that in one State, for instance, domicile rules were applied not only to determine eligibility for appointment to the public services but also to regulate the awards of contracts….such stipulations in our opinion are not only inconsistent with Articles 15, 16 and 19 of the Constitution but go against the very conception of Indian citizenship."

Presently for IAS and IPS services a candidate must be either:

(a) A citizen of India

(b) A subject of Nepal

(c) A subject of Bhutan

(d) A Tibetan refugee who came to India before 1st January 1962 and having within time of setting in India

(e) A person of Indian origin who has migrated from Pakistan, Burma Sri Lanka, East African countries having intention to settle in India.

(iii) Age:

The age qualifications of entrants are a matter of great importance, since the policy adopted in respect to it affects vitally the whole character of the personnel system. The British and the Indian systems preferred to recruit candidates who are between the ages of 20 and 24. In case of India the maximum age limit was 24 till 1972 and was raised to 28 years in 1979. Again in 1986, it was reduced to 26 years. For the year 1992 only, the maximum age for IAS and allied services was raised to 33 years. An 'add' in the Employment News issued on 29th December, 2007 states age limit as under (A) a candidate must have attained the age of 21 years and not have attained the age of 30 years on 1st August, 2008 i.e. he must have been born not earlier

than 2nd August, 1978 and not later than 1st anguish 1987 (i) The upper age is relax able up to a maximum of 5 years if a candidate belongs to a scheduled caste or a scheduled tribe (ii) up to maximum of 3 years in case of candidates belonging to other backward classes who are eligible to avail of reservation; (iii) up to a maximum of 5 years if a candidate had ordinarily been domiciled in the state of Jammu and Kashmir during the period – 1st January 1980 to December 3, 1989; (iv) up to a minimum of 3 years in case of Defence services personnel disabled in operation during hostilities with any foreign country or in a disturbed area and released as a consequence; (v) up to a maximum of 5 years in case of Ex-servicemen who have rendered at least 5 years' service in Military as on August 1st, 2008 and have been released of; (vi) up to in a maximum of 5 years in case of ECOS/SSCOS who have completed 5 years of service as on 1st August 2008 and whose assignment has been extended beyond 5 years; (vii) up to a maximum of 10 years in case of blind, deaf and orthopedically handicapped person.

However, in general category four attempts are allowed to appear but in case of scheduled castes and scheduled tribes no restriction at all; in case of OBC seven attempts are allowed. The physically handicapped will get as many attempts as are available to other non-physically handicapped candidates. However, physically handicapped person of general category will be eligible for 7 attempts for taking the examination. An 'add' on December 6, 2008 in a daily clearly confirms age limit 21 to 30 years for general category as on August 1, 2009 and is relax able for scheduled castes and tribes and OBCs and other categories as specified above. The candidates at this age have received only liberal education and general knowledge and are not experienced and trained. The examinations are of a character to determine general educational attainments. America does not follow the British practice. There is no attempt to turn the government services into a career. The examinations determine technical qualifications. Hence the age scale in USA ranges from 18 years to 45 years. The advantages of the American practice are larger freedom of selection, hence better talent, and less expenditure to be incurred in training the new entrants. Riper Paul point out "in American recruitment system, one may enter the American public service at almost any level and at almost any age."

(iv) Sex:

It is not many years ago when public service was the sole monopoly of man. No women were employed in the government departments especially in the higher services. It is within the memory of the authors when no woman in India for instance was allowed to appear in the competitive examination held for IAS and other Central services. Women, as a rule, were

considered unfit for administrative jobs. But due to the spread of the doctrine of equality and the aspiration of women to economic independence, the sex qualification has been removed from recruitment to public services in most countries. A sizable number of women are at present employed in the Central Government, most of them holding lower positions. In previous few years, in the IAS and IPS exams, they have been topping.

W.F. Willoughby is of the opinion that "As a general rule, women do not have the experience or other qualifications fitting them for the most responsible positions and particularly those coming within the class of directing personnel." Every man must be suited to his work. There are certain offices, e.g., in the armed forces for which women may not be suited at all and reversely there are certain offices for which women alone are better suited, e.g., for nurses, kindergarten teachers, telephone operators, etc. Thus, it implies that natural capacities of men make men better suited to certain posts for which women are not well suited. Under the over-enthusiasm and sentiment for equality all the posts are being thrown open equally for men and women.

Recently for ground jobs (class I) both in the Air Force and Navy women have been recruited (1992). Their performance in the written tests and interview has been much better than the men folk. Besides their merit career wise has also been very high. The nature of the work required however for the post should be the practical consideration. It is felt women are not well suited for certain arduous jobs. Hence, they should be kept out of such services.

Special Qualifications:
(i) Educational Qualifications:
By educational qualifications is meant both the ordinary education that is acquired by the students in general educational institutions and the special education imparted in professional colleges. The British and the Indian system lay down definite educational qualifications for entrants Higher Secondary School certificate for clerical jobs; graduate degree for executive jobs. In India there is no discrimination between liberal and scientific education. According to the latest publication on the educational qualification required for IAS and Allied Service the candidate must hold a degree of any of the universities incorporated by an Act of the Central or State Legislature in India or other educational institutions established by an Act of Parliament or declared to be a deemed university under section 3 of the UGC Act 1956 or possess an equivalent qualification.

The subjects of the competitive examination are so broad based as to include every subject. Engineering graduate or Medical graduates were previously handicapped as they had to prepare two optional subjects, they had not read at all. Now both from Engineering and Medical (MBBS) optional subjects have been included. This wide coverage of subjects has enabled brilliant doctors and engineers also to take the IAS and Allied examination. In America, the requirement of formal education for entry into government jobs of a non-technical character is opposed. In 1944 the American Congress forbade any educational requirement except for scientific, technical and professional positions.

The advantage of the system of formal educational qualifications is that only those who have a chance to compete with success may take the examination. If no formal educational qualifications are required of the candidates, everyone can compete, and it will result in great waste of public funds and the task of Public Service Commission also shall become stupendous to the degree of unmanageable.

(ii) Experience:

By experience is meant the training that a person receives in the actual performance of the work, for example, a person who after obtaining a degree serves as a teacher in some educational institution for four years, has the teaching experience of four years. In U.S.A. experience is usually required for technical services. In other countries for all public services experience is regarded an additional qualification.

(iii) Technical Knowledge:

It means the possession of technical skill required for the proper performance of duties of that particular position, for example, to become a Civil Engineer it is necessary to have a Degree in Civil Engineering. This qualification is essential to fill up technical posts such as those of legal experts, doctors, mechanics, etc.

(iv) Personal Qualifications:

They are at once the most important and most difficult to determine. They range from good moral character to energy, resourcefulness, tact, reliability, punctuality, executive ability, and even personal appearance and manner. It hardly needs an emphasis that the value of officers is in many cases, at least, as dependent upon the possession of these personal qualities as those

of an educational or technical character. The tasks of modern administration require of its employees highly administrative skills.

These skills have been summarized by Pfiffner as follows:

(a) A flexible, but essentially scientific, mode of thought, characterised by a recognition of the need for coordination.

(b) Familiarity with the subject-matter of organisation and management.

(c) Facility at problem solving.

(d) A highly developed reading and writing ability.

(e) Ability to settle vexing situations through impersonal contact.

It is very difficult to judge these personal skills accurately at the time of recruitment because no accurate method has been so far devised for the purpose. The use of methods like sample survey through questionnaires, psychological tests or aptitude tests does not enable us to make any accurate judgment of the candidate's personal skills.

4. Methods of Determining Qualifications:

Above we have specified various qualifications required of the entrants for public services. The purpose of laying down these qualifications is to get the best qualified and most competent men for government service. The question now arises—how to determine these qualifications? Upon the proper solution of the question will depend the efficiency of the whole administrative system.

Examination of this problem reveals that generally the following methods have been adopted to determine the qualifications:

(i) Personal judgment of the appointing officer,

(ii) Certificates of ability, character and education,

(iii) Record of previous experience educational and professional,

(iv) Examinations competitive and non-competitive.

We shall examine each method separately.

(i) Personal Judgment of the Appointing Officer:

This is the simplest and the oldest method of recruitment. Under it the appointing officer himself determines the qualifications of the candidates. He makes his own personal judgment in making selections. This system can procure good results under certain conditions, for example, when the number of appointments to be made is small and it is possible for the officer

to give to the matter the time and attention that are required, and he is not under political pressure and is free from personal considerations. This system is followed in the appointment of topmost positions in the official hierarchy in India as well as in other countries.

But in actual practice these conditions are rarely met. Many services are of such vast size that the head of the department making appointments cannot give that much time and attention which is required for the purpose. Moreover, the task of ascertaining the qualifications of the candidates is so technical and hard that it cannot be performed single-handedly and, therefore, requires the assistance of a body of experts. Finally, the officer making appointment is subject to political and personal pressure very often which is exceedingly difficult for him sometimes to resist. In view of these considerations it is imperative that other devices for determining qualifications should be employed.

The factor of personal judgment may have controlling weight in the appointment of private secretaries and other officers having an especially confidential character. In respect to other positions this factor may be given weight by asking the appointing officer to make a selection from among three or four candidates recommended for appointment by the Public Service Commission, thus giving him an opportunity to determine, through the use of his own judgment, the suitability of the candidates for his department.

(ii) Certificate of Character, Ability and Previous Experience:

The value of certificates of character and ability from responsible persons and of experience from the previous employer is evident. These certificates are usually secured in all cases. They help to make a preliminary estimate of the candidates' capacities and qualities on the basis of which they may be called for interview. It may be pointed out that these certificates cannot be made the sole criterion for judging the qualifications of the candidates. But it may, however, be emphasised that the certificates, if they are to give useful results, should be issued uninfluenced by any extraneous considerations and should describe the candidate's achievements truly.

(iii) Examinations:

The above devices, valuable as they are in determining the fitness of the candidates, have their definite limitations. The method of personal judgment, as shown above, is open to arbitrary judgment and personal considerations. The method of securing certificates of ability and

experience can help only to make a preliminary selection and cannot be made the sole criterion of judging the suitability of the candidates. Therefore, provision is made to subject the candidates to examination of various types. Examinations are mainly of two types competitive and non-competitive. The purpose of a competitive test is to determine which of the candidates satisfy the minimum standards required and then to determine their relative positions in order of merit, i.e., which of them is the best, the next best, the third best and so on. The non-competitive test confines itself to determine merely which of the candidates satisfy the minimum standard required. It is obvious that a true examination system must select those who not only fulfil the maximum requirements, but also the best among them in order of excellence.

Generally speaking, there are four basic types of examinations, namely:

(i) Written Examinations,

(ii) Oral Examinations,

(iii) Performance Demonstration, and

(iv) Evaluation of Education and Experience.

These may be used singly or in combinations according to the nature and grade of the post.

5. Administrative Machinery for Determining Qualifications:

What administrative machinery shall be employed to hold the various tests described above? It has been generally recognised that these tests should be held by an independent and impartial body of persons who might not fall a prey to political manoeuvrings. This body is generally called the Public Civil Service Commission which is made in charge not only of the recruitment and examination of public personnel but is also entrusted with other duties having to do with personnel, viz., exercising a supervision and control over the operating services in respect to the observance by them of laws and regulations governing the promotion, transfer, leave, pay, etc.

6. Certification of Employees:

Certification follows recruitment and examination. It means the submission of the eligible names for the consideration of the appointing authority the head of the operating service.

There are two methods of certification:

(a) The supply agency certifies a list of eligible in order of merit and the employing authority is required to appoint the requisite number in the same order. In I.A.S. this system is followed,

(b) The supply agency supplies a list: of three names for each appointment and the appointing authority selects any one name from the list. This is followed in I.F.S.

7. Appointment and Probation of Employees:

After the appointment is notified to the Civil Service Commission by the appointing authority in response to the former's recommendation, the employee so appointed is put on probation for a specified period. Despite following a proper recruitment process, there is no certainty whether a proper person has been selected or not. The real test of the fitness of a man is actual performance of work. Hence appointment is made on the basis of probation or provisional basis. The period of probation varies from six months to a year. During the probationary period, the officer keeps a close watch on the conduct and work of the employee. If he is satisfied with his work, the employee is confirmed in his position! at the end of the probationary period. A Conference Committee rightly pointed out, "The probation period should be considered as an opportunity for the appointing authority to complete the selection process.

No formal test, however well devised and however carefully conducted, will prove infallible. The final test is actual performance. For this reason, the new appointee should be carefully supervised and critical observation should be made of his work during the period of probation." Prof. Willoughby rightly pointed out, "Did it do nothing more, it tends to meet the objection often raised by administrative officers that under a system of recruitment of personnel through a central agency, they have forced upon them employees who do not meet their particular requirements." The system has proved better than demotion or dismissal of an employee at a later stage. An employee is given a clear understanding at the time of appointment that his selection is not yet complete. His actual work will secure his appointment. He will not face mental agonies if during probation or after it he is thrown out of the job. The system is desirable also from tax-payer's point of view. Why should not the government devise fool proof methods of selecting the employees who are to be paid out of the taxpayer's money?

Otherwise too, demotion and dismissals cause bad feelings among the people in general and the employees in particular. Frequent dismissals show that proper choice was not made and people's money has been wasted. The interest of the tax-payers also demand that the government should employ capable persons and after appointing them accord them proper treatment. However, it is advisable that the officer at the helm of affairs should maintain service records of employees on the probation and submit report regarding their work to the Public Service

Commission. The opinion of the Civil Service Commission must also be given due weight while confirming or removing the probationers.

8. Placement of Employees:

However, sound may be our system of recruitment and examination and however capable personnel we might have secured, much of their value is lost due to poor assignments. A wrong assignment results in wastage of talent. Placement should therefore be made after properly discerning the aptitudes, and capacities of the employees. The Public Service Commission's recommend the names of the eligible in order of merit in general abilities. The operating services may give weight to the general abilities but should give more consideration to other factors, viz., interests, experience, training and personality. This is the only way to utilize the talents and capacities of their employees.

9. Orientation of Employees:

Through orientation, the entrants are acquainted with the objectives of the agency, in which they have been placed, and also the methods and details of work. According to Mandell, the orientation programme "relieves the employee of the stage fright associated with entering a new job and is a sign to him that the organisation is interested in both his welfare and in helping him adjust to his new surroundings."

RECRUITMENT SYSTEM IN INDIA

Introduction to the Recruitment System:

In India, services are classified into three major categories:

(i) All-India,

(ii) Central and

(iii) State Services.

The All-India Services as provided in the Constitution are the Indian Administrative Service and Indian Police Service, the successor services to the ICS and IPS of the British days. Recently, a few more All-India Services had been added in the technical fields, viz., Indian Medical Service, Indian Statistical Service, Indian Engineering Service. The All – India Services are common to the Union and the States and are composed of officers who are in the exclusive employ of neither and may at any time be at the disposal of either. In a Federation

usually, the Central Government and the Governments of constituent States have separate services for the administration of subjects falling within their respective spheres of jurisdiction. The creation of All-India Services in our country is, therefore, something peculiar.

Dr. Ambedkar, while explaining reasons for making this extraordinary provision for the creation of All-India Services had remarked, "The Indian administration, though, a dual polity, will have dual Service, but with one exception. It is recognized that in every country there are certain posts in its administrative set-up which might be called strategic from the point of view of maintaining the standard of administration. There can be no doubt that the standard of administration depends upon the calibre of the civil servants who are appointed to these strategic posts. The Constitution provides that without depriving the States of their right to form their own Civil Services there shall be an All-India Service recruited on All-India basis with common qualifications, with uniform scale of pay and members of which alone could be appointed to these strategic posts throughout the Union."

The Central Services are concerned with the administration of Union subjects such as Foreign Affairs, Defence, Income Tax, Customs, Posts and Telegraphs, etc. Such services at present are 34 class I and 25 class II in number and the Government of India have proposals for the constitution- of a number of other Central Services under consideration. The officers of these Services are exclusively in the employ of the Union Government. The State Services administer the subjects within the jurisdiction of the States such as Land Revenue, Agriculture, Forest, Education, Health, etc., and the officers of these Services are exclusively in the employ of their State Governments. Recruitment to All-India Services is made by the Union Public Service Commission on the basis of a competitive examination supplemented by a viva-voce test. Only a university graduate of Art, Science or holding equivalent qualifications can appear in such examinations. The written examination is in-fact of a standard higher than that of graduation. Prior to June, 1979 examination the syllabus for the IAS examination consisted of three compulsory papers viz. essay, general English and general knowledge, each carrying a maximum of 150 marks. Out of a number of optional papers, only three papers of 600 marks were to be offered by all services except the IPS for which only two papers of 400 marks were to be offered.

The candidates who competed for the IAS and IFS had to offer two additional subjects out of another list of subjects carrying 200 marks each. Those candidates who qualified in the written

test, were called for interview which carried 400 marks for IAS and IFS and 300 marks for other examinations. In the initial stages passing the viva was indispensable. A candidate failing in viva was declared a failure. At a later stage it was undone. Besides there were no minimum qualifying marks. Whatever marks a candidate secured in the interview, began to be added to the marks obtained in the written examination. Thereafter, the Commission recommended the list of the selected candidates in order of merit to the government.

2. Salient Features of New Scheme of Examination as per Kothari Report:

The much publicized and highly controversial scheme for the civil service examination appeared in comprehensive details in January, 1979. In fact, the basic framework of Kothari Committee Report of 1976 was accepted by Government of India in December, 1978. Hence June, 1979 examination was conducted accordingly.

Its salient features are as follows:

(a) There is to be a single examination for IAS, IFS, IPS and other allied services,

(b) The maximum age limit is 28. Since 1986, the maximum age limit was reduced to 26 years and minimum 21.

(c) A candidate can make maximum three attempts,

(d) The examination is to be conducted in two stages—preliminary (objective type) and the Main Examination. Only those who qualify in the preliminary examination will be allowed to appear for the Main examination,

(e) The preliminary examination to serve as a screening test to select the limited number of members who should be allowed to appear for the Main Examination.

The marks secured in the Preliminary Examination was not to be counted for determining the final order of merit. The number of candidates to be admitted for the main examination was to be about ten times the total number of vacancies to be filled up.

The Preliminary Examination was to consist of two papers of objective type (multiple choice questions) and carry a maximum of 450 marks, as detailed below:

Paper I – General studies, 150; Paper II…one subject to be chosen from a list of 22 subjects, 300 marks…Those 19 subjects are Agriculture, Botany, Chemistry, Commerce, Economics, Engineering (Civil, Electrical or Mechanical), Geography, Geology, Indian History, Law, Mathematics, Philosophy, Physics, Political Science, Psychology, Public Administration, Sociology and Zoology. Both the question papers were to be of the objective type. The question

papers were to be set in Hindi as well as English. The course content of the syllabi for, the optional subject was to be of the degree level.

(f) Main Examination:

The written Examination was to consist of the following subjects:

Paper I – One of the Indian languages to be selected by the candidates from the languages included in the Eighth schedule to the constitution. The languages mentioned in this schedule were Assamese, Bengali, Gujrati, Hindi, Kannada, Kashmiri, Malayalam, Marathi, Oriya. Punjabi, Sanskrit, Sindhi, Tamil, Telugu and Urdu.

Paper II – English.

Paper III and IV—general studies of 300 marks each.

Papers, V, VI, VII, VIII – Any two subjects were to be selected from the list of the 23 optional subjects. Each subject was to have two papers of 300 marks each; Interview Test was to carry 250 marks. The optional subjects could be answered in the regional language as well. The question papers were set only in English and Hindi.

On the recommendations of Satish Chandra Committee Report an Essay paper of 200 marks was introduced and marks for interview were raised to 300.

The papers on Indian languages and English was to be of Matriculation or equivalent standards and will be of qualifying nature. The marks secured in these papers were not counted for ranking.

The Interview Test was required to aim at assessing the personal suitability of the candidate for the service. In broad terms, the test was to assess not only his intellectual qualities but also social traits and his interest in current affairs. The qualities to be judged in such an interview were mental alertness, critical powers of assimilation, clear and logical exposition, balance of judgment, variety and depth of interest, ability for social cohesion and leadership, intellectual and moral integrity. The technique of the interview was not that of a cross examination but a purposive conversation which was expected to reveal the mental calibre and other traits of character of the candidates.

Immediately, after the interview, the candidate would be required to write a 'resume' summarising the discussion in the course of the interview. The candidate was allowed 15 minutes for the purpose. The marks obtained in the written examination as well as in the Interview were added and final merit list was then prepared on that basis. The candidates were allowed

three chances for the Civil service examination. The scheduled castes and the scheduled tribes' candidates were allowed to take the examination without any restriction on the number of chances subject to prescribed age limit for them.

3. Criticism of the New Recruitment System:

The New System of Examination, was bit free from earlier defects:

1. The conduct of all India examination in 18 regional languages is likely to result in impairing further the national unity which already stood on last legs. An editorial note so states, "When the crying need of the hour is unity and solidarity to preserve our hard won independence and freedom, our narrow minded, language blinded, vote hungry politicians have decided to cut the knot which has been binding all our states together."

2. Uniformity of standard of marking was not possible at all. It was involved in the appointment of a minimum of 13,500 examiners as 30 optional and compulsory subjects were to be answered in 18 different languages. Even if these examiners remained impartial, it was impossible to achieve uniformity in assessment and evaluation of the answers. A mediocre or average answer in one language might have been considered as outstanding in the other.

3. Regional and linguistic rivalries are apt to play their nasty role. Objective and standard evaluation of answer books could be vitiated by the language enthusiasts.

4. Training of such officers in the Academy could also pose a problem. Instructions were to be imparted in all the 15 languages.

5. The officers selected and trained through the media of these languages were to be appointed only at a place where their language is in vogue. Thus the mobility now available in these services was supposed to be lost and the very purpose of all India services stood defeated.

6. The screening Test which emphasizes objective-type general knowledge paper will be heavily weighted in favour of the urban candidates at the cost of the students from rural areas.

7. The examiners marking the answer books within a particular language may be partisan and be induced to give maximum marks to the students writing in their regional language.

8. The interval between the main examination and post training test was said to be too brief to make the service fiction finally objective. It was long enough for the blue-eyed boys and girls to mobilize support and gain entry into prestigious service.

However, the new system was definitely an improvement upon the previous system on the following grounds:

(i) A preliminary objective type of test weeded out candidates who were not competent to compete for the main examination;

(ii) A single scheme of recruitment for all services IAS, IPS and Allied eradicated inflated ego of IAS and IPS as the candidates of these two services was not to appear in two additional papers reflecting the superiority of these services over the rest;

(iii) The so-called personality test through viva was not to carry the same importance as was attached to it earlier. The marks of viva have been reduced considerably. Evidently if a candidate did well in written exam and did not fare so well in the viva, he could at least get selected.

The students with rural background and those studying in comparatively unimportant colleges could hope to get into coveted service if they work hard and possessed grasp over the subjects. Since 1999, the age qualification has been raised to 30 years. Besides the Union Public Service Commission and State Public Service Commissions, there is Railway Service Commission for recruitment to Indian Railways.

The Statutory Corporations like Life Insurance Corporation, DVC, Indian Airlines Corporation, etc., have their own personnel agencies charged with the function of recruiting the required personnel. The recruitment to civil services in India as we have said above was made through open competitive examinations and was solely based on the merit principle which was determined through a written examination and viva voce yet all the appointments were not always made on the basis of written examination. Direct recruitment is not the rule.

A certain proportion of posts varying from service to service is reserved for being filled up by promotion from below. Recently this percentage has been increased from 20 per cent to 30 per cent. The Commission is also consulted about the suitability of the candidate while filling the post by promotion.

4. Changes in New Recruitment System made by Hota Committee 2004:

On February 4, 2004 under the chairmanship of P.C. Hota ex-chairman UPSC a committee was appointed to examine whole gamut of civil service reforms and to make suitable recommen-dations to the Government. The committee submitted Report to the cabinet secretary on July 30, 2004. The committee aimed at recommending the ways of making the civil services responsive, transparent and accountable! It had also to shield the services from undue pressure

of Politicians administrative supervisors and the vested interests. The committee made fairly significant recommendations as under.

5. Recommendations of Hota Committee:

1. Age of entry in the services should be 21 to 24 years as was the case till 1971 instead of 21 to 30 years for general candidates.

2. The midterm appraisal of officers and the removal of those who are unfit to continue because of impeachable integrity or incompetence.

3. Modification of official secrets Act was also suggested to enhance the number of women in higher civil services and to frame rules and lay down procedures to provide a clean honest and transparent administration.

4. Cadre allocation and home cadre allocation was taken up.

However, the UPA government has not accepted some of its vital recommendations regarding age restrictions. The age for the general candidates is between 21 and 30 years, upper age for the scheduled castes and scheduled tribes is extended up to 5 years and 3 years for OBC, disabled Defence services personnel, 10 years in case of blind, deaf mute and orthopedically handicapped.

It is extendable up to 5 years for ex-servicemen who have rendered 5 years' service at least as on August 1, 2008; (in all over cases). The Government had supported the idea of holding entrance examination after XII class. This was laudable idea to catch officer young and train them up. Even P.H. supported it but nothing has come out of it so far. Competitive examination is to be in two stages: Preliminary examination comprises General studies of 150 marks and one subject to be selected from the optional subjects of 300 marks. That enables the UPSC to eliminate non serious, less serious or unintelligent lot not capable of getting into top services.

The main examination comprises written Examination and Interview. Briefly speaking it comprises some papers. Paper I pertaining to Indian Languages as in 8th schedule of the constitution (of 300 marks) only qualifying marks are to be obtained. They are not counted towards aggregate. Paper II is of English of 300 marks; Paper III of Essay of 200 marks, Paper IV, V General studies; 300 marks each paper; Papers VI, VII, VIII & IX an out of optional subjects. Two optional are to be opted for. Each has two papers of 300 marks. The Interview Test is of 300 marks, as previously a person failing in Interview (viva voce) used to be declared as failure. Now this is not the case. Aggregate is to be taken and position is determined.

In optional subjects Engineering – civil, mechanical, electrical and are included. Only one of them can be opted for. Likewise, to enable medical graduates to appear, Medical sciences, Animal husbandry and Veterinary sciences have been included. In this case also, one option is to be out of three medical subjects. Likewise, in Arts also for example one has to make choice of one out of International Relations, Political Science and Public Administration. Instead of three four attempts are allowed to appear in the examination. The technique of Interview is not to be cross examination of the candidate. It is to be a sort of natural, purposive conversation which is to discuss the mental qualities of the candidate. The candidate's interest in events in his state, country and the world around are to be assessed. A.D. Gorwala however was never satisfied with interview system. Hence, he suggested psychological tests as replacement of viva voce. He holds "…. The holding of such tests will of course cost more but if thereby the services get better material and there is no reason to suppose they will not, the extra money will have been well spent."

6. Defects in the Recruitment System:

First, in a democratic country as far as possible, all the posts should be filled up on the recommendations of the Public Service Commission. But in our country as elsewhere also, the Governments are empowered to exclude from the purview of the Public Service Commission's such posts as they think necessary. The Government should use this power sparingly. There is on the other hand a deplorable tendency on the part of our Governments to declare more and more posts beyond the jurisdiction of the Public Service Commission. Recruitment to these posts is done by the Government itself not necessarily on the basis of merit. It gives rise to favouritism, nepotism and corruption. It is, therefore, desirable that the number of such posts should be reduced to minimum and the Public Service Commission should be the only medium through which the personnel should be recruited.

Second, though the position of the Public Service Commission's is that of advisory body and the Government reserves to itself the right to disregard their advice, yet the recommendations of the Commission should never be turned down otherwise it would give rise to suspicion that the advice of the Commission was ignored to take in some one in whom the department was interested. Fortunately, such cases have been very rare in which the advice of the Commission has not been accepted by the Government. Yet it would be appreciated that there should not be even a single such case to eliminate even the least suspicion of favouritism on the part of the government. Third, in our recruitment system some posts are reserved for, certain special

classes of people like the Scheduled Castes and Tribes at the cost of the merit of the other people. Nobody would grudge giving special concession to the backward people in matter of appointments yet safeguards should be provided to maintain the efficiency of administration which is likely to suffer by appointing such people as do not score as high as others in open merit competition.

Fourth, our examination techniques, in the words of Dr. Paul Appleby, are not up-to-date and not fully related to modern knowledge about administrative qualifications. In his own words:

"The criteria by which personnel are selected by the Public Service Commission are not up-to-date, and examining and appraising techniques are far from modern. Selection tends to be by one type of person', which naturally perpetuates its own type. Selection is too much in terms of academic records and appraisals by experienced academic examiners, too little in terms of many other considerations highly important in public administration…. too little attention in selection is given to any but the most subjective and incidental attention to capacity for growth." Besides, the candidates for All India Services and Central Services are subjected to one and the same type of examination. That is not proper. A.D. Gorwala remarked, "The technique must differ for different grades and different requirements."

Fifth, previously our interview system was also not without fault. It was given undue weight. In the initial few years, a candidate failing in viva used to be declared a failure. The interview carried 300 marks out of a total of 1,750 for the IAS, 400 for IFS, 200 out of 1,050 for IPS and 200 out of 1,250 for the other Central Services. Presently, it is of 300 of marks for each of those services. However, now a candidate failing in the interview is not declared a failure and he can also be selected as total marks are to be counted for determining success or failure counted. A.D. Gorwala remarked in his report on Indian Administration," Fifteen minutes conversation with laymen although possessing the wide experience of the Public Service Commissions, can be no substitute for an expert psychological examination designed to give a scientific insight into the candidate's mental and emotional make-up."

Our interview system therefore needed a change so as to include psychological and aptitude tests which are very much in use in the western countries. Besides curtailment of marks in viva was essential. With the acceptance of Kothari Commission report the viva for all these services

carries 250 marks which was quite insignificant. Presently 300 marks are for the Interview for IAS, IPS and Allied Services. Sixth, there was another defect in the method of recruitment. The Public Service Commission's never tried to restrict the field of eligibility. That was a wastage of time, money and energy both of the Commission and the candidates. However, with the institution of screening test, known as Preliminary Examinations, candidates not up to the mark are eliminated before the final examination. Thus, this defect stands removed after the institution of Preliminary examination.

Seventh, there is another grievance against our recruitment agencies that sometimes advertisements regarding vacancies are so worded as to suit the qualifications of a particular candidate. The Government while communicating their personnel requirements to the Commissions should guard themselves against being accused of 'finding a post for a particular person and not finding a suitable person for a particular post.'

Eighth, Dr. Appleby is of the view that our recruitment system is 'not imaginative and aggressive enough. He opines, "The advertisements seem to have been written by lawyers and not by skilled advertising or public relations men." This is hardly valid an argument for a country like India where unemployment is rampant and the top administrative services are considered the envy of all brilliant young persons. Even the Engineers and Doctors opt for these services which is evident from the inclusion of Engineering and Medical subjects in IAS syllabus. These candidates can take one subject out of Engineering or Medical subjects recently included in the optional.

That makes thing easier for the engineering and doctors as they have to prepare only one optional more. Hence hardly these posts require attractive advertisements to attract the talent. Ninth, our system of certification also is faulty. In the words of Dr. Appleby, "The absurd limitation of selection of a new appointee to a single individual certified by the Public Service Commission hampers proper selection by ignoring differences in individuals important to different kinds of positions and reduces the probability that a needed person can be immediately engaged." However, this system is immune from favouritism. There is a possibility of corruption if choice is to be made out of panel of names recommended by the Commission to the Government. The state governments in particular will play havoc with the recruitment if this is adopted.

Moreover, a register of eligible is not maintained by the Commission for filling up vacancies occurring in future. The entire procedure of advertisement, inviting of applications, examination, interview is again repeated. In the words of Appleby, "Instead of keeping large registers of eligible from whom the appointing agency can select with its special needs in mind action often must await the whole laborious and time-consuming process of calling for a new and special examination or advertisement or selection." Last, too much reliance on promotion in higher jobs is not desirable. Dr. Appleby also was of the view that "There is too little willingness to recruit intermediate and higher levels, too much reliance on promotion from below but with promotion limited to strictly to the single class to which a person was first appointed." He further contended. "There is too much unwillingness to recruit in sufficient numbers even for present needs and too little realization that future needs of far more serious dimensions cannot be met in the future except by additional recruitment and training now."

TRAINING

Synopsis

- ❖ **Meaning**
- ❖ **Objects**
- ❖ **Types**
- ❖ **Objectives**

Meaning of Training:

William G. Torpey defines Training as "the process of developing skills, habits, knowledge and attitudes in employees for the purpose of increasing the effectiveness of employees in their present government positions as well as preparing employees for future government position". Its dictionary meaning is practical education in any profession, art or handicraft. In Public Administration, it means a "conscious effort made to improve or increase an employee's skill, powers or intelligence and to develop his attitudes and schemes of values in a desired direction."

Objects of Training:

Training plays a vital part in public administration. It is essential not only for effecting efficiency of administration but also for broadening the vision of the employees. It teaches him precision, makes him self-reliant and independent and develops in him capacity to take decisions and arrive at judgments. Training has, therefore, been described as a continuous process. It enables an employee to adjust himself to the new situations and comprehend the goals and values of the organisation in which he is to work. The Assheton Committee on the Training of the Civil Servants in U.K. (1944) has very well explained the main objectives of training in the words. "In any large-scale organisation, efficiency depends on two elements, the technical efficiency of the individual to do the particular work allotted to him and the less tangible efficiency of the organisation as a corporate body derived from the collective spirit and outlook of the individuals of which the body is composed. Training must have regard to both elements."

Main aims of training as explained by the Committee are as under:

(a) It endeavours to produce a civil servant whose precision and clarity in the transaction of business can be taken for granted.

(b) It helps attuning the civil servant to the task he is called upon to perform in a changing world. It, in other words, helps him to adjust his outlook and methods to the changing needs of new times.

(c) It saves the civil servant from becoming a robot-like mechanically perfect civil servant. He is made aware of his work and the service that he is required to render to his community.

(d) It not only enables an individual to perform his current work more efficiently but also fits him for other duties. It develops in him capacity for higher work and greater responsibilities.

(e) It pays substantial regard to staff morale as the latter have to perform tasks of a routine character throughout their lives.

According to a Report, "Large numbers of people have inevitably to spend most of their working lives upon tasks of a routine character and with this human problem ever in the background training plans to be successful must pay substantial regard to staff morale."

Besides these objectives explained by Assheton Committee, a few others can also be enumerated:

(f) For the performance of certain peculiar activities pertaining to the government training plays a significant part. For instance, Government must make a provision for training policemen, firemen and food inspectors, etc.

(g) Training helps the employees to become people-oriented and inculcates in them respect and regard for the general public.

Even Assheton Committee had observed thus, "Nothing could be more disastrous than that of the civil service and the public should think of themselves as in two separate camps. The inculcation of the right attitude towards the public and towards business should therefore be one of the principals aims of Civil Service Training."

(h) It broadens the vision and widens the outlook of the employees by explaining to them national objectives and exhorting them to make substantial contribution towards their realization. According to Nigro, "…. the function of training is to help employees grow, not only from the standpoint of mechanical efficiency but also in terms of the broad outlook and perspective which public servant need."

(i) It is vital to a career service. It fits them for advancement which is assured to the employees when they join the government service at young age.

(j) It improves the tone and adds to the quality of organisations. Since it enhances the efficiency of the employees and develops their capacities, the efficiency and prestige of the department goes up.

(k) It fosters homogeneity of outlook and esprit de corps in the employees.

Caldwell correctly remarked, "Effective administration requires effective training towards organizational goals because of the harm that may be expected when people are left to train themselves without effective guidance or support."

Types of Training:

Broadly speaking, training may be described as of the two types—formal and informal.

A. Informal Training:

"Informal training," according to Mandel, "occurs in the day-to-day relationship of employee and superior, in conferences and staff meeting, in employee newspapers and organization publications, at meetings of professional associations and in the reading and study that the employee undertakes at his own volition or at his supervisors' suggestion. Because, such training

is connected with the regular tasks of the employee, he can best integrate with his own experience and thereby profit from it. Since there is no compulsion connected with it, his motivation is positive. Its influence whether good or bad is profound."

Evidently, informal training is training by doing the work, learning by trial and error, and acquiring administrative skill through practice. This type of training was adopted by the British in India. "As good collections' house," according to Gorwala, was often a second home to the young Assistant Collector."

Personal contacts between the senior officials and the new entrants helped the latter to learn the details about the job. Such an informal type of training stimulated qualities of initiative and administrative leadership and developed in the fresh recruit's capacity to feel responsibility and rise to the occasion. Trevelyan rightly observed, "The real education of the civil servant (in India) consists in the responsibility that devolves on him at an early age which brings out whatever good there is in a man the varied and attractive character of his duties and the example and precept of his superiors who regard him rather as a younger brother than subordinate official." The success of this system depends upon certain factors, viz., experience and seniority of the superior officer; his interest in the new entrant; persistent effort on the part of the new entrant.

Tickner, Director of Training and Education, H.M. Treasury, rightly pointed out, "It is the hard way of learning and can fully succeed only in case of the most persistent pupils. In the case of the average employee, it may lead to the formation of bad habits and breed much frustration and discouragement." Hence, it has been rightly suggested by Gorwala that "suitable senior officers should be posted to some districts despite their seniority with a view to make these districts training-ground for the young."

B. Formal Training:

Formal training is a training which is carefully conceived, prearranged and conducted under the expert guidance. It is being increasingly realized that the old thinking "Administration is to man as swimming is to dog" stands falsified. Formal training is imparted with a view to inculcate administrative skill by well-defined courses at proper stages in the man's career. In fact, training schemes are being multiplied through institution of group discussions, conferences, seminars, lectures and workshops.

Formal training may be discussed under four heads:

(a) Pre-Entry Training,

(b) Orientation Training,

(c) In-Service Training,

(d) Post-Entry Training.

1. Pre-Entry Training:

Pre-entry training as its very name suggests is a training imparted to the aspirants to public service before they enter such a service. In this sense, education imparted in schools and colleges or universities is a sort of pre-entry training which fits the individuals to seek all sorts of jobs in the government. In a stricter sense, pre-entry training may take the shape of vocational or professional training at technical schools or colleges. The products of such technical institutions can be given jobs immediately after their coming out of the portals of these institutions. Rajasthan Government provided for Pre-entry training in exemplary way in 1960. The candidates securing 65 per cent or more marks in the Junior Diploma Course in Secretariat and Business Training instituted in July, 1959 in collaboration with the Rajasthan University are being taken directly as upper division clerks. The U.S.A. has made a provision of a rather comprehensive scheme of pre-entry training for administrative and managerial positions in the form of internship and apprenticeship. An internship programme is an educational method providing specially selected and specially supervised trainees with preparation for administrative and policy careers in public affairs by:

(a) Encouraging these trainees to apply previous academic and employment experience to new concrete job situations through direct participation, on a systematically planned and scheduled basis in the work of organisations appropriate to the particular interests of trainees and sponsor;

(b) Providing, if appropriate, for trainees' participation in supplementary, academic and professional activities that will contribute further to their development." The internship has resulted in bringing the educational institutes and the government closer and has enabled a good number of outstanding young men to join the public service. Apprenticeship differs from internship in the sense that it is concerned with trade or craft skills whereas the latter deals with administrative or professional work. The training consists in the apprentice being permitted to see the papers and the cases that reach the desk of his boss and to watch and study orders passed by him. He may suggest the decision in given cases and prepare a minute or report on some matter which the senior may examine and correct and explain to the trainee the lacunae of such a decision. The Bureau of Municipal Research in New York did have such an apprenticeship

scheme for many years. Quite a number of American universities and colleges in U.S.A. have provided such apprenticeship schemes for preparing students for serving in the municipalities.

Liberal or Specialized Education at Pre-Entry Stage:

It is a moot question. Should education of general type commonly termed as liberal or gentlemen's education or technical or specialized education be imparted to the aspirants of public service? The British and continental system which makes public service as a permanent career employ person at young age on the basis of their general mental qualifications attained through liberal education. The Americans who do not accept government service as a life-long career believe in more specialized type of training. However, a general tendency of learning towards British system is discernible in U.S.A.

2. Orientation Training:

Orientation training aims at introducing an employee to the basic concept of his job, new work environments, organisation and its goal. Marx has well-elaborated the importance of this type of training in the words, "It is clear that significant advances in the functional efficiency of the administrative state cannot be expected without corresponding changes in the working style of the administrative system. In this respect, perhaps, the most important thing is the acceptance within the higher civil service of a reorientation towards its role. The men of the top cadre must shift their attention from watching processes to measuring their impact, from getting things done to give each citizen his due, from the technology of administration to its effect upon the general public from utility to ethics." Orientation training is gaining importance gradually in India as well. This is with a view to keep the rural bureaucracy attuned to the new tasks. The National Institute of Community Development, Hyderabad, is devoting special attention to this problem.

3. In-Service Training:

In-service training, as its name indicates, is a sort of training which is imparted to the candidates after their selection to the public service. The objects of In-service Training were very well explained by the Assheton Committee (U.K.) in its report submitted in May, 1944. "Briefly speaking, this type of training stimulates the employees to make best efforts and to improve their performance. It boosts their morale and makes them attuned to the new tasks of onerous nature. There is no denying the fact that learning by 'trial and error' system used to be a popular method in the past."

The apologists of this system applauded this system on the following grounds:

(a) Self-interest will induce the new entrant to remove the stigma of that 'New Chap' at the earliest,

(b) His old colleagues will also like him to pick up the job as soon as possible as that will lighten their burden,

(c) It will serve the State Exchequer from unnecessary expenses to be incurred on the training of the employees.

However, the system has its pitfalls – (a) It may impair efficiency of administration, (b) Lot of risk is involved in expecting the employee to learn by trial and error. The administration has become more complex and fairly specialized. As such, an employee will not be in a position to equip himself with the requisite administrative skill.

It is, therefore, desirable that a comprehensive system of in-service training may be adopted. In the words of Professor Willoughby, "no matter how well-grounded an employee may be in the general subject to which his work relates, there is much for him to learn in respect to the particular duties of his position." Recently Administrative Reforms Commission in its Report on the importance of training stated "Training should prepare the individual civil servants not only for performing his present job well but also for shouldering higher responsibilities and meeting new and complex challenges in future…." This type of training may be organised either centrally or department wise. It may be imparted initially or concurrently with practical application to actual work.

Methods of In-Service Training:

Broadly speaking, there are three methods of In-Service Training:

(a) The services may on their own accord undertake training, making use of their own staff. In U.K. each department carries on its training programme.

There are three variations of this method:

i. The Government may start a training school of its own. For instance, the Union Ministry of personnel in India is running its own National Academy of Administration called the Lal Bahadur Shastri Academy of Administration since 1972 at Mussoorie. The Academy has been functioning since September 1, 1959 for imparting training to the fresh I.A.S. personnel.

The Academy offers three types of courses:

(1) A one-year course for the IAS officers to cover the syllabus prescribed under the All India Services Probationers Final Examination.

(2) A six-week refresher course for senior officers of 10 to 15 years standing.

(3) A continued course of five months for all the all India services and the Central Services class I for imparting training in foundational subjects.

These courses aim at widening the outlook of the trainees. Such a general course imparts general education in liberal arts to the personnel recruited for posts of specialized nature. The I.P.S. are trained at the Central Police Training College earlier at Mount Abu but during internal emergency (25th June, 1975—21st March, 1977) was shifted to Hyderabad. The Indian Audit and Accounts service candidates are trained at Training School, Shimla. Likewise, the Income Tax Services receive training at Income Tax Training School, Nagpur.

The Railway Staff College at Baroda organizes special and refresher courses for serving officers of Railways. The Institute of Secretariat Training and Management, New Delhi imparts training to section officers and assistants. It also holds refresher courses for those already employed.

ii.   Another method offers an introductory series of lectures and arranges inspection trips to the departments and field station in order to give them a first-hand knowledge of different aspects of the service. This is termed as Vestibule Training system. Senior Forest officers in India are imparted this type of training.

iii.   Circular Training Course is the third method of In-Service Training. In India, the provincial civil servants are imparted this type of training. According to it, a new recruit is first asked to sit along with a district officer and watch the operation. He is attached with all the departments of the district administration. This is followed by minor assignment to him. As he gains experience, he is given higher assignment.

(b) The Government may request an outside training institute to impart requisite instructions. This is called internship system. In the U.S.A., the National Institute of Public Affairs undertakes internship training to the new entrants in federal services. In India, Indian Institute of Public Administration at central level and state Institutes on Public administration at state level are doing the similar job.

(c) The Government may ask the employees whom it is desired to train to work in various universities. During the British regime new recruits to the I.C.S. were asked to attend different universities in U.K.

Post-Entry Training:

Post-entry training is a training imparted to the employee during the course of his services.

This type of training aims at:

(a) Better performance of present work;

(b) Preparation for advancement (i.e., higher position).

This type of training can be given in two ways:

(i) Through refresher courses;

(ii) self-efforts.

Refresher Courses:

Administration being a complex affair, it is better if through periodical refresher courses, an employee is acquainted with the latest administrative techniques. The government may hold seminars for the purpose, by inviting officials of different departments separately for a series of lectures to the employees working in their respective departments. The Government may send them abroad to make on-the-spot appraisal of the different administrative systems.

Self-Efforts:

Since training is not to be treated solely a State affair, the employee concerned also may, of his own, like to add to his qualifications in order to get promotion. He should be given an opportunity to know all the available courses and be given all facilities to avail them. For this purpose, the employee may be given study leave on full or half pay and extended liberal stipends or scholarships. Additional qualification so attained may be entered in his personal file and it be given due weight at the time of effecting promotion. The importance of post-entry training is being realized even in developing democracies like India. Hence the Central Government is liberalizing its policy of granting study leave to its employees, for adding to their qualifications. For instance, in 1961, the Central Government of India decided that study leave may be allowed for studies not directly concerned with the government servant's work but aiming at improvement of his abilities as a civil servant and developing in him sense of co-ordination with other branches of the public service.

PROMOTION SYSTEM IN INDIA

Synopsis

❖ **Introduction**

❖ **Flows of Promotion System**

❖ **Recommendation of Pay Commissions**

1. Introduction to Promotion System:

The governing principles of promotion in India are seniority, and merit but they are not observed uniformly in all cases of promotion. In some administrative departments, seniority is given more weight and in others, merit. But seniority is the general rule. As for the suitability of these two principles of promotion in the various departments, the recommendations of the Central Pay Commission are that "for many situations especially those in which long familiarity with office work is itself adequate training, the rule of seniority may generally be followed….In higher grades of service consideration fitness must have precedence over the claim of seniority." Technically speaking the promotion-making authority in our country is the Government or the Head of the Department concerned, but promotions to higher posts are generally made in consultation with Public Services Commission both at the Centre and in the States. It is provided in our Constitution that the Public Service Commission may be consulted on the principles to be followed in making promotions, transfers from one service to another and on the suitability of candidates for such appointments, promotions and transfers. So far as promotions to other grades of service are concerned, there is no uniform procedure. In some cases, promotions are made by Departmental Heads themselves, in some the Public Services Commission has also to be consulted and still in some others, the approval of Finance Department is also needed.

The promotions to the highest administrative posts, viz., Secretary, Joint-Secretary, Deputy-Secretary are made from a "Pool" which consists of such candidates as have been selected by a Selection Committee appointed by the Government in consultation with the Public Service Commission. These candidates are selected after they have undergone interview and their official-records have been examined. The Ministers make appointments to the top posts in their respective departments from this pool the Ministers do not sometimes have a free hand in selecting the top-officers of their departments. The Prime Minister or the Chief Minister of the State concerned approve such appointments on the advice of the Finance Ministry or the Home Ministry at the Centre and the Chief-Secretary in the States for the obvious reasons that they

are best judges of the needs of all the departments whereas the Ministers shall have no appreciation for the needs of the departments other than their own. The system with regard to promotion to other posts in some departments is that the selections are made by a departmental Promotion Committee or a Board comprising a member of the Public Service Commission as Chairman and Senior Officers of the ministry or department who have personal knowledge of the work of the officers out of whom the selection has to be made. The recommendations of the Promotion Committee are sent to the Public Service Commission for ratification. The Departmental Head effects promotions according to the confirmed list and if he has to make any deviation from it, he has to apprise the Public Service Commission of the change and reasons thereof.

Sometimes, selection for promotions from State Civil Service to the IAS is also made. It is done by a Special Committee for each State which consists of a Chairman or a member of the UPSC and some IAS senior-most officers of the State as members. The committee prepares a list of officers of the State Civil Service suitable for promotion to the IAS on the basis of merit and suitability in all respects with due regard to seniority. The list is then submitted to the Union Public Service Commission for approval and promotions are made from the approved list as vacancies occur.

2. Flows of Promotion System:

The promotion system in India as mentioned above is partially defective. It has been criticized both by the services in particular and by the public in general.

i. First, it is argued that the Head of the Department has been given too much discretion in recommending names out of which selection is to be made. There have been many complaints by some claimants whose names were not forwarded to the Promotion Board by the Head of Department for reasons best known to him.

ii. Second, the system of evaluating the efficiency of the employees is also not satisfactory; the entries made in their records by their immediate officers are not shown to them except when those are against them. Nor is there any appeal against adverse remarks.

iii. Third, Promotion Boards or Committees do not exist in every administrative department and in the absence of such a machinery promotion so effected are haphazard and arbitrary. The aggrieved candidates have no proper means of appeal either.

iv. Fourth, promotions are made within classes and often within cadres of a class which makes higher public service more or less a closed shop. Dr. Appleby rightly commented "Individual security is also effected by competition, but here not security of a job and an income, but security almost guaranteeing promotions in rank is achieved by limiting competition rather thoroughly to very small number in a cadre, class or service, the relatively small number who are promoted over class barriers is enough to enlarge the competition slightly, but it leaves original membership in a very great special advantage and competition from outside not highly significant. Is the personal confidence of those thus protected worth the loss in governmental dynamism that comes from this minimization of competition?" The narrowing down of competition within services, in the opinion of Dr. Appleby, is "the basic deterrent to rapid improvement of the administrative grasp of government responsibilities".

v. Fifth, there is no declared policy of the government regarding the basis on which regular promotions are to be made. Sometimes, promotions are made by the departments on the basis of length of service of seniority, sometimes, on the basis of merit as adjudged by a departmental committee and at other times, through selection by the Public Service Commissions.

Promotion policy is adjusted according to the whim and caprice of the high-ups and this results in undue favour to a few employees. This type of wrangling attitude of the government is certainly to be decried. It is, therefore, extremely desirable for the government to declare its promotion system and stick to it so that every fresh recruit is in a position to know his future career.

There is no doubt that it is difficult to evolve a promotion system which satisfies both the advocates of the seniority principle and the adherents of merit system. Anyhow, a suitable machinery and procedure is possible whereby chances of injustice should be minimized. The Central Pay Commission has also recommended that the use of Promotion Boards or Committees should be widely made as it is the safest and most convenient method. The staff representatives should also be associated with such boards. The official records and evaluation of efficiency reports of the employees should be maintained in a systematic way and the effective machinery for appeal against suspicious promotions should also be provided. Some notable commissions like Central Pay Commission and Administrative Reforms Commission have made fairly useful recommendations which deserve mention here.

3. Recommendations of the Central Pay Commission:

(a) Merit should continue to be the criterion in making promotions at higher levels. At lower levels, the principle of seniority-cum-fitness be adopted,

(b) For promotions to grades in which specialized knowledge is necessary, qualifying examinations designed to test working abilities may be useful but with this exception, examination may not be adopted as a general method of selection for promotion,

(c) There should be a system of promotion by a special limited competitive examination in order to provide young officers in Class II and Class III services an additional opportunity to enter any of the Class I or Class II services to which there is a direct recruitment by a competitive examination.

(d) The form in which confidential reports are drawn up should be concerned with the nature of the work of the particular class of employees but should otherwise be as uniform as possible and so designed as to provide for assessment under specified headings including potentialities of the employees for assuming higher responsibilities as well as a general summing up.

(e) A general grading of employees by the first reporting officer should not be compulsory; such grading should be done at a higher level preferably at the level at which a whole cadre is dealt with for the purpose of promotion,

(f) Confidential reports should be scrutinized at each higher level as soon as they are received to make sure that they had been prepared in accordance with the relevant instructions and should be returned for rectification where necessary,

(g) Unless it is proposed not to enter in his character role an irremediable or remediable defect should invariably be communicated to him.

(h) The present arrangement of the immediate superior writing a confidential report should continue but the next higher officer should exercise a positive and independent judgment on the remarks of the reporting officer and should clearly express his agreement or disagreement with the remarks particularly if they are adverse.

4. Recommendations of the 5th Pay Commission:

The 5th Central Pay Commission appointed in 1996 made certain board Recommendations regarding promotion viz:

(a) The flexibility complementing schemes of promotion be extended to all Research and Development Professionals functioning in Research and Development organizations and Departments proclaimed as Scientific and Technical in Government of India,

(b) A comprehensive and coherent promotion scheme is to be evolved which could assure adequate career progression in a reasonable time frame to all categories of employees.

(c) The assured Career Progression scheme aims at providing a minimum of the promotions to Groups B, C, D employees and three promotions to each Group A employees in their career span after appointment in a grade on direct recruitment basis,

(d) The proposed promotion under the scheme shall be restricted to financial up-gradation in the pay scale alone and shall not be linked to the availability of a post in a higher grade on promotional basis. The scheme will provide reasonable opportunity to move to higher grades within a stipulated time frame."

5. Recommendations of Administrative Reforms Commission (ARC):

The ARC recommended significant reforms in the promotion system as:

(a) They emphasized the importance of merit over seniority in promotion and suggested the elimination of the subjective element in determining merit of the eligible candidates for promotion;

(b) They also suggested the replacement of the existing system of confidential reports by that of Performance Records.

The procedure for preparing the Performance Records of each Government employee as suggested is as follows:

(i) At the end of each year, the official reported upon should submit a brief resume not exceeding 300 words of the work done by him bringing out any special achievement of his. The resume should be submitted to the reporting officer and should form a part of the Performance Record.

While assessing, the reporting officer should take due note of the resume and after making his own comments and assessments submit the entire record to the next higher officer —the receiving officer. The receiving officer should add his own comments if any and also do the grading,

(ii) There should be three grading's for the purpose of assessment, viz.:

(a) Fit for promotion out of turn,

(b) Fit for promotion and

(c) Not yet fit for promotion.

Both the Reporting Officer and Receiving Officer should assess the official according to these grades.

The fourth category in the existing grading system, i.e., unfit for promotion, should be deleted. In other words, nobody should be branded permanently unfit for promotion, (iii) The grading "Fit for Promotion out of turn" should be supported by specific mention of outstanding work that has been done and only five to ten percent of officials engaged in work of a similar nature and at the same level in any office or organisation should be kept in the first grades, (iv) Good work done during the year should receive prompt appreciation either on the file or in a tour or inspection note. The officer concerned should quote this in his resume, (v) Where merit is equal, seniority should be decisive for promotion. An analysis of these recommendations will make us conclude that promotion should be based on merit particularly in high posts. However, if merit is equal in certain cases, seniority should be the deciding factor. According to an Indian scholar, "Seniority is fact, merit a matter of opinion. It is not true that seniority and merit are dichotomous. As recruitment for public services is already made on the basis of merit, seniority is merit plus x years of service."

6. Recommendation Views of Indian 5th Pay Commission on Promotion:

The vital recommendations of the 5th Pay Commission are:

(a) A flexible complementing scheme of Promotion should be extended to all Research and Development Professionals employed in Research and Development organisations and Department—designated as Scientific and Technical by Government of India.

(b) For the rest of other Central Government employees, a comprehensive and coherent promotion should be evolved which may assure adequate career progression to all categories of employees in reasonable time.

(c) The recommended Assured Career Progression Scheme provides a minimum of promotion to Groups B C and D employee and three promotions to each group A employees in their complete career span. The proposed promotion under the scheme will mean financial upgradation in the pay scale but will not be linked to the availability of a post in a higher grade on functional basis.

This scheme will thus assure reasonable opportunity to all employees to attain higher grades within a stipulated time frame.

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RETIREMENT

Synopsis

- ❖ **Introduction**
- ❖ **Purpose**
- ❖ **Age for Retirement**
- ❖ **Retirement system in India**

Introduction

Retirement is an inextricable part of personnel administration. Naturally, retirement comes at the end of the career service of an employee. It is a superannuation arrangement in personnel administration. It means separation of an employee from service with annuity after reaching the stipulated age limit. Of course, an employee may retire before the prescribed age limit owing to injury or physical disability or mental incapability. Surely, man cannot work efficiently after a certain age when he grows too old and weak. After attainment of this age, lie needs rest. So, in all countries, public employees have to retire on reaching the prescribed age of superannuation, both in the interest of the efficiency of the services and of their own health. On the other hand, retirement of old employees is also necessary to make room for the promotion of the younger men in the service to the higher posts in the recruitment of persons from outside to fill up the vacancies thus created.

Purpose of Retirement:

The purpose of retirement may be discussed as follows:

1. A retirement system for employees facilitates the termination of the employment of the aged or disabled people from the service. Thus, it improves the efficiency of administration. 2. It contributes to employee's promotion opportunities by creating vacancies at the higher level. Promotion keeps up the morale of the staff in any organization. It is in turn lead to recruitment of people from outside in the lower levels. Such recruitment facilitates the entry of young people with new out look into the service.

3. Retirement with annuities assures the employees against a penniless old age or against pauperism due to disability. In the words of L.D.White, a retirement system "improves the

morale of services by creating a sense of economic security". It relieves anxiety of the employees for future.

4. Retirement is an integral part of the career system. In the absence of retirement system, it is not possible to make any service a career system. In the absence of a career system, no service can attract and retain talented people.

5. If there is no retirement system, the various public services become overloaded with aged employees with lowered efficiency. Such employees could not contribute to the efficiency of administration. On the contrary, they will become a financial burden. Therefore, some planned system of retirement is highly desirable even from the selfish standpoint of the government.

Retirement Age:

Generally, the prescribed age of retirement varies from country to country according to the climatic conditions and the average expectation of longevity of life. As regards the question of retirement, there are two opposite viewpoints. According to one viewpoint, the retirement age should be as higher as possible. The supporters of this view argue that of the civil servant retires late, the organization can have the benefit of the employee's wide and accumulated and matured judgement. This view point is shared by majority of the employees. The opposite view is that the civil servant should not be allowed to continue too long in service as he becomes stale and may not be useful. The supporters of the second view argue that the promotion opportunities of the younger employees and recruitment opportunities of the unemployed youth will be delayed or prevented by raising the age of retirement we may, therefore, say that an optimum age limit is desirable.

However, as these conditions vary from country to country there is no fixed and uniform retirement system throughout the world. In the U.S.A., it is 65 to 70 years and in U.K. 60-65 years. In India, the Central Government employees and the employees of most of the states retire at the age of 60 years. The retirement age is generally fixed by the statutes. However, in certain cases, such as the retirement age of the Supreme Court and High Court judges in India is fixed by the constitution.

 Essentials of Retirement System: The essentials of retirement system are as follows:

1. There must be a reasonable stipulated retirement age. It must also be flexible enough to meet individual differences.

2. The retired employees must be provided with adequate retirement benefits such as pension, provident fund, gratuity and insurance.

3. There must be provision for the return of the employee's contribution, with interest, if lie reigns or is dismissed before retirement. Provision must also be there for the payment of his contributions to his heirs in case of death.

4. The retirement system should include disability benefits payable to both physically and mentally incapacitated employees.

Retirement System in India:

There are different types of retirement system in India. Those are –

(1) Compulsory retirement on attaining the age of superannuation,

(2) Forced retirement due to loss of efficiency,

(3) An employee may voluntarily retire if he has completed 25 years of qualifying service or has attained the age of 50 years,

(4) Retirement on invalidation takes place owing to physical or mental infirmity,

(5) Retirement is also caused due to abolition of the post and failure to show an alternative employment.

Pension

The minimum eligibility period for receipt of pension is 10 years. A Central Government servant retiring in accordance with the Pension Rules is entitled to receive pension on completion of at least 10 years of qualifying service. In the case of Family Pension the widow is eligible to receive family pension on death of her spouse after completion of one year of continuous service or even before completion of one year if the Government servant had been examined by the appropriate Medical Authority and declared fit for Government service.

W.e.f 1.1.2006, Pension is calculated with reference to emoluments (i.e.last basic pay) or average emoluments (i.e. average of the basic pay drawn during the last 10 months of the service) whichever is more beneficial. The amount of pension is 50% of the emoluments or average emoluments whichever is beneficial.

Minimum pension presently is Rs. 9000 per month. Maximum limit on pension is 50% of the highest pay in the Government of India (presently Rs. 1,25,000) per month. Pension is payable up to and including the date of death.

Commutation of Pension

A Central Government servant has an option to commute a portion of pension, not exceeding 40% of it, into a lump sum payment. No medical examination is required if the option is exercised within one year of retirement. If the option is exercised after expiry of one year, he/she will have to under-go medical examination by the specified competent authority. Lump sum payable is calculated with reference to the Commutation Table. The monthly pension will stand reduced by the portion commuted and the commuted portion will be restored on the expiry of 15 years from the date of receipt of the commuted value of pension. Dearness Relief, however, will continue to be calculated on the basis of the original pension (i.e. without reduction of commuted portion).

The formula for arriving for commuted value of Pension (CVP) is

CVP = 40 % (X) Commutation factor* (X)12

* The commutation factor will be with reference to age next birthday on the date on which commutation becomes absolute as per the New Table annexed to the CCS (Commutation of Pension) Rules, 1981.

Death/Retirement Gratuity

Retirement Gratuity

This is payable to the retiring Government servant. A minimum of 5 years' qualifying service and eligibility to receive service gratuity/pension is essential to get this one-time lump sum benefit. Retirement gratuity is calculated @ 1/4th of a month's Basic Pay plus Dearness Allowance drawn on the date of retirement for each completed six monthly period of qualifying service. There is no minimum limit for the amount of gratuity. The retirement gratuity payable for qualifying service of 33 years or more is 16 times the Basic Pay plus DA, subject to a maximum of Rs. 20 lakhs.

Service Gratuity

A retiring Government servant will be entitled to receive service gratuity (and not pension) if total qualifying service is less than 10 years. Admissible amount is half month's basic pay last drawn plus DA for each completed 6 monthly period of qualifying service. This one-time lump sum payment is distinct from retirement gratuity and is paid over and above the retirement gratuity.

Issue of No Demand Certificate

Dues owed by the retiring employees on account of Licence Fee for Government accommodation, advances, over payment of pay and allowances are required to be assessed by the Head of Office and intimated to the Accounts Officer two months in advance of the date of retirement so that these are recovered from retirement gratuity before payment. For this purpose, the Licence Fee for those in occupation of Government accommodation is taken into account up to the end of the permissible period for which accommodation can be retained after retirement under the Rules on normal rent. The recovery of Licence Fee beyond that period is the responsibility of the Directorate of Estates. If, for any reason final dues cannot be assessed on time, then 10% of gratuity is withheld from gratuity on the basis of a commutation from the Directorate of Estates in this regard.

General Provident Fund and Incentives

As per General Provident fund (Central Services) Rules, 1960 all temporary Government servants after a continuous service of one year, all re-employed pensioners (Other than those eligible for admission to the Contributory Provident Fund) and all permanent Government servants are eligible to subscribe to the Fund. However, these rules are not applicable to any of the Government Servants who join service on or after 1.1.2004. A subscriber, at the time of joining the fund is required to make a nomination, in the prescribed form, conferring on one or more persons the right to receive the amount that may stand to his credit in the fund in the event of his death, before that amount has become payable or having become payable has not been paid. A subscriber shall subscribe monthly to the Fund except during the period when he is under suspension. Subscriptions to the Provident Fund are stopped 3 months prior to the date of superannuation. Rates of subscription shall not be less than 6% of subscriber's emoluments are not more than his emoluments. Rate of interest varies according to notifications of the Government issued from time to time. The rules provide for drawl advances/ withdrawals from the fund for specific purposes.

The conditions for withdrawal from the fund have been liberalized and now no documentary proof is required to be furnished by the subscriber for GPF withdrawal. On retirement of a subscriber, instructions have been issued for immediate payment of final balance on retirement. No application is required to be submitted by the subscriber for final payment from the fund.

Deposit Linked Insurance Scheme

Under the GPF Rules, on the death of subscriber, the person entitled to receive the amount standing to the credit of the subscriber shall be paid an additional amount equal to the average balance in the account during the 3 years immediately preceding the death of the subscriber subject to certain conditions provided in the relevant Rule. The additional amount payable under that Rule shall not exceed Rs. 60,000/-. To get this benefit, the subscriber should have put in at least 5 years' service at the time of his/her death.

Contributory Provident Fund

The Contributory Provident Fund Rules (India), ,1962 are applicable to every non-pensionable servant of the Government belonging to any of the services under the control of the President. A subscriber, at the time of joining the Fund is required to make a nomination in the prescribed Form conferring on one or more persons the right to receive the amount that may stand to his credit in the Fund in the event of his death, before that amount has become payable or having become payable has not been paid.

A subscriber shall subscribe monthly to the Fund when on duty or Foreign Service but not during the period of suspension. Rates of subscription shall not be less than 10% of the emoluments and not more than his emoluments. The employer's contribution at that percentage prescribed by the Government will be credited to the subscriber's account and this is 10%. The Rules provide for drawl of advances/ withdrawals from the CPF for specific purposes. As in GPF Rules, the CPF Rules also provide for Deposit Linked Insurance Scheme.

Leave Encashment

Encashment of leave is a benefit granted under the CCS (Leave) Rules and is not a pensionary benefit. Encashment of Earned Leave/Half Pay Leave standing at the credit of the retiring Government servant is admissible on the date of retirement subject to a maximum of 300 days.

Central Government Employees Group Insurance Scheme

A portion of monthly contributions paid while in service is credited in a Saving Fund, on which interest accrues. A Government servant while entering service has to apply in Form No. 4 of the above Scheme to the Head of Office, who shall issue a sanction for the payment of subscriber's accumulation in the Savings Fund segment together with interest and arrange for its disbursement, soon after retirement. Payments under this Scheme are made in accordance with the Table of Benefit (as issued by Department of Expenditure) which takes in to account interest up to the date of cessation of service. Insurance cover benefit under this Scheme is available to the family in the event of death of the subscriber.

MORALE

Synopsis

- ❖ **Introduction**
- ❖ **Definitions**
- ❖ **Types**
- ❖ **Factors affecting morale**

Definitions, Types and Factors Affecting Morale

Introduction

Morale is defined by various terms from different standpoints. In military situation morale means enthusiasm to accomplish the assigned task or esprit-de-corps in sports it may mean self-confidence of a team, in education it may be the eagerness to learn by students, in business it is associated with the desire to achieve the goals. So, it is an overall attitude of an individual or group towards all aspects of their work e.g., the company, the job, the supervisors, fellow workers, working conditions, etc.

Definitions:

Flippo has described morale "as a mental condition or attitude of individuals and groups which determines their willingness to co-operate. Good morale is evidenced by employee enthusiasm, voluntary confirmation with regulations and orders, and a willingness to co-operate with others in the accomplishment of an organization's objectives. Poor morale is evidenced by surliness,

insubordination, a feeling of discouragement and dislike of the job, company and associates."

In the words of Yoder, "morale is a feeling, somewhat related to esprit de corps, enthusiasm or zeal. For group of workers, morale, according to a popular usage of the word, refers to the over-all tone, climate or atmosphere of work, perhaps vaguely sensed by the members.'

Types:

The following are the two types of morale:

1. Individual and Group Morale:

Individual morale is a single person's attitude towards work, environment etc. Whereas group morale reflects the general attitude of a group of persons. Group morale is everybody's concern and may go on changing with the passage of time. Individual and group morale are interested but not necessarily identical. They have an effect on each other. The individual's personal perception of the present conditions may be high but the group's perception may be low or vice-versa.

2. High or Low Morale:

Morale may be referred to high morale or low morale. In the words of McFarland, high morale exists when employee attitudes are favourable to the total situation of a group and to the attainment of its objectives. Low morale exists when attitudes inhibit the willingness and ability of an organization to attain its objectives. The words such as zeal, enthusiasm, loyalty, dependability denote high morale. Low morale may be described by words like lack of interest, laziness, apathy, bickering, jealousy, quarrelsome, pessimism, etc.

Morale and Motivation:

Morale and motivation are inter related but differ from each other. Morale refers to the attitude of a person towards his work and environment while motivation is a process to inspire people. Motivation is an inner feeling which energizes a person to work more for satisfying his unsatisfied demands. Motivation revolves round needs and incentives while morale will determine the willingness to co-operate. Morale is a group phenomenon while motivation is an individual's readiness to work more. Moral is related to the combination of various factors operating at work but motivation concerns to the job only. Motivation helps in mobilizing energy while morale is concerned with the mobilization of sentiments.

Morale and Productivity:

Morale reflects the attitude of employees towards their work, it will be of interest to know if it has any bearing on productivity. A number of research studies reveal that there is no direct relationship between morale and productivity. High morale may lead to higher productivity but in some cases, production may go down even. It is generally felt there is a positive relation between morale and productivity but the degree may not be the same. For example, 10 per cent increase in morale may lead to higher productivity but production may not necessarily increase by 10 per cent.

Miller and Form have given four combinations of productivity and morale viz:
(i) High productivity-high morale
 (ii) Low productivity high morale
(iii) High productivity-low morale; and
(iv) Low productivity-low morale.

The first situation occurs when the individual is satisfied from the job and prevailing environment. He will try to achieve high standards of performance which will lead to higher productivity. In the second situation (low productivity and high morale) the employee may be satisfied from his work and situations prevailing, showing high morale. Lack of proper teaching of the employee, lack of administrative skill of the supervisor, defective materials, out-dated technology may lead to low productivity in-spite of high morale. In the third-situation, management may use strict supervision, prescribe punishments for low productivity and use better technology for raising productivity in-spite of low morale. The fourth situation occurs where factors obtained in combination of high productivity high morale are lacking. There is a complexity of relationship between morale and productivity. This relationship cannot always be predicted. It may differ from organization to organization and from one time to another time.

Factors Affecting Morale:

The employee morale is a very complex phenomenon and is influenced by many factors. Different authors like McFarland. Bradshaw and Krugman. Roach and Apple white name given different criterion for the determination of morale.

On the basis of all these classifications, the important factors in the determination of levels of morale are as describe below:

1. The Organization:

The first factor affecting the employee morale is the organization itself. The organization influences the worker's attitudes to their jobs. The public reputation of an organization may build up for better or worse, their attitudes towards it.

2. The Nature of Work:

The nature of the work, the worker is expected to perform also affects his attitude towards the job as well as his morale. If the employee is expected to perform routine or specialized jobs, he will feel bored and alienated. Repetition of the same task again and again makes the working situation worse for the employees. Another factor is the large impersonal organizational structure. Sometimes, if the employee feels that he is just a cog in the machine instead of a person; his morale will become very low. Lack of understanding of organizational goals may also affect the morale. Another factor which causes low morale is the assembly line operations moving at a constant speed.

3. The Level of Satisfaction:

The level of satisfaction, a worker derives from his job is another determinant of morale. If the job factors and the satisfaction they bring is perceived to be favourable by the employee morale will tend to be higher than if their factors seem to be unfavourable. The job factors include the factors such as opportunities for promotions, job security, steadiness of employment, opportunities to learn the job and to use his own ideas, pay working conditions, recognition, cooperativeness of co-workers, group relationship etc.

4. The Level of Supervision:

The level of supervision received by an employer has a tremendous influence on his morale. High rate of employee turnover indicates that the leadership is ineffective. On the other hand, if employees are given freedom to do the job, their morale will be high. Nobody likes to be supervised all the time.

5. Concept of Self:

What is the employee's concept of himself? The answer to this question influences the attitudes of the employees to the organizational enrolment. How an employee perceives himself, is a

very important question. The morale of persons who have lots of self-confidence or who enjoy good mental and physical health is generally high as compared to those who lack self-confidence or suffer from poor physical or mental health.

6. Worker's Perception of Rewards System:

The worker's perception of past rewards and future opportunities for rewards affect their morale to a substantial extent. If the workers regard the rewards as fair and satisfactory, their morale will tend to be higher than if the perception is in the opposite direction. Moreover, if the rewards and opportunities for the future tend to be bleak, morale will tend to be low as compared to the situation where the worker perceives opportunities for satisfaction and for attainment in the rewards that lie ahead in the future.

6. The Employee's Age:

Studies have reported that age and morale are directly related. Other things being equal, elder employees seem to have higher morale. This is because of the reason that perhaps younger workers are more dissatisfied with higher expectations than their elders. The older employees have more stability which comes with maturity, a serious attitude towards job. more reliability, less absenteeism, proven steady work habits, a sense of responsibility and loyalty and less tendency to be distracted by outside interest as influences.

7. The Employee's Educational Level:

Studies have concluded an inverse relationship in the educational level of the employee and his morale. Higher the educational level lower will be the job satisfaction and vice versa. The higher he thinks he should be the more dissatisfied he will be.

8. The Employee's Occupational Level:

The occupational level of the employee also influences his level of morale. The higher up in organisational hierarchy an employee is higher will be his morale. The morale of the people who are lower in the levels of hierarchy is generally low because they compare their own attainments with those of others.

10. The Off the Job Activities of the Employee:

The relationship of an employer with his family and work group influences his behaviour and attitude while he is on the job. His off the job activities e.g. whether his family life is happy or

not, whether he has excessive drinking habits etc. The influences and pressures of a formal and informal group have a significant effect on the morale of workers.

DISCIPLINE

Synopsis

> ❖ **Meaning**
>
> ❖ **Importance**
>
> ❖ **Purpose and Code**

Meaning, Importance, Purpose and Code

Meaning of Discipline:

The term discipline refers to a condition in the organisation wherein employees conduct themselves in accordance with the organisation's rules and standards of acceptable behaviour. For the most part, employees discipline themselves. This means that members conform to what is considered proper behaviour because they believe it is the right thing to do. Once they are made aware of what is expected of them, and assuming that they find these standards or rules to be reasonable, they seek to meet these expectations. But all employees will not accept the responsibility of self-discipline. For some employees the organisation's rules and standards are not enough to elicit the accepted norms of responsible employee behaviour. These employees will require some degree of extrinsic disciplinary action frequently labelled punishment. It is this need to impose extrinsic disciplinary action that is of concern to the personnel manager.

Importance of Discipline:

To ensure that an organisation runs smoothly there must be staff discipline. However, an autocratic management style is not acceptable today. So, this is a difficult task. No longer will workers tolerate fines or similar pecuniary penalties for what the organisation sees as departure from acceptable behaviour. However, there must be rules of behaviour for staff which must be accepted by workers, particularly in the area of punctuality and absence. It follows, therefore, that a code of discipline must be drawn up and agreed with the workers and written into their service contracts. New recruits must be made aware of the code and the requirement for them to comply.

The surest way to achieve and maintain good staff discipline is to ensure a high morale, which is, after all, one of the marks of good management. Discipline is concerned with setting standards of performance, attitude and behaviour at workplace in the interest of ensuring that everyone knows what is expected of him and he conforms to them. If the approach taken is both positive and understood by all concerned it follows that such problems are kept to a minimum. Any organisation is allowed and expected to set its own standards, and these will be reflected both in the nature of the work itself and also in regard to the expectation of customers. When problems occur the manager's first task is to get the individual concerned back-performing or behaving adequately and effectively.

Normally, this is to be achieved by having a quiet word with the individual, pointing out to him where his behaviour or activity is falling short of the required standard, ensuring that he knows what the required standard is and concluding the discussion with an agreement that this is now the way in which matters will be conducted. If this fails to work, various other procedures will have to be invoked. The basic objective is to remove the cause of the problem. And any and every warning issued by the manager or the organisation in the pursuit of a resolution of the problems will furnish detail in clear terms of the nature of it, the steps taken to try and resolve it and the levels of performance now expected of the individual. These warnings will either be orally issued, or in writing. (In either case a record will be kept by the manager concerned).

Purpose of Discipline:

Discipline and counselling are designed to do one thing – correct problems. Employee problems can be associated with lack of effort, poor performance and the inability to reach organisational and individual goals. If these problems are permitted to manifest to the point of termination, then both the employee and the employer lose.

In addition to the 'emotional scars' discipline or discharge may cause for the employee; the organisation is losing a once-valued employee. That individual was chosen after a careful recruiting and selection process. Getting to this point did not occur cost-free. In fact, every time an employee is terminated the organisation is, in essence, eliminating any further 'return on its investment' for the employee. In reality, most grievances arise from disciplinary actions. The labour contract usually states that management may discipline an employee 'for just cause'.

However, the perception of what is 'just cause' and what is 'fair punishment' may differ between management and employees. To avoid this kind of problem, rules should be clearly

spelled out and communicated to employees. Penalties should also be made known and fit the crime. Most discipline systems use 'progressive penalties' the more often the violation is repeated, the more serious the penalty. For instance, a first incident of go-slow practice (tardiness) might occasion only a reminder, the second a stern warning, the third a written warning in the employee's file, and the fourth a short suspension. Some violations, such as fighting, stealing from the employer, and sabotage, obviously call for a much more severe initial penalty.

Fairness:

There is another aspect of discipline. The discipline process must be appropriate and fair. If discipline is handled haphazardly, or there is no apparent reason for such action to take place, this can have a detrimental effect on employee morale. And this very fact results in less effort being put. Hence organisations must make sure that they are not diminishing motivation by having a poorly operating discipline process. No doubt discipline and counselling are two necessary components of personnel management.

Code of Discipline:

The code of discipline as spelt out in the Report of the National Commission on Labour, Ministry of Labour, Employment and Rehabilitation, Government of India is as follows:

1. To maintain discipline in industry (both in public and private sectors) there has to be:

(i) A just recognition by employees and workers of the rights and responsibilities of either party, as defined by the laws and agreements including bipartite and tripartite agreements arrived at all levels from time to time; and

(ii) A proper and willing discharge by either party of its obligations consequent on such recognition.

The Central and State Governments, on their part, will arrange to examine and set right any shortcomings in the machinery they constitute for the administration of labour laws. To ensure better discipline in industry:

2. Management and union(s) agree:

(i) That no unilateral action should be taken in connection with any industrial matter and that disputes should be settled at appropriate levels,

(ii) That the existing machinery for settlement of disputes should be utilised with the utmost expedition,

(iii) That there should be no strike or lockout without notice,

(iv) That affirming their faith in democratic principles, they bind themselves to settle all future differences, disputes and grievances by mutual negotiation, conciliation and voluntary arbitration,

(v) That neither party will have recourse to:

(a) Coercion;

(b) Intimidation;

(c) victimisation, or go-slow,

(vi) They will promote constructive cooperation between their representatives at all levels and as between workers themselves and abide by the spirit of agreements mutually entered into.

(vii) That they will establish upon a mutually agreed basis, a grievance procedure which will ensure a speedy and full investigation leading to settlement.

(viii) That they will abide by various stages in the grievance procedure and take no arbitrary action which would bypass this procedure, and

(ix) That they will educate the management personnel and workers regarding their obligations to each other.

3. Management agree:

(i) Not to increase workloads unless agreed upon or settled otherwise,

(ii) Not to support or encourage any unfair practice, such as:

(a) Interference with the right of employees to enrol or continue as union members;

(b) Discrimination, restraint or coercion against any employee because of recognised activity of trade unions; and

(c) Victimisation of any employee and abuse of authority in any form,

(iii) To take prompt action for:

(a) Settlement of grievances; and

(b) Implementation of settlement, awards, decisions,

(iv) To display in conspicuous places in the undertaking the provisions of this Code in local languages,

(v) To distinguish between actions justifying immediate discharge and those where discharge must be preceded by a warning, reprimand, suspension or some other form of disciplinary action and to arrange that all such disciplinary action are subjected to an appeal through normal grievance procedure,

(vi) To take appropriate disciplinary action against its officers and members in cases whose enquiries reveal that they were responsible for precipitate action by workers leading to indiscipline, and

(vii) To recognise the union in accordance with the criteria (evolved at the 16th session of the Indian Labour Conference held in May 1958).

4. Union(s) agree:

(i) Not to engage in any form of physical duress,

(ii) Not to permit demonstrations which are not peaceful and not to permit rowdyism in demonstration,

(iii) That their members will not engage or cause other employees to engage in any union activity during working hours, unless as provided for by law, agreement or practice,

(iv) To discharge unfair labour practices, such as:

(a) Negligence of duty;

(b) Careless operation;

(c) Damage to property;

(d) Interference with or disturbance to normal work; and

(e) Insubordination,

(v) To take prompt action to implement awards, agreements, settlements and decisions,

(vi) To display in conspicuous places in the union offices the provisions of the Code in the local language(s), and

(vii) To express disapproval and to take appropriate action against office-bearers and members for indulging in action against the spirit of this Code.

Grievances:

As with all human activity the operation of a business or other organisation is bound to produce grievances from time to time. These may be small and minor and easily settled on a personal level, or may be major resulting in strike action or threat of such action.

Consequently, it is prudent to have some formal grievances procedure to settle these matters:

1. Major disputes involving all or most of the work-force are normally dealt with at a senior level and may involve a trade union.

2. Grievances involving one or a small number of workers are best dealt with internally and a formal procedure to deal with these should be established as it enables employers to deal with complaints quickly and fairly.

An equitable grievance procedure well-known and accepted by the work-force demonstrates the employer's commitment to fair play and helps to ensure that similar problems are all dealt with on the same basis and that decisions will be consistent in like cases. It is recognised that grievances ignored or badly handled can lead to discontent which may spread beyond the staff involved.

3. The exact procedures to be adopted will vary according to the size of the concern. In a small firm access by the complainant may be direct to a senior member of the company, whereas in a larger organisation there may be more than one level of management to go through if satisfaction is not forthcoming at the first level.

In all cases, however, it is usual for the grievance to be taken up initially with the worker's immediate superior.

Where there is a recognised union presence in an organisation it is very usual for the first step to be to the worker's shop steward. At all times, the employer must be seen to be trying to be fair.

4. Unfortunately, some complaints lead to litigation and the absence of a formal grievance's procedure, or the failure to adopt its provisions, may prejudice the employer's case, whereas the existence of such a procedure will demonstrate the employer's desire to be fair.

AUTHORITY AND RESPONSIBILITY

Synopsis

 ❖ **Introduction**

 ❖ **Meaning and Definition**

 ❖ **Approaches**

 ❖ **Sources**

 ❖ **Pre-Requisites and Adequacy of Authority**

 ❖ **Limitations**

 ❖ **Constitutional Safeguards**

INTRODUCTION

Administration is the process of coordinating and facilitating the work of people in organisations. People, formally and informally organise themselves as members of different organisations in a polity. Each organisation is a battle ground for different interest groups in the society. This is mainly due to scarcity of resources and limited options available in the environment. This leads to a situation where people are more concerned about who gets what, when and how in an organisation; rather than the organisational purpose. As Pfiffner and Sherwood put it, "here is where the basic values of the organisation are involved; and here is where the struggle for control, power and authority is at its lowest." Therefore, it is of paramount importance to study the concepts of authority and responsibility to understand the administrative dynamics and processes in organisations. The modem thinking about public officials is that the ultimate control is internal. It is a feeling of self-responsibility in a person. A study of such factors helps the students of administration to understand the public bureaucracy and its role in a democratic state. In this unit, we will study the concepts of authority and responsibility.

AUTHORITY: MEANING AND DEFINITION

Authority is the foundation of administration in public life. It is normally exercised in a formalised structure of hierarchy in an organisation. It is the legitimate power to influence the behaviour of a person or a group of persons. According to Max Weber, authority is the willing and unconditional compliance of people, resting upon their belief that it is legitimate for the superior to impose his will on them and illegitimate for them to refuse to obey. Henry Fayol, defined authority as the right to give orders and the power to exact obedience. Thus, authority is the legitimate right to command or influence others to behave toward the attainment of specific goals of an administrative system. In the administrative system, each position has specific rights that job holders acquire from the title of the position. As Allen puts it, "authority is the sum of the powers and rights entrusted to make possible the performance of work delegated". However, authority is not just confined to the commands, rights and instructions of superiors in organisations. The other equally important side of authority is obedience and acceptance. Chester Barnard was one of the writers who had recognised the importance of obedience and acceptance in the organisational process. According to him, "authority is the character of a communication in a formal organisation by virtue of which it is accepted by a

contributor to or member of the organisation as governing or determining what he does or is not to do so far as the organisation is concerned." In other words, authority is the legitimate right to guide a person's behaviour in an organisation subject to the condition that the person accepts that right by showing his obedience to it.

AUTHORITY AND POWER

Authority is an inseparable part of rights inherent to a position. These rights are constant, irrespective of the persons holding the position. In other words, authority is legitimate and positional. Power is the capacity to influence the decision-making of an authority holder. Power may be described as the influence to change the behaviour of a person or persons to suit the power holder's objectives and advantages. Authority is closely related to the, ' concept of power. Administrative system and various administrative organisations and offices are involved in exercising their powers in the government. Thus, authority may be defined as the legitimate power of office holders in administrative organisations. Power not supported by law, constitution and norms is illegitimate. Illegitimate power is dangerous to 1 the society. The legitimate power or authority is the servant of the people and it should not become the master of the people in a democratic society. Legitimate power or authority is to be used in public interest in a society. To safeguard the people in general from illegitimate power we have several mechanisms that act as limits and controls. We will discuss these issues in the section on controls on authority.

APPROACHES TO THE STUDY OF AUTHORITY

The concept of authority in an administrative organisation can be studied from three important stand points. They are:

 1) Legal aspects of authority: It covers the genesis, sources, rules and norms which define the scope and limits to authority.

2) Positional aspects of authority: It covers the rights, duties and responsibilities of different position holders in organisations and their status in the organisation.

3) Human aspects of authority: It covers the inter-personal relations, cooperation, communication and acceptance aspects of authority in organisations.

You will have a proper view of authority if you understand it along these three dimensions. As each one of these dimensions gives only a partial view of the concept of authority, there is a need to study authority from all these three dimensions. Moreover, Public Administration is

based upon law and constitution, legal and constitutional provisions are given paramount importance in the society, and the legal basis of authority is very important in running the affairs of the nation. In organisations, the legitimacy of authority is more important than other things. Another important aspect is its acceptance by the people. These two factors constitute the whole meaning and substance of administrative processes in a society.

Other aspects that matter in the administrative process are the personality considerations. Administrators have to possess wisdom and good judgment so that their authority is accepted by those concerned without question or comment. The nature of goals and decisions of the administrators are to be seen as acceptable, viable and in the best interests of the people. The administrators have to possess leadership skills to make an effective use of authority vested in them. That is why, normally people with leadership skills are effective in achieving acceptance to their authority from the people in general. Persons without leadership qualities normally fail to get acceptance from the people despite their authority and position in the organisation. Thus, we have to keep in mind the three important dimensions of authority, while studying it. There is another way of studying authority. We know that in the administrative process, there are three important stages, viz.,

(1) the making of a decision on a matter concerning an individual or a group or groups of people,

(2) the communication of that decision to those concerned and

(3) the implementation of the decision in spirit and letter.

All these stages involve the use of authority by those vested with it and the acceptance by those covered by the actions.

SOURCES OF AUTHORITY

Administrative agencies play a vital role in running the public affairs, achieving the goals and objectives of the government, and protecting the public interests from the actions of vested interests in the society. The three sources of authority in administrative agencies are:

- Law
- Tradition
- Delegation

We shall discuss about these three sources of authority.

Law

Many aspects of authority have their genesis in the constitution. Other aspects come from different laws and legislative enactments. Judicial interpretations, precedents and case laws also give authority to the administrative personnel. The superior subordinate relationship in organisations, hierarchy and division of labour speak about authority relationships in organisations. They also describe the right to command and the duty to obey in an organisation.

Tradition

The authority conferred by law itself is not sufficient to command obedience. Traditions play an important part in administration as a source of authority. Normally, organisations over a period of time develops norms, codes and work habits. These norms and codes speak about the obedience given to different authorities in different situations. For example, ii a situation if a particular officer is not there, who will officiate in that position depends on norms and codes in the organisation. The norms and codes are partly developed by practices and traditions and partly developed by training and indoctrination in the work place. The administrative personnel give due respect to authority and maintain it as a major value in the profession of administration. Different persons working in organisations recognise this authority as one of the main ingredients helping the organisation in achieving its purposes through coordination.

Delegation

Top administrators or heads of departments and units confer authority on their subordinates through delegation. Thus, delegation acts as a source of authority in organisations. This can be written or oral, but always concerns with a purpose. In fact, one of the functions of an administrator is to develop his subordinates to shoulder higher responsibilities. This is achieved by delegating them some of the authority to achieve a purpose of the organisation. While delegating authority enough care is to be taken to see that there is equal responsibility to judiciously use that authority for a public purpose.

Thus, the law, tradition and delegation play effective role in granting authority to the administrative personnel. The evidence of authority in the official orders is seen by quoting the source. For example, sometimes the authority holder puts his official seal or stamp. In other cases, the authority is explained in descriptive terms by using expressions like "By order of the government of ...." The titles, ranks and positions give a clue to the source of authority. Some

evidence of the source of authority is a must in getting acceptance from the society in general and those concerned in particular. This makes administrative communication and orders effective.

PRE-REQUISITES AND ADEQUACY OF AUTHORITY

It is believed traditionally that authority in an administrative system flows from the top to the bottom, the top can be the society at large, or the government, or the parliament. It need not necessarily be a particular decision maker like the minister or a civil servant. On the other hand, Chester Barnard views that authority comes from the bottom. According to his argument, authority of a position holder depends upon the acceptance by his subordinates. If he is not accepted, it is seen in the behaviour of his subordinates. It shows the position holder's capacity to handle authority. According to Bamard, four conditions are required to facilitate acceptance of authority in an administrative system. They are:

1) The subordinates must be able to understand the communication of the person holding ' , authority.
2) The subordinate should feel that this communication is consistent with the purpose of the administrative system.
3) The matter of communication is in tune with the personal interests of the subordinate; and
4) The subordinate is mentally and physically in a fit position to carry out the instruction, given in the communication.

It may be considered that the superiors have no authority, in case the subordinates do not accept the authority. Thus, the subordinates have option of disobeying even legitimate authority, if they so choose. In other words, Bamard proposes that there are limits to legitimate authority. To obtain acceptance outside the limits, which is called by Barnard as the outside of zone of indifference, an authority holder has to use his skills which are not part of his positional authority. Barnard's contention is that the traditional view of authority (that it can be carried out without question) is not correct in today's administrative organisations. This indicates the need for developing leadership skills on the part of administrative personnel to use their authority effectively to achieve the organisational purposes.

Another issue is that whether the authority that is available to the administrative personnel is adequate to carry on their duties effectively? To answer this, first of all we have to look at the

factors that are responsible for the authority of administrative personnel in the society. A number of authors including Machiavelli and Max Weber have explained three factors that contribute to the authority of the administrative personnel. They are discussed below.

1) Career jobs

Administrators enjoy the benefit of career jobs. This guarantees permanency which is not available to other participants in the society. Chief executives of the government may come and go and the same is the case with parliamentarians, legislators and public men. Government officials have tenure in their jobs and their decisions have a lasting impact on, the lives of people in general.

2) Expertise

Administrative personnel possess knowledge and skills as a result of their education and experience in the job. With the result they have more skills and expertise in a subject when compared to any other section in the society. As Rourke opines that in the modem society this expertise is pre-eminently from the fact that a variety of highly trained administrators practice their trade in public organisations. These personnel keep a hold on skills and information that is required to formulate and to implement public policy. Thus, the ability to use the skills and information contributes to the authority of administrative personnel.

3) Outside support

Because of their career jobs and expertise, public administrators have access to several interest groups in the society. These groups lend their support to the public administrators as an exchange for their services, both formally and informally.

Despite these above three strong factors facilitating exercise of authority, we often hear administrators complaining that their existing powers from the sources of authority are not adequate to handle public affairs and they ask for more authority. We are also aware of the practice that governments come with more and more laws on subjects such as finance, law and order or trade and commerce to give more powers to the administrators. This gives rise to a situation the administrative personnel cannot remember the laws & enactments due to their large number. It is difficult to decide the adequacy of authority just by laws and enactments. Administrators have to depend on traditions and they have to develop leadership skills to deal effectively with the situations rather than just asking for more and more powers. Millet

emphasises the need for adequate authority in four areas to effectively carry out their functions. They are:

1)Programme authority

Administrators should have adequate powers in deciding the goals and objectives of administrative activities within the limits set by law.

2) Organisational authority

Administrators should have sufficient powers to create and organise structure suitable to implement the programmes and policies effectively.

3) Budgetary authority

Administrators should have powers to determine budgetary needs as per the programme objectives and priorities.

4) Personnel authority

Administrators should have adequate powers to appoint personnel, assign them suitable tasks and functions, and to appraise their performance periodically. They should also have powers to reward and take disciplinary action. Within an organisation, administrators need power to motivate, appraise and discipline various categories of personnel in carrying on the day to day affairs of the administrative agencies. The highest power is to dismiss a person from an organisation after due process of law and procedures.

The lesser and lighter punishments are suspensions of various types, withholding a promotion, withholding a pay increase, changing the duties, transferring to another place, and official censure. All these methods are used to enforce discipline and to improve performance of various job holders in the organisations. In all the cases deployment of authority to meet organisational purposes is seen. On the positive side, promotions, pay increases, letters of appreciation, etc., are used to improve the morale in the organisation. Unless the administrators have adequate powers in the above areas, it is difficult for them to achieve the organisational goals. Any deficiency in any one of the above areas will not guarantee administrative performance. More powers in one area will also be counterproductive to the cause of successful administration. State legislatures and parliament have ' to keep these matters in view while making enactments.

LIMITS TO AUTHORITY

Authority comes from a source, in other words, there is a source which can exert control on the use of authority. Such controls are required to check misuse and abuse of authority for illegitimate purposes. These controls are discussed below:

Legislative Controls

Parliament and the state legislatures influence and control the authority of administrators by making them accountable for their actions. They give guidelines to the administrative organisations through different ministries and consultative committees. They also go into the working of public enterprises and other government agencies. During discussions on the budgets, the performance of different departments comes for review. In specific cases, parliament members or members of a state legislature can raise discussion on the functioning of a department or the functioning of a particular position holder or position holders. These steps act as controls on the exercise of authority by the administrative agencies.

Courts

Law courts and administrative tribunals while going into specific matters involving administrative agencies and their personnel review their actions. The judicial pronouncements act as effective controls on the working of administrative agencies. Individual citizens and organised groups question the actions and functioning of government agencies and personnel through law suits. In addition, commissions of enquiry on the functioning of government agencies give their views to the government for further action. In all these cases, the administrative actions are scrutinised and reviewed. This helps in checking the misuse or abuse of authority.

Constitutional Safeguards

Citizens of our country can appeal to the President of the Republic or to the State Governors against the actions of administrative personnel, if their grievances are not taken note of by the other agencies. In addition, in some states, there is the institution of LOKAUKTA, which can look into the specific complaints against office holders in government. These mechanisms work as controls on the misuse of authority of administrative personnel.

Press and the Media

The press and the media act as a mechanism of control on the authority holders in administration. By periodical news reporting, various actions of the government and its agencies are put to public scrutiny. The press can mobilise public opinion against misdeeds of officials or the government agencies. The press can also raise the matters involving public interest in a court of law. Organised interest groups such as social action groups, environmentalists and social reformers use the press to check the misuse of office by government agencies.

Hierarchy

In an administrative organisation, there are different levels of officials and staff with varying degrees of authority and responsibility. The actions of an administrator are under the supervision and control of his immediate superior in the organisational hierarchy. Thus, it acts as an internal control mechanism on the administrative personnel. In a democratic society, these are some of the important control mechanisms on the administrative agencies. Above all these mechanisms, the concept of administrative responsibility acts as a restraint on the misuse of authority.'

RESPONSIBILITY

Synopsis

- ❖ **Introduction**
- ❖ **Meaning and Definition**
- ❖ **Types**
- ❖ **Conclusion**

Introduction

Responsibility is the obligation to carry out certain duties. It has an inseparable relationship with authority. Without authority it is not possible to take up responsibility. An administrator, while giving authority to his subordinates should also make them responsible for exercising authority judiciously and purposefully. Responsibility is of two kinds, viz., operating responsibility and ultimate responsibility. An administrator can delegate operating responsibility to his subordinates but not the ultimate responsibility. The ultimate responsibility can never be delegated. The three concepts of authority, responsibility and accountability are

the integral parts of the process of administration. Authority is the right to command, responsibility is the duty to carry out the command, and the accountability is the term used to denote the proper discharge of the duties in letter and spirit. A person's responsibility is complete only when the duties are done according to the letter and spirit of the command. According to traditional administrative theory, there is a distinction between two forms of authority relationships, viz., line authority and staff authority. Line authority denotes direct and ultimate responsibility for achieving results. Staff authority is a supporting function in helping line authority in its endeavour. Line authority can be equated to a superiors' authority, white staff authority can be equated to that of the staff. Staff authority is advisory in nature. One way of differentiating line and staff is by defining its role in the ultimate responsibility in achieving the results.

TYPES OF RESPONSIBILITY

Responsibility denotes the accountability of the authority holders for achieving results in the administrative process. The concept of responsibility is a guardian against misuse of authority. Responsibility in the administrative process is of three types, viz., political, institutional and professional. We shall now discuss these three types of responsibility.

Political Responsibility

In a parliamentary system of government, the most important control on administration is political responsibility. There is ministerial responsibility for the actions of a ministry and the departments under it for their actions and functions. The ultimate responsibility for the success or failure rests on the minister concerned. This acts as a control device on the: functioning of administrative agencies and offices under a department in a ministry. The minister as a political functionary provides guidance in policy matters and the implementation is given to the administrative agencies of different types including the public enterprises. The political head is ultimately responsible to the chief executive and to the legislature for the working of the administrative machinery under his control. This responsibility will bear fruit, only when there is cooperation from the administrative machinery comprising a large number of officials at different levels. If the officials are not cooperative, the minister concerned has to face the criticism for non-performance from the chief executive and the legislature. In extreme cases the minister concerned may have to make an exit, in view of political responsibility for performance. To make the political responsibility of due minister fruitfu1 and purposeful, the

official machinery has to cooperate with his policies and programmes, which are actually the policies, and programmes of the government of the day.

Institutional Responsibility

An administrative agency or institution has to be responsible and responsive to public welfare. Otherwise, it may be difficult for it to exist in the long run. In other words, in its own interest, it has to be responsible and work in public interest. We have examples of reorganisation of official agencies, by mergers and integration to meet the public needs. Some organisations and institutions in course of time become self-centred and work for themselves, ignoring the fact that they exist to serve the people. Such institutions will face problems of survival in the long run. However, administrative agencies and departments fight tooth and nail to protect their own interests and identity. This throws a challenge to the political masters and to society in general to initiate action through organisational changes to bring out order in the work of public organisations.

Professional Responsibility

When compared to the past, today a number of specialists such as doctors, engineers., scientists, accountants, company secretaries, lawyers and a host of other specialist and professionals are entering into administrative services and public enterprises. As professionals, they have ethics and codes of conduct which they have to maintain in discharging their duties. Moreover, professional institutions also enforce discipline and responsibility on their members. In extreme cases, professional institutions terminate the membership of a person when he is found guilty of malpractices. There are also instances of professionals in the public service quitting their jobs when it comes to the question of professional standards and integrity. This ethical responsibility is not just confined to technical personnel only. Now-a-days, administrative personnel and civil servants have developed a professional status and they go by standards and ethics. This is a welcome feature in civil services. Professional responsibility is more effectively enforced by the individual conscience of administrative personnel about what constitutes ethically acceptable behaviour and conduct.

A time-honoured principle is that authority and responsibility should be equal. This means that any officer or employee who is charged with the responsibility of accomplishing any given task must be given authority commensurate with the task to carry it out. In any organisation if the execrative is responsible for undertaking a function he should be clothed with the authority

to recruit personnel, to incur expenditure and to control the subordinates. If the executives are not given the authority in personnel and financial matters, they should be divorced from their responsibility also. In this context observation of Urwick is noteworthy. He said that "to hold n group or individual accountable for activities of any kind without assigning to him or them the necessary authority to discharge that responsibility is manifestly both unsatisfactory and inequitable. It is of great importance to smooth working that at all levels authority and responsibility should be coterminous and coequal'" But quality of control, and management by committees and exercise of functional authority make the applicability of this concept difficult.

CONCLUSION

Authority and responsibility are integral parts of the process of administration. The traditional view that authority flows from top to the bottom in an organisation, is questioned by many. Barnard proposes that acceptance by the subordinates and their obedience to authority is an important factor in authority responsibility relationship. The main sources of authority are, law, tradition and delegation. Administrators enjoy the benefit of career jobs, expertise and support from the organised groups in the society. They often complain that their powers are inadequate. They have to develop leadership skills and in the absence of it they are not effective in all situations. There are certain mechanisms in the form of legislative, law courts, constitutional safeguards, press and the hierarchic relationships in organisations, which act as controls on the misuse and abuse of authority. Above all, the principle of responsibility acts as a control on the abuse of authority. Responsibility is of three types, viz., political, institutional and professional. The growth of professional responsibility is a healthy sign in civil services. It will be more effectively enforced by the individual conscience than by laws and rules. The traditional concept is that authority and responsibility should be equal and coterminous, but in the modern complex organisations this principle is being put to severe test.

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UNIT IV

MANAGEMENT

Synopsis

❖ **Introduction**

❖ **Models of Management**

❖ **Definitions**

❖ **Factors**

Introduction

This chapter elaborates on the general theory of individual theoretical schools of management and organization, which were described in historical retrospective of the previous chapter, towards the application of management in the public administration in practice. According to Volek and Prenosil from 80s of the 20th century, the view of the public administration changed as a whole and elements of management and organizations become increasingly important for research mainly because of the need to strengthen the effectiveness, efficiency and performance of public institutions. Although this indicated direction of management development in the public administration looks clear, the concept of management in the public administration (public management) is not uniform and is therefore necessary to find a compromise interpretation of the term.

Development in approaches to the public administration

A well-known author of books and publications on public administration and management in public administration Christopher Hood summarized the development of the understanding of the public administration in three basic theses:

1. Public administration all over the world is currently going through the transition from the old model of bureaucratic paperwork to a modern service driven by managerial techniques, to which also international organizations, "professional reformers" such as the OECD, World Bank, etc. enhance

2. The general belief that the new management in the public administration promoted from the 80s of the 20th century is fundamentally different from the old model is the second thesis. The largest differences are seen in the shift from a process-oriented and

rules tied administration to the performance-oriented public service with the pressure to minimize costs.

• The third thesis is the economic justification for the suggested process. The introduction of modern management techniques such as Total Quality Management (TQM) is seen as an element of strengthening the effectiveness of administration performance.

These three theses will be illustrated in the following sections.

Management models in the public administration

When analysing management in the public sector we start from a basic overview of the theoretical management directions mentioned in the previous chapter. From the developmental point of view two models of public administration, classic and new can be described. These two models represent for us different approaches and a different understanding of what the administration actually is and what tasks are performed and how it should be managed and organized.

Classical model of the public administration

The classical model of the public administration is based on the theoretical foundations laid by John Stuart Mill, Woodrow Wilson and Max Weber, followed by F. Taylor, H. Fayol and others. Classical approach formulates certain basic administrative principles on which the general ideal model of the public administration is built.

These principles define the structure of the public sector, defining the motivation of employees of public institutions and define the public interest.

Principles of public administration according to the classical model:

1. The objectives and tasks of the public administration are determined by the political representation and performed by administrative officials. The fully rational decisions are achieved by this fact.

2. Management is based on written documents, which guarantees a central role in the performance of the governmental power to the administration.

3. The activities of the public administration are continuous and are based on a system of rules and regulations.

4. The rules by which the work is performed, may be technical in nature, or may have a legal form. In both cases it is necessary that the work is performed by a skilled workforce.

5. Tasks and functions are divided into various functional areas (departments), each of which is equipped with adequate powers and sanctions.

6. Officials and tasks are the part of a hierarchical system in which it is clearly defined the right to control and make complaint. Centralization is preferred.

7. There is one dominant interest within the public sector - the public interest - which defines the boundaries of the influence of individual interests in politics and administration.

Over the time, the classical model was rejected in the theoretical and practical levels. Hierarchically built bureaucratic management systems, top-down management, and operating under the Weber´s doctrines Weberovskych stopped meeting the needs and demands that were placed on them.

New management model in the public administration

The classical model of public administration was criticized, among other things, on the ground that does not reflect the actual processes within the system. New approaches take into account the factor of human motivation and other factors of efficiency and effectiveness of the public administration at the same time. Such an approach is in accordance with the concept Hood also known by the acronym 3E - Economy, Efficiency, Effectiveness. All these factors play a role in the formulation of these principles.

Principles of the public administration – a new model::

1. Differentiation of the policy and administration is misleading and incorrect.

2. Public institutions do not work on the principle of the rational choice, only on the limited rationality.

3. Implementation of measures top-down does not work, and therefore the public sector is not able to automatically meet their targets.

4. Public administration is preferably performed by independently managed administration authorities.

5. Officials should not be bound by the procedural regulations, because the primary objective is to meet the challenges and effectiveness.

6. Centralization in the public sector may lead to rigidity and the hierarchy in the public administration can lead to the implementation deficit.

7. Employees in the public sector do not have a special motivation, but they behave so as to maximize their own interests, such as income, prestige and power.

Based on the study of the public administration, analysis of its behaviour and efficiency started a wave of administrative reforms in the Western world then by the end of the 70s. They all had some common features at the beginning - primarily they were management reforms or managerial ones. What is the reason of such extensive changes?

After the oil crisis in the 70s, which ended in huge state budget deficits, it was obvious that the then Western models of welfare states (were unsustainable. Reduction of expenditure in the public sector required major changes. The reasons are thus obvious at the financial-economic level. Despite the different types of state administration, the establishment and the performance of power in the country there are roughly the same shifts, namely towards performance-oriented and less centralized public administration. According to the OECD study (1995) there are eight basic trends in the development of the public administration:

1. the release of an authority towards the greater flexibility
2. focus on performance, control, responsibility
3. focus on the competition and freedom of choice
4. the provision of adequate services
5. emphasis on human resource management (position vs.. career system)
6. optimization and implementation of information technologies
7. the quality of management improvement
8. intensification of strategic management functions of centres

The mentioned eight trends imply that new public, hence the state administration should be:

1. controlled by certain variants of business techniques and principles (management by objectives, not according to the rules)
2. focused on the client service

Follow market mechanisms, for example by a factor of competition in public services How are these trends reflected in the real world? Reforms under the new model are reflected in each of the countries in different way with a different intensity. Generally speaking, though, the new model was considered to be an Anglo-American phenomenon of the Thatcher and Reagan era, a lot of emphasis on managerial reforms and performance orientation is given in the Nordic countries (e.g Sweden, Denmark), and the development towards such a defined administration was defined was registered in many other countries (including France and the Netherlands).

Definition of management in the public administration

After the development of two basic models in the previous section, we will describe how they are understood and interpreted in different countries. We focus on three basic perspectives for the definition of the management in the public administration:

1. The British approach - with a slow evolution from the rigid government to nowadays managerial direction.

2. American approach - with a managerial culture and focus on taking over elements of the private sector.

• The European approach - the gradual development with a focus on the application of the law and scientific management.

The institutional factors for explanation of the development in various areas of the public sector reform. These factors are briefly presented below.

Institutions

The governments of Thatcher and Major were able to proceed with the reform much faster than their French counterparts, partly due to the relative lack of constitutional and political checks and government balances of the power. Another important institutional factor was the relative size of the public administration. France had a far more central public administration (which contributed to a greater political authority), and due to the existence of local authorities very appreciable presence throughout the territory.

In France the central administration controlled strategic management functions of analysis, forecasting, evaluation and control, while the decentralized services were responsible for the operation and management. In the UK, the central administration (even before the Thatcher government) was relatively small to a non-federal state and its presence in the area was relatively limited (local administrative offices had greater powers, although under the control of the central government).

British territorial services were extremely isolated, while in France they were grouped together under the leadership (tutelle) of the prefect. Institutional factor helps for example to explain why the governments of Thatcher and Major unreservedly adopted the decentralization of the management through the use of agencies, while France decided for a participatory decentralization, which included direct local services of government departments.

Legal framework

Unlike the British government, the French system faces rigid statutory and management methods of operation. The French reform was based mainly on the traditional republican conception of the public administration, which is firmly enshrined in an administrative law and rooted in the rights and privileges of civic services, thus prevented the development of strong policies, consumer oriented and made difficult to enforce a responsibilities office for the French state and to allow a greater autonomy of direct local authorities dependent on government ministries.

Mobilization of political and administrative elites

The third institutional factor that shaped the public sector reform in these two countries is the nature of the political elite and its relationship to administrative elites (which is reflected in the various ideologies and contribute to their political influence). It is worth noting that most of the French political elite come from the enarques, graduates of the preparatory academy for top-level officials, Ecole National administration (ENA). Separation of political and administrative spheres is relatively porous. Administrative law guarantees the right to public officials to apply for a political office, while public administration officials from wider support staff in ministries apply the extensive influence on political officials. Character of enarques training that emphasizes the state-run solutions of various economic and social problems and securing the ideals of public service, is reflected in the prevailing political perception. Leaders of the two most influential grands corps (elite networks) of the French administration - Conseil d'Etat and the Cour des Comptes - played a key role in the developing of the project to restore public services. It is not so surprising that the reform in France adopted practices of the business management, which emphasizes the increasing professionalism.

The British political elite is chosen from various professions and members of the government, rarely have direct experience with centralized management. Since the reign of Margaret Thatcher, Britain's reforms have been presented rather as the will of political leaders then as bureaucracy. The other political factors play the role too. Considerable influence of trade unions (especially Force Ouvrière) to the French public sector acted as a relatively important check of the ambitious reform plans.

Ideological factors

In explaining the differences in the nature of reforms in these two countries are ideological factors are particularly important. The idea of public service in France and the UK is based on a different logic. The French model of the public administration is more authoritarian and less inclined to the type of consensual changes recommended by the NPM (they are especially contractually binding relationships, accountability of directors, management autonomy). The French government is based primarily on the logic of supply, with the services a priori organized and the logical manner in relation to the general principles of law (such as civil equality, free provision of services).

There is also a fierce opposition to this logic of a consumer demand. French arguments are usually the following: public services are in a position of monopoly, and it offers to citizen-consumers a very limited choice. In addition, these services were created to fill the gaps in the market and many interests are governed by radically different logic than that of the market (e.g. social assistance). In the UK, attention was focused on the demand of individuals and a choice. In the vast majority of Western European countries have been a tendency to shift from activities carried out under the direction of supply to demand since 1980. However, none of them supported this movement with such an ideological force as Great Britain, where utilitarianism, economic rationalism and the choice of public administrative reform provided the theoretical basis for the administration reform.

LEADERSHIP

Synopsis

- ❖ **Introduction**
- ❖ **Meaning and Definition**
- ❖ **Functions**
- ❖ **Qualities**
- ❖ **Types**
- ❖ **Theories**
- ❖ **Conclusion**

1. Introduction to Leadership:

The present-day crisis in India is the crisis of finding administrative leaders who can give new dimensions to administration in line with our concepts of democracy, secularism, planning and socialism. With the functions of the government constantly increasing for the realization of a 'welfare state', the need for administrative leadership has acquired a special urgency. Our Government is setting up large and complex organizations for the management of public sector undertakings—a field hitherto left to the private sector—which require managerial talent of a high calibre and effective leadership. With the development of Panchayati Raj institutions, we have thrown open the channels through which leadership can grow in the local areas. In the social field, more hospitals, more schools, more institutions for social welfare and social security throw a challenge to administration.

This challenge can be accepted if we are able to increase administrative talent and cultivate the qualities of administrative leadership in our personnel. So long, we had been under the shackles of a foreign government which was not committed to the welfare of the people. Leadership, if any, had therefore, grown on authoritarian pattern. With the coming in of independence, leadership has to grow on democratic pattern, on the pattern of service rather than command. In the words of Seckler-Hudson, "the overwhelming significance of the problems of leadership has mounted with the revolutionary growth of such factors of size, complexity, specialization, organizational entities, technical developments and social demands." Thus, the first and

foremost task of management is to provide leadership, to guide and direct the work of the group as a whole toward desired objectives.

2. Meaning of Leadership:

It is really very difficult to attempt a definition of leadership or in other words, it is difficult to define what makes certain persons 'leaders. Barnard has rightly put it "Indeed, I have 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 that acceptably expressed why they fol-lowed."Leadership is often regarded as the important modifier of organization behaviour. It is said "Get the right man in the leadership job and all your problems will be solved." In the words of Millett, "Leadership is often thought of as being primarily personal in character, as being founded upon individual pre-eminence or accomplishment in a particular field of endeavour. Superior strength, superior cunning, superior intelligence, superior knowledge, superior determination—any or all of these may be means to the attainment of leadership."

No one can deny that these personal qualities do pay dividends but leadership is not all personal pre-eminence. It is something more and that "something more" is the essence of leadership. It is the capacity to set new goals, to hold forth new and loftier expectations for the group, to embody moral and spiritual aspirations and to show the group its nobler potentialities that make a man a leader. Leadership has, therefore, double meaning.

The dictionary meaning of the verb 'to lead' shows that the term is used in two different senses:
(a) "To excel, to be in advance, to be prominent", and
(b) "To guide others, to be head of an organization, to hold command".
In the former sense, leadership is identified with individual pre-eminence and in the latter sense, it is identified with managerial talent or leadership. Allen has, therefore, rightly distinguished personal leadership from management leadership when he says "A person is born with the talent for personal leadership; he must learn management leadership."

3. Functions of Leadership:
According to Barnard, a leader performs four main functions:
(a) The determination of objectives.
(b) The manipulation of means.

(c) The control of the instrumentality of action.

(d) The stimulation of coordinated action.

The most exhaustive effort to attempt at the functions of leadership has been made by the studies at Ohio State University. The Ohio State work was largely concerned with leadership in formal organisations, most particularly the U.S. Navy and lasted for seven years from 1946 to 1953.

It established nine dimensions, three of which are unique and mentioned below, to the leadership role:

(i) Maintenance of Membership:

This involves the closeness of the leader to the group, the frequency of his interactions, and his acceptability to the group.

(ii) Objective Attainment:

The leader has a basic responsibility for seeing that work patterns are stable and understandable. He must also see that the group achieves its goals.

(iii) Group Interaction Facilitation:

The leader works to facilitate effective interaction among organization members. Communication is a particularly important feature of this dimension.

Dimensions of the Leadership Role:

It is very important to mention here that leadership is not the activity of an individual. alone. In a large-scale organisation, leadership becomes a collective activity for no single individual can meet the tremendous demands of working out the whole organisation. Individual leadership is important and many a time we associate individual with the whole of an organisation, put blame on him or applaud him for the failure or success of the organisation. Perhaps the most extreme example of this is the tendency among many people to see the Prime Minister as the Indian Government, despite the fact that there are millions of civilian and military persons who are direct participants in the running of the Government. Based on this concept are the biographies written about the attributes of personality of the "great man" or "father" which highlight that management is perhaps a 'single man's show'. This line of thinking has resulted in many attempts to ascertain what qualities make leadership. Generalizations have been made about the personal qualities of leaders. Millett, for example, enlists eight such qualities which are usually characteristic of successful leaders.

Ralph M. Stogdill refers to these qualities as:

(1) Physical and constitutional factors (height, weight, physique, energy, health, appearance);

(2) Intelligence;

(3) Self-confidence;

(4) Sociability;

(5) Will (initiative, persistence, ambition);

(6) Dominance; and

(7) Urgency (i.e., talkativeness, cheerfulness, geniality, enthusiasm, expressiveness, alertness, and originality).

Pfiffner and Sherwood emphasize the counter-view of individual leadership and feel that there is essentially a leadership structure predicated on the idea that no one person has all the leadership functions. The functions of an organisation are divided and each individual in his respective position provides leadership, in so far as he provides the cohesiveness, the atmosphere and the progress towards organisational goals. Since power is dispersed throughout the organisation, leadership too is dispersed. There is no denying the fact that leadership is provided at several levels in the hierarchy but at the same time, the top leader's role cannot be dismissed. "He is the symbolic spokesman, the coordinator supreme, the important participant in decisions as to goals, the primary change agent, and the example to the organisation. Even cut down this much, the man at the top still has a monstrous responsibility."

We know what a great difference did it make to the British Government in substituting Churchill as against Chamberlain during the World War II. Of course, we have to guard ourselves against treating the whole management as the product of 'personality cult' and we must give due importance to the role which leadership plays at other levels in the administration. Thus, leadership is a collective activity in which all key persons participate under the overall control of the top leader.

4. Qualities of Leadership:

It is very difficult to lay down as to what the qualities of a leader should be. Almost every writer on the subject has a long list of the qualities which leadership must possess.

We give below the qualities enumerated by some of the writers:

(i) Millett:

1. Good health, personal energy, and physical endurance.

2. A sense of mission, a sense of personal commitment to a cause or purpose, enthusiasm, self-confidence.

3. Interest in other people, a sense of friendliness, a concern for others.

4. Intelligence (not necessarily profound knowledge about detailed or highly specialized matters but good common-sense), a ready or quick facility to comprehend the essential elements of necessary information, and the capacity to use knowledge.

5. Integrity, a sense of moral duty and of fairness, willingness to share achievement, the capacity to set standards of personal and official conduct which will command the respect of others.

6. Persuasiveness, the capacity to win others, to acceptance of the point of view embodied in decisions.

7. Judgment, the capacity to know the strength and the weaknesses of the people one works with and how to obtain their maximum usefulness to an organization.

8. Loyalty, devotion to a cause and also to the persons with whom one works, a willingness to defend the group against external attack.

(ii) Barnard:

1. Vitality and Endurance;

2. Decisiveness;

3. Persuasiveness; and

4. Responsibility and Intellectual Capacity.

The above list is in order of importance:

It is interesting to note that Barnard does not emphasize the intellectual attainments. His objection against intellectualism is that it prevents responsibility and decisiveness in the leader. "We all know persons in and out of practical affairs of superior intellects and intellectual ac-complishments who do not work as well, as leaders. In matters of leadership, for example, they prove to be irresponsible—non-decisive—, non-persuasive. Moreover, we can observe that intellectual capacity rises above physiological disabilities in active life, that the utmost perspicacity is useless for leadership if it does not decide issues, that persuasive processes must take full account of the irrational by which all are largely governed, that responsibility is a moral or emotional condition."

(iii) Cleveland:

In his own words: "our political executive must be imbued with the public interest, he must be a leader of men, he must do his own thinking and be his own public relations man, and he should preferably have had some private experience."

(iv) Hoover Commission:

The Hoover Commission's Task Force Report on Personnel and Civil Service (1955) noted: "His foresight must equal the hind-sight of a host of critics….The rules of the game of national politics allow no margin for error….To lead the life of a political executive of a high rank amidst the asperities of American politics is a test of toughness, of intelligence, and the devotion to the public interest."

(v) Terry:

Energy, emotional stability, knowledge of human relations, personal motivation, communicative skill, teaching ability, social skill, and technical competence.

(vi) Appleby:

A good administrator has willingness to assume responsibilities; demonstrates continuing personal growth; is disposed towards action; is a good listener who asks pointed questions; works well with all sorts of people; seeks ablest obtainable subordinates; uses institutional resources—does not try to do it all and know it all himself; cares for power only 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 bad news as well as good; respects subordinates as much as superiors; constantly seeks to improve institutional performance; and in democratic government he respects political processes and responsibilities. The above list is quite exhaustive. To sum up, it is sufficient to say that a leader should be decisive, unerring, improvement conscious and good public relation man. He should have foresight and far sight, capacity to carry his subordinates with him and the ability to look to the organisation as a whole.

Millett has aptly described the essential circumstances of leadership as – (a) political and (b) institutional conditions. By political conditions of administrative leadership, we mean, says Millett, the need to be responsive to external political direction and control. In a democratic society, leadership must be skilfully "attuned to the popular aspirations and desires of the time…Of course, management does not necessarily have to behave like an isolated tree which

bows in whatever direction the wind may come at the moment. But management must endeavour to understand currents of popular ideas, and while endeavouring to inform or modify those ideas, it must acknowledge their existence and endeavour to accommodate their demands within some degree."

The vital ingredients of political responsiveness have been eloquently summarized by Chester Barnard:

"The democratic process either in government or in innumerable other organizations in which it may be used, depends upon leaders strong enough to maintain their ambition under its perplexities, patient to endure its restraints, proud to be foremost among the free, humbly loyal to the humble, wise enough to seek service above the illusions of power and the futilities of fame, willing to be briefly spent in the long span of marching events."

The institutional conditions of leadership as mentioned by Millett are four:

(a) The ability to see an enterprise as a whole.

(b) The ability to make decisions.

(c) The ability to delegate authority.

(d) The ability to command loyalty.

Management says Millett, "must exercise its leadership in terms which evoke response to these particular needs of administrative effort. In turn, management leadership evidences its effectiveness to the degree that it displays an awareness of these necessities of internal operation and response to them by the kind of direction it affords." Thus, administrative leadership has to be responsive both internally and externally. Externally, it has to be popular with the public and internally, it has to keep the agency running.

Development of Leadership:

It is now widely accepted that "high talent manpower does not grow wild; it requires careful seeding and meticulous cultivation." With the growth of modern industrialization, we will have to accept the basic assumption that leaders are not born; rather they are made. Generation and accumulation of managerial resources is increasingly a matter of careful planning, judicious investment, and conscious effort.

In the words of Barnard: "I suppose no one doubts that without education the supply of leaders of organization competent for conditions of the modern world would be wholly inadequate and many of us suspect that if we knew better how to train men, we should be much better able

than we are to cope with the social dilemmas we confront." Hence there is a need for proper education, both in theory and practice of organization, to our leaders.

Selection of Leaders:

This is rather a vexing question. Are the leaders manufactured or simply identified? In other words, are the persons of qualities of leaders to be discovered and accorded a prominent position. Administrative leaders are procured by selection and not by formal preparation. Intellectual caliber of these leaders is discovered through selection on the basis of written tests. However, organizational, coordinative and leadership qualities are discovered through a prolonged psychological-cum-intelligence-cum-observation tests. This is generally done when army officers are to be chosen. According to Barnard, "Balances perspective and proportion in the senses relevant to leadership are to be acquired almost exclusively from responsible experience in leading." In other words, experience also is to play a vital role in the selection of administrative leaders. Barnard even suggests that the administrators should be encouraged to acquire experience in leadership outside the organization they work in. Thus, we may conclude that proper method of selection, formal education and training and informal as well as formal experience are necessitated for creating the requisite qualities of leadership in modern society. However, it remains a reality beyond any doubt that leadership is not given, it is assumed.

5. Leadership Styles:

There are mainly two types of leadership:

(1) Authoritarian

(2) Democratic

The authoritarian leader has been variously described as directive, production-centered, nomothetic. The democratic leader has been called participatory, employee-centered, and idiographic. The former approach is the product of Taylor's Scientific Management Movement whereas the latter is the outcome of the researches and experiments conducted by Elton Mayo at Hawthorne and supported by Iowa and Michigan studies. The authoritarian leadership prefers higher productivity to the welfare of the employees. The leader structures the complete work situation for his employees and they do what they are told. The leadership is negative because followers are afraid of leader's authority. Opposite is the case with democratic leadership. The Michigan studies have proved that the best pattern of supervisory leadership is employee-centered and general in nature. The leader is concerned with employee welfare first and production second. He engages in a general rather than a close surveillance of his

subordinates. Instead of taking unilateral decision, he emphasizes consultation and participation by his subordinates. A democratic leader decentralizes decision-making process. The above types are diametrically opposite to each other though neither of them can work well. There is no denying the fact that democratic leadership is a "human relation" approach which is in keeping with democratic values but it cannot be applied wholesale.

As Pfiffner and Sherwood have said, "Democratic leadership seems to make a great deal of sense where ultimate power rests with the participants, as is the case in our political jurisdiction, in labour unions, and in many smaller voluntary groups. The possibilities of its application are considerably lessened as we move into situations where power is not so neatly lodged in the participant group, as is the case with employees of a business or of a government agency. It also seems apparent that traditional elements of hierarchy, such as unity of command, collide rather markedly with the group-centered philosophy." Thus, there is a need to find a middle ground.

The new ground has been termed as "reality- oriented" leadership. The emphasis on power is one aspect and human relations the other of this new direction. It is found that "if a leader abdicates his interest in and responsibility for production it has an adverse effect on both productivity and morale. 'Soft' leadership, over-emphasis upon consideration, is not conducive to high morale. A moderate amount of emphasis on production is required to avoid both low production and low morale."

6. Theories of Leadership:

The following theories of leadership have been advanced by different writers:

(i) The Great Man Theory:

It is one of the earliest theories of leadership which is based on the premise that leaders are born and not made. Some persons by birth inherit certain qualities or traits like intelligence, memory, emotional stability, fearlessness, and mental strength. Such qualities add to their personality when they grow up, single them out from the common man of people and provide them the opportunity to become a leader. Napoleon, Abraham Lincoln, Churchill, Mao-Tse Tung, Nelson Mandela, Mahatma Gandhi and several others are natural leaders with qualities of leadership. The advocates of this theory do not believe in the policy of 'Executive Development, i.e. a person can be taught and trained leadership qualities. The above theory has been criticized on the ground that it has no scientific basis and empirical validity.

Administration is both science and art which needs to be taught and learnt. The various Institutes of Management are engaged in teaching the management techniques and leadership qualities. The sociological thinkers do not subscribe to the theory that heredity alone determines man's personality.

(ii) Trait Theory of Leadership:

The Trait Theory argues that leadership qualities can be acquired. Its advocates hold that certain traits or qualities are required to become a leader. They adopted an inductive procedure, observing those recognized as leaders and enumerating traits possessed by them Qualities common to them were assumed to be essential which were measured to find out the leadership potential of a person. Generally speaking, those traits were classified as into innate and acquirable traits. The major innate qualities are physical features like height, weight, physique, health and appearance and intelligence. The acquirable qualities are emotional stability knowledge of human relations, empathy, and objectivity, motivating skills, technical skills, a communicative skills and social skills, Tead, Bemord and Schell are the prime advocates of this theory. The main criticism against this theory is that there is not universally acceptable list of traits considered essential for leadership role. Further, it is also not necessary that a leader must process all the qualities included in the list. Jennings has concluded, 'Fifty years of study have failed to produce one personality traits in set of qualities that can be used to discriminate leaders from non-leaders." It is a speculative theory which fails when subjected to empirical tests.

(iii) The Situational Theory of Leadership:

The theory was developed by Blanchard, zig or mi and Kelson and Kersey and has been used extensively in organisational leadership training and development. The starting point of this theory is that there are certain elements such as speech intelligence, stability and persistence which are essential in leaders. A candidate is put in a group and observed how he acts under trial situations that are constructed as realistically as possible. After being placed in several situations his skills, intelligence and other traits get ascertained as to whether he is capable for a practical job. It is assumed that the traits and skills which characterize a good leader will vary from situation to situation. A leader in one situation may not necessarily be a leader in a different situation even in the same group. The same leader may display different personality traits to deal with diverse situations. Thus, a leader showing bravery and fighting spirit in war situation may fail to show patience perseverance, calmness and coolness in a peaceful situation. Various situations call for different leadership responses.

Ohio State University research has given four situational variables that affect behaviour;

(i) The cultural environment

(ii) Differences between individuals

(iv) Differences between jobs

(v) Differences between organisations.

Thus, according to the proponents of situational theory leadership differs with situational variables and a person who is a successful leader in a particular situation may be unsuccessful in a different situation. As different situation requires different leadership qualities, so the leader must change his style of leadership and possess, the qualities of addictiveness and flexibility. The main criticism against this theory is that it puts restraint over leadership development process. A person can be trained to become a leader through systematic and properly planned training programme. In both civil and army organizations executives are sent to attend short- term courses, seminars, conferences and workshops. They are also sent to foreign institutes to brush up their knowledge and learn the latest complex technologies and intricate techniques. In a democratic set up, understanding of human relations is of great importance to the executive. The administrators have to deal with the people and therefore an understanding of the nature of general social system is a primary requirement for leader to be successful.

(iv) Contingency Theory of Leadership:

Fiedler is the most widely recognized thinker to develop contingency theory. It is also called Leader-match theory. According to this theory, effective leadership is contingent on matching a leader's style to the right setting. Under this theory, styles of many different leaders who worked in different contexts are studied and after analysing their styles generalizations are made about which styles of leadership are best and which are worst for a given organizational context. In short, this theory is concerned with styles and situation.

The contingency theory classifies leadership styles into task-motivated and relationship motivated. Task motivated leaders are concerned with realizing a goal whereas relationship motivated leaders are concerned with developing interpersonal relationship. The task motivated leaders are effective in both very favourable and very un-favourable situations. The relationship motivated leaders are effective in moderately favourable situations, i.e. in situations where things are neither completely under their control, nor out of control. This theory suggests that leaders are not effective in all situations. If one's style is a good match for

the situation in which he works, he will be a good leader, but if his style does not match the situation, he may not be called a good leader. Mr. P.S. Gill was hailed as a good leader when he successfully matched the situation created by militants in Punjab, whereas Mr. Deshmukh failed to meet the situation created by terrorists in Maharashtra and had consequently to quit the Chief Minister ship.

(v) Path-Goal Leadership Theory:

Path-Goal Leadership theory is about how leaders motivate subordinates to accomplish the goals of the organization. It focuses on employee's motivation so that their performance may be enhanced. This theory was advocated in the early 1970s. House and Mitchell are its notable advocates. The motivation of employees finds in important place in the literature on Public Administration. It enhances their morale and leads to all-around efficiency in administration. The Path-Goal theory attempts to explain the impact that leader behaviour has on his subordinate's motivation, satisfaction and performance. There are several ways to generate motivation.

According to Path-Goal Theory leadership motivates when it:

(i) Makes the path to the goal clear and easy to travel through coaching and direction,

(ii) Removes the obstacles and road blocks to reach the goal, and

(iii) Makes the work more satisfying.

For this purpose, the leader is to adopt an appropriate style of behaviour. The behaviour style will depend on the characteristics of the subordinates, nature of the task, organisational environment and personal qualities of the leader. It need not be emphasized that each type of leader behaviour will have a different kind of impact on subordinate's motivation. House and Mitchell have suggested four types of leadership behaviour. These are directive Leadership, supportive leadership, achievement-oriented leadership and participative leadership.

Directive leadership:

Directive leadership gives instructions about the task, sets clear standards of performance, makes the rules and regulations clear to the subordinates and also fixes the time-frame within which the task is to be completed.

Supportive leadership:

Supportive leadership consists of being friendly and approachable, treating subordinates as equals, giving them due respect and caring for their personal problems and needs.

Achievement-oriented leadership lays emphasis on work-performance and sets high standards of excellence for subordinates and seeks continuous improvement.

Participative leadership:

Participative leadership invites subordinates to share in decision making. The leader consults with the subordinates, obtaining their views and opinions and integrates their suggestions into the decisions about how the task will be performed.

(vi) Leadership Behaviour Continuum Theory:

Robert Tannen Baum and Warren H. Schmidt are the developers of leadership continuum theory. According to them, leadership involves a number of behaviour styles ranging from a highly boss-centered to highly subordinate centered.

What type of leadership style is appropriate depends on the leader or the followers and the situation? Thus, no particular leadership – authoritarian democratic is suitable in all situations. The authors of this theory hold that leaders should not choose a strict 'autocratic' or 'undemocratic' style. He should be flexible enough to meet the different situations. To conclude, leadership is an important aspect of administration. Effective leadership is the key to successful administration. The choice of a particular leadership style will depend upon three elements – leaders, followers and situation.

7. Leadership Styles in Indian Organisation:

Indian management is generally believed to be autocratic with subordinates closely supervised and with limited participation by the employees. Myers from his interview with industrialists, government officers, labour leaders and managers in both Indian and foreign-owned or-ganisations, concludes that barring few, most Indian top managers are relatively authoritarian in their relationship with lower management and labour. Similar result has also been highlighted by other studies of leadership behaviour in private and public sectors. In the public sector bureaucratic style is the rule.

The process of democratization of the work culture, group functioning and team management is not pronounced. In private sector, benevolent autocracy is the most pronounced style. What is the right leadership style for Indian managers is a difficult question to be answered? There are numerous variables which affect the leadership style. Thus, what may appear to be an effective leadership style for a manager may not be equally appropriate to others in different organisations. The army style of leadership may not be suitable for civilian organisation requiring people's participation.

Likewise, the leaders in a democratic political set-up will have to adopt styles different from those found in a dictation political regime. The important variables in this context are superiors, subordinates and the situation under which a particular style is followed. The Indian society marked by traditionalism and authoritarianism is gradually giving place to modernism and democratize. As such the old authoritarian style of leadership may not be the right leadership style in the changing situation. Further, the attitudes and perceptions of Indian managers are also being transformed through education and training to meet the challenges of a developing society. The concept of participative management is gaining ground in the organisational set-up. Already, there is a move for participative style of leadership in enlightened enterprises. Considering these factors, the appropriate style may be near-participative leadership. However, it should not be assumed that this style will be suitable in all circumstances. A participative style requires work culture. The work culture in India being poor will have to be changed to suit participative style.

Conclusion:

We may therefore come to the conclusion that a successful head of a big organisation should be equipped with following qualities:

(a) Foresight:

A leader should be foresighted and far seeing. He should have the capacity of seeing beyond the situation.

(b) Clarity of Vision:

A leader should have clear vision. He should not be a confused man. He must know what he wants and what he does not want.

(c) Decisiveness:

A vacillating and un-decisive chief is a potential danger to the morale of an organisation. Hence decisiveness is an important trait of leader's character.

(d) Correct Judgment:

A leader's sense of judgment should be unerring type.

(e) Progressive:

A leader should be progressive and be enthusiastic enough to improve the performance of an organisation.

(f) A Source of Inspiration:

A good leader is to be a source of inspiration for the subordinates around him. He must win their confidence and make them feel an inch taller due to his inspiring leadership.

(g) A Good Organizer:

A leader should be a good organizer. He should develop in them a feeling of owning the organization where they are working. He should be a believer in participative management.

(h) Good Public Relation Man:

He should be a good public relation officer. He should be skilful enough as to explain his point of view to the public and know their reactions.

UNIT - V
PLANNING

Synopsis

- ❖ **Meaning and Definition**
- ❖ **Importance**
- ❖ **Features**
- ❖ **Limitations**
- ❖ **Process**
- ❖ **Types**
- ❖ **Conclusion**

Importance of Planning: It's Features, Limitations, Process and Types

Meaning:

Planning can be defined as "thinking in advance what is to be done, when it is to be done, how it is to be done and by whom it should be done". In simple words we can say, planning bridges the gap between where we are standing today and where we want to reach. Planning involves setting objectives and deciding in advance the appropriate course of action to achieve these objectives so we can also define planning as setting up of objectives and targets and formulating an action plan to achieve them. Another important ingredient of planning is time. Plans are always developed for a fixed time period as no business can go on planning endlessly. Keeping in mind the time dimension we can define planning as "Setting objectives for a given time

period, formulating various courses of action to achieve them and then selecting the best possible alternative from the different courses of actions".

Features/Nature/Characteristic of Planning:

1. Planning contributes to Objectives:

Planning starts with the determination of objectives. We cannot think of planning in absence of objective. After setting up of the objectives, planning decides the methods, procedures and steps to be taken for achievement of set objectives. Planners also help and bring changes in the plan if things are not moving in the direction of objectives.

For example, if an organisation has the objective of manufacturing 1500 washing machines and in one month only 80 washing machines are manufactured, then changes are made in the plan to achieve the final objective.

2. Planning is Primary function of management:

Planning is the primary or first function to be performed by every manager. No other function can be executed by the manager without performing planning function because objectives are set up in planning and other functions depend on the objectives only. For example, in organizing function, managers assign authority and responsibility to the employees and level of authority and responsibility depends upon objectives of the company. Similarly, in staffing the employees are appointed. The number and type of employees again depends on the objectives of the company. So, planning always proceeds and remains at no. 1 as compared to other functions.

3. Pervasive:

Planning is required at all levels of the management. It is not a function restricted to top level managers only but planning is done by managers at every level. Formation of major plan and framing of overall policies is the task of top-level managers whereas departmental managers form plan for their respective departments. And lower level managers make plans to support the overall objectives and to carry on day to day activities.

4. Planning is futuristic/Forward looking:

Planning always means looking ahead or planning is a futuristic function. Planning is never done for the past. All the managers try to make predictions and assumptions for future and

these predictions are made on the basis of past experiences of the manager and with the regular and intelligent scanning of the general environment.

5. Planning is continuous:

Planning is a never ending or continuous process because after making plans also one has to be in touch with the changes in changing environment and in the selection of one best way.So, after making plans also planners keep making changes in the plans according to the requirement of the company. For example, if the plan is made during the boom period and during its execution there is depression period then planners have to make changes according to the conditions prevailing.

6. Planning involves decision making:

The planning function is needed only when different alternatives are available and we have to select most suitable alternative. We cannot imagine planning in absence of choice because in planning function managers evaluate various alternatives and select the most appropriate. But if there is one alternative available then there is no requirement of planning. For example, to import the technology if the licence is only with STC (State Trading Co-operation) then companies have no choice but to import the technology through STC only. But if there are 4-5 import agencies included in this task then the planners have to evaluate terms and conditions of all the agencies and select the most suitable from the company's point of view.

7. Planning is a mental exercise:

It is mental exercise. Planning is a mental process which requires higher thinking that is why it is kept separate from operational activities by Taylor. In planning assumptions and predictions regarding future are made by scanning the environment properly. This activity requires higher level of intelligence. Secondly, in planning various alternatives are evaluated and the most suitable is selected which again requires higher level of intelligence. So, it is right to call planning an intellectual process.

Importance/Significance of Planning:

1. Planning provides Direction:

Planning is concerned with predetermined course of action. It provides the directions to the efforts of employees. Planning makes clear what employees have to do, how to do, etc. By stating in advance how work has to be done, planning provides direction for action. Employees know in advance in which direction they have to work. This leads to Unity of Direction also.

If there were no planning, employees would be working in different directions and organisation would not be able to achieve its desired goal.

2. Planning Reduces the risk of uncertainties:

Organisations have to face many uncertainties and unexpected situations every day. Planning helps the manager to face the uncertainty because planners try to foresee the future by making some assumptions regarding future keeping in mind their past experiences and scanning of business environments. The plans are made to overcome such uncertainties. The plans also include unexpected risks such as fire or some other calamities in the organisation. The resources are kept aside in the plan to meet such uncertainties.

3. Planning reduces over lapping and wasteful activities:

The organisational plans are made keeping in mind the requirements of all the departments. The departmental plans are derived from main organisational plan. As a result, there will be co-ordination in different departments. On the other hand, if the managers, non-managers and all the employees are following course of action according to plan then there will be integration in the activities. Plans ensure clarity of thoughts and action and work can be carried out smoothly.

4. Planning Promotes innovative ideas:

Planning requires high thinking and it is an intellectual process. So, there is a great scope of finding better ideas, better methods and procedures to perform a particular job. Planning process forces managers to think differently and assume the future conditions. So, it makes the managers innovative and creative.

5. Planning Facilitates Decision Making:

Planning helps the managers to take various decisions. As in planning goals are set in advance and predictions are made for future. These predictions and goals help the manager to take fast decisions.

6. Planning establishes standard for controlling:

Controlling means comparison between planned and actual output and if there is variation between both then find out the reasons for such deviations and taking measures to match the actual output with the planned. But in case there is no planned output then controlling manager will have no base to compare whether the actual output is adequate or not. For example, if the

planned output for a week is 100 units and actual output produced by employee is 80 units then the controlling manager must take measures to bring the 80 unit production up to 100 units but if the planned output, i.e., 100 units is not given by the planners then finding out whether 80 unit production is sufficient or not will be difficult to know. So, the base for comparison in controlling is given by planning function only.

7. Focuses attention on objectives of the company:

Planning function begins with the setting up of the objectives, policies, procedures, methods and rules, etc. which are made in planning to achieve these objectives only. When employees follow the plan, they are leading towards the achievement of objectives. Through planning, efforts of all the employees are directed towards the achievement of organisational goals and objectives.

Limitations of Planning:

1. Planning leads to rigidity:

Once plans are made to decide the future course of action the manager may not be in a position to change them. Following predefined plan when circumstances are changed may not bring positive results for organisation. This kind of rigidity in plan may create difficulty.

2. Planning may not work in dynamic environment:

Business environment is very dynamic as there are continuously changes taking place in economic, political and legal environment. It becomes very difficult to forecast these future changes. Plans may fail if the changes are very frequent. The environment consists of number of segments and it becomes very difficult for a manager to assess future changes in the environment. For example, there may be change in economic policy, change in fashion and trend or change in competitor's policy. A manager cannot foresee these changes accurately and plan may fail if many such changes take place in environment.

3. It reduces creativity:

With the planning the managers of the organisation start working rigidly and they become the blind followers of the plan only. The managers do not take any initiative to make changes in the plan according to the changes prevailing in the business environment. They stop giving suggestions and new ideas to bring improvement in working because the guidelines for working are given in planning only.

4. Planning involves huge Cost:

Planning process involves lot of cost because it is an intellectual process and companies need to hire the professional experts to carry on this process. Along with the salary of these experts the company has to spend lot of time and money to collect accurate facts and figures. So, it is a cost-consuming process. If the benefits of planning are not more than its cost then it should not be carried on.

5. It is a time-consuming process:

Planning process is a time-consuming process because it takes long time to evaluate the alternatives and select the best one. Lot of time is needed in developing planning premises. So, because of this, the action gets delayed. And whenever there is a need for prompt and immediate decision then we have to avoid planning.

6. Planning does not guarantee success:

Sometimes managers have false sense of security that plans have worked successfully in past so these will be working in future also. There is a tendency in managers to rely on pretested plans. It is not true that if a plan has worked successfully in past, it will bring success in future also as there are so many unknown factors which may lead to failure of plan in future. Planning only provides a base for analysing future. It is not a solution for future course of action.

7. Lack of accuracy:

In planning we are always thinking in advance and planning is concerned with future only and future is always uncertain. In planning many assumptions are made to decide about future course of action. But these assumptions are not 100% accurate and if these assumptions do not hold true in present situation or in future condition then whole planning will fail. For example, if in the plan it is assumed that there will be 5% inflation rate and in future condition the inflation rate becomes 10% then the whole plan will fail and many adjustments will be required to be made.

External Limitations of Planning:

Sometimes planning fails due to following limitations on which managers have no control.

(i) Natural calamity:

Natural calamities such as flood, earthquake, famine etc. may result in failure of plan.

(ii) Change in competitors' policies:

Sometimes plan may fail due to better policies, product and strategy of competitor which was not expected by manager.

(iii) Change in taste/fashion and trend in the market:

Sometimes plans may fail when the taste/fashion or trend in market goes against the expectation of planners.

(iv) Change in technologies:

The introduction of new technologies may also lead to failure of plans for products using old technology.

(v) Change in government/economic policy:

Managers have no control over government decisions. If government economic or industrial policies are not framed as expected by manager then also plans may fail.

Planning Process:

1. Setting up of the objectives:

In planning function manager begins with setting up of objectives because all the policies, procedures and methods are framed for achieving objectives only. The managers set up very clearly the objectives of the company keeping in mind the goals of the company and the physical and financial resources of the company. Managers prefer to set up goals which can be achieved quickly and in specific limit of time. After setting up the goals, the clearly defined goals are communicated to all the employees.

2. Developing premises:

Premises refer to making assumptions regarding future. Premises are the base on which plans are made. It is a kind of forecast made keeping in view existing plans and any past information about various policies. There should be total agreement on all the assumptions. The assumptions are made on the basis of forecasting. Forecast is the technique of gathering information. Common forecast is made to find out the demand for a product, change in government or competitor policy, tax rate, etc.

3. Listing the various alternatives for achieving the objectives:

After setting up of objectives the managers make a list of alternatives through which the organisation can achieve its objectives as there can be many ways to achieve the objective and managers must know all the ways to reach the objectives. For example, if the objective is to increase in sale by 10% then the sale can be increased:

(a) By adding more line of products;

(b) By offering discount;

(c) By increasing expenditure on advertisements;

(d) By increasing the share in the market;

(e) By appointing salesmen for door-to-door sale etc.

So, managers list out all the alternatives.

4. Evaluation of different alternatives:

After making the list of various alternatives along with the assumptions supporting them, the manager starts evaluating each and every alternative and notes down the positive and negative aspects of every alternative. After this the manager starts eliminating the alternatives with more of negative aspect and the one with the maximum positive aspect and with most feasible assumption is selected as best alternative. Alternatives are evaluated in the light of their feasibility.

5. Selecting an alternative:

The best alternative is selected but as such there is no mathematical formula to select the best alternative. Sometimes instead of selecting one alternative, a combination of different alternatives can also be selected. The most ideal plan is most feasible, profitable and with least negative consequences. After preparing the main plan, the organisation has to make number of small plans to support the main plan. These plans are related to performance of routine jobs in the organisation. These are derived from the major plan. So, they are also known as derivative plans. These plans are must for accomplishing the objective of main plan. The common supportive plans are plans to buy equipment, plan for recruitment and selection of employees, plan to buy raw material, etc.

6. Implement the plan:

The managers prepare or draft the main and supportive plans on paper but there is no use of these plans unless and until these are put in action. For implementing the plans or putting the plans into action, the managers start communicating the plans to all the employees very clearly because the employees actually have to carry on the activities according to specification of plans. After communicating the plan to employees and taking their support the managers start allocating the resources according to the specification of the plans. For example, if the plan is to increase in sale by increasing the expenditure on advertisement, then to put it into action, the managers must allot more funds to advertisement department, select better media, hire advertising agency, etc.

7. Follow-up:

Planning is a continuous process so the manager's job does not get over simply by putting the plan into action. The managers monitor the plan carefully while it is implemented. The monitoring of plan is very important because it helps to verify whether the conditions and predictions assumed in plan are holding true in present situation or not. If these are not coming true then immediately changes are made in the plan. During follow up many adjustments are made in the plan. For example, if the expenditure planning is done keeping in mind 5% inflation rate but in present situation if the inflation rate rises to 10% then during follow up the managers make changes in the plans according to 10% inflation rate.

Plan:

Plan is a document that outlines how goals are going to be met. It is a specific action proposed to help the organization achieve its objectives. There may be more than one way and means of reaching a particular goal but with the help of logical plans, objectives of an organization could be easily achieved.

Single Use Plans:

Single use plans are one-time use plan. These are designed to achieve a particular goal that once achieved will not reoccur in future. These are made to meet the needs of unique situations. The duration or length of single use plan depends upon the activity or goal for which it is made. It may last one day or it may last for weeks or months if the project for which it is made is long.

Standing Plans:

Standing plans are also known as Repeat Use Plans. These plans focus on situations which occur repeatedly. Standing plans are used over and over again. They are made once but retain their value over a period of years. Although some revisions and updates are made in these plans from time to time.

Types of Plans:

Planning is a pervasive function which means it is not the task of top-level managers only but managers working at different levels perform planning function. The plans framed by top level manager may differ from the plans formed by middle and lower level managers. The different types of plans or common plans formed by the managers at different levels are:

Objectives – Rules

Strategy – Programmes

Policies – Methods

Procedures – Budgets

1. Objectives:

Objectives are the ends towards which the activities are directed. They are the end result of every activity. An objective:

(a) Should be related to single activity;

(b) Should be related to result and not to activity to be performed;

(c) It should be measurable or must be measured in quantitative term;

(d) It must have a time limit for achievement of objective;

(e) It must be achievable or feasible.

For example, increase in sale by 10% or decrease in rejections by 2%.

2. Strategy:

A strategy is a comprehensive plan to achieve the organisational objectives. The dimensions of strategy are:

(i) Determining long term objectives.

(ii) Adopting a particular course of action.

(iii) Allocating resources for achieving the objectives.

Strategy formulation is the task of top-level people and it is must to scan and understand clearly the business environment before framing the strategy. The common decisions in strategy are whether to introduce a new product or not. If to introduce then how, finding out customer for your products making changes in existing products etc. All the strategic decisions are greatly influenced by the business environment. Strategy defines the future decisions regarding the organisation's direction and scope in the long run. For example, Choice of advertising media, sales promotion techniques, channels of distribution, etc.

3. Policies:

Policy can be defined as organisation's general response to a particular problem or situation. In simple words, it is the organisation's own way of handling the problems. Policies are made at every level because the managers at every level need to decide or predetermine the way of handling a situation and policy acts as a guide to take decisions in unexpected situation. Policy formation always encourages initiatives of employees because employees have to deal with

situations and the way of handling the situation is decided in consultation with the employees. Then they will be able to handle the situation in a much better way. For example, a school may have policy of issuing admission form only to students who secured more than 60% marks. "No credit sale policy", etc. Introduction of new product in the market.

4. Procedures:

Procedures are required steps established in advance to handle future conditions. The sequence of steps to be followed by employees in different situations must be predetermined so that everyone follows same steps. The procedure can be defined as the exact manner in which an activity has to be accomplished. For example, the procedure for admission in a particular school can be:

(a) Set up a file for applicants;

(b) Accept the field forms and put them in a file;

(c) Ask for other certificates to verify score or marks of students;

(d) Put those documents also in the file;

(e) Give the file to admission in-charge.

Procedures are made common for all the departments to co-ordinate their activities. So, procedures cut across all the departmental lines. For example, the procedure to handle the order by manufacturing department may involve sales department also.

5. Rules:

Rules spell out special actions or non-actions of the employees. There is no discretion allowed in rules, i.e., they must be followed strictly and if rules are not followed then strict actions can be taken against employees who are disobeying the rules. Rules are spelt out to create the environment of discipline in the organisation. For example, there can be rule of no smoking in the organisation. Rules generally guide the general behaviour of the employees and employees cannot make any changes in them.

6. Programmes:

Programmes are the combination of goals, policies, procedures and rules. All these plans together form a program. The programmes are made to get a systematic working in the organisation. The programmes create relation between policies, procedures and goals. The programmes are also prepared at different levels. A primary programme is prepared by the top level and then to support the primary programme supportive programmes of different levels

are prepared for smooth function of the company. For example, construction of shopping mall, Development of new product.

7. Methods:

Methods can be defined as formalized or systematic way of doing routine or repetitive jobs. The managers decide in advance the common way of doing a job. So, that

(a) There is no doubt in the minds of employees;

(b) There can be uniformity in actions of the employees;

(c) These help in applying the techniques of standardization and simplification;

(d) Act as guide for employees.

If the common way of doing the job is not decided in advance then there will be confusion and comparison will not be possible. For example, for the valuation of stock, the organisation must decide in advance what method has to be adopted (lifo or fifo). So that everyone follows the same method and comparison with the past value of stock can be done, method for calculation of depreciation.

8. Budget:

Budget is the statement of expected result expressed in numerical terms. In budgets the results are always measurable and most of the time these are financial in nature but it does not mean that company prepares only financial budget. Financial budget is also known as profit plan of the company because it includes the expected income and related expenditures with that income and the profit which the company will earn in the coming year. Along with financial budget capital budget is prepared to find out the expected capital requirement. Operational budget is prepared where instead of finance hourly units are used stating expected hours the employees will be working. Budgets are prepared by managers at every level and lower level manager generally prepare operational budgets.

The most common budget prepared by managers at different levels is cash budget. This budget estimates the expected cash inflow and cash outflow over a period of time. Cash inflow comes from sales and cash outflow is in the form of expenses. Businessmen can find out net cash position by subtracting cash outflow from cash inflow.

BUDGET

SYNOPSIS

❖ **Meaning**

❖ **Definitions**

❖ **Types**

❖ **Principles of Budget**

1. Meaning of Budget:

The word 'budget' is derived from a French word, Bougette, meaning a leather bag or wallet. The term was used for the first time in 1733 in a satire entitled 'Opened the Budget' pointed against Walpole's financial plan for that year. The Chancellor of the Exchequer used to carry a leather bag containing papers on the financial plans for the country to the House of Commons. So when he set off to place his financial plans before the House, he used to open his 'budget', that is, the bag, and it is because of this association of the financial plan with the 'bougette' that the financial statement of a country has come to be known as budget. The term budget in modern times, therefore, denotes that document which contains estimates of revenue and expenditure of a country, usually for the fixed period of one year.

Some of the definitions of the word 'budget' are the following:

(i) "A budget is a financial plan summarizing the financial experience of the past stating a current plan and projecting it over a specified period of time in future." —**Dimock**

(ii) "A budget is a financial statement, prepared in advance of the opening of a fiscal year of the estimated revenues and proposed expenditures of the given organisation for the ensuring fiscal year." —**Harlod R. Bruce**

(iii) "Budget is a plan of financing for the incoming fiscal year. This involves an itemized estimate of all revenues on the one hand and all expenditures on the other." —**Munro**

(iv) "Budget is a detail of estimated revenues and expenditures-a comparative chart of revenues and expenditures-and over and above this it is an authority and direction of the competent authority given for the collection of revenues and expenditure of public money." —**Wilne**

(v) "Budget is a document containing a preliminary approved Plan of Public Revenue and Expenditure." -**Storum**

(vi) "The budget in a modern state is a forecast and an estimate of all public receipts and expenses and for certain expenses and receipts an authorization to incur them and collect them." —**Rene Gaze**

(vii) "Budget is a financial plan of government for a definite period." —**Taylor**

From the above definitions of budget, we conclude that the following are the elements of budget:

(i) It is a statement of expected revenue and proposed expenditure;

(ii) It requires some authority to sanction it;

(iii) It is for a limited period, generally it is annual;

(iv) It also sets forth the procedure and manner in which the collection of revenue and the administration of expenditures is to be executed.

The budget is the nucleus round which the financial activities of the state oscillate. It is both the scale and the limit of all the financial operations. However, it may be noted that the meaning of budget is no longer confined to a mere statement of the estimated revenue and expenditure. It is now given a wider meaning. With the gradual development of financial management, it has come to include not only a plan of public revenue and expenditure but also "the entire condition of material finances as disclosed in the ministerial statement placed before the legislature and the orderly administration of the financial affairs of the Government." It "not only gives an account of the year's 'housekeeping' and of the year to come so far as the State is concerned, but it is the basis of control of the financial affairs of the State regarded as a household. It sets in motion a continuous chain of events of great importance in the everyday work of the Government."

According to Prof Willoughby, "It is, or should be, at once a report, an estimate and a proposal. It is, or should be, a document through which the Chief Executive…comes before the fund-raising and fund-granting authority and makes full report, regarding the manner in which he or his subordinates have administered affairs during the last completed year, in which he exhibits the present condition of the public treasury, and on the basis of such information, sets forth his programme of work for the year to come and the manner in which he proposes that such work

shall be financed." Thus, budget "is a proposed work programme, with estimates of the funds necessary to execute it." It is a plan of action.

2. Types of Budget:

The budgets can be classified on the basis of the following principles:

The public budgets are different from other forms of budgets in many ways; here the voters delegate the power of spending their money to the politicians or the elected representatives. Now having understood the concept of budget in the last article, **let us understand the different kinds of budget that are there in the public financial management:**

1. **Balanced Budget:** As suggested by the name a balanced budget is that which has no deficit or surplus. The revenues coming are equal to the expenditures.

2. **Revenue Budget:** It is just the details of the revenue received by the government through taxes and other sources and the expenditure that is met through it.

3. **Performance Budget:** This type of budget is mostly used by the organizations and ministries involved in the developmental activities. This process of budgeting, takes into account the end result or the performance of the developmental program thus insuring cost effective and efficient planning. With the increasing developmental challenges and awareness regarding the usage of tax payer's money, new methods of budgeting are required of which the performance-based budgeting has emerged as a transparent and accountable method.

   It relies on three aspects of understanding of the final outcome, the strategies formulated to reach those final outcomes and the specific activities that were carried out to achieve those outcomes. With a very detailed and objective analysis, this budgeting process is very result oriented in its approach.

4. **Zero based budget:** Zero based budgeting has its clear advantage when the limited resources are to be allotted carefully and objectively. It is quite flexible in nature and relies on rational methods, systematic evaluation to reallocate resources and justify the usage of funds. It starts from a zero base unlike traditional budgets where incremental approach is used. Here, the needs and costs of every function of the organization are taken into consideration for the next year's budget. So the budget is futuristic and may or may not be equal or more from the last year's budget as traditionally calculated.

The budgets in the parliamentary kind of system similar to what exists in a country like India become a tool of political negotiations where the budgeting powers are delegated to the Finance Minister of the country. In a single party government, the entire party shares the same views regarding the spending of the resources however; the disagreement arises when individual members may differ on the cost of the distributive policies and would want the government funds to be diverted to their respective electoral constituencies.

In a coalition government, the differing opinions are tackled through compromise and contracts approach where the coalition parties keep the check on the budget process ensuring that it lies within the boundaries of the agreed contract. The infamous fallout between the ruling UPA and the Trinamool Congress over the Railway Budget last year is worth citing in reference to the current discussion. In the presidential kind of system too, the executive plays a somewhat similar process. A significant change that happened in US regarding the budget process was the Budget Enforcement Act passed in 1990s under the Bush administration, which protected the budgetary parameters against later modifications once cleared in the budget summit between the president and the legislature. The budget process in different systems of government may vary but they are all aligned to achieve the relevant economic and social goals of that country. With increasing globalization and interdependent economies, several external considerations also come into play when the budgets are designed. We shall learn about the budget process in the next section.

On the basis of these principles the budgets can be either:

(i) Annual budgets or long-term budgets.

(ii) Single or plural budgets.

(iii) Surplus, deficit or balanced budgets.

(iv) Cash budget or revenue budget.

(v) Departmental budget or performance budget.

A brief description of these various types follows:

1. Annual or long-term budgets:

Generally, the Government budgets are annual, i.e., they are prepared for one year. In India, England and most of the other commonwealth countries the financial year begins on 1st of April and ends on the 31st of March, but in the U.S.A., Australia, Sweden and Italy the dates are 1st July and 30th June. In France these dates are 1st of January and 31st of December. Some

countries have adopted the policy of planned economy and to meet the needs of long-term planning, they have resorted to long-term budgeting, i.e., preparing the budget for three or more years. Such budgets are in fact long-term planning rather than long-term budgets because what is provided for is financial planning over a period of years to finance the plan. These countries spread the estimated plan expenditure over a number of years. The legislature approves the plan along with its estimated expenditure, but that does not amount to actual voting of appropriations for the entire period. Every year the national budget will include the expenditure on the plan for that year which will be approved by the legislature.

2. Single or plural budget:

When the estimates of all the Government undertakings find place in one budget, it is known as single budget. The advantage of single budget is that it reveals the overall financial position of the Government, as a whole. But if there are separate department-wise budgets which are passed separately by the legislature, it is called plural budgeting. In India we have two budgets—one for the railways and the other for all the other remaining departments. The practice of having a separate railway budget started in 1921. In England there is single budget.

3. Surplus, deficit or balanced budget:

A budget is surplus if the estimated revenues are in excess of the estimated expenditure. But if the anticipated revenues fall short of the anticipated expenditure, it is a deficit budget. According to the economists, a deficit budget is a sign of the country's making progress. A balanced budget is one wherein the anticipated revenues equal the/anticipated expenditure. The budgets are generally deficit budgets.

4. Cash or revenue budget:

A cash budget is one wherein the estimates of the various items of income and expenditure include the amounts actually to be received or spent in one year. In revenue budget the revenue and expenditure, accruing in one financial year, are budgeted in that financial year irrespective of the fact whether the revenues are realized or the expenditure is incurred in that financial year. In India, Britain and U.S.A., there is cash budgeting, in France and other continental countries there is revenue budgeting.

5. Departmental or performance budget:

The present practice is to have departmental budgets, i.e., the revenues and expenditure of one department are grouped under it. It does not give any information as to the activity or

performance for which money is budgeted. The performance budget is one where the total expenditure of a particular project is grouped under the head of the particular programme. It is prepared in terms of functions, programmes, activities and projects, for example, in the case of Education (a function), it will be divided into programmes like those of Primary, Secondary and Higher Education. Each programme will be divided into activities, for example, training of teachers is an activity. Project is the last unit of functional classification. It signifies such an activity as is of a capital nature, such as, construction of a school building. The A.R.C. has recommended the adoption of performance budgeting in all the departments and organizations of the Central and State Governments which were in direct charge of development programmes.

3. Budget as a Tool of Administration:

Budget today has become one of the primary tools of financial administration. It is "the master financial plan of the Government. It brings together estimates of anticipated revenues and proposed expenditures implying the schedule of activities to be undertaken and the means of financing these activities." Budget is the very core of democratic government and in the words of Harold Smith, "The objectives of the Budget should be to implement democracy and provide a tool which will be helpful in the efficient execution of the functions and services of government… The budget is a device for consolidating the various interests, objectives, desires, and needs of our citizens into a programme whereby they may jointly provide for their safety, convenience and comfort. It is the most important single current document relating to the social and economic affairs of the people." It lays emphasis on the need for state programmes to be executed as efficiently as possible so that maximum results are obtained for the money spent on them. "In one sense the entire budgetary process can be said to have as a single objective the attainment of economy and efficiency; the determination of how the country's scarce resources can best be served by the diversion of scarce resources, through taxation and other methods, from private to public use and by the allocation of those resources among various Government uses. Such a determination covers both the questions what programmes should be undertaken and how they should be executed."

Budget as an instrument of social and economic policy:

Apart from budget being a "tool of administration" and the basis of an orderly finance, it has now become a very powerful instrument of social and economic policy. A Gladstone observed, "Budgets are not merely mattering of arithmetic but in a thousand ways go to the root of prosperity of individuals and strength of kingdoms". The modern states are welfare states and

as such budget is used as means for the promotion of welfare objectives. This aspect of the budget has assumed all the more importance with the adoption of socialistic pattern of society by our Government. Besides realizing the plans for higher production in various sectors, the Government aims at correcting the inequalities in the distribution of wealth by higher taxation for the rich and proportionately lower taxation and sometimes even exemption for the poorer section of community through the instrumentality of budget.

In the days of laissez-faire, budget was a simple statement of estimated income and expenditure, but now in the modern social welfare states it has become an instrument of promoting the social and economic welfare of the people. The budget is waited anxiously by the people. It has wide ramifications. It plays a vital role in the economy of a state. Every citizen is interested in it. From the budget the citizens can know what benefits they are going to derive and how much tax they will have to pay. The taxation policy of the Government in the Budget may lead to narrowing down of the class distinctions and inequalities. The production policy as reflected in the Budget may help in removing poverty, eradicating unemployment and avoiding misdistribution of wealth.

It can check inflation and enable the citizens to lead their life in safety and with comfort and happiness. To cut short, budget has tremendous social and economic implications in modern states. It is much more than a mere national balance-sheet. Lloyd-George in his People's Budget of 1909 utilized for the first time the potentialities of the fiscal instrument for social welfare. In his Budget speech, he said "Four spectres haunt the poor old age, accident, sickness and unemployment. We are going to exercise them. We are going to drive hunger from the hearth. We mean to banish the workhouse from the horizon of every man in the land." By taxing the rich on a progressive scale and utilizing the proceeds in providing social amenities, such as better housing, educational and medical facilities, etc., for the poorer classes has come to be accepted as one of the most important objectives of budget. Our Government is alive to this aspect of budget as a means for the establishment of a socialistic pattern of society.

Budgeting and planning:

Mr. Sachin Chaudhuri, while presenting the Budget proposals for 1966-67 to the Indian Lok Sabha on February 28, 1966, said: "The Budget of the Government of India is a major instilment for implementing our Plans and policies. It has to be framed, therefore, in response to current economic trends as well as the long-term requirements of the economy." Budgeting is, therefore, an instrument for short-term as well as long-term planning. "In restricted sense,

budgeting is planning, the primary concern of both the agencies is to facilitate the formulation and selection of policies and programmes which are most likely to achieve the goals of government.

But they differ from one another in some important respects. For instance, planning in terms of whole range of government policy requires a perspective of time and a broad perception of the inter-relationship between policies. On the other hand, budgeting is simply a matter of providing most economically for already agreed upon programmes. In this regard, budgeting may be said to take over where planning leaves off." The relation between planning and budgeting is very close. In the words of Thavaraj, "The marriage of 'planning' and 'budgeting' must begin at the 'grass roots' level in the respective departments and agencies." The programming, planning and budgeting staff in the various government agencies must work as a team to exercise continuing surveillance of the respective programmes. The programmes must be reviewed and evaluated at the departmental level in relation to the objectives of the department, not only in terms of the needs of today or next fiscal year, but also in terms of the overall departmental goals at least for several years ahead. Programmes established many years ago must be re-evaluated in the light of conditions of today and the years ahead. Evaluation must be made between **"desirable"** programmes and **"essential"** programmes. Non-essential programmes must be eliminated.

4. Principles of Budget-Making:

Budget is an effective instrument of economic and social changes. It is the basis without which there can be no lasting social progress. It is desirable that it should conform to certain budgetary principles.

The more important principles of budget-making are the following:

1. Budget should be a balanced one:

Budget should be a balanced one, i.e., the estimated expenditure should not exceed the revenue or income. When the amounts of the expenditure and revenue in a budget are equal or nearly so, it is called a 'Balanced Budget'. If the expenditure is less than the anticipated revenue it is a 'Surplus Budget' and if the expenditure is more than the anticipated revenue, it is called a 'Deficit Budget'.

"The balancing of the Budget," says, Mr. P.K. Wattal, "is the first requisite of financial stability, and occupies the same place in the financial administration as the maintenance of law and order in the Executive administration. On the other hand, un-balanced budgets are bound sooner or later to weaken the faith of investors and lead to monetary inflation, which if uncontrolled will terminate in national disaster." An occasional deficit budget, however, need not cause worry. The newer trends of economic thought consider deficit budget in certain circumstances not only excusable, but also necessary. According to them, a deficit budget can cure the ills from which the modern capitalist economy suffers. Deficit budget has now become a common phenomenon of the developing countries. It is resorted to, to meet the huge costs of development plans. However, it is not safe to indulge in deficit budget beyond a certain point.

2. Budget formulation is the responsibility of the executive:

As the Chief Executive is responsible for running the administration, he is in the best position to say what funds are required for it. It should, therefore, be the duty of the Chief Executive to formulate the Budget. But the Budget framing is a stupendous task and he must, therefore, be aided and advised by a body of specialists. In India, the Ministry of Finance, in England the Treasury and in U.S.A. the Bureau of the Budget, help their respective Chief Executives in the Budget-planning. In Parliamentary government, there exists the well accepted principle 'that no demands for grants can be made except on the recommendation of the Executive'. The principle also makes it clear that it is the function of the Executive alone to prepare the budget. The Parliament can decrease or refuse the demands presented to it by the Executive but it cannot increase them.

This principle is of great merit because the Chief Executive being the actual expending authority is the better judge of how much money is required for a particular purpose and if more is given to the Executive than what it needs, it cannot be made responsible for money it did not need. That would obviously lead to wastage and extravagance. This last principle is not strictly followed in the U.S.A. as there is a separation of powers and all legislative functions including those of money bills are those of the Congress which is accordingly competent to decrease as well as increase expenditure and taxation.

3. Estimates should be on a cash basis:

The principle of the cash basis of the Budget means that it should be prepared on the basis of actual receipts and expenditure expected during the year and not on the basis of receipts which are to be realized in some other years or the expenditure which is ordered in that year but is likely to be incurred in the next financial year, e.g., if certain sums on account of arrears of tax relating to the year 1971-72 are realized in the year 1972-73 they should be shown in the receipts estimates of the latter year and not of the former. Similarly, if the liability for any payments was incurred in the former year but was actually met in the latter year, it should be shown in the expenditure of the latter year only.

In the words of P.K. Wattal; "One advantage of having cash estimates is that the public accounts can be closed very much earlier than when they are prepared on a demand and liability basis. In some European countries, where the latter practice is followed, the determination of the final surplus or deficit requires years and even decades. Delayed accounts lose much of their value for purposes of financial control. The French Budget for 1920 was finally closed in the beginning of 1937."

4. Budgeting should be done on the basis of gross and not net income:

Budget should present a clear-cut picture of the gross and not the net income of the country. Both the receipts and expenditure should be fully shown in the Budget and not merely the resultant net position. For example, if there is a department with an estimated expenditure of Rs. 45 lakhs and receipts of Rs. 35 lakhs it should show in the Budget both the expenditure and receipts and not merely Rs. 10 lakhs only. If the department prepares the estimates on the net basis, it would mean that it would approach legislature for grant of Rs. 10 lakhs only and hence deprive the legislature of its control over the expenditure of Rs. 45 lakhs, which it met out of its receipts. Gross budgeting is, therefore, essential to ensure complete financial control of the Legislature. There are exceptions to this general rule of gross-budgeting in India some of which are only apparent but some are real. The main exception to this rule is the estimating (and accounting) of land revenue collections. The lambardar, from time immemorial, is paid, in lieu of his services for the collection of land revenue, five percent on the revenue he collects. This is known as 'pachotra' which he deducts from the gross collections made by him and credits only the net collections in the government treasury. The other exceptions which are apparent but not real are in regard to 'refund of revenue', 'receipt on capital account', etc.

5. Estimating should be, as far as possible, exact:

Estimates provided in the Budget should be, as far as possible, exact. There should be neither too much of over-estimating nor under-estimating. While money should be provided for all necessary expenditure, the amount provided for should be the absolute minimum. If there is over-estimating of expenditure people are unnecessarily heavily taxed and if there is under-estimating, the whole budget may be thrown out of gear when it comes to execution. It is a tendency on the part of the departments in India to under-estimate their income and over-esti-mate their expenditure although there are clear instructions to the Heads of all the Ministries, that they should try to achieve economy and avoid waste as far as possible. According to Sri Ashok Chanda, this tendency to over-estimate spending capacity arises from two causes firstly, it is assumed that the Finance Ministry will in any case reduce the allotment requested and, therefore, it is better to ask for more and secondly, the inclusion of schemes and large provi-sions creates both politically and administratively an impression of efficiency and energy in the sponsoring ministries.

Close and exact estimating can be achieved by taking past three average figures of the receipts and expenditure under various heads as the starting basis and making appropriate variations due to special circumstances which can be foreseen. Secondly, estimates should be itemized, that is the detailed estimates should be divided into major-heads, minor- heads and sub-heads and detailed heads of revenue and expenditure. Close budgeting also means that the services for which provision has been made and the particular items included in any vote should be specified and that no demand of 'lump sum' amount under any head should be granted.

Of course, in some departments, such as Public Works Department, block grants cannot be avoided because we cannot have definite assessment of the amount likely to be spent on repairs and maintenance of government buildings, canals or roads, etc. But, subject to these exceptions, the general rule should be that no demands for lump sums for unspecified purposes should be sanctioned. Such demands escape Parliamentary control of Public expenditure and should be granted only in very exceptional cases.

6. Annularity of the budget:

The principle of annularity is one of the most important principles of budgetism. It means that the budget should be prepared on the annual basis. In other words, it means that the legislature should grant money to the Executive for one year. A year is a reasonable period of time, for which the legislature can afford to give financial authority to the Executive. It is also the

minimum period which is necessary to execute the financial programme. But annuality of the Budget does not mean that there should be no long-term planning. All those countries which have adopted the policy of planned development do have long-term budgeting, but these long-term plans do not involve actual using of appropriations for the entire period of the plan by the legislature though it may be called to approve the plan in principles and broad outlines as is done in the case of our Five Year Plans.

7. Rule of lapse:

The annuality principle of budgeting also implies that money left unspent during the year for which it was sanctioned must lapse to the Public Treasury and the Government cannot spend it unless re-sanctioned in the next year's budget. This rule of lapse is essential for effective financial control. If the unspent balance of one year could be carried out for expenditure in future years, it would make the departments independent of the control of the legislature till the time their accumulated balances are spent. But this rule is defective from the point of view of economic planning of expenditure.

The departments, knowing that if they do not utilize grants, they shall lapse, have no incentive for economy and therefore, towards the end of the financial year, they spend it lavishly with scant regard to its urgency or utility.In our country, the Central and State Governments can constitute reserves or reserve funds, either by allotment of sums from the revenues of a year or series of years or from grants of contributions made by other governments and outside agencies, "with the object of expending the moneys accumulated in the funds on the specific and particular purposes for which they have been constituted."

While the general principle of 'rule of lapse' is accepted as a matter of policy, the Finance Ministry has assured, time and again, the Administrative Ministries that wherever grants have not been used to the full extent for valid reasons, the Finance Ministry would be prepared to consider proposals to allot provision for the unexpended amounts either in the original budget of the coming year or by means of supplementary grants in that year provided the purposes for which these amounts were originally included in the sanctioned grants continue to be operative. It is hoped that with this assurance the Ministries concerned would take positive steps to prevent the rush of expenditure in the closing months of the year, and also to refrain from making purchases in a hurry merely to avoid lapse of grants.

8. Treasury control:

The legislature authorizes the government to spend money but it does not direct them how to spend it. That is the job of the government itself. The best system of direction and internal control can be seen in the working of the British Treasury in England where it concerns itself not only in regard to the preparation of budget but also exercises day-to-day supervision over the flow of finances to the operating agencies. Through its power of sanctioning money and employment of personnel, it has come to exercise managerial control over the operating departments.

9. Executive discretion:

The Executive must be given sufficient discretion in the matter of allotment of appropriation if it is to exercise supervision over the activities of the spending departments.

10. The form of estimate should correspond to the form of account:

This principle means that the budgetary heads should be the same as those of accounts. This facilitates budget preparation, budgetary control and the keeping of accounts.

11. Revenue and capital parts of the budget should be kept distinct:

This principle means that overall surplus or deficit may be found out by taking both into account.

12. Single budget:

Lastly, it is also an important principle of Budget making that the government should have a single budget incorporating all revenues as well as expenditures of the government. A single budget presents to the people a clear-cut picture of the financial transactions of the government as a whole. But if there are a number of department-wise budgets, some of them may show a surplus and others a deficit. It will not thus be possible to know the net financial position of the government as a whole except by complicated calculations and adjustments. On the basis of this principle, it is also wrong to prepare 'Extraordinary Budgets' for special purposes. An exception to this principle of unity of Budget is, however, sometimes made in some countries including India when separate budget is prepared for commercial enterprises such as Railways. India has had a separate budget for Railways since 1924.

The Railways are free to keep their profits for their own development after they had made their own contributions to the general revenue. According to Dimock, the important Budget principles are publicity, clarity, comprehensiveness, unity, periodicity, accuracy and integrity. By publicity is meant that the budget should be made public and that there should be no secret session to consider the budget. The principle of clarity means that the budget should be clearly understandable. Comprehensiveness means that it should give a complete picture of government revenues and expenditures. One should be able to know the entire financial position of the government. By unity is meant that all government receipts should be consolidated into one general fund for financing all expenditures. Periodicity means that the appropriations should be authorized for a fixed period and if money is not utilized within that period, it should either lapse, or should be re-appropriated. Accuracy means that the budget estimates should be based on accurate data. The principle of integrity means that the budget should be implemented as enacted. There should be no departure from it. The above are the principles which are generally followed in every country with some minor differences of details.

COMMUNICATION

Synopsis
- ❖ **Definition**
- ❖ **Meaning and Nature**
- ❖ **Importance**
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Definition, Meaning and Nature:

Communication is another administrative process and in the absence of communication the function of the organisation will reach practically a full stop. Simon has said: "Without communication there can be no organisation, for there is no possibility of group influencing the behaviour of the individual." The administration of an organisation is a continuous process

and it is the function of the communicative system to maintain this continuity. We can therefore say that communication makes administration mobile. Let us quote another definition: Communication is the process of establishing commonness through the movement of ideas, thoughts and feelings etc. from one to another or between groups of persons. In other words, it is an exchange of facts, thoughts, information, emotions resulting in a shared understanding.

Karl W Deutsch is a renowned authority on the concept of communication. In his opinion, "The communication means the transfer of messages containing quantities of information" According to Dentoch communication is a type of channel through which messages or information or directions pass from one stage or group of organisations to another. Even assessment or emotions pass through the channel and this comes to be treated as communication. Hence, we are of opinion that the system of communication does not pass only news from one branch or stage to another branch or stage. What is essentially required for the general welfare or betterment of an organisation comes under the broad umbrella of communication. Communication is a type of give and take or in other words exchange of news and views.

In a different context Harold Lasswell in his Structure and Function of Communication in Society has made the following remark about communication. He says: Who says what in which channel to whom with what effect. Though Laosswell said this in the background of communication and its immense importance in society the same idea can conveniently be applied to public administration and organisation. An important aspect or nature of communication is beginning from the top executive to an ordinary member of the organisation-all communicate their views and opinions among themselves and, in this way, every organisation functions. Naturally we can say that communication is a process and the communicated information or opinion is a thing. We thus find that, in communication, both the process and communicated thing work simultaneously.

The word common is the central aspect of communication. This is revealed in the origin of the word. The word communication is derived from the Latin word communis and communis is derived from communo. Some scholars say that the real origin of the word communication is communis. In all the cases the meaning is common. The communication removes the barriers that are found among various sections of the organisation. Hence commonness stands at the central position of the organisation and communication makes it possible. Through the process of communication an organisation works in a united way and form. The members exchange

views among themselves. It is to be noted here that the process is always continuous because the functions of the organisation are also continuous.' Both function and communication work continuously. Continuity is the special feature of all types of organisation.

The communication is a process, but it is never a one-way process. An organisation is divided into a number of sections or departments and the information is always communicated among all the departments. For example, a department or an officer receives information from higher authority regarding a particular issue and the receiving section sends its opinion to the department or person concerned. In the system of communication, the method of feedback always works. When a man receives information, it is his primary duty to send a reply or information and, in this way, communication system works. As there is commonness in communication there is also continuity in it. The communication will end with the death of organisation.

The communication is also an act of imparting news/information. Information is always exchanged among the employees. In this sense, communication is a type. It is said that the structure of the organisation is generally called a milieu. It is said that any organisation has two types of relation one is work or functioning of the organisation and the other is personal relationship among the employees. Both these relations are present and active. The employees give importance to these two relations. It is to be remembered that the functional aspect cannot work quite successfully without the personal relation. The experts of administration have emphasised that the personal relation is sometimes more important than the non-personal one. The personal relation provides inspiration to the productive process. The communication is a continuous process which implies that when an information goes from one department to another, the receiving department cannot sit idly ignoring it. The concerned department must inform its assessment or reaction to the sender and in this way the information system works continuously. It is a very important aspect of the system of communication.

Communication plays a very important role in the functioning of the organisation. Changes are taking place continuously in the environment and the impact of these changes simultaneously reacts upon the administration political system. In other words, the authority responds to any news or action and this response is conveyed through the machinery of communication system. In the fifties of the last century David Easton introduced the idea that political system is an open system which means that the environment influences the political system and, in turn,

political system, in one way or other, influences the environment. In this way the political system works. Needless to say, that public administration is a part and parcel of the whole political system. It is, therefore, quite natural that the influence of environment will fall on public administration and, at the same time, it will activate the system of communication.

The concept of feedback also works in the system of communication. Feedback means: information given in response to a product, a person's performance of a task etc. I have given here the COD meaning of feedback and this meaning prevails everywhere. The feedback system works in an organisation through the network of communication. In this age of developed technology, internet system makes the communication network very easy and effective, but this has not eroded the importance's of communication. Rather globalisation is making more and more vital part of public administration and organisation.

Importance:

Communication is not simply a part of public administration or an organisation; rather, it is a vital part of organisation. The administration of government or any organisation is highly complex and the body of administration is increasing with the progress of time. In order to cope with this situation, the public administration must prepare itself. Normally, the system of communication must be prepared. The communication has a special role to play in the field of human relations which is the main part of communication. At this stage we remember a remark of the German poet Goethe. If you treat an individual as he is, he will stay as he is. But if you treat him as if he were, what he ought to be and he could be he will become what they ought to be and he could be. It is the communication that makes man what he ought to be. Through the mechanism of communication man can develop his inner qualities. He becomes more and more eligible for it.

The input-output system works in the public administration very effectively. In a democratic form of system people place their demands before the chief executive and he communicates these to the appropriate section for consideration and necessary action. In the next stage the latter communicates its views to the original place. The output-input mechanism in this way functions beautifully. Walter Bagehot in his famous work The British Constitution has beautifully analysed how input-output mechanism works in Britain's democratic framework. This is also a clear example of communication system. We have talked about the communication system of public administration and organisation. But it is also a very important

phenomenon of democracy. To be more specific, it is one of the chief pillars of democracy. If it breaks down, democracy will face severe problems.

Modern age is called the age of globalisation. In this age the whole world has become a village and we call it the world village. The world is becoming smaller and smaller and the system of communication makes it possible. In the twinkling of an eye a message can be sent from one end of the globe to the other. So, this is our communication mechanism. Few multinational corporations are controlling the economy and industrial system of almost all the countries and this they do through the mechanism of communication. Few superpowers are controlling the politics, economy and other important aspects and this they are doing through ever-developing communication. Even the remotest corner of the world has come nearer to the epicentre of world system and, needless to say, that the credit should invariably go to the communication mechanism.

Previously it was presumed that in liberal political system communication works efficiently and quite freely. Today even in autocratic political system the importance of communication has not declined at all. Trade, commerce and industry are the backbones of the economy and without communication these cannot function not to speak of development. Communication does not possess any political colour. The erstwhile Soviet Union strictly followed the capitalist system of administration and the organisations of the communist states followed the main principles of the capitalist mode of administration. Even the existence of Weberian bureaucratic model in former Soviet Union and other communist states does not at all surprise us. The fact is that the system of communication knows no political colour, recognises no geographical boundaries. In this age of internet and computer we are well-versed with the terms such as BPO (Business Process Outsourcing) and KPO (Knowledge Process Outsourcing).

Importance of Communication

1. The Basis of Co-ordination

The manager explains to the employees the organizational goals, modes of their achievement and also the interpersonal relationships amongst them. This provides coordination between various employees and also departments. Thus, communications act as a basis for coordination in the organization.

2. Fluent Working

A manager coordinates the human and physical elements of an organization to run it smoothly and efficiently. This coordination is not possible without proper communication.

3. The Basis of Decision Making

Proper communication provides information to the manager that is useful for decision making. No decisions could be taken in the absence of information. Thus, communication is the basis for taking the right decisions.

Learn more about Barriers of Communication here in detail.

4. Increases Managerial Efficiency

The manager conveys the targets and issues instructions and allocates jobs to the subordinates. All of these aspects involve communication. Thus, communication is essential for the quick and effective performance of the managers and the entire organization.

5. Increases Cooperation and Organizational Peace

The two-way communication process promotes co-operation and mutual understanding amongst the workers and also between them and the management. This leads to less friction and thus leads to industrial peace in the factory and efficient operations.

6. Boosts Morale of the Employees

Good communication helps the workers to adjust to the physical and social aspect of work. It also improves good human relations in the industry. An efficient system of communication enables the management to motivate, influence and satisfy the subordinates which in turn boosts their morale and keeps them motivated.

Forms of Communication:

There are mainly two forms of communication—formal and informal. The formal communication is based on certain written rules and regulations or centrally determined rules and all these must be strictly observed or maintained. Any change must be preceded by permission of appropriate authority. The formal communication is the central feature of governmental administration. Formal communication is also prevalent in an administrative system characterised by hierarchy. There are various stages in public administration and what the executive of one section will do and what he cannot do are clearly stated and, normally, he cannot violate their rule. Another aspect of formal communication the movement of order or direction takes place formally or in writing. Personal liking or disliking has nothing to do with the formal communication.

Herbert Simon maintained that the public administration of a country can never be fully run by formal communication alone. There is a good deal of importance of informal communication. An administration cannot be efficiently managed only by formal communication. It must be supplemented by informal mode of administration. In a changing world, everything cannot be predicted or foreseen. In order to combat new problem or situation a quick decision is to be taken which negates the formal rules and procedures. But for the better and prosperous management informal method requires to be adopted. This temporary arrangement does not cast any doubt upon the formal aspects of communication. To sum up, for the well-management of both public administration and organisation, both formal and informal communications are necessary.

1. Formal Communication

Formal communications are the one which flows through the official channels designed in the organizational chart. It may take place between a superior and a subordinate, a subordinate and a superior or among the same cadre employees or managers. These communications can be oral or in writing and are generally recorded and filed in the office. Formal communication may be further classified as Vertical communication and Horizontal communication.

Vertical Communication

Vertical Communications as the name suggests flows vertically upwards or downwards through formal channels. Upward communication refers to the flow of communication from a subordinate to a superior whereas downward communication flows from a superior to a subordinate. Application for grant of leave, submission of a progress report, request for loans etc. are some of the examples of upward communication. Sending notice to employees to attend a meeting, delegating work to the subordinates, informing them about the company policies, etc. are some examples of downward communication.

Horizontal Communication

Horizontal or lateral communication takes place between one division and another. For example, a production manager may contact the finance manager to discuss the delivery of raw material or its purchase.

Types of communication networks in formal communication:

- **Single chain:** In this type of network communications flows from every superior to his subordinate through a single chain.

- **Wheel:** In this network, all subordinates under one superior communicate through him only. They are not allowed to talk among themselves.

- **Circular:** In this type of network, the communication moves in a circle. Each person is able to communicate with his adjoining two persons only.

- **Free flow:** In this network, each person can communicate with any other person freely. There is no restriction.

- **Inverted V:** In this type of network, a subordinate is allowed to communicate with his immediate superior as well as his superior's superior also. However, in the latter case, only ordained communication takes place.

2. Informal Communication

Any communication that takes place without following the formal channels of communication is said to be informal communication. The Informal communication is often referred to as the 'grapevine' as it spreads throughout the organization and in all directions without any regard to the levels of authority. The informal communication spreads rapidly, often get distorted and it is very difficult to detect the source of such communication. It also leads to rumours which are not true. People's behaviour is often affected by the rumours and informal discussions which sometimes may hamper the work environment. However, sometimes these channels may be helpful as they carry information rapidly and, therefore, may be useful to the manager at times. Informal channels are also used by the managers to transmit information in order to know the reactions of his/her subordinates.

Types of Grapevine network:
- **Single strand:** In this network, each person communicates with the other in a sequence.
- **Gossip network:** In this type of network, each person communicates with all other persons on a non-selective basis.
- **Probability network:** In this network, the individual communicates randomly with other individuals.
- **Cluster Network:** In this network, the individual communicates with only those people whom he trusts. Out of these four types of networks, the Cluster network is the most popular in organizations.

Barriers to Communication

The communication barriers may prevent communication or carry incorrect meaning due to which misunderstandings may be created. Therefore, it is essential for a manager to identify such barriers

and take appropriate measures to overcome them. The barriers to communication in organizations can be broadly grouped as follows:

1. Semantic Barriers

These are concerned with the problems and obstructions in the process of encoding and decoding of a message into words or impressions. Normally, such barriers result due to use of wrong words, faulty translations, different interpretations, etc. For example, a manager has to communicate with workers who have no knowledge of the English language and on the other side, he is not well conversant with the Hindi language. Here, language is a barrier to communication as the manager may not be able to communicate properly with the workers.

2. Psychological Barriers

Emotional or psychological factors also act as barriers to communication. The state of mind of both sender and receiver of communication reflects in effective communication. A worried person cannot communicate properly and an angry recipient cannot understand the message properly. Thus, at the time of communication, both the sender and the receiver need to be psychologically sound. Also, they should trust each other. If they do not believe each other, they **cannot understand each other's message in its original sense.**

3. Organizational Barriers

The factors related to organizational structure, rules and regulations authority relationships, etc. may sometimes act as barriers to effective communication. In an organization with a highly centralized pattern, people may not be encouraged to have free communication. Also, rigid rules and regulations and cumbersome procedures may also become a hurdle to communication.

4. Personal Barriers

The personal factors of both sender and receiver may act as a barrier to effective communication. If a superior think that a particular communication may adversely affect his authority, he may suppress such communication. Also, if the superiors do not have confidence in the competency of their subordinates, they may not ask for their advice. The subordinates may not be willing to offer useful suggestions in the absence of any reward or appreciation for a good suggestion.

Communications Process

Communications is a continuous process which mainly involves three elements viz. sender, message, and receiver. The elements involved in the communication process are explained below in detail:

1. Sender

The sender or the communicator generates the message and conveys it to the receiver. He is the source and the one who starts the communication

2. Message

It is the idea, information, view, fact, feeling, etc. that is generated by the sender and is then intended to be communicated further.

3. Encoding

The message generated by the sender is encoded symbolically such as in the form of words, pictures, gestures, etc. before it is being conveyed.

4. Media

It is the manner in which the encoded message is transmitted. The message may be transmitted orally or in writing. The medium of communication includes telephone, internet, post, fax, e-mail, etc. The choice of medium is decided by the sender.

5. Decoding

It is the process of converting the symbols encoded by the sender. After decoding the message is received by the receiver.

6. Receiver

He is the person who is last in the chain and for whom the message was sent by the sender. Once the receiver receives the message and understands it in proper perspective and acts according to the message, only then the purpose of communication is successful.

7. Feedback

Once the receiver confirms to the sender that he has received the message and understood it, the process of communication is complete.

8. Noise

It refers to any obstruction that is caused by the sender, message or receiver during the process of communication. For example, bad telephone connection, faulty encoding, faulty decoding, inattentive receiver, poor understanding of message due to prejudice or inappropriate gestures, etc.

Purposes of Communication:

P. C. Tripathi and D. N. Reddy in their Principles of Management has pointed out the following purposes of management:

1. In order to increase managerial efficiency communication is necessary.

2. For industrial peace cooperation is required and communication ensures this.

3. Communication helps coordination among various departments of an organisation.

4. Communication helps the employees to acquire effective knowledge about various branches and aspects of organisation.

5. Communication is necessary for acquiring knowledge and function of the organisation.

6. With the help of communication employees come to be acquainted with the decision-making process. It is because the decision-making affairs are not the functions of any particular person. All the employees of the organisation are involved in this affair.

7. It helps people to know how the decision-making process works.

8. It makes employees responsible. He comes to know that he has something to do in the working of the organisation. This will encourage him to take interest in the affairs of organisation.

9. It sometimes obliterates the gap or difference between upper and lower ranks.

DIRECTION AND SUPERVISION

Synopsis

- ❖ **Introduction**
- ❖ **Meaning and Nature**
- ❖ **Importance**
- ❖ **Forms**
- ❖ **Principles**

Introduction, Meaning, Importance and Principles of Directing

Directing is the heart of management function. All other functions of management such as planning, organizing, and staffing have no importance without directing. Leadership, motivation, supervision, communication are various aspects of directing. Let us study the importance and principles of directing. Directing refers to a process or technique of instructing, guiding, inspiring, counselling, overseeing and leading people towards the accomplishment of

organizational goals. It is a continuous managerial process that goes on throughout the life of the organization. Main characteristics of Directing are as follows:

1. Initiates Action

A directing function is performed by the managers along with planning, staffing, organizing and controlling in order to discharge their duties in the organization. While other functions prepare a platform for action, directing initiates action.

2. Pervasive Function

Directing takes place at every level of the organization. Wherever there is a superior-subordinate relationship, directing exists as every manager provides guidance and inspiration to his subordinates.

4. Continuous Activity

It is a continuous function as it continues throughout the life of organization irrespective of the changes in the managers or employees.

5. Descending Order of Hierarchy

Directing flows from a top level of management to the bottom level. Every manager exercises this function on his immediate subordinate.

6. Human Factor

Since all employees are different and behave differently in different situations, it becomes important for the managers to tackle the situations appropriately. Thus, directing is a significant function that gets the work done by the employees and increases the growth of the organization.

IMPORTANCE

1. Initiates Action

Each and every action in an organization is initiated only through directing. The managers direct the subordinates about what to do, how to do when to do and also see to it that their instructions are properly followed.

2. Ingrates Efforts

Directing integrates the efforts of all the employees and departments through persuasive leadership and effective communication towards the accomplishment of organizational goals.

3. Motivates Employees

A manager identifies the potential and abilities of its subordinates and helps them to give their best. He also motivates them by offering them financial and non-financial incentives to improve their performance.

4. Provides Stability

Stability is significant in the growth of any organization. Effective directing develops co-operation and commitment among the employees and creates a balance among various departments and groups.

5. Coping up with the Changes

Employees have a tendency to resist any kind of change in the organization. But, adapting the environmental changes is necessary for the growth of the organization. A manager through motivation, proper communication and leadership can make the employees understand the nature and contents of change and also the positive aftermaths of the change. This will help in a smooth adaptation of the changes without any friction between the management and employees.

6. Effective Utilization of Resources

It involves defining the duties and responsibilities of every subordinate clearly thereby avoiding wastages, duplication of efforts, etc. and utilizing the resources of men, machine, materials, and money in the maximum possible way. It helps in reducing costs and increasing profits.

Principles of Directing

1. Maximum Individual Contribution

One of the main principles of directing is the contribution of individuals. Management should adopt such directing policies that motivate the employees to contribute their maximum potential for the attainment of organizational goals.

2. Harmony of Objectives

Sometimes there is a conflict between the organizational objectives and individual objectives. For example, the organization wants profits to increase and to retain its major share, whereas, the employees may perceive that they should get a major share as a bonus as they have worked really hard for it. Here, directing has an important role to play in establishing harmony and coordination between the objectives of both the parties.

3. Unity of Command

This principle states that a subordinate should receive instructions from only one superior at a time. If he receives instructions from more than one superior at the same time, it will create confusion, conflict, and disorder in the organization and also, he will not be able to prioritize his work.

4. Appropriate Direction Technique

Among the principles of directing, this one states that appropriate direction techniques should be used to supervise, lead, communicate and motivate the employees based on their needs, capabilities, attitudes and other situational variables.

5. Managerial Communication

According to this principle, it should be seen that the instructions are clearly conveyed to the employees and it should be ensured that they have understood the same meaning as was intended to be communicated.

6. Use of Informal Organization

Within every formal organization, there exists an informal group or organization. The manager should identify those groups and use them to communicate information. There should be a free flow of information among the seniors and the subordinates as an effective exchange of information are really important for the growth of an organization.

7. Leadership

Managers should possess a good leadership quality to influence the subordinates and make them work according to their wish. It is one of the important principles of directing.

8. Follow Through

As per this principle, managers are required to monitor the extent to which the policies, procedures, and instructions are followed by the subordinates. If there is any problem in implementation, then the suitable modifications can be made.

Elements or Techniques of Direction

There are various elements involved in direction are as follows-

1] Issuing Orders and Instructions to Subordinates

The first and foremost element of direction is to issue orders and instructions which are considered an essential step in the process of directing subordinates. An order is a fundamental tool for getting things done. Therefore, the orders and instructions reflect managerial decisions and initiate action on the part of subordinates. Orders may be general or specific, formal or informal, written or oral. Thus, an order should serve the following characteristics:

- The order should be clear and complete.
- It should be reasonable and attainable.
- The order must be in tune with the various other objectives of the organization and also for the interests of the subordinates.
- All order should follow the chain of command.
- Face-to-face suggestions are preferable to long distance orders.

2] Supervision in an overall manner

It refers to monitor the progress of routine work of one's subordinates and guiding them properly. Supervision is an important element of the directing function of management. Supervision has an important feature which includes face-to-face interaction between the supervisor and his subordinates. It involves direct personal contact with subordinates. Supervision converts plans into action. Thus, supervision is considered as an essential step in the process of directing.

3] Motivating Subordinates

The term motivation can be referred to as that process which excites people to work for the attainment of the desired objective. Among the various factors of production, it is only the human factor which is dynamic and provides mobility to other physical resources. Thus, in an overall sense, it becomes essential so as to motivate the human resources so as to keep the employee's dynamic, aware and eager to perform their duty. Both the monetary and non-monetary incentives are given to the employees for motivation. Thus, through motivation, the employees will perform better. Hence, it will help to achieve the organizational goals and objectives.

4] Providing Leadership

The term Leadership defines as to influence others in such a manner as to guide them to do what the leader wants them to do. Leadership plays an important role in directing. Only through this leadership skill, a manager can develop trust and zeal among his subordinates. Therefore, it leads

to guide and provide overall counselling to subordinates in the best way for achieving their objectives and also for the organization.

5] Communicating with Subordinates

It refers to an act of transferring facts, ideas, feeling, etc. from one person to another and making him understand them. A manager has to continuously t guides and also at the same time, monitors his subordinates about what to do, how to do, and when to do various things. Also, it is very essential to know their reactions. To do all this it becomes essential to develop effective telecommunication facilities. Therefore, the essential feature is to communicate with itself can be called by developing mutual understanding inculcates a sense of cooperation which builds an environment of coordination in the organization.

6] Maintaining discipline and Rewarding Effective People

By maintaining an atmosphere of discipline and trust in the organization, the manager can easily give directions. So that the work done by his employees is in most efficient and effective manner. In return, the employees will get a reward in the form of bonus, incentives and other perks so as to get themselves associated with the organization on a long-term basis. Therefore, this element of direction also plays a very important role in achieving overall objectives of an organization.

SUPERVISION

MEANING OF SUPERVISION:

Supervision means to "oversee or superintend". It has been defined as the authoritative direction and superintending the work of others. However, some writers feel that this is too authoritarian a definition of supervision. Supervision is something more than the use of authority; it has educative aspect too. The different aspects of supervision have been explained by Margaret Williamson in a graphic story. Some new group workers were asked what came to their mind when they heard the term 'supervision'.

The workers replied somewhat as follows:

"Being safeguarded from making mistakes. Being helped by a person who understands. Satisfaction in having a point of reference. Being made to feel inadequate and inferior because of the authority and power of the person over me. Being pushed around." She defines supervision "as a process by which workers are helped by a designated staff member to learn

according to their needs, to make the best use of their knowledge and skills and to improve their abilities so that they do their jobs more effectively and with increasing satisfaction to themselves and the agency." She has more a humanistic rather than technical approach to the meaning of supervision. Supervision should be distinguished from inspection and investigation though the latter are the tools of the former. Inspection is to check compliance with instructions and investigation is to deter or detect wrong doing. Hence, both are negative in character. But supervision is more positive in character; it is consultative and advisory in nature. In fact, it has many ingredients.

In the words of Halsey, it is "selecting the right person for each job, arousing in each person an interest in his work and teaching him how to do it; measuring and rating performance to be sure that teaching has been fully effective, administering correction where this found necessary and transferring to more suitable work or dismissing those for whom this proves ineffective; commending whenever praise is merited and rewarding for good work; and, finally, fitting each person harmoniously into the working group—all done fairly, patiently and tactfully so that each person is caused to do his work skilfully, accurately, intelligently, enthusiastically and completely." Thus, supervision is a broader concept. It is more positive than negative. It implies consultation, advice and guidance. The employees turn to their supervisor for guidance and advice whenever they face problems in doing their job.

PHASES OF SUPERVISION:

There are three phases of a supervisor's job:

(1) Substantive or technical.

(2) Institutional, and

(3) Personal.

(1) Substantive Aspect:

A supervisor must know the technique and the 'know-how' of his work because he has to plan the work, assign duties to others and set standards of performance.

(2) Institutional Aspect:

A supervisor has to run the agency or unit under his charge according to the established rules and procedures and within the framework of policy. He should ensure that the work is well

done and on time. He has the responsibility to see that all employees are regular and punctual in their duties and that there is proper conservation of equipment and supplies.

(3) Personal Aspect:

Authority alone cannot get work out of others; hence, it is the job of the supervisor to create interest and enthusiasm among the workers. Real authority must flow from within. As Miss Follett has put it "Authority should arise within the unifying process. As every living process is subject to its own authority evolved by, or involved in, the process itself, so social control is generated by the process itself or rather, the activity or self-creating coherence is the controlling authority." So that such an authority may arise from within an organization, a supervisor must be humane, sympathetic, considerate and master of the art of human relations.

H. Nissen gives a list of eleven principal duties of a supervisor which are as under:

(i) To understand the duties and responsibilities of his own position,

(ii) To plan the execution of the work,

(iii) To divide the work among the subordinates and to direct and assist them in doing it,

(iv) To improve work methods and procedures,

(v) To improve his own knowledge as technical expert and leader,

(vi) To train the subordinates,

(vii) To evaluate the performance of the employees,

(viii) To correct mistakes, solve problems of employees, and develop discipline among them,

(ix) To keep subordinates informed about policies and procedures of the organization and about the changes made therein,

(x) To cooperate with colleagues and seek their advice and assistance whenever needed, and

(xi) To deal with employees' suggestions and complaints.

METHODS OF SUPERVISION:

Millet suggests the following six methods or techniques of supervision:

(i) Prior Approval:

Prior approval or advance review is a very common method of supervision by the headquarters over field establishments. It means that before taking any initiative outside the framework of policy, the field establishments must get prior approval of the headquarters. In India, prior approval of the Ministry of Finance, besides the approval of the departmental heads, is needed if a project has financial implications.

This arrangement of prior approval benefits both the subordinate agencies in so far as they are in a position to get guidance from the headquarters and the headquarters in so far as it is able to exercise detailed control over the progress of projects. This also affords scope for removing misunderstandings and rectifying errors well in time. In the words of Millett "In this way the approving level is able to obtain detailed information about the intentions of the operating unit.

Management thus learns how the general plans have been interpreted and how it is proposed to carry them out. If there is some misunderstanding, it can be corrected before work is actually begun. If the general plans are inadequate to meet particular situations, modifications can be affected by approving the individual project. If instructions have not made clear the priorities and emphasis which top management wishes observed, the approval technique may be used to right the balance." There are, of course, disadvantages to this approval process. It is time-consuming, results in mass of paper work in the central office, interposes delays, creates diffidence on the part of operating heads and may sometimes lead to personality clashes between the operating heads and top management. In times of crisis, this system can put a premium on the efficient working of field stations.

(ii) Service Standards:

Service standards mean fixing norms for performance. The top management can lay down certain targets or standards for the operating agencies to achieve. This will not only provide guide-points to the operating agencies but shall also become a means for determining how effectively they have been doing the jobs assigned to them. In government service, these standards of performance have an added importance. In the words of Millett "Service standards are necessary in government in order to ensure that work is done promptly and properly. In any large organisation there is likely to be a definite tendency to establish routines 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." It may, however, be mentioned here that standards fixed must be fair, exact and concrete and must be judged objectively. In certain intellectual type of activities, these standards are somewhat difficult to determine because of the immeasurable nature of work.

(iii) Work Budget:

Budget allotments are a very powerful means of exercising supervision. Budget is not simply an array of figures; it is a tool of control over administration. Budget allotments fix the magnitude of the work to be done in a given time and the operating agencies have to work within these allotments. The top management's control becomes effective as these operating agencies are not given a free hand to spend money as and when they like. "He who pays the piper calls the time" and this applies quite appropriately on the top-management, which is budgetary allotting authority. "The advantage of this technique is that it enables top management to fix certain limits to the work to be done but leaves the decision about actual operations to the operating unit. The work-budget allotment is then a method of delegating authority and of encouraging local initiative while still retaining a central control over the magnitude of the work as a whole."

(iv) Approval of Personnel:

No government agency is given complete freedom in the matter of recruitment of personnel except for recruitment of insignificant subordinate staff. Normally, this work is entrusted to a central personnel department commonly known as Public Service Commission. The central agency can exercise control over subordinate operating units by providing for prior approval of certain appointments made by them.

(v) Reports:

A standard practice in supervision is to require operating units to submit periodic or ad hoc reports about their activities to the central office. Such reports provide information on the basis of which the central office can evaluate the performance of the operating units. Seckler-Hudson broadens the scope of reporting so as to include the entire field of communication. According to him, "it reaches not only upward, downward, outward, and around within a given organization, it must reach across to other agencies doing similar work, and up and out to the government wide agencies and the office of the President." Here, however, we are concerned only with internal management reporting whose purpose is to inform management.

In the words of Millett "These reports may be narrative or statistical; they may embrace the broad scope of all major activities, or they may be confined to a few essentials; they may emphasize achievement or deficiencies in performance." It may, however, be mentioned that a report defeats its purpose if it gets unduly lengthy. Hence voluminous reports should be avoided.

(vi) Inspection:

Inspection is one of the accepted techniques of supervision. The purpose of inspection is to see whether the field agencies are doing work according to the established rules and procedures and whether their performance is up to the expectation of the central office. It is not a fault-finding process as we might think. It is meant "to acquire information. It helps to clarify management purposes and intentions. It helps acquaint top management with the operating problems facing subordinate levels of management. It helps build personal relationships of mutual acquaintance and confidence**."**

Inspections are generally conducted through three agencies:

(a) By the superiors of the work of subordinates. This is almost in-built in the hierarchical structure.

(b) By the headquarters' inspection staff specially deputed for the purpose of inspection.

(c) By a separate outside Inspection Agency or Department as Inspectorate of Government Office in U.P.

What should constitute an inspection team?

What should be the periodical interval between first and second inspection?

Whether inspection should be scheduled or unscheduled?

Whether it should be conducted by administrative or technical staff or by both?

These are the questions which are highly debatable and only experience must answer.

QUALITIES OF GOOD SUPERVISORS:

Everybody cannot be a good supervisor. Besides the fact that he should be fully equipped with the knowledge of rules and regulations of his agency, he must possess certain qualities required of a good supervisor.

Prof J.M. Pfiffner lists eight such qualities:

(1) Command of job content—expert knowledge of the work to be supervised.

(2) Personal qualifications—co-operative spirit, evenness of temper, honesty, ability to attract, to motivate, to enthuse and unite others.

(3) Teaching ability—ability to communicate with the workers and to make them understand management point of view.

(4) General outlook—he must love his job and inspire others.

(5) Courage and fortitude—ability to undertake responsibility and act decisively.

(6) Ethical and moral considerations—freedom from vices having social disapproval.

(7) Administrative technology—capacity to organize, coordinate and direct.

(8) Curiosity and intellectual ability—mental alertness and flexibility, responsiveness to new ideas and practices.

According to Halsey, these qualities are:

1. Thoroughness:

A supervisor should collect all the detailed information relevant to the issue.

2. Fairness:

He must be fair, considerate and truthful towards workers.

3. Initiative:

He must combine in himself courage, self-confidence and decisiveness.

4. Tact:

It is "the ability to win the loyalty and support of others by saying and doing those which give them a feeling that they are playing an important part in whatever is being done."

5. Enthusiasm:

It is "an intense and eager interest in and devotion to a cause, a pursuit, or an ideal."

6. Emotional Control:

It is channelization of emotions in the right direction. An effective supervisor must provide sound leadership. His supervision should neither be too close as to defeat initiative nor too little as to lead to inefficiency. It should be employee oriented in style and produce group cohesiveness. An important problem which arises in regard to good supervisors is about their selection.

TRAINING OF SUPERVISORS:

Training of supervisors has been a debatable subject. There are persons who believe that supervisors are born; they are not made. Hence supervisory skill is not teachable. But there are others who believe that supervision is a technical skill which can be acquired and developed by proper training. In the words of Halsey, "It .has been demonstrated time and again that almost any person of normal intelligence and sincere desire to be of service to people, can acquire considerable skill in the art of supervising people, if he will study its principles and methods and apply them thoughtfully, conscientiously, and persistently. The personality of the successful supervisor of people is made up of a number of qualities and these qualities are made effective through the use of certain definite techniques.

I believe, too that the qualities necessary to success in supervising people can be developed and that the required techniques can be taught and skill in their use made permanent by practice. I believe that because I have seen it done by both old and new supervisors, and seen their departments improve as they became better supervisors. During the World War II, large-scale training of supervisors was undertaken in the U.S.A. in the three essentials of supervisor work through the so-called 'J' programme consisting of Job Instruction Training, Job Methods Training and Job Relations Training. Among the new training programmes, 'work simplification' is getting very popular both in private and business organizations. On the job training programmes through refresher courses, seminars and conferences should be started on a massive scale in India to make our supervising staff better equipped with the techniques of good supervision.

HUMAN RELATIONS OF SUPERVISION:

The quality and performance of supervision in an administrative agency depends on a large extent upon the personal relations of supervisors to employees. The days of authoritarian leadership are over and the term 'command' has to be replaced by the term 'persuasion'. As Mr. Henry Reining has put, "the days of the straw boss who shouted his orders and cracked his whip are over." Only if employees are generally satisfied with the type of supervision which they get in an organization will they put forth their best efforts. Professor Pfiffner has rightly summarized the importance of human characteristics of supervision in these words. "The pattern of leadership desirable in supervisory positions is based upon behaviour that emphasizes co-operation, participation, consultation, and satisfaction for the egos of the rank and the file, even though the strong leader may have to subdue his natural desire for self-assertion and self-display."

At another place he writes, "The supervisor on the lower levels secures cooperation and production by de-emphasizing his own ego, stimulating group participation, and encouraging the maximum satisfaction of individual egos that is consistent with co-ordination." The Hawthorne experiments (Elton Mayo group) and Michigan Studies have proved that "employees can be most effectively motivated by people-centred and democratic leadership and by favourable institutional environment."

The Michigan Studies have suggested the following conclusions:

(1) It appears that the closer or more exact the degree of supervision exerted by a foreman, the lower the level of output by a work group. Conversely, the more general the degree of supervision exercised by a foreman, the higher the level of production by a work group.

(2) The kind of supervision exercised by a foreman tends to reflect the kind of supervision to which the foreman in turn is subject. If a foreman is closely supervised by his own superior, he will tend to supervise closely the work of his group.

(3) The foremen who take a major interest in the individual workers—that is, are "employee-centered"—tend to be associated with groups having high levels of production output. Foremen who take a major interest in production processes as such, i.e., are "production centered"—tend to be associated with groups having low output records.

Supervisors in high-production groups tend to have a considerable interest in the off-the-job problems and activities of employees.

(4) The foremen of groups with high-production outputs tend to spend more time on supervisory duties and less time on direct production work than foremen of low-production groups. In particular, foremen in the high-output groups spend a good deal of time in planning the work to be done and in performing special, skilled tasks.

On the other hand, foremen in low-production groups spend more time in doing ordinary routine tasks. In other words, a successful manager devotes more attention to "responsibility" job than to "work" job.

(5) The foremen in high-production output groups tend to encourage group participation in considering common tasks, tend to be helpful rather than punitive in dealing with those having a poor output record, and tend generally to be satisfied with their own job set-up.

(6) The foremen in groups with a high-production output are usually willing to train their personnel for job advancement, even though this means breaking up the "team."

The above conclusions definitely suggest that effective supervision depends in the last analysis upon "supervisors who understand people not just in groups but as individuals, different from one another, with varying interests and desires. Supervision means harnessing the productive energies of many persons into a common endeavour so that the desired output is realized to the fullest extent possible. No such objective can be realized without full attention to the peculiar characteristics of the people who make up any organization." It may, however, be mentioned that some later researches made at Ohio State University (by E.A. Fleishman, Edwin F. Harris, and Harold E. Burtt of Bureau of Educational Research) have contradicted the Michigan

Studies generalizations. They have proved that extreme 'soft' type of supervision does not pay; rather it adversely affects the morale of employees. of course, they do not suggest a return to pre-Hawthorne production-oriented supervision but nor do they out rightly advocate "employee-oriented" leadership. In fact, a middle ground has to be accepted, i.e., a supervisor should be both production-oriented as well as employee-oriented.

In the words of Seashore "If a leader abdicates his interest in and responsibility for production it has an adverse effect on both productivity and morale. 'Soft' leadership, over-emphasis upon consideration, is not conducive to high morale. A moderate amount of emphasis on production is required to avoid both low production and low morale…."

CONTROL

Synopsis
- ❖ **Introduction**
- ❖ **External Controls**
- ❖ **Legislative actions**
- ❖ **Judicial Remedies**

Introduction

The civil servants play vital role in the modern social welfare states. The public servant today is not a mere docile executor of the public policy but is very largely its initiator and formulator. In fact, he is the main-spring of administration. He supplies the expert knowledge to the administration and being an expert, he controls the administration. He enjoys wide discretionary powers and exercises great influence in the body politic. It is but necessary that means be devised to secure effective control over public servant lest he may become irresponsible and despot. Administration is a means of public welfare. The people have a live interest in seeing that public administration is both responsible and efficient. The public officials should be made responsible to appropriate authorities. They must be liable to give a satisfactory account of the exercise of their powers. There are certain controls through which administrative responsibility is enforced.

Broadly speaking, there are two main types of controls, namely, - (i) external (or political) controls, and (ii) internal (or administrative) controls. The external controls operate upon the administration from the outside. They work within the general constitutional structure and may differ from country to country. Thus, administration in the U.S.A. with a Presidential system of government may not be responsible to external bodies to the same extent as in Great Britain with a parliamentary government. The internal controls are those which operate within the administration itself. These are fitted into the administrative machinery and work automatically as the machinery moves. Both the types of controls, external and. internal, are supplementary and complementary. As we know the administrative machine of the present times is very vast and complicated. In a simpler society the political administrator can be held responsible for everything that goes on inside his department since he is able to know all that is happening within his sphere of responsibility.

But today, the situation is very different. It has become difficult for the political administrator to maintain close link with the administration. It has, therefore, become necessary that external controls must be supplemented and completed by administrative controls acting within. Thus, internal controls and external controls are supplementary. It is only if both the controls work satisfactorily that the administrative machine will work efficiently. First, we shall take up the study of external controls.

External Controls over Public Administration:

The external control over public administration may be considered from four main standpoints, namely – of the executive, of the legislature, of the judiciary and of the community, respectively.

A. Executive Control over Administration:

Every official is responsible to and under the control of his administrative superiors who are known as Ministers in a Parliamentary Government. The minister is responsible for all what goes within his department. The doctrine of ministerial responsibility is a cardinal principle of Parliamentary system. If a mistake is made by a civil servant in a Department, The Minister in charge of the Department is held responsible when if he knew nothing about it or he was not consulted by the official concerned before taking the action. In India, ministers had to resign for the mistakes committed by the officials in their departments.

The minister or executive exercises control over administration through the following methods:

1. Political Direction:

The Minister has the power of direction, control and supervision. He has full authority to manage and direct his Department. His writ runs throughout the sections and branches of the Department. He lays down the policy and looks to its implementation. He issues directives to the departmental, officials. No important decision can be taken without bringing the matter to his notice. He may concentrate the entire authority in his hands and reduce the Secretary to a cipher. He may call for any and every file and issue the direction that no action on particular kind of matters will be taken except by him. He may go round the Department in order to supervise it's working. He may issue orders to eradicate red-tapism and increase efficiency.

He may transfer the officials from one branch to another and make changes in the allocation of work. In short, the officials work under his general direction, control and supervision. In other words, the departmental officials are directly and wholly responsible to him. However, it may be noted that in actual practice civil servants are not always dictated to by the ministers, but they also lead and dictate. Being experts the civil servants exercise substantial influence on the Ministers in the policy-formulation and its implementation. Secondly, it may also be noted that the extent of control of a minister over his department rests on his political position. If the minister enjoys the full confidence of the Prime Minister and has a strong base in the party, he can deal effectively with bureaucracy. But if he is politically non- assertive his control over administration may be weak. A strong-willed Prime Minister may reduce a minister to mere a non-entity. Thus, a minister's control over administration depends not only on the legal or constitutional system of the country, but also upon his political strength.

2. Budgetary System:

The budgetary system which determines the total financial and personnel resources which no department may exceed gives the executive an effective means of control over administration. The civil servant has to work within the budgetary allocation. He cannot spend a single penny without the proper sanction from the higher authorities. The money is to be spent according to the financial rules. Proper accounts are to be maintained which are subject to audit. Under an effective budgetary system, the administration is under the constant control of the executive.

3. Recruitment System:

Another important means of executive control over administration is recruitment system. Generally, recruitment to civil service is placed in the hands of Public Service Commission—an independent body. The general rules of recruitment are laid down by the Government. The qualifications, experience, age, etc., required for different posts are determined by the executive. It has also the power to exclude certain posts from the purview of the Public Service Commission. To the higher posts of the civil service, the executive has a free hand. The ministers select their own secretaries and heads of departments. Thus, through their appointees, they exercise full control over the administration of the department.

4. Executive Legislation:

The executive exercises power of legislation which is termed 'Delegated Legislation'. The Legislature passes an Act in a skeleton form and empowers the executive to fill in the details. The rules framed by the executive have the force of law. The scope of administrative law-making is very wide in the modern social welfare states. These administrative rules determine the authority of the different officials in the department. The executive control on administration is constant and continuous. According to Prof Nigro, "Executive controls are most important for their positive development and enforcement of standards and safeguards in the actual operation of substantive departments". They give a positive and continuous guidance to the administration. They keep the administration always alert. Executive controls are not negative or coercive but positive and corrective, Prof Nigro says, "The closest most influential form of control is in my judgment that of executive agencies of the auxiliary type. I must risk the heretical statement that a good budget staff and a good personnel office will do more to preserve the liberties of the people than a good court, because they will be in operation long before a potential wrong is done."

B. Parliamentary Control over Public Administration:

In all systems, parliamentary or presidential, control of the administration by the legislature is important. In a parliamentary system, such as in India or Great Britain, it is of primary importance because all state activities emanate from the legislature. The cardinal principle of parliamentary system is the responsibility of the executive to the legislature. The executive therefore cannot afford to be irresponsible. It has to be responsible for each and every act of its civil servants. The responsibility of administration is thus indirect because it is enforced through the executive.

The official cannot be called to the floor of the House to explain his act. It is the Minister who shoulders the responsibility for the administrative acts of his department. If he is unable to satisfy Parliament, he has to quit office. Sometimes, the entire ministry may have to quit the office because ministerial responsibility in a parliamentary system is collective. Thus, we find that the legislature's control on administration is indirect, i.e., through the executive.

The various means through which the legislature in a parliamentary form of government enforces responsibility are the following:

1. Law-Making Process:

The legislature makes the law which determines the organisation, functions and procedures of public administration. A new department may be created to give effect to a particular law enacted by the Parliament. However, the legislature's control through the law-making process is very general. It is difficult, if not impossible, for the legislature to attempt to lay down in details the administrative procedures to be followed. Generally, the task of laying down the detailed rules is left to the executive which is known as 'Delegated Legislation'. But the executive makes the rules within the ambit of its authority delegated by the legislature. It cannot transgress the limits of its authority. Sometimes, the legislature may require these rules to be placed before it for approval. In India we have a committee on Delegated Legislation to examine these rules and report back to the House about their authenticity. Just as the legislature may create new powers and functions, similarly it may make changes in them. It may also give the executive the power to make essential adjustments. Thus, in a general way the organisation of public administration is determined by the legislature.

2. Question-Hour:

In the parliamentary system, the ministers are the members of the legislature. They attend its sessions and are present in the House to reply to the questions put by the members of the legislature. In every parliamentary system, there is the practice of setting apart one hour of Parliament's meeting time for questions which is called 'Question-Hour'. The members may ask questions regarding any act or omission of administrative authorities, from the highest to the lowest. The Ministers concerned prepare their answers and reply to the questions on the floor of the House. Supplementary questions may also be put. Through questions public grievances can be ventilated, administrative lapses may be brought to notice and information on any matter may be solicited. The questions keep the civil servants alert.

They have to brief their Minister to enable him to answer the questions. It necessitates the careful record-keeping of every transaction or case, for there is no knowing about what matter a question may be tabled. Sometimes the questions are so embarrassing to the government that it is compelled to take immediate appropriate measures. Hugh Gaitskell once said, "Anybody who has ever worked in a Civil Service Department would agree with me that if there is one major thing which leads Civil Servants to be excessively cautious, timid and careful and to keep records which outside the civil service would be regarded as unnecessary, it is the fear of the Parliamentary question."

The question exercises a very healthy check on administration. W.B. Munro says, "It is an effective check upon those bureaucratic tendencies which are bound to appear in every government. It keeps the experts responsive to a body of laymen. As a palladium of his rights and liberties it is worthy to be ranked with trial by jury and the writ of Habeas Corpus." Although the motive of these questions may be political, i.e., to sink the minister at whom they are directed or the government to which he belongs, yet they play an important part in the mechanism of control over Public Administration. The question hour has been described as a searchlight turned on the activities of administration. Due to Parliamentary questions, administration is carried against a background of awareness of responsibility to Parliament and the public.

This keeps the administration 'open'. Albert C. writes, "There is no more valuable safeguard against maladministration, no more effective method of bringing the searchlight of criticism to bear on the action or inaction of the executive government and its subordinates. A minister has to be constantly asking himself not merely whether his proceedings and the proceedings of those for whom he is responsible are legally or technically defensible, but what kind of answer he can give if questioned about them in the House, and how that answer will be received." The device of questions, according to Lowell, helps greatly "not only to keep the administration up to the mark, but to prevent growth of a bureaucratic arrogance." In short, questions represent a very powerful method of parliamentary control over administration. The Question Hour in the Parliament keeps the civil servant on his toes. It compels him to be alert and circumspect in his actions and often prevents acts of petty injustice commonly associated with bureaucracy.

3. Budgetary System:

A more effective means of control over administration by the Legislature is through the budgetary system. We have seen earlier that budgetary system places control of the administration in the hands of the executive. However, at the same time it enables the legislature also to exercise a varied control over administration. The legislature passes the budget every year and authorizes expenditure. No money can be spent by the administration without proper authorization from the legislature. With its control over the national purse the legislature defines closely the activities which the departments may undertake. It is commonly said 'one who pays the piper calls the tune.' When the budget is before the Parliament, the members get an opportunity to review the functioning of administration. The members criticize the policies of the government and bring to light its failures. The Ministers take note of such criticisms and make necessary changes in the administration. Though in a parliamentary system, the legislature cannot turn down the Executive's request for grants so long as the Executive has majority in the House, yet the budget provides an occasion for the Parliament to review, scrutinize, examine, criticize and influence the functioning of public administration.

4. Audit and Report:

The activities of government are now-a-days so widespread that the legislature does not have the time for detailed investigation of the financial transactions of administration. This is done by the Auditor and Comptroller-General who in India is a creation of the Constitution. He functions independent of the executive control and is to all intents an officer of the legislature. He audits all expenditure from the revenues of the Union or States, incurred in and outside India and ascertains whether moneys shown in the accounts as having been disbursed were legally available for and applicable to the service or the purpose to which they have been applied or charged and whether the expenditure conforms to the authority who governs it.

Audit brings to notice of the Parliament procedural and technical irregularities and lapses on the part of administration. The officials are held to account for such irregularities and lapses on their part. The Public Accounts Committee of the Legislature thereafter scrutinizes the Report and reviews the financial dealings of the different departments of the Government. It reports back to the Parliament and the latter discusses Auditor General's Report according to the findings of the committee. Besides, in India and U.K., Estimates Committee examines the estimates of the Ministries before they are voted upon by the Parliament. The recommendations

of the committees are considered by the Government and non-implementation is to be brought to the notice of the committees.

5. Debates and Discussions:

Debates and discussions are a very important occasion for the Parliament to examine and scrutinize the activities and efficiency of various governmental agencies. The inaugural address of the President, the Budget Speech, introduction of a bill for amendment of an Act or enactment of new law, introduction of Motions or Resolutions provide an occasion for debates and discussions. When the President opens the session of the Parliament, the speech delivered by him is discussed in the Parliament before a 'Vote of Thanks' is passed. In the course of discussion, the members of Parliament criticize the administration for its lapses and failures. The Budget Speech of the Finance Minister provides another opportunity to the Parliament to review and criticize the functioning of administration. Budget debates, it may be said, are very important from the viewpoint of parliamentary control over administration. These debates are known as the great annual national "inquisitions". At the time of considering demands for grants of the various departments, the Parliament examines and scrutinizes the working of the whole department. Whenever a bill is introduced for enactment of a new law or amendment of an old Act, the Parliament again gets an opportunity to review the functioning of administration.

There are several other devices of drawing the attention of the Government to a problem pertaining to administration. Among such devices we may include different motions such as No-confidence Motion, Adjournment Motion, Censure Motion and Call-Attention Motion. The meaning of No-confidence Motion is simple. It is a motion expressing lack of confidence in the Ministry on account of some of its serious lapses, failures and inefficiency. If passed, it will lead to resignation of the Government. According to the Rules of Procedure of Indian Parliament, a No confidence motion must be supported by fifty members for its admission. The Adjournment Motion is introduced to discuss a definite issue of urgent public importance. Something very grave such as terrorists attacks in Bombay on November 26, 2008 which affects the whole country, its safety, its interests and all that is happening must have occurred to substantiate the urgency of the Motion.

The ostensible purpose of an adjournment motion is to censure the Government and influence its decision. Consent of the Speaker and support by at least fifty members of the House is essential for admitting the motion. A censure motion can be moved against the Ministry or an

individual minister or a group of ministers for their failure to act or not to act or for their policy, expressing regret, indignation or surprise of the House. A Call- Attention Motion may be introduced by a member of the Parliament with the permission of the chair to draw the attention of a Minister to a matter of urgent public importance and request him to make a statement thereon.

In the Indian Parliament, there are two other occasions for discussing the administrative activities of a department. These are:

(i) Half-an-hour discussion, and

(ii) Short Discussion.

The half-an-hour discussion follows the Question-Hour. When a member feels dissatisfied with the answer given to his question, he may request the chair to allow Half-an-Hour discussion on the particular matter which was the subject of his Question. During this short discussion of half-an-hour, the House may extract more information on the subject, may seek further clarifi-cation of the policy, may ventilate the public grievances or put more pressure upon the Govern-ment to modify its policy. The Business Rules of the Indian Parliament also provide for short discussions on a matter of urgent public importance for a short time not exceeding two and a half hours. The value of debates and discussion is that they compel the Government to explain and defend particular issues of their policy at length. It also enables the opposition to expose the weak points of administration.

Speaking about the importance of debates and discussions as a means of control over administration, Shri N.V. Gadgil says "In brief by question and debate, administration is kept under constant and continuous review. The most trivial detail may be fraught with enormous consequences as the opposition utilizes its whole time in spotting the Executive's weak points, and once it catches them it has boundless opportunities to hammer them constantly."

6. Appointment of Committees:

The appointment by the legislature of committees from its own membership is another method of exercising control over administration. In the Indian Parliament there is a Committee on Assurances. The Ministers make some promises or assurances on the floor of the House in the course of debates, discussions and questions. It is the duty of the parliament to see that the assurances given to the parliament are implemented by the Government. Before the setting up of Committee on Assurances it was left to the individual members to keep a watch whether

promises were being implemented. But since the creation of this Committee, it is the function of the Committee to see that promises made to the House are fulfilled.

The Committee scrutinizes the assurances, promises and undertakings given by the Ministers from time to time on the floor of the House and reports on:

(a) The extent to which such assurances, promises, undertakings have been implemented, and

(b) Where implemented whether such implementation has taken place within the minimum time necessary for the purpose. The establishment of the Committee on Assurances has greatly strengthened the machinery of Parliamentary control over the administration. According to M.N. Kaul, it "has helped not only to keep vigil on the administrative efficiency, but has also helped in removing many of the defects inherent in the previous system. The Ministers are now careful in giving promises and the administration is prompt enough to take action on the promises given. The various Ministries of the government are now conscious of their duties towards Parliament."

The other committees which help the Parliament to keep close watch over administration are the Estimates Committee, the Public Accounts Committee, the Committee on Public Under-takings and the Committee on Subordinate Legislation. The Public Accounts Committee, Esti-mates Committee and the Committee on Public Undertakings are mainly concerned with financial administration. The role of these Committees in maintaining parliamentary control over public finances and appropriations has been described elsewhere. The Committee on Subordinate Legislation scrutinizes and examines the administrative legislation, i.e., rules, orders and regulations, made by the executive in pursuance of the power delegated to it by the Parliament. This Committee has performed very useful functions and keeps subordinate legislation under control. In addition to the above committees, the Parliament also appoints special committees from time to time to make enquiry into any particular matter. These Committees interview officials and public men, gather evidence, collect material and report back to the House.

Their report is discussed in the House which again throws the administration open to criticism. The Committees are thus a highly effective means of exercising control over administration. We have described above the methods of legislative control over administration in a par-liamentary system.

According to certain critics, the role of legislature in this regard is quite limited on account of following reasons:

First, the size of the legislature is large one. On account of its large size it cannot exercise effective control. Second, the members of the legislature are laymen whereas the members of administration are very technical and specialized. Third, its decisions are general and it is greatly dependent upon the executive for the content of legislation. Fourth, the majority of the members belong to the ruling party and there are few chances of no-confidence motion or censure motion being passed against the government. Fifth, the financial committees do post-mortem work. They check the expenditure after it has been incurred. Sixth, in parliamentary system the legislature is a tool in the hands of the cabinet.

Last, most of its criticism is political, the chief end being to dislodge the government. Whatever the limitations, the legislator enjoys a privileged position vis-a-vis administration. By free and unfettered discussions on the floor of the House he can exercise healthy influence upon the administration. But continuous and constant pin-pricking makes the minister and bureaucrats in his department timid and reluctant to shoulder responsibility. Such a practice eventually proves harmful to proper functioning of Parliamentary democracy which is based on harmonious combination of the amateur politician and expert administrator.

Legislative Control over Administration:

Whatever has been said above of legislative control over administration holds true of parliamentary system. Under the Presidential system of government of U.S.A. most of the means of legislative control described above are not available. Thus, the legislature in a Presidential system can neither put questions to the Ministers nor can it pass a No-confidence or Censure Motion against the government. The executive does not sit in the Congress. It does not necessarily have the majority support in the Houses of Congress.

Under a Presidential system the Congress can exercise control over administration through the following methods:

(i) It defines the organisation, powers and duties of the administrative authorities.

(ii) It appoints legislative committees for investigation of administration;

(iii) It makes laws laying down policies, methods and procedures;

(iv) It controls the national purse, sanctions expenditure through appropriation acts, fixes the purpose and amounts of expenditure, passes tax legislation and examines the accounts and audit;

(v) It has the power of impeachment of the President. The House of Representatives frames the charges and the Senate sits as a Court of trial. Two-third in both the Houses is essential to remove the President from the office.

C. Judicial Control over Administration:

Judicial control over administration means the powers of the courts to examine the legality of the officials' acts and thereby to safeguard the rights of the citizens. It also implies the right of an aggrieved citizen to bring a civil or criminal suit in a court of law against a public servant for wrong done to him in the course of discharge of hiss public duty.

L.D. White explaining the importance of judicial control writes:

The system of formal external control over officials and their acts falls primarily into two main divisions – that exercised by the legislative bodies and that imposed by the courts. The purpose of legislative supervision is principally to control the policy and the expenditure of the executive branch, the end sought by judicial control of administrative acts is to ensure their legality and thus protect citizens against unlawful trespass on their constitutional or other rights".

Cases of Judicial Intervention:

Judicial intervention is restrictive in nature and sometimes limited in its scope. Firstly, the courts cannot interfere in the administrative activities of their own accord. They can intervene only when they are invited to do so by any person, who feels that his rights have been infringed or are likely to be infringed as a result of some action of the public officials. Secondly, the courts cannot interfere in each and every administrative act, as too much of judicial action may make the officers too much conscious and very little of it may make them negligent of the rights of citizens.

In the words of L.D. White : "At one extreme, the vigour of judicial control may paralyse effective administration, at the other the result may be an offensive bureaucratic tyranny, exactly where the balance may be best struck is a major problem of judicial administration relationship."

No hard and fast principles can be laid down for judicial intervention, but the courts intervene in administrative cases on the following grounds:

i. Lack of Jurisdiction:

Every officer has to act within the limits of the authority given to him and also within a specified geographical area. If he acts beyond his authority or outside the geographical limits of his powers, his acts will be declared by the courts as ultra vires and hence ineffective. As, for example, in India it is expressly laid down in the Constitution that no government employee shall be dismissed by an authority below in rank the authority which appointed him otherwise the action of dismissal shall be declared ultra vires due to lack of jurisdiction, for instance, in the case of R.P. Kapur, I.C.S., Commissioner, Patiala Division, the Court held that the Governor of Punjab could not suspend Mr. Kapur because he was appointed by the King in Great Britain and after Independence, it was the President of India and not the Governor who could exercise this power—Governor being lower in rank than the appointing authority.

ii. Error of Law:

A public servant may misinterpret the law and may impose upon the citizens duties and obligations which are not required by law. A citizen who has suffered on account of this has the right to approach the court for damages.

iii. Error of Fact-Finding:

Thirdly, there may be cases in which the official has erred in discovering facts. He may wrongly interpret facts or ignore them and thus may act on wrong presumptions. This may affect a citizen adversely and so there may be ground for bringing a case in a court of law.

iv. Abuse of Authority:

If a public official uses his authority vindictively to harm some person, the courts can intervene and punish him if he is found guilty of using his authority to take a personal revenge.

v. Error of Authority:

Above all, public officials have to act according to a certain procedure as laid down by laws and if they do not follow the prescribed procedure, the courts have a right to question the legality of their action, on appeal from the party affected. For example, law requires that an employee should be served with the notice of the charges before any action of suspending or

dismissing him can be taken against him. Suppose the officer takes action against him without serving a proper notice, then his action shall be declared null and void by the court.

In the words of Mr. N.V. Gadgil:

"Whether the action of administration is desirable or not is not open for judicial review but whether the administrator was competent to take that action and whether in doing so he followed the prescribed procedures are certainly matters in which the court can interfere."

Judicial Remedies for Suing the Government:

Judicial control can be in the form of suing the State or the Government itself or the public official concerned for his wrongful acts. The position regarding the suability of the Government and public officials differs in the countries following the system of Rule of Law or the Administrative Law (Droit Administrative). The Rule of Law system prevails in England and her Dominions and other Commonwealth countries including India, U.S.A. and Belgium. The Administrative system is practiced in France and other countries of continental Europe. The system of Rule of Law implies that everybody, high or low, official or private citizen is subject to the same ordinary law of the land and that the official cannot take shelter behind the State sovereignty in defending himself. To repeat what Dicey said; "with us (English) every official, from the Prune Minister down to a constable or collector of taxes is under the same responsibility for every act done without legal justification as any other citizen." That means that the State cannot be held liable for the wrong acts of its officials even if they have done an injury to a citizen while working in their official capacity and that the officials themselves are personally liable for their wrongful acts.

The State thus enjoys immunity from liability in torts, i.e., it cannot be sued for damages and a suit can be brought for damages only against the official responsible for doing a wrong or causing an injury. This remedy is hardly of any use because the damages decreed by the courts cannot usually be recovered due to the impecunious condition of officials. An agitation was carried in England to improve the system. After long agitation the position was improved by the passage of the Crown Proceedings Act of 1947, which makes the Crown i.e., the State liable for torts committed by its servants.

But there are two exceptions, namely:

(i) The prerogatives of the Crown to defend the realm, the administration of armed forces, labours and aliens, and suppression of disorder are outside the field of liability and a certificate from the Government to this effect relieves it of such liability, and (ii) The state is not bound to produce before the court secret documents by way of evidence. In U.S.A. subject to a few exceptions, the State is still immune from tortuous liability of its officials. The exceptions are the admiralty and maritime jurisdictions, and the power given to Post Master General to settle claims involving personal injury or property, the damage claimed not exceeding $ 500. In regard to the states also, the general position is the same, i.e., no state can be sued in tort except with its own consent expressly given, usually by statutory enactment. The federal government cannot be sued in State Courts nor State Governments in federal courts. But in U.S.A. the State is still immune from tortuous liability of its officials.

In India the stability of the State is governed by Article 300 of the Constitution. The Article provides that the Union of India and the Government of a State may sue or be sued, but the circumstances in which a suit against them would lie are to be laid down by the law of the Parliament and the State Legislatures, and subject to such legislation, the position would continue to be what it would be "if this Constitution had not been enacted." The position is that the State is suable for contracts but the position about the torts is not clear. In the Case of Rao vs. Khusal Chand, the Bombay High Court has held that the Government cannot claim any immunity from illegal acts under S. 176 of the Government of India Act, 1935, when it illegally requisitions land under the Bombay Land Requisition Ordinance.

Except in case of strictly 'sovereign' acts, the Government of India is liable for all unlawful acts of its servants. About 30 years back, the question of liability of the State Government arose when the Supreme Court upheld the Rajasthan High Court's Order, allowing compensation of Rs. 15,000 against the State for the tortuous act of one of its employees—driver of a Government jeep who knocked down a person on the footpath, causing him multiple injuries, which resulted in his death. The State's main contention was that it was not liable for the tortuous act of its employee. Dismissing the appeal of the State of Rajasthan, the Chief Justice, Mr. B. P. Sinha, of the Supreme Court, in his judgement delivered on February 2, 1962 held that a State would be as much liable for the tortuous acts of its employees, committed during the course of their employment as any other employer.

The immunity of the Crown of the United Kingdom was based on the old feudalistic notions of justice, namely, that the King was incapable of doing a wrong and therefore he could not be sued in his own courts. In India ever since the time of the East India Company the sovereign has been held liable to be used in tort or in contract and the common law immunity never operated in India. Now that we have by our own Constitution established a Republic, a socialistic State with its varied industries and other activities, employing a large army of servants there is no justification in principle or in public interest that state should not be held liable vicariously for the tortuous acts of its servants. However, two years later, the Court all but departed from the previous decision. It was an interesting case. Ralia Ram was arrested by three constables on a wrong suspicion of carrying stolen property and taken to a police station in Meerut. Gold weighing 103 tolas and silver weighing more than two maunds were seized from him and kept in police custody.

When Ralia Ram was later released, the silver was returned to him but, oddly, not the gold. He filed a suit for the recovery of the gold valued at Rs. 11,000. The State alleged that the gold was in the custody of Mohammed Amir, head constable, who had misappropriated it and gone away to Pakistan, and contended that it was therefore not liable for the loss. The trial court held that the police were negligent and that the State was liable to compensate Ralia Ram for the loss. On appeal, the Allahabad High Court set aside the decree and dismissed the suit. Ralia Ram went in appeal to the Supreme Court and the Chief Justice held that negligence was no doubt committed by the police officers but even so the State was not liable for this act.

The Court, relying on the distinction made in the Bombay case held that; "In the present case, the act of negligence was committed by the police officers while dealing with the property of Ralia Ram which they had seized in exercise of their statutory powers. Now, the power to arrest a person, to search him and to seize property found with him, are powers conferred on the specified officers by Statute and in the last analysis, they are powers which can be properly characterised as sovereign powers." "And so, there is no difficulty in holding that the act which gave rise to the present claim for damages has been committed by the employee of the respondent during the course of employment; but the employment in question being of the category which can claim special characteristic of sovereign-power, the claim cannot be sustained and so, we inevitably harp back on what Chief Justice Peacock decided in 1861 and hold that the present claim is not sustainable." A distinction was thus made between the sovereign functions and non-sovereign functions of the State. The liability of the state for the

tortuous acts of its servants extends only to the non-sovereign functions and not to sovereign functions.

Since the distinction between the two kinds of functions is not always logical or clear, therefore, the court observed:

"Before we part with this appeal, however, we ought to add that it is time that the legislatures in India seriously consider whether they should not pass legislative enactments to regulate and control their claim for immunity in case like this on the same lines as has been done in England by the Crown Proceedings Act, 1947. It will be recalled that this doctrine of immunity is based on the common lay principle that the King commits no wrong and that he cannot be guilty of personal negligence or misconduct, and as such cannot be responsible for the negligence or misconduct of servants. Another aspect of this doctrine was that it was an attribute of sovereignty that a State cannot be sued in its own Courts without its consent. This legal position has been substantially altered by the Crown Proceedings Act, 1947". The Law Commission examined the whole issue of liability of the State for the wrongs of its servants and laid down three fundamental principles on which legislation should proceed in our country.

The principles were:

(1) "The State should be liable, without proof of negligence, for breach of statutory duty imposed on it or its employees which causes damage.

(2) "The State should be liable if in the discharge of statutory duties imposed upon it or its employees, the employees act negligently or maliciously, whether or not discretion is involved in the exercise of such duty.

(3) The State should be liable if in the exercise of the powers conferred upon it or its employees the power is so exercised as to cause nuisance or trespass or the power is exercised negligently or maliciously causing damage."

In 1965, the then Union Law Minister, Mr. A.K. Sen, introduced a Bill in the Lok Sabha, the Government (Liability in Tort) Bill. It provides, fairly enough, that the Government shall be liable in respect of any tort:

(a) Committed by an employee of the Government or an agent employed by the Government;

(i) While acting in the course of his employment; or

(ii) While acting beyond the course of his employment if the act constituting the tort was done by the employee or agent on behalf of the Government and is ratified by the Government;

(b) Committed by an independent contractor employed by the Government or any of his servants or workmen in doing the act contracted to be done for the Government.

The Bill not only excludes the armed forces from the application of these clauses, but also the police forces from the purview of those proposed legislations on the ground that "the. case of a police constable is not distinguishable from that of a soldier". This is, in fact, the main weakness of the proposed law.

Administrative Law System:

On the other hand, as we saw in the countries where the system of Administrative Law prevails, the liability of the State for the wrongful acts of its officials is fully established. There the officials are tried not in the ordinary courts of law but in the administrative courts which award damages from the public funds to the aggrieved individuals. The State may later deal with its officials at fault as it thinks fit but so far as the citizen is concerned, he sues and obtains damages from the State. The protagonists of this system contend that, firstly, it frees the administrative authorities from the jurisdiction of the law courts and hence secures promptness, fearlessness and efficiency in administrative action.

Secondly, it is contended that the Judges, who are only experts in the law and know nothing about the technicalities of administration or executive exigencies, should not be entrusted with the task of settling administrative disputes. Administrative disputes should be decided from the point of view of public and not from the legal point of view. Hence, the necessity of administrative law which ensures decisions of administrative actions by administrative experts. Thirdly, the system provides remedies to the citizens against the wrongful acts of the officials, whether high or low, at a very low cost and rather with greater ease than is possible under the Rule of Law System. The French Council of State has been working with perfect smoothness, independence and impartiality and people look upon it with respect, pride and confidence.

According to Mr. C. K. Allen, "The remedies of the subject against the State in France are easier, speedier, and infinitely cheaper than they are in England today. It has become a maxim of constitutionalists and a bulwark of French democracy that the Council of State is the greater buffer between the public and the Bureaucracy." Prof J.H. Morgan writes, "What Administrative Law does in France, and still more in Germany, is not to exempt public officers from responsibility whereas in this country (i.e., England) they would be liable, but to extend that liability to cases whereas in this country they would be immune".

Certain Exceptions to the Rule of Law (U.S.A., U.K. and India):

It may be mentioned here that even in countries following the Rule of Law System, there are certain people like the Head of the State who enjoy legal immunity and are not amenable to the ordinary courts of the land. For example, the British Monarch is completely immune from legal liability in respect of any of his or her acts done in public or private capacity. **"The King can do no wrong"** is a legally accepted phrase in England. The American President is also immune from any legal proceedings during the term of his office. He can only be impeached by the Congress and it is only after his removal from office that he can be tried in ordinary courts for crimes committed by him as President. In India personal immunity from legal liability is granted to the President of the Union and Governors of the States for any act done in exercise of their powers and duties as laid down in the Constitution. During their term of office, they are immune from any criminal proceedings even in respect of their personal acts.

Civil proceedings in respect of their personal acts are permissible even during their term of office but only after two months' written notice stating the nature of the proceedings, the cause of action, name, address, etc., of the party concerned, and the relief claimed. The Ministers have; however, no such immunity and they are, therefore, liable for crimes and torts and are amenable to the ordinary courts. The judicial officers also enjoy immunity and cannot be sued for any decision taken by them in the discharge of their official duties. The other officials can be sued both in civil and criminal cases. Civil proceedings can be instituted against an official for anything done in his official capacity after the expiry of two months' notice. No such notice is, however, necessary when the official is to be proceeded against for an act done outside the scope of his official duties. When criminal proceedings are to be instituted against an official for the acts done in his official capacity, previous sanction of the President or the Governor as the case may be, is to be obtained.

Extraordinary Judicial Remedies:

In addition to the judicial remedies of suing the government or its officials, citizens have the following extraordinary remedies also against the excesses of public officials:

1. Habeas Corpus:

Habeas Corpus literally means **"to produce the body of"** The writ of Habeas Corpus is accordingly issued by the courts in the nature of an order calling upon the person who has detained another to produce the latter before it in order to let it know on what grounds he has been confined and to set him free if there is no legal Justification for the confinement. The

purpose of this writ is, thus, to determine whether the person detained or restrained in his liberties. This writ is a powerful safeguard of the liberty of the citizens. The writ of Habeas Corpus is granted as a matter of right and not at the discretion of the court, the court is obliged to issue it, if there is prima facie case for supposing that the person is unlawfully deprived of his liberty. It is something very peculiar that our Constitution declaring India to be a Sovereign Democratic Republic and providing a lengthy chapter on Fundamental Rights of the citizens should authorize the Parliament and State Legislatures to pass laws making a provision for the preventive detention of a person in times of peace.

It is indeed a great limitation on the citizens' right to liberty. But it cannot be helped as there are still some anti-social and subversive elements in our country and to prevent them from becoming a serious danger to the welfare of society or to the security of the state, it is necessary to exercise detention power under the Preventive Detention Act. It is worth mentioning here that this power cannot be used arbitrarily by the executive.

A person cannot be detained for more than three months unless the cause of his detention is investigated by in Advisory Board consisting of persons of the status of a judge of High Court within that period and the Board has reported there is, in its opinion, sufficient cause for such detention. In a democratic country, Preventive Detention Act providing restrictions on the liberties of the people seems most obnoxious. The earlier it is scrapped, the better it would be. No doubt, subversive in the guise of provincialism, linguist, communalism still constitute a great threat to the safety of our country yet the remedy should be sought for, not in the Preventive Detention Act but in the purification of public life through education and other persuasive methods.

2. Writ of Mandamus:

Mandamus literally means **"a mandate"** or **"a command".** The writ of mandamus is a command issued from a common law court of competent jurisdiction directing any person, corporation or inferior court, requiring him or them to do some Particular specified therein which appertains to this or that office and is in the nature of public duty. In short it is a writ issued to a public official to do a thing which is part of his official duty but which he has so far failed to do. This writ cannot be claimed as a matter of right. Its issue is entirely a matter for the discretion of the court and it is not granted if the court feels satisfied that there is an alternative remedy which is self-sufficient and convenient. This writ can, therefore, be issued on the fulfilment of certain conditions. First, the petitioner must prove that he has a legal right

to the performance of a legal duty by the respondent. Second, the right must be a public right and duly sought to be enforced as a public duty. Third, the petitioner should ordinarily be the same person whose right is being infringed. Last the petition must be preceded by the demand for performance of the duty by the respondent and a refusal by the latter, the petitioner must prove that he had for the performance of duty relating to his right upon the public official and that the official had refused to perform it.

3. Prohibition:

The writ of Prohibition is a judicial writ issued by a superior court to an inferior court for the purpose of preventing it from usurping jurisdiction with which it is not vested This writ then commands lower court not to do a thing which it is not legally competent to do. This writ can be claimed as a matter of right. Prohibition should be differentiated from Mandamus. Firstly, a Prohibition writ can be claimed as a matter of right while the Mandamus cannot.

Secondly, Mandamus can be available against any public authority or official, but Prohibition can be issued only against judicial and quasi-judicial tribunals. It is not available against purely administrative or legislative authorities or acts. Thirdly, Prohibition does not require any personal right or interest on the part of the applicant but in the case of Mandamus, he must prove his personal legal right. Though the writ of Prohibition plays some part in connection with the control of administrative tribunals with quasi-judicial functions, it is of too little significance as a measure of control over administration by the court.

4. Injunction:

Injunction is a writ issued by the Court requiring a person to do or refrain from doing a thing. It is called "mandatory" when it requires the defendant to do a thing and "preventive" when it requires the defendant to refrain from doing it. Mandatory injunction thus would appear to be resembling Mandamus because they both command the respondent to do a thing but actually there is a difference between the two. Mandamus cannot be issued against private person while Injunction is usually directed to the parties in the dispute whosoever they may be. Again, the Preventive Injunction resembles Prohibition but the difference between the two is that Prohibition is a writ available against judicial authorities only, while Injunction is a writ against executive officials.

5. Certiorari:

Certiorari literally means to be certified or to be made certain. The writ of Certiorari means the direction of a superior court to an inferior court for transferring the records of proceedings of a case pending with it for the purpose of determining the legality of proceedings and for giving more satisfactory effect to them than could be done in the inferior court concerned. The writ of Certiorari resembles the writ of Prohibition as both are meant to supervise the work of the judicial authority but Certiorari is something more than the writ of Prohibition. Prohibition is only preventive and curative. Prohibition prevents an inferior court from proceeding with a trial but Certiorari enables the superior court to send for record of the proceedings and other of the inferior court, to enquire into its legality and to quash the order if found beyond its jurisdiction.

6. Quo-Warranto:

Quo-Warranto literally means 'what warrant or authority.' The writ of Quo warranto is issued by the court to enquire into the legality of the claim which a party asserts to an office or franchise and to oust him from its enjoyment, if the claim be not well founded or to have the same declared forfeited. The conditions necessary for the issue of the writ are that the office under dispute must have been created by the Constitution or by a statute and should be public and not a private one. Secondly, the tenure of the office must be permanent, i.e., it should not be terminable at pleasure. Thirdly, the persons proceeded against must have been in actual possession and user of the office. The purpose of this writ is thus to try a claim to a public office. The burden of proof to prove his title is on the respondent. The judgment in such proceedings is that of turning out of office if the plaintiff claims and proves his title to the office he is declared installed or otherwise the office is declared vacant. The Supreme Court in India has been empowered under the new Constitution to issue directions, orders or writs in the nature of Habeas Corpus, Mandamus, Quo-Warranto and Certiorari for the enforcement of fundamental rights of the Indian citizens, and the High Courts have been empowered within their jurisdiction "to issue to any person or authority directions, orders or writs for the enforcement of fundamental rights and for any other purpose."

Thus, it would be observed that the powers of the Supreme Court are wider than mere issuing of the traditional writs as it can issue other directions, orders or writs also as may be necessary in a particular case. Secondly, these writs can be issued even against the Government in our country while in England; these writs are issued only against persons. Thirdly, powers of High

Courts are in certain way wider than those of the Supreme Court. The Supreme Court has right to issue writs only for enforcement of fundamental rights given in Part III of the Constitution while High Courts have this right both for the enforcement of fundamental rights as well as tor any other purpose.

Limitations of Judicial Control:

1. In the first place, all administrative actions are not subject to judicial control. There are many kinds of administrative actions which cannot be reviewed by the law courts. Then there is a tendency on the part of the legislature also to exclude by law certain administrative acts from the jurisdiction of the judiciary.

    For example, in India the administration of Evacuee Property Act, 1950 vests final judicial powers in the Custodians and Custodian General of Evacuee Property and the law courts have no jurisdiction to interfere in the decision made under this Act.

2. Second, even in those administrative actions which are within its jurisdiction, the judiciary cannot by itself take cognizance of excesses on the part of officials. It can intervene only on the request of somebody who has been affected or is likely to be affected by in official action. Human nature being what it is, legalism is the last sphere in which it would like to enter We are always reluctant to enter the precincts of judiciary and prefer to continue to put up with minor injustices of administration. That means that a negligible fraction of the cases of administrative excesses would come before the judiciary and that too after a person has already suffered.

3. Third, the judicial process is very slow and cumbersome. The courts follow certain set technical pattern of procedure beyond the comprehension of a layman and then the procedure is so lengthy that it cannot be known as to when the final judgment shall be given. There have been instances when cases have been pending with the courts for years together. Sometimes the decision of the court comes when the damage has been done beyond repair **"Justice delayed is justice denied".** An aggrieved person cannot wait indefinitely to avail himself of the judicial remedy. The dilatory judicial procedure will not in any way console the sufferer or reconcile his afflicted mind. Tired of the delay, he will lose hope and become a victim of bureaucracy.

4. Fourth, sometimes the remedies offered by the law courts are inadequate and ineffective. In many cases, especially relating to business activities, mere announcement of an administrative action or even a reminder concerning a proposed

action may cause an injury to the individual against whom not even a suit can be filed in the law court.

5. Fifth, the government may deprive the person of the remedy granted to him by the court by changing the law or rules thereof In a case the High Court's ordered that the petitioners be promoted to the senior posts of Professors class I and that direct selection for these posts contravenes the provision of the States Reorganization Act in as much as it changes the conditions of service of the petitioners to their disadvantages.

   The Government did promote the petitioners thereby giving effect to the judgement of the court. But after some time, these posts were withdrawn on the ground of financial stringency and the persons were reverted to their substantive posts.

6. Sixth, judicial action is incredibly expensive and cannot therefore be taken advantage of by many people. Filing a suit means paying the court fee, fee of the lawyer engaged and cost of producing witnesses and undergoing all inconveniences which only those who can afford can bear. This keeps many people away from the court who prefer to suffer. On account of heavy cost and great inconvenience the judicial remedies are of little advantage.

7. Last, the highly technical nature of most of the administrative actions saps the force of judicial review. The judges are only legal experts and they may have little knowledge of the technicalities and complexities of administrative problems. Their legal bent of mind may hinder them in arriving at a right decision.

They have to follow the prescribed procedures and observe some formalities. W.A. Robson writes, "The liability of the individual official for wrong doing committed in the course of his duty is essentially a relic from past centuries when government was in the hands of a few prominent, independent and substantial persons, so called Public Officers, who were in no way responsible to ministers or elected legislatures or councils. Such a doctrine is utterly unsuited to the Twentieth Century State, in which the Public Officer has been superseded by armies of anonymous and obscure civil servants acting directly under the orders of their superiors, who are ultimately responsible to an elected body. The exclusive liability of the individual officer is a doctrine typical of a highly individual Common Law. It is of decreasing value today, and is small recompense for an irresponsible state." Besides, the judges have their own whims and prejudices. The cases are decided not on merit but according to these whims and legalistic aptitudes. That is why the modern trend is towards the establishment of Administrative Tribunals which consist of persons expert in technical matters.

D. Community's Control over Indian Administration:

Every popular government is ultimately responsible to the people. "Public administration is in fact, a creation of public opinion, unlikely to transcend its creator in depth of vision and insight except on marginal matters". Though the people generally do not bother about the Governmental machinery as they are busy in their daily pursuits with little time to think of the governmental machinery, yet the fact remains that it is they who set the whole mechanism of democratic government in motion. They elect the head of the State and the members of legislature directly or indirectly. In some countries, they even elect the officials.

Public administration is meant to serve the people and its they who suffer at the hands of irresponsible administration. Therefore, a democratic administration must be responsible to the people.

The formal methods of community's control over administration over public administration are as follows:

1. Election: The head of the State is usually elected by the people directly and indirectly. The Prime Minister in a parliamentary system is the leader of the party returned in majority by the people. The Ministers are the members of the legislature and are elected by the people. The top administrative officials are responsible to these elected representatives of the people. In other words, these officials become indirectly responsible to the people and come under their control. In some countries, like Switzerland and some American States there is the system of electing the administrative officials as well. This system ensures direct popular control over administration but it introduces political considerations into administration and encourages favouritism and patronage. It also may lead to inefficiency and corruption. Moreover, the people are generally ignorant and hence incapable of assessing the qualification and personal achievements of administrators. It is also impossible in a large country to elect all the officials. Hence from the point of view of administrative efficiency, integrity and impartiality, election of officials by the people is undesirable and can hardly be advocated.

2. Recall:

The system of recall is the logical corollary of the election of officials. Under this system, the electors can call for the dismissal of an official before the expiry of his term. The system of recall makes the official continuously subject to popular whims and understanding, and thus neglectful of the correct practices of his profession. However, the system of recall is very rarely resorted to. In Prof. Charlesworth's opinion, "The recall does not reduce the influence of bosses, corporations, or other special interests, it is just as useful and as available to bad

elements as to good. So far as can be determined, it has no warning effect upon an official who is about to make a mistake or to prepare a crime."

3. Pressure Groups:

"Pressure Group is an American term for a section of the public organised and active in the pursuits of some special interests which its members join to promote." Usually a pressure group is a vested group. It is a group of industrialists and traders with organised commercial interests. These pressure groups bring pressure both upon the legislature through 'lobbying' and upon the administration through liaison officers. It is difficult to exactly assess the extent of influence exerted by pressure groups upon administration, as no factual study has so far been made. However, in the United States they are quite active. Miss Belle Zeller opined that "the process of government has become a group process in which organised minorities have become so closely identified with the formal governmental structure itself as to constitute a real centre of political power". According to F.P. Herring, "The future of many civil servants, particularly the ablest and most enterprising, is not in the federal service but in the private employment of the groups in which their official duties bring them into contact."

Herbert B. Bans refers to main legitimate contacts of private interests with the administration as follows:

(i) To put across its own point of view to the policy formulating authorities, the legislature and the administrative agencies.

(ii) To keep themselves apprised of the development of government lest it violates new regulations, provisions, requirements, taxes.

(iii) To keep themselves vigilant against a bureaucratic tendency for more regulations resulting in more control and leading to government operation and ownership.

(iv) To attempt to use the government as an ally in its competition with another industry.

(v) To keep abreast of the changes in the government and comply with even multiplying requirements that the government tends to make of the government.

(vi) To see that bureaucrats and politicians do not make a whipping boy of a business organisation or business in general.

The activities of pressure groups are sometimes useful to the administration. They may convey to the administration the reaction of the vested 'interests' to administrative decisions in time and may thus enable it to adjust its policy and activities so that there may be no opposition from those particular interests. But sometimes these groups employ illegitimate means to

secure an official favour. That leads to corruption and favouritism and destroys the efficiency of administration. The above methods of public control over administration are very general. It is doubtful whether direct controls upon the public administration from outside the executive are desirable. The official cannot take directives from the people nor can he act in accordance with their desires though he may be ultimately responsible to them.

The official in fact should be free from outside interference. The public control should operate on him only through the political executive. No official can serve two masters and so he can owe responsibility only to the executive authorities.

4. Advisory Committees:

A direct link between members of administration and the public has during the recent years appeared in the advisory field. The advisory committees, councils or boards are appointed at different levels of administration from the top to the lower levels. These councils or committees consist of important citizens and of representatives of the special interests. The government departments providing social services have a special need of such councils. Stressing the need of these bodies in administration, the Haldane Committee observed, "So long as advisory bodies are not permitted to impair the full responsibility of Ministers to Parliament we think that the more they are regarded an integral part of the normal organisation of a Department, the more will Ministers be enabled to command the confidence of Parliament and the public in their administration of the services which seem likely in the increasing degree to affect the lives of large sections of the community." According to Laski, "Of the value of advisory bodies, there is now no room for doubt." Sir Arthur Salter has said, "The proper use of advisory bodies is the right answer of representative democracy to the challenge of corporate states as they are an invaluable instrument for breaking administrative measures on to the back of the public."

Though the function of these bodies is merely advisory, but they render a highly positive service to Public Administration. They function as a liaison agency between the public and the officials. They interpret the feelings and interests of the people to officials and the aims and purposes of the official activities to the public. They also help in securing the cooperation of the common citizens in the formulation and administration of policy. According to Warner, "There is a clear field for the advisory bodies and the administration to struggle towards that view of the real problem at issue between them which will provide a balanced, integrated adjustment enabling the administration to move forward with the confidence and success to truly progressive solutions." Thus, it can be safely concluded that these advisory committees have a prominent place in public administration. They have assumed

Governments' public relations work and assigned administration as such a truly democratic character.

5. Vigorous Public Opinion:

The most effective means of community control over administration is a vigorous and informed public opinion. Eternal vigilance is the price of liberty. If the people are politically sluggish and indifferent to what goes on in the administration, they will soon lose their interest and administration will become despotic. The community has to become conscious of its rights and obligations before it can exercise any influence over administration. There should be enlightened public opinion. Decentralization of administration may provide the local community with a better opportunity of intimately understanding and influencing the conduct of public business by the official. In the end, it may be emphasized that an institutional structure, however elaborate and well contrived, cannot by itself be effective to tone up the administration unless the administration itself is permeated by high ideals and carried forward with a sense of dynamic purpose.

Internal Controls:

Internal controls are those controls which operate from within the administrative machinery. They are fitted into the administrative machine and work automatically as the machinery moves. The internal controls range from top to bottom. They exist in every section, branch and department. The administrative machine, as we know, is designed hierarchical, in which one controls the work of the other. There is always a fear of reprimand, of loss of superiors' favour, of the loss of increment, and of demotion and dismissal. While the public administration punishes the nagging and inefficient employees, it provides incentives to the loyal and efficient officials. Since the administrative machine has today become a complex structure, it is necessary to supplement the external controls by internal controls in order to make the machine work efficiently.

The internal controls may be studied under four heads:

1. Finance and Statistics:

Budgetary system is a means of control over administration by the executive and legislature. But budgetary system is also a means of internal control. The budget not only apportions available resources between the various branches but is also a means of guiding the officials.The officials have to keep within the confines of budgetary allocation and follow the

financial procedure and rules strictly. If they exceed the budgetary allocation or fail to confine to financial rules, they will be held responsible for it. The Ministry of Finance and the Comptroller and Auditor-General are the two main agencies which exercise control in this behalf. Numerous forms, proformas, returns, statements have been prescribed which the departments make use of while incurring any expenditure. The accounts are to be maintained in a prescribed manner. Vouchers are to be certified according to rules. Payment is to be made in accordance with the prescribed procedure. There are detailed rules for guiding the officials in money matters. These rules serve as a check upon the administration and reduce the possibility of misappropriation or extravagant expenditure.

Besides accountancy checks there are audit checks to control administration. The audit of the accounts is carried by the Audit Department. The auditors audit the accounts maintained by the department and bring to notice any irregularity or extravagance of expenditure. The official concerned is asked to reply to audit objections. The fear of audit objections keeps the official conform to the financial rules and procedures. The audit report is laid before the Parliament which is referred to the Public Accounts Committee for review and examination. Thus, the accountancy and audit arrangements control the administration from within. Statistics or quantitative measurements are of great value in the exercise of internal controls within the departments. Certain operational standards may be laid down to determine the optimum quantity of work from each employee of a particular category. These standards may be in the form of work units or cost units.

The officials may be asked to produce regular statistics of their activities to indicate their work outputs. A comparison may be made between the work outputs of different branches undertaking similar processes. It may, however, be noted, that statistics are useful in public administration to a very limited extent only. Only certain phases of administration can lend themselves to quantitative measurement. Public administration is not concerned with production of physical goods. Its products are services of various kinds like peace and order, education, health, defence, communication, transport, water and electricity which do not lend easily to quantitative measurement. Much of the administrative work is intellectual rather than manual. Files of a routine nature may be disposed of in dozens in a single day while a file involving a complex matter may take several days for disposal. It may be admitted that exact measurement of work units is not possible in public administration, but it is wrong to say that there are no standards in public administration to assess the work output of an employee.

Urwick says, "There is much nonsense talked about the difficulty of setting standards. It is not difficult. It is always possible to set up some kinds of mark to aim at. At first it may be rather an arbitrary mark. A very useful start is to ask oneself, if, theoretically, it was possible to do a particular job perfectly without any losses due to normal human accidents, sickness, holidays and so on, what would represent 100% performance. Experience in working such a standard and building up the right deductions to allow for each of the factors which make performance fall short of perfection will shape it into a reasonably accurate check on the actual results. The important point is that the administrator should have a mark and force himself to examine and to explain all the reasons for deviation from that mark."

2. Personnel Management:

The second type of internal control over administration is through Personnel Management. The administrative machine is hierarchical in structure. The hierarchical structure of administration provides for clear lines of responsibility. Referring about its importance, the Hoover Commission wrote; Responsibility and accountability are impossible without authority-the power to direct. The exercise of authority is impossible without a clear line of command from the top to the bottom and a return line of responsibility and accountability from the bottom to the top. Under the hierarchical system of organisation everyone is bound up in a single chain of command which makes an officer at a lower level responsible to the officer at the higher level. Another device of control through personnel management is the standardization of establishment norms. The number of personnel required in each department, their grades and salaries, their recruitment and promotion, their retirement and dismissal, their training and transfer and their other conditions of service are laid down by a central agency, the Home Department in India and the Treasury in Britain. The departments are required to adhere to the establishment norms laid down by the Home Ministry. The Central agency should lay down the general conditions and principles of personnel management, the responsibility for detailed management may be left to the separate departments.

For example, the central agency may lay down that a particular class of officers in a department would be recruited through Public Service Commission and provided training before being posted. The department concerned may be left to the responsibility of fixing the qualifications required for the posts and detail out the syllabi and procedure of training. Likewise, the departments can make their own annual leave plans and apply appropriate tests for promotional

selection. There can be little doubt that a good public personnel management is an effective means of internal control over administration. Much will, however, depend upon the sense of justice with which the system is accepted and worked.

3. Efficiency Survey:

Efficiency survey of the work of administrative units is another effective method of internal control. Inspection has always been of great importance in the control of public business. It is particularly valuable in a widespread organisation. The officers from the headquarters go on inspection to ensure that reasonable levels of efficiency are being achieved by the field establishments. There may be a body of expert inspectors too with the duty of making periodical visits to outstations and the authority to carry out a detailed examination of current procedures and results. It is a detailed examination of current procedures and results. It is essential that officials posted to inspection duties should have a wide knowledge and experience of the authority's work and regulations. They should also be skilled in conducting investigations with the least friction with the local officials. Inspection to be efficient must be tactful; otherwise it may do more harm than good.

Another means of efficiency survey is work measurement. In public administration the use of the methods of work measurement is somewhat restricted. Routine clerical operations can be measured but supervisory and administrative operations cannot. The output in one department may not be accurately compared with the output in the other department because of special local conditions and adjustments. However, efficiency audit, as it is called, is needed in public administration. Efficiency audit is comparatively new technique of control. By it is meant the application of standards of performance to administrative activity in order to judge its effectiveness in terms of economy and efficiency. The efficiency auditor concerns himself with such questions as whether each employee has full day's work or more or less, whether the organisation is overstaffed or understaffed, whether the work flow and procedures are economical and expeditious. While budgetary controls go a long way, it is desirable that efficiency surveys should be carried for proper control over administration. A continuous and systematic system of efficiency surveys is called for. It is hoped that the O & M system will find out solutions to the problems presented by efficiency audit.

4. Professional Standards:

It is vital that public officials should cultivate high standards of conduct. Every profession has its professional code of ethics to which the members following the profession adhere. The Government service is also a profession and naturally, therefore, for public servants also there is a professional code of ethics. They should be non-corruptible, loyal, humble, non-partisan, honest, efficient and of integrity. The British civil service is known for its administrative ethics. In India there is a voluminous code of conduct for civil servants but they are mostly observed in breach. Hence what is needed is a self-cultivated code of conduct. There are far more moral lapses on the part of our civil servants. Corruption in civil service is widely prevalent in this country. If the civil service cultivates professional code of ethics, the problem of control over administration would be solved to a large extent.

According to Prof Dimock, "The professional standards, ethics, philosophy, attitudes and ideology of the public service are the surest means of securing a satisfying rapport. Group consciousness and responsibility, although they may lead to exclusiveness are, paradoxically enough, the very forces which can correct the inherent defects of bureaucracy." Professional ethics provides "rules of the game" which do more to control public officials than any external or internal control can do. For the achievement of high professional standards, the responsibility cannot be placed entirely upon the shoulders of the official. The official works in the society and a society in which bribery, corruption, nepotism, favouritism and lawlessness are order of the day cannot have a chaste civil service.

The society must, therefore reform itself. The leaders of the society must come forward and take upon themselves the task of curing the society of its ills. However, the public official can play an effective role in this direction. He is a part of the society but at the same time he is the philosopher and guide, suggesting and correcting society. He himself should set high moral standards before the people. James McCanny has said, "Next and probably most significant of all, the permanent officials of government are responsible to themselves. They must answer to their own consciences, to their own sense of dignity and pride, to the opinions of their fellowmen and to their hopes of esteem for the record they leave behind them, above all to their devotion, to their own honest effort to define the total welfare and to serve it."

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