

30 प्र० राजर्षि टण्डन मुक्त विश्वविद्यालय



इन्दिरा गाँधी राष्ट्रीय मुक्त विश्वविद्यालय



उत्तर प्रदेश राजर्षि टण्डन मुक्त विश्वविद्यालय

UGPA-01 Administrative Theory

FIRST BLOCK : The Nature of Public Administration

SECOND BLOCK : Public Organisations : the Paradigms

THIRD BLOCK : Bureaucracy

FOURTH BLOCK : Concepts in Organisation I

FIFTH BLOCK : Concepts in Organisation II

SIXTH BLOCK : Concepts in Organisation III



UTTAR PRADESH
RAJARSHI TANDON OPEN UNIVERSITY

UGPA - 01
Public Administration
Elective Course I :
Administrative Theory

Block

1

THE NATURE OF PUBLIC ADMINISTRATION

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BLOCK 1 THE NATURE OF PUBLIC ADMINISTRATION

This block has seven Units dealing with the nature of Public Administration. Unit 1 **Public Administration : Meaning and Scope**. It describes the character of the discipline, its scope and the differences and similarities between Public and Business Administration.

Unit 2 **Importance of Public Administration**. It describes Public Administration's theoretical and practical role in the contemporary society, particularly in the developing societies.

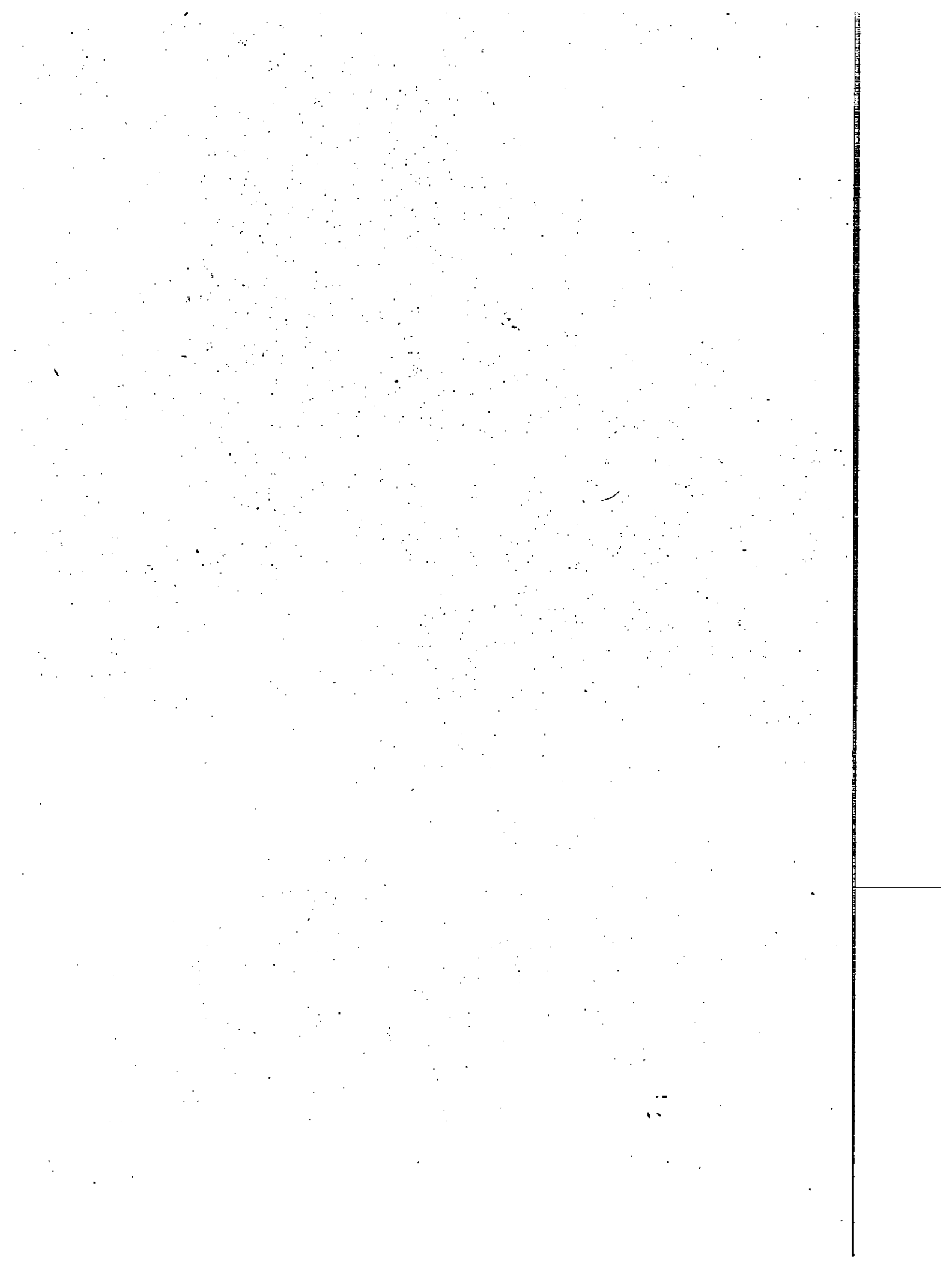
Unit 3 **Public Administration and Other Social Sciences**. It describes the integrated nature of the social phenomenon and the relation between Public Administration and other Social Sciences like Political Science, Sociology, Economics, History and Law.

Unit 4 **Evolution of Public Administration**. It traces the historical evolution of Public Administration, dividing it broadly into three stages, viz., Absolutist, Liberal Democratic and Marxian traditions.

Unit 5 **Comparative Public Administration**. It discusses the meaning, scope and nature of Comparative Public Administration. It also discusses conceptual approaches.

Unit 6 **Development Administration**. It discusses the meaning and elements of Development Administration and the differences between traditional Public Administration and Development Administration. Various instruments of Development Administration are also discussed in this unit.

Unit 7 **New Public Administration**. It discusses the concept, significance, features and relevance of New Public Administration.



INTRODUCTION — ELECTIVE COURSE I: ADMINISTRATIVE THEORY

The University this year is offering the Elective Course I on Administrative Theory. The course would consist of 39 Units sub-divided under six Blocks. The Course intends to familiarise the students first by explaining to them the nature, scope and importance of Public Administration. Though human society have long been governed by some kind of an administrative system or the other, the discipline itself is rather a newcomer in the Social Sciences' family. The discipline of Public Administration has to be understood in terms of its relationship with other Social Sciences such as Political Science, Sociology, History, Law and Economics. These Social Sciences not only affect Public Administration but in turn, are also influenced by Public Administration.

The Public Administration, as we study today, is a product of certain evolutionary processes. It means that we have to study and analyse factors contributing to evolution of Public Administration in recent times. Its true nature and functions can be understood against the background of the nature of administration in various societies : ancient and modern, developing and developed, etc. This necessitates an understanding of Comparative Public Administration, Development Administration etc. To understand the real nature of Public Administration it is being argued, it must not be studied merely as a tool or technique but as something which is concerned with public good and therefore public policy.

Various scholars and authors have made an attempt to study Public Administration from various perspectives. Naturally, depending upon their times, environs, culture, history and technology, various approaches have been adopted for studying Public Administration by various scholars and practitioners of administration. One can get a total picture of the subject while studying and analysing various approaches such as the classical approach, human relations approach, systems approach, behavioural approach, social psychological approach, ecological approach, etc.

In our time, we find that Public Administration in peoples' minds is increasingly being identified with bureaucracy. The working of Public Administration is therefore to be understood in terms of the working of the bureaucracy. Though bureaucracy in some form or other has been known to the human society for a long time, its role and function and its nature in a modern society has been conceptualised and explained by eminent academicians, theoreticians and thinkers such as Max Weber and Karl Marx. The working of bureaucracy in modern times has given rise to variety of problems and issues. What kind of personnel are needed to man the modern bureaucracy, what is their relationship with the growing number of technical and professional personnel in administration; what should remain anonymous and natural or should its face be seen and known; these are all issues which have to be analysed for understanding the nature of bureaucracy and its place in Public Administration.

When we visualise Public Administration, the most common form in which it manifests itself is an organisation. In a way, the growth and development of Public Administration is to be seen in terms of the changing nature of organisations from small to big, simple to complex, local to national and international. Today we find that the organisation is the key to Public Administration; it means that the understanding of Public Administration can be enhanced through understanding of the organisation dynamics and various concepts regarding organisation. This would include such general concepts and principles, as division of work and coordination, hierarchy, span of control, unity of command, centralisation and decentralisation, delegation and supervision, etc. There are other concepts which are also necessary to understand not only the formal structure of the organisation but also an understanding of system of communication and leadership which facilitate and explain the working relationship of human beings who constitute the organisation.

The most common form of organisation found in the Government is the Department and Corporations in recent times. The principles on which these are organised; how authority and responsibility are placed, the financial resources mobilised, allocated and utilised are some other aspects which need to be studied.

The age in which we are living is characterised by the concept of accountability and responsibility. In the ultimate analysis all acts of omission and commission by administration have to be explained to the public, i.e., the common man whom we call citizen in the modern political sense.

As the term Public Administration illustrates — it is to be studied, analysed and understood in terms of all the actions and interactions that take place between the citizens and administration. This is the sum and substance of Public Administration—the subject matter of this course on Administrative Theory.

UNIT 1 PUBLIC ADMINISTRATION :

MEANING AND SCOPE

Structure

- 1.0 Objectives
- 1.1 Introduction
- 1.2 Specificity of Administration
- 1.3 Public Administration Defined
- 1.4 Scope and Domain of Public Administration
 - 1.4.1 The Domain
 - 1.4.2 The Scope
- 1.5 Character of the Discipline
- 1.6 Distinction between Public and Business Administration
- 1.7 Let Us Sum Up
- 1.8 Key Words
- 1.9 Some Useful Books
- 1.10 Answers to Check Your Progress Exercises

1.0 OBJECTIVES

After you have read this unit, you should be able to :

- define Public Administration and state its characteristics
- explain the character of the discipline
- discuss the domain and scope of Public Administration; and
- distinguish between Business and Public Administration.

1.1 INTRODUCTION

You are our undergraduate learner. We appreciate your keen interest in learning Public Administration. We are sure you are anxious to learn all that is given in this Unit. This first unit in the course Administrative Theory, aims at introducing the discipline of Public Administration to you. It explains the meaning and characteristics of the discipline of Public Administration. Public Administration, as an aspect of governmental activity is very old. It is as old as human history. In European languages, the term Public Administration began to creep in during the seventeenth century to separate the absolute monarch's administration of public affairs from his management of his private household. It was a period when the church was separated from the state and the government was superimposed on all other societal institutions within a definite territory. In every society there are some activities like maintenance of law and order and defence which have to be undertaken in public interest. Public Administration as a system of organisation is mainly concerned with the performance of these activities. Political decision makers set the goals for the political system. It is the business of Public Administration to work for the realisation of these goals. At the present stage of man's evolution, Public Administration has proved to be indispensable. The scope of Public Administration has expanded with the rise of the modern administrative state. Its growing importance in the conduct of human affairs is evident in the birth of numerous public laws, growth of public profession, accumulation of huge arms and increasing coverage of taxes and public expenditure. The domain of state functions is almost all-comprehensive in socialist countries. Even the capitalist states have expanded their functions under compulsions of welfare considerations. The post-colonial 'third-world' countries have embarked upon Development Administration to speedily bring about state sponsored socio-economic reconstruction.

1.2 SPECIFICITY OF ADMINISTRATION

In terms of activity, Public Administration is an aspect of a more generic concept - administration. Administration has been defined as a cooperative effort towards achieving some common goals. Thus defined, administration can be found in various institutional settings such as a business firm, a hospital, a university, a government department, etc. As an aspect of this more generic concept Public Administration is that species of administration which operates within a specific political setting. It is an instrument for translating political decisions into reality, it is "the action part of government, the means by which the purposes and goals of government are realised". Nigro and Nigro (1980) have identified the following five important characteristics of Public Administration.

- It is a cooperative group effort in a public setting.
- It covers all three branches — legislative, executive and judicial — and their inter-relationships.
- It has an important role in the formulation of public policy, and is thus a part of the political process.
- It is different in significant ways from private administration.
- It is closely associated with numerous private groups and individuals in providing services to the community.

Check Your Progress I

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

1) Why is the scope of Public Administration expanding?

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2) What are the important characteristics of Public Administration?

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1.3 PUBLIC ADMINISTRATION DEFINED

Public Administration is a specialised academic field. It essentially deals with the machinery and procedures of government activities. Administration has been defined as a cooperative human effort towards achieving some common goals. Thus defined, administration can be found in various institutional settings such as a business firm, a hospital, a university, a government department and so on. As an aspect of this more generic concept, Public Administration is that species of administration which operates within a specific political setting. It is a means by which the policy decisions made by the political decision makers are carried out. Public Administration is decision making, planning the work to be done, formulating objectives and goals, working with the legislature and citizen organisations to gain public support and funds for government

programmes, establishing and revising organisation, directing and supervising employees, providing leadership, communicating and receiving communications, determining work methods and procedures, appraising performance, exercising controls and other functions performed by government executives and supervisors. It is the action part of the government, the means by which the purposes and goals of the government are realised.

Some well known definitions of Public Administration are:

- "Public Administration is detailed and systematic execution of public law. Every particular application of law is an act of administration" — L.D. White.
- Public Administration is "the art and science of management applied to the affairs of the State" — D. Waldo.
- "By Public Administration is meant in common usage the activities of the executive branches of the National, State and Local Governments" — H. Simon.

The 'Public' aspect of Public Administration gives the discipline a special character. It can be looked at formally to mean 'government'. So, Public Administration is government administration, the focus being specifically on public bureaucracy. This is the meaning commonly used in discussing Public Administration. Public Administration, in a wider sense, is sought to expand its ambit by including any administration that has considerable impact on the public. From this standpoint, a private electricity undertaking like the Calcutta Electric Supply Corporation can be considered a fit subject of discussion under Public Administration. It is, however, in the first sense that Public Administration is usually considered.

4 SCOPE AND DOMAIN OF PUBLIC ADMINISTRATION

We shall now attempt to discuss the scope of the discipline of Public Administration. The scope can be studied under two heads:

4.1 The Domain

Public Administration is the complex of governmental activities that are undertaken in public interest at different levels such as the central, state or provincial (in a federal set-up) and local levels. The discipline of Public Administration aims at a systematic study of these activities. Government, as political authority, is the major regulator of social life. With the emergence of democracy and the concept of welfare state, the governmental activities have increased by leaps and bounds. The historical movement has thus been from regulation to service and welfare. The police state has gradually given place to popular governance in the interest of widest possible public welfare in close association with the people themselves. Expanding governmental activities have resulted in expansion of the bureaucracy, creation of different forms of public and semipublic organisations, raising public expenditure, and overall control over public life. Since government has come to have such widespread influence and control over public life, its organisation, basis of authority, functions, finances and impact on society have been subjected to intellectual examination.

The area chosen by Public Administration has generally been "executive action" or the activities of the executive organ of the government. This means really a study of the bureaucracy: its structure, functions and behaviour. But, the other organs of government such as the Legislature and the Judiciary have also been found useful in Public Administration analysis. The policy-forming impetus comes from the legislature, and the legislative committees very often undertake important vigilance and control function. The Estimates Committee, the Public Accounts Committee, Committee on Public Undertakings could be mentioned as examples of such Committees.

Similarly, the judiciary often adjudicates on quasi-judicial issues and passes important judgments affecting executive operations. Judicial administration itself forms a major component of Public Administration. Thus, the study of Public Administration is basically based on the 'executive' no doubt; but an adequate understanding of Public Administration is not possible without taking into account the legislative and the judicial administration as well.

1.4.2 The Scope

It is widely acknowledged that the scope of the discipline of Public Administration has to be wide enough to respond to the complex social realities of today. Major concerns of the discipline are:

Promoting 'publicness': In a democratic society, Public Administration has to be explicitly 'public' in terms of democratic values, power-sharing and openness. This calls for a new climate in the bureaucracy. Public Administration, in practice, has to absorb the principles of democracy as an overarching form of the government.

Policy Sensitivity: As governments are called upon to play increasingly active roles in times of rapid changes and social crisis, innovative and timely policy formulation becomes a prime necessity in the government. This would necessitate a new preparedness within the administrative set-up that had hardly any precedence in the past.

Implementation Capability: Effective policy implementation is going to test the coping capacity of the governments in today's complex situations. Goals have to be clearly set; planning, programming and projections have to be followed step by step; and project management in all its ramifications has to have top priority in government. The strength of administration and the legitimacy of the government itself would depend more and more on the administration's capacity to deliver the goods in time and in response to the demands of the citizens.

Shared understanding of social reality: The capacity to cope with social and administrative complexity can be enhanced by a deliberate policy of organisational openness. The underlying assumption here is the administration needs to understand the diverse interests and influences. In today's complex administrative world, construction of administrative reality has to be based on the shared understanding of its actors such as the men at the top, the middle managers, the employees and the citizens. The centralised, insular bureaucracy does not fit in with the contemporaneous socio-administrative reality.

Administration as a learning experience: Shifting social reality and complex environmental conditions impose certain rigours on Public Administration today. Rusted 'principles' of the past or the administrative recipes of bureaucratic routine are no longer appropriate tools for analysis and problem solving. Public Administration in modern times has to be proactive, innovative, risk-taking, and often adventurous. This new, entrepreneurial zeal is expected to transform 'bureaucracy' into a new kind of learning organisation, more adaptable to changes, more open to new insights and innovations, and more accessible to the clientele.

These are the major concerns of government in all democratic countries. In the developing countries, these have added significance, as Public Administration has a pivotal role to play in the socio-economic reconstruction of post-colonial societies. The discipline of Public Administration cannot live in isolation. It has to develop in close association with the dynamic social changes. As a body of knowledge, it must develop explanatory strength to analyse socio-economic complexity and assist in the ushering in of a new society free of exploitation and human misery, poverty and deprivation of the past era.

Check Your Progress 2

Note: i) Use the space below for your answer.

ii) Check your answer with those given at the end of the unit.

1) Explain the scope of Public Administration.

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5 CHARACTER OF THE DISCIPLINE

The discipline of Public Administration has been evolving over the years under the impact of changing societal conditions, and new developments in the allied Social Sciences. The original disciplinary interest was to improve Governmental performance. This led to its separation from its parent discipline of Political Science. In its enthusiasm to 'reform' government and make the administrative agencies more business-like and productive, Public Administration as a discipline has tilted markedly toward the "management sciences". The accent is on administrative and managerial tools and principles such as budgeting, management techniques, application of operations research methods, computer technology, etc. Such heavy management orientation has tended to rob the discipline of its social science character. It has necessarily parted company with Political Science and most merged itself into management education. The discipline has gradually come to assume a vocational character, the objective being to produce public managers much in the same fashion as the management institutes produce a cadre of managers for the business world.

This shift of disciplinary focus has been questioned by many. While acknowledging the importance of borrowing knowledge from allied disciplines, it has been argued that Public Administration is essentially concerned with nation-building, social regulation and public service activities. Management science orientation and application of management techniques to Public Administration need not be a blind emulation of private management practices. The evaluative techniques of non-profit public organisations have to be significantly different, and the basic orientation and sensitivity of public organisations to public interest brings in certain necessary constraints in governmental decision-making and bureaucratic behaviour. Functioning under the compulsions of public law and under the glare of open public and legislative criticism, the bureaucracy has willy-nilly to follow certain administrative norms that have hardly any parallel in private management. A certain sensitivity to politics and a readiness to appreciate the citizens demands and multiple interests of the clientele are desirable qualities in a bureaucrat. The private manager, by contrast, may afford to be inward-looking and secretive, but not the public servant.

Golembiewski has posed this dilemma of Public Administration as a discipline in terms of choice of 'locus' and 'focus'. 'Locus' stands for the institutional 'where' of the field, while 'focus' is the specialised 'what' of the field. As an academic discipline, for a long time, the place (locus) of Public Administration was, in most cases, with Political Science and at times with subjects like History, Economics, etc. So far, the question of 'focus' is concerned, in recent years, there has been an increasing tendency to lay emphasis on administrative techniques and not so much on public policy.

Golembiewski has observed, the shifting paradigms (substantive concerns) of Public Administration may be understood in terms of 'locus' or 'focus'; while one has been properly defined, the other has been conceptually ignored in academic circles in turns. Depending on the definition of the substantive concerns of the discipline, Public Administration can exist within the broader field of Political Science or, move away from its mother discipline in a search for a more free-floating professional career in the company of business management or the management sciences.

It may be said that since the 'New Public Administration' movement of the late sixties, there has been an increasing awareness of the basically social science character of the discipline of Public Administration. The vocational orientation of the discipline has been found to be somewhat misguided and supportive of status quo. In turbulent times when social problems cry out for innovative social analysis, a conservative, management-oriented discipline might be inadvertently reinforcing the forces of repression and social regression.

Check Your Progress 3

Note: i) Use the space below for your answer.

ii) Check your answer with those given at the end of the unit.

1) Explain the character of Public Administration.

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1.6 DISTINCTION BETWEEN PUBLIC AND BUSINESS ADMINISTRATION

As earlier observed, the 'management' euphoria at one stage led to a blurring of distinction between public and private administration.

The distinction between the public and the private sector is however, greatly influenced by the political philosophy of each nation. In the USA, for instance, the private sector plays a very important role in the American economy and society. The public sector is in many ways dependent on the private sector for the supply of goods and services. Hence, the tendency in that country is toward a blurring of lines rather than a distinct bifurcation of responsibilities. In India, by contrast, the public sector is slowly emerging as the dominant sector in the context of mixed economy. The steady expansion of the public sector in India, if it continues unabated, is expected to draw a sharper distinction between the public and private management.

Considerations of general welfare should be the common concern of both public and business administration. Private management can ignore the larger public interest only at its peril. At the other end, Public Administration can hardly ignore the needs of efficient management. Yet, the two types are basically different, as discussed below:

- i) The major purpose of Public Administration is to serve the public; hence general welfare and, in specific cases, public satisfaction are the ends that Public Administration must serve. By contrast, business administration is basically oriented toward earning profit for the business proprietors. Inability to earn profit will soon drive a private enterprise out of business.
- ii) Public Administration has to operate strictly according to law, rules and regulations. Adherence to law brings in a degree of rigidity of operation in the public sector. There is always the fear of audit or accountability that acts as a constraint on performance. On the contrary business administration is relatively free from such constraints of law

and regulations. There are of course general laws regulating business, but individual business firms have considerable flexibility to adapt their operations to changing situations. This is possible because of their relative freedom from specific laws and rules that abound in Public Administration.

- iii) The actions of Public Administration are much more exposed to the public gaze. An achievement rarely gets publicity, but a little fault hits the newspaper headline. Organisations like the police have to be on their toes to make sure that their operations do not incur the public wrath. This wide publicity is not to be found in business administration, nor is it so very closely watched by the public and the media.
- iv) In Public Administration, any show of discrimination or partiality will evoke public censure or legislative commotion. Hence, the administrators are to be very consistent and impartial in their dealings with the public. In business administration, discrimination is freely practised due to competitive demands. In the choice of products and in fixing prices, business administration overtly practises discrimination which is almost a part of business culture.
- v) Public Administration, especially at higher levels of government, is exceedingly complex. There are many pulls and pressures, many minds have to meet and discuss, consultations go on in several rounds of meetings before decisions are taken. Activities in one department have ramifications that spread over several other departments. By contrast, business administration is, generally speaking, much more well-knit and single-minded in operation. There is much less complexity in organisation and operations. The pressures are certainly almost non-existent.
- vi) Public Administration as organisation is thus much more complex, compared to business or private organisation. Any unit of government administration is tied up with a network of allied public organisations and has to work in close interaction with them. A private organisation by contrast, has more compactness, insularity and autonomy of action.
- vii) Public Administration has overarching responsibilities in terms of nation-building, and shaping the future society. It is, therefore, much more value oriented. Business organisations have to follow the guidelines laid down by the public authorities.

Check Your Progress 4

Note : i) Use the space below for your answer.

ii) Check your answer with those given at the end of the unit.

1) Distinguish between Public Administration and Business Administration.

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1.7 LET US SUM UP

All societies have their political systems and economic systems, so also they have their Public Administrative Systems. In contemporary societies, Public Administration has proved to be indispensable. Its scope is very wide, It includes all the activities undertaken by the government in public interest. Business Administration and Public Administration have much in common though there are several points of differences as well. In this unit we have discussed the character and scope of Public Administration, and the distinction between Public Administration and Business Administration. In the next unit we will study the importance of the subject.

1.8 KEY WORDS

Absolute Monarch : The King/Queen/Emperor who holds unrestricted/complete power for life.

Capitalist State : State where the ownership and control of capital is in private hands.

Police State: A state in which political stability seems to be dependent upon police supervision of the ordinary citizen and in which the police are given power suitable to that.

Socialist Country : A country where the community as a whole owns and controls the means of production, distribution and exchange.

Welfare State : A state which makes substantial provision through law and administration for deprived sections and those in need, e.g. the sick, poor, elderly, etc.

1.9 SOME USEFUL BOOKS

Bhattacharya, Mohit, 1987. *Public Administration* (2nd Edition) Chapter-I; The World Press Private Ltd: Calcutta.

Golembiewsky, Robert T., 1977. *Public Administration as a Developing Discipline*, (2 volumes); Marcel Dekker; New York.

Henry, Nicholas. 1975. *Public Administration and Public Affairs*; Chapter-I, Prentice Hall: New Jersey.

Nigro, Felix A. and Nigro, Lloyd G., 1980. *Modern Public Administration*; Harper and Row: New York.

Self, Peter, 1972. *Administrative Theories and Politics*, Chapter-I; George Allen and Unwin Ltd: London.

Waldo, Dwight, *Public Administration*, in International Encyclopaedia of Social Sciences.

White, L.D., 1968. *Introduction to the Study of Public Administration*; Eurasia Publishing House : New Delhi.

1.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 1.1
- 2) See Section 1.2

Check Your Progress 2

- 1) See Sub-Section 1.4.2

Check Your Progress 3

- 1) See Section 1.5

Check Your Progress 4

- 1) See Section 1.6

UNIT 2 IMPORTANCE OF PUBLIC ADMINISTRATION

Structure

- 2.0 Objectives
- 2.1 Introduction
- 2.2 The Practical Concern
- 2.3 The Social Science Perspective
- 2.4 The Third World Perspective
- 2.5 Liberal Studies for Citizenship
- 2.6 Contributions of Public Administration
 - 2.6.1 Epistemological
 - 2.6.2 Technical
 - 2.6.3 Ombudsmanic
 - 2.6.4 Liberal-Educational
 - 2.6.5 Professional
- 2.7 Let Us Sum Up
- 2.8 Key Words
- 2.9 Some Useful Books
- 2.10 Answers to Check Your Progress Exercises

2.0 OBJECTIVES

Public Administration is of practical significance to every citizen in the contemporary society. In this unit we shall discuss the importance of the study of Public Administration. After studying this unit, you should be able to:

- describe how Public Administration responds efficiently to diverse public needs and plays pragmatic problem solving role
- explain how Public Administration, as a Social Science, organises knowledge about governmental structure and processes
- recognise and describe the emergence of the sub-discipline of Development Administration; and
- state its contributions to creative citizenship.

2.1 INTRODUCTION

In the first unit you were introduced to the discipline of Public Administration. You have read about its meaning, scope, character as well the distinction between Public Administration and Business Administration. In this unit we will explain to you the importance of the study of Public Administration in modern society.

The importance of Public Administration as a specialised subject of study was well brought out by Woodrow Wilson, the founder of the discipline. In his celebrated essay on 'The Study of Administration' published in 1887, he characterised government administration as the practical or business end of government that could be separated from the rough and tumble of 'politics'. Urging for the establishment of an autonomous field of academic inquiry, Wilson observed:

"There should be a science of administration which shall seek to straighten the paths of government, to make its business less unbusiness like, to strengthen and purify its organisation, and to crown its duties with dutifulness."

2.2 THE PRACTICAL CONCERN

Since government has to respond to diverse public needs, Public Administration's first and foremost objective should be to efficiently discharge the public's business. The Wilsonian

definition of the subject as an efficiency-promoting, pragmatic field was the first explicitly articulated statement on the importance of a separate discipline of Public Administration. This view of the discipline emerged at a time when there had been a felt need for increased social productivity and for a positivistic role of the government as the chief regulator of the social order and a facilitator of socio-economic development.

- Classical administrative theory about which we would discuss in detail in the next block, reigned uninterrupted for about three decades since the beginning of the present century. It laid special emphasis on improvement in the machinery of government. As the tasks of modern administration increased enormously, it was just proper to look into the causes of administrative incompetence. The Haldane Committee Report (1919) in Britain and the President's Committee on Administrative Management (1937) in the United States are examples of official efforts to streamline Public Administration to make it a fit agency of social development. In India, also several committees had been set up during the British period as well as after independence. One of such major effort was undertaken by the Administrative Reforms Commission (1966) which was set up with the identical purpose of making Public Administration a suitable agency for effective and efficient socio-economic development.

The overdependence of administration on "politics" was criticised by the reformers of Public Administration. On the basis of studies made by the practising administrators and academicians, a new faith was born in the form of a "science" of administration that would have great applied value in scientific restructuring of Public Administration.

The classical "principles" of administration have severely been criticised. Despite criticisms they have never been totally discarded. These were the precursors of later-day sophisticated methods and techniques of administrative improvement such as cost-benefit analysis, operations research, etc.

- With increasing social complexity and international tensions, governments everywhere had gradually come to assume more and more interventionist postures. Trade, Commerce and Industry expanded and new kinds of productive enterprise sprang up. There were increasing social demands for State intervention in industrial regulations. Poverty, malnutrition, illiteracy and other social evils had become central concerns of public policy. The era of the laissez-faire state had thus come to an end. Instead, a positivist-interventionist welfare state has emerged steadily.
- The State's increasing concern for social regulation and general social welfare meant a quantum leap in governmental activities. The academic interest in the study of government and administration accompanied this historical expansion in state activities.

As Leonard White has put it:

"In their broader context, the ends of administration are the ultimate object of the state itself—the maintenance of peace and order, the progressive achievement of justice, the instruction of the young, protection against disease and insecurity, the adjustment and compromise of conflicting groups and interests—in short, the attainment of the good life".

- Rising popular demands and expectations from government coincided with a lively interest in "efficiency" in Public Administration. How can governmental activities be made more cost-effective? How can the budgetary practices in government be streamlined and made more and more management-oriented? Are there better ways of organising the administrative machinery? What could be done to ensure a steady and timely flow of skilled and motivated personnel within the governmental machinery? After all, it is popular satisfaction and fulfilment of popular demands that provides the rationale for Public Administration. So, what methods could be invented to monitor popular reactions to administrative action? How can people's satisfaction be measured? Apart from these, larger issues of public policy formulation, policy execution and monitoring and evaluation of policy outcome had come to assume crucial significance in governmental operations. After the seminal contribution of Herbert Simon to decision-theory, Public Administration has received policy science orientation. This has greatly enhanced the utility of the discipline for practical policy analysis and policy improvement in the government. Writers like Dror and Dye have greatly enriched policy analysis as a major area of Public Administration.
- These objectives and practical requirements of government gave a fillip to the academic development of the new discipline of Public Administration. The importance of the new

discipline came to be recognised, as sustained academic inquiry and interest started producing new techniques and methods of improving governmental performance. Public Administration's increasing practical concern for public problem-solving has steadily legitimised its place in the larger family of Social Sciences.

Complexity and larger scale of governmental operations have prompted innovations in organisational designs. In order to meet the needs of rapidly changing social situations, governments have been groping for new organisational formats that would match the specific situational needs. Organisation theory has, in recent years, assumed the character of a well-developed discipline. The theories of organisation have been co-opted by Public Administration and there is widespread application now of organisation theories to administrative design problems. The organisation theory perspective is now an integral part of Public Administration discipline. This has made the discipline much more useful than ever before for organisational development and structural experimentations in government. Thus in recent years the discipline has acquired considerable strength. It is in a position to suggest alternative ways of organising governmental activities to optimise the results.

Application of behavioural science knowledge has also facilitated more sophisticated analysis of public personnel systems. Research as on motivation and morale, group and intergroup behaviour, and interpersonal relationships have produced rich conceptual and theoretical toolkits that are currently being used by Public Administration analysts. The crucial importance of the human element in administration, which was largely ignored in the classical model, is currently being emphasised. As an applied science, Public Administration has thus been of direct use in public personnel management.

2.3 A SOCIAL SCIENCE PERSPECTIVE

So far we have presented Public Administration as a pragmatic and problem-solving discipline. This is a one-sided analysis. Now we will examine an equally important facet of Public Administration viz., its social-scientific status. Since government touches on almost all aspects of life in the contemporary world, how the government is organised and how it operates in practice should naturally attract our attention. The importance of Public Administration as social science lies in its methodical study of government and in attempts to organise knowledge about governmental structure and operations. In this role, Public Administration as a discipline is more interested in providing scientific explanations rather than merely solving public problems.

Administration is looked at, in this perspective, as a social activity. Hence the concern of academic inquiry would be to understand the impact of government policies and operations on the society. What kind of society do the policies envisage? To what extent administrative action is 'class' oriented? In other words, how is Public Administration and what are the immediate and long term effects of governmental action on the social structure, the economy and polity? From this social science perspective, Public Administration, as a discipline, has to draw on a variety of sister disciplines such as history, Sociology, Economics, etc., the objective being to "explain" and not just to "prescribe".

Check Your Progress I

- Note: i) Use the space below for your answers.
- ii) Check your answers with those given at the end of the unit.

1) Explain how the interventionist role of Government is increasing.

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2) How do behavioural sciences help in the analysis of Public Administration?

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When 'Development Administration' is looked as a social activity

2.4 THE THIRD-WORLD PERSPECTIVE

Public Administration's special status in the "developing countries" has been widely acknowledged. The post-colonial, "third world" countries have everywhere embarked upon speedy socio-economic development. These countries have naturally to rely on the government to push through speedy 'development'. This means Public Administration has to be organised and operated to increase productivity quickly. Similarly social welfare activities have to be efficiently and effectively executed. The government-sponsored planned development activities have necessitated the birth of new sub-discipline of "Development Administration", about which you would know more in Unit 5. Based on a series of country studies, Development Administration has emerged as an extremely useful field that has great practical utility in the special circumstances of the developing countries. 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 intervention. All the developing countries in the third world depend on the government's aggressive role in nation-building and socio-economic reconstruction. Development Administration, therefore has emerged as a special sub-discipline to serve the cause of development. This is a distinct branch of the discipline, serving a distinct cause, viz. development.

2.5 LIBERAL STUDIES FOR CITIZENSHIP

Another general utility of Public Administration as a discipline lies in its contribution to creative citizenship. In a democracy, the citizens must be well-informed about what the government does or does not do. Governmental literacy is a sine-qua-non of good citizenship. People must get to know about the organisation of government, the activities it undertakes and the manner in which these are actually performed. As a discipline, Public Administration has ample scope to educate the lay citizens about the machinery and procedure of work in the government.

2.6 CONTRIBUTIONS OF PUBLIC ADMINISTRATION

As already stated, the expanding role of government in every country, especially in the developing nations, has encouraged many-sided inquiries into governmental operations. Since government touches on almost every conceivable aspect of life in a democratic society, the citizens must have access to information about government and about how it is

actually organised and pressed into social regulation and citizens' welfare. Public Administration as an intellectual discipline has, therefore, been gaining in importance with the increasing interventionist role of government in social life.

The importance of a well-developed discipline of Public Administration lies in its five kinds of major contributions to organised social life which we will discuss now.

- epistemological
- technical
- ombudsmanic
- liberal-educational, and
- professional.

1.6.1 Epistemological

The first type of contribution arises out of the discipline's capacity to build up a rigorous, systematic and scientific body of knowledge about governmental structure and operations. Public Administration alone has the exclusive responsibility to study the government in action in all its aspects. In discharging this responsibility, it has been striving to collect reliable information and data, analyse administrative structures and operations, and build explanatory theories for enhancing knowledge about administrative practices.

1.6.2 Technical

The second type of technical contribution of the discipline flows from its first major role as stated above. Since the days of the pioneers like Woodrow Wilson, it has been the endeavour of Public Administration specialists to apply knowledge to actual public problem solving. With reliable theoretical equipment and on the basis of "clinical" studies of administration situation, the technical consulting capacity of the experts in the discipline has increased considerably. Advising government and solving practical problems in administration are legitimate expectations from Public Administration analysts.

1.6.3 Ombudsmanic

The third type of contribution of the discipline can come out of investigative studies of critical sectors of administration. Case studies on citizens' grievances, administrative redress, corruption, etc. may be widely circulated to familiarise the general public, the press and the legislature about the actual goings-on inside the bureaucracy. By disseminating knowledge and information, the experts in Public Administration can play a socially useful role akin to the ombudsmanic institution as established in many countries.

1.6.4 Liberal Educational

Public Administration as a discipline has the fourth important responsibility to create enlightened citizenship. In a democracy, knowledge of how the government and the administration functions must be universally disseminated. This is what can be called governmental-administrative literacy. Public Administration is the only social science discipline that can perform this role of a universal educator of "government and administration" for all the citizens.

1.6.5 Professional

Public Administration has also served the cause of vocationalism. The discipline has been very useful in training civil servants and equipping students to join the professional ranks of practising administrators. Institutes and schools of Public Administration, Public Administration and Public Policy Analysis are engaged in the organisation of professional courses.

Check Your Progress 2

- Use the space below for your answers.
- Check your answers with those given at the end of the unit.

Why Public Administration is of special importance in developing countries?

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2) In which areas can Public Administration contribute to organised social life?

2.7 LET US SUM UP

The importance of Public Administration as a discipline has been highlighted in this unit. Subsequent developments in the discipline in response to both practical problems and academic questions have further enhanced its importance as an autonomous field. In the contemporary world, the burden of public duties on government has been steadily increasing. To expect that the days of laissez-faire would return again is mere day-dreaming. 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 increasingly activist role of government everywhere.

As regards the 'developing' or 'third world' countries, 'Development Administration' as a sub-discipline has a special role to play to systematise knowledge about 'development' as well as to facilitate successful and effective governmental intervention in radical socio-economic reconstruction.

2.8 KEY WORDS

Laissez-faire : Policy of non-interference.

Ombudsmanic : Investigation of individual's complaints against public authorities.

Positivist : One who recognises only positive facts and observable phenomena.

2.9 SOME USEFUL BOOKS

Bhattacharya, Mohit, 1987. *Public Administration*; Chapter-2; The World Press Private Ltd.: Calcutta.

Golembiewski, Robert T, 1977. *Public Administration as a Developing Discipline*; Vol.1; Marcel Dekker: New York.

Henri, Nicholas, 1975. *Public Administration and Public Affairs*; Prentice Hall, Englewood-Cliffs: New Jersey.

Nigro, Felix A, and Nigro, Lloyd G, 1980. *Modern Public Administration*; Harper and Row: New York.

White, L.D., 1968. *Introduction to the Study of Public Administration*; Eurasia Publishing House: New Delhi.

2.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 2.2
- 2) See Section 2.2
- 3) See Section 2.3

Check Your Progress 2

- 1) See Section 2.4
- 2) See Section 2.6

UNIT 3 PUBLIC ADMINISTRATION AND OTHER SOCIAL SCIENCES

Structure

- 3.0 Objectives
- 3.1 Introduction
- 3.2 Social Phenomena: Their Integrated Nature
- 3.3 Public Administration as a Social Science
- 3.4 Relation with other Social Sciences
 - 3.4.1 Relation with Political Science
 - 3.4.2 Relation with Sociology
 - 3.4.3 Relation with Economics
 - 3.4.4 Relation with History
 - 3.4.5 Relation with Law
- 3.5 Let Us Sum Up
- 3.6 Key Words
- 3.7 Some Useful Books
- 3.8 Answers to Check Your Progress Exercises

3.0 OBJECTIVES

In this unit, we shall examine the place of Public Administration among Social Sciences and its relations with other Social Sciences, in particular, with Political Science, Sociology, Economics, History and Law.

After studying this unit, you would be able to:

- describe the integrated nature of knowledge
- explain the inter-relatedness of different Social Sciences and
- describe how the concepts and issues of Public Administration are related to those of Political Science, Sociology, Economics, History and Law.

3.1 INTRODUCTION

From the time of Plato and Aristotle of ancient Greece to the 18th Century, Social Sciences have been regarded as a single subject of study. With analysis of different aspects of it, it has split into different disciplines. Their development was hastened by the Industrial Revolution which gave rise to issues requiring investigation by specialists. The broad division of Social Science into Economics, History, Political Science, Public Administration, Sociology, etc. has proved inadequate to the understanding or the solving of several problems posed by social phenomena. This has led to specialisation in different areas of a subject (e.g. Economics into Applied Economics, Econometrics, etc. Political Science into Political Sociology, Political Anthropology, etc.). As a result it has become increasingly difficult to realise an integrated perspective of social events. Indeed, the writings in Social Sciences in the 20th century testify to the phenomenal expansion of specialisation. However, too much specialisation may lead to unrealistic results ignoring social phenomenon in its totality. It is like missing the wood for the trees. This is so, because, no social event is unidimensional nor does it occur in isolation. It is linked with, economic, political, administrative and social systems of a country. In order to understand the rôle of administrative system of Public Administration in a social setting, it is necessary to know the relationship between Public Administration and other Social Sciences. This unit is designed to help you not only to understand the nature of social phenomena but also to know whether Social Sciences can be regarded as Sciences; what features Public Administration has, as a Social Science and how it is related to other Social Sciences.

3.2 SOCIAL PHENOMENA : THEIR INTEGRATED NATURE

No social event can be studied in isolation without reference to other events. Consider for instance, the policy on Reservation. A good section of people are supporting it and an equal number are opposing it. If it is viewed only as a policy for raising or reducing the percentage of reservations we would be facing difficulties. We have to take into consideration its root cause which is the outcome of the historical development of the Indian society. This means that we have to analyse the social, economic, political and cultural aspects of reservation policy in order to be able to formulate it in such a way as to meet the ends of social justice and ensure national progress. Likewise, with regard to the problem of growing inefficiency in public offices you have to take into account a whole spectrum of policies ranging from the recruitment policy through educational policies to the absence of 'achievement' motivation. Then only you will know what has caused it. If you view inefficiency only as a matter of discipline in the offices you may not be able to solve the problem of inefficiency.

Check Your Progress I

Note : i) Use the space given below for your answer

ii) Check your answer with those given at the end of this unit.

1) Explain the integrated nature of social phenomena with illustrations.

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3.3 PUBLIC ADMINISTRATION AS A SOCIAL SCIENCE

One of the problems faced by almost all Social Sciences is the absence of some important features of a Science. The main features of a 'Science' are (a) exactness, (b) validity and (c) predictability. Sciences have laws which are verifiable. Sciences follow a systematic procedure of observation, investigation, experimentation, the building of a hypothesis, verification of the hypothesis by facts, tabulation, classification and correlation of facts, etc. in order to arrive at conclusions that can be put forward as generalisations. Thus exactness, universal validity and predictability are ensured.

As observed by Aristotle, a great Greek Philosopher, Art is to do and Science is to know. If Science is called a systematic body of knowledge, it can be acquired only through the application of the scientific method. At first, knowledge was viewed as a single entity in which various subjects of study could be regarded as different dimensions of it. Later, we find subjects divided into sciences such as Physical Sciences, Life Sciences and Social Sciences. But just as the way we call Physical Sciences which deal with physical phenomena as exact Science or Sciences, we cannot call Social Sciences which deal with human beings as Sciences. The reason is that, the social phenomena in which human beings play a major role cannot be studied in as rigorous a way as the physical phenomena can be. Moreover, no Social Science can claim such exactness as to be able to make predictions. This, however, does not mean that it is impossible to evolve valid laws about human behaviour. The contribution of Sigmund Freud to Psychology cannot be ignored. The point is that the level of exactness which is attainable in Physical Sciences is not possible in

ocial Sciences. 'Facts' in Physical Sciences, unlike those in Social Sciences, need not be related to any prescribed setting or context.

o be regarded as Science, Social Sciences have to have principles which are of universal applicability and validity. While some subjects in Social Sciences can claim to have developed such principles, the others can prove no such claim. The reason is that human behaviour is so complex that it is difficult to account for it, using the same principles in every context. For example, no political scientist can trace certain political developments to any one cause. However, you should not assume that there are no principles in any discipline of Social Sciences. Not all Social Sciences have such principles to which the criteria of exactness, universal validity and predictability can be strictly applied. The scientific methods which are used for arriving at accurate results, are now being borrowed by Social Sciences. The behavioural movement which has called for extensive use of empirical techniques for the scientific study of human behaviour, has made an inter-disciplinary approach possible. It is against this background that we shall consider Public Administration as a Social Science.

Public Administration deals with certain aspects of human society. Various public organisations are supposed to serve the public in different ways. To the extent to which the Public Administration deals with the public, Public Administration can be called a Social Science. Public Administration is a Social Science having techniques and abstractions of its own concerning the concepts of action and its own problems of theory. It is vitally concerned with the integration of knowledge in other Sciences, physical, biological, and psychological. Further, Public Administration relies on the method of observation rather than that of experimentation. Although experimentation in a laboratory is not possible in the case of Public Administration, the advent of behaviouralism has made it possible.

Public Administration appears to be both positive and normative. Questions of 'What is' and 'What ought to be' are as much relevant to Public Administration as they are to Political Theory. Public Administration has been passing through various stages of theory making. In other words, it is a discipline in the making.

Check Your Progress 2

- i) Use the space below for your answer
- ii) Check your answer with those given at the end of the unit.

Explain the distinction between the nature of Physical Sciences and that of Social Sciences.

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RELATION WITH OTHER SOCIAL SCIENCES

Now consider the relation between Public Administration and other Social Sciences, viz. Political Science, Sociology, Economics, History and Law.

Relation with Political Science

The inter-relationships among Social Sciences, those between Political Science and Public Administration stand apart from others. Political Science, according to a Social Scientist, is concerned with the study of "authoritative allocations of values". It focuses on the relationship between the State and individual. It provides answers to questions concerning

the origin and nature of the State and also considers the institutions through which the members of society exercise power. For a long time Public Administration has been regarded as a part of Political Science. About 100 years ago Woodrow Wilson called for the separation of Public Administration from Political Science on the ground that 'the field of administration is the field of business'. Following Woodrow Wilson, Frank Goodnow, yet another protagonist of the separation of Public Administration from Political Science has observed that since a large part of administration is not directly connected with politics it needs to be removed from the control of political parties. Writers from the US were largely influenced by the above mentioned argument and emphasised the need for overcoming the ill-effects of the 'spoils system' according to which the party coming into power replaces the officials appointed by its predecessor with those chosen by it to run administration. However, the hundred years old history of Public Administration brings out the severe limitations to which the growth of Public Administration as an independent discipline is subjected. It is therefore, not surprising that the contemporary theoreticians of Public Administration have advocated its re-unification with its parent discipline, i.e. Political Science.

We know that the political system of every country is related to its administrative system. Indeed, it is the country's political system which creates its administrative system. Conventionally speaking, Political Science deals with policy making and the implementation of policies is left to the administrators. Thus the administration is charged with the responsibility of translating the political will of a country into practical forms of action. However, this is easier said than done. Again, it would be noted that the administration plays a significant role in the formulation of policies also. It follows that the political system and administration influence each other to such an extent that it will be sometimes difficult to demarcate between the roles played by them respectively in the given case. In a parliamentary government like India, while the minister, as a political leader and member of Cabinet participates in policy making, but as the top boss of the Ministry/Department, is also involved in administrative decision making. Similarly though the civil servants are supposed to administer/implement the policy-decisions, the senior administrators are also involved in policy-formulations by way of providing data/information/advice to the Minister. As has been pointed out by some writers, the character and form of administration of a country are influenced by its political system. If this view is accepted, it may be asked whether one can understand the administrative system without understanding the political system. For instance, in a democratic system of governance the bureaucracy (or the administrative system) is expected to obey its political master. In such a case the concept of bureaucratic neutrality put forward by Weber (a German Sociologist who is considered an authority on types of bureaucracy) does not hold good.

Administration is regarded as a powerful agent of change in most of the developing countries. But, the nature of the State itself in such countries is the root cause of poverty, inequality and injustice. In such cases we have to examine the prevalent political system before we analyse the role of Public Administration in the country concerned. Thus the separation of Public Administration from Political Science, according to some critical observers, denies us the requisite 'political approach' to Public Administration. For instance, the study of the Indian Political system, the historical evolution of Indian Administrative System, the debates in the Constituent Assembly and the basic constitutional law which are all subjects of Political Science would alone provide an insight into the process and the working of the Public Administration in the country. In fact, there are certain areas of study common to Political Science and Public Administration such as Public Policy, Comparative Constitutions, and Local Government. Again, Government is regarded as a continuous integrated process comprising different functions—Legislative, Executive, Administrative. Considered in this light, the scope of Public Administration is not a routine process but a dynamic process involving considerable discretion. Studies in administration, therefore, focus not only on policy formulation but also on political parties, pressure groups, public opinion, etc. The methods and techniques of Political Science are borrowed extensively by researchers in Public Administration also, which includes public policy, public welfare and public interest. The relationship between politics and administration is so close that they may be regarded as the two sides of a coin.

Check Your Progress 3

- Note : i) Use the space below for your answer.
ii) Check your answer with those at the end of the unit.

Illustrate the relationship between Political Science and Public Administration.

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4.2 Relation with Sociology

Sociology is concerned with the scientific study of social structure. It is a Science which studies the form of human actions in society. It also studies the inter-relatedness of the other Social Sciences. It is called by some a 'super science' unifying the generalisations of the other Social Sciences. Post colonial societies continue to be in the grip of an all pervasive bureaucracy. They are marked by inequalities of every kind. This is why the policies and their implementation in such countries need to be studied within a broad framework of class, caste and power. American scholars like Riggs and Presthus have brought out clearly the undifferentiated nature of social reality characterised by a close nexus between society, polity and its administrative system.

Administration as we are aware, operates in the context of the society of which it is a part. Hence, just as the society is concerned with goals, values, belief systems, so also should be the administration. Thus we notice a two way relationship: administration exists in a social setting and the pattern of administration theoretically is determined by society. Through administrative leadership the society may be influenced. Sociology is concerned with the human behaviour in a group, the various types of groups and the ways in which they influence human instincts and activity. Administration is a cooperative endeavour in which, a large number of people are engaged in achieving certain objectives. The administrators themselves form a distinct group known as bureaucracy which, while maintaining its identity frequently interacts with its social environment. If the organisation is big enough there will be small groups and even sub-groups within it. These small groups and sub-groups have their own loyalties, sympathies, antipathies, ethics, outlook which would influence the administrative apparatus. Sociology offers to Public Administration information about groups, their behaviour, and the way they affect social life. It is, therefore, not surprising that writers regarded as eminent in Public Administration primarily belong to Sociology. Max Weber's essay on bureaucracy has influenced many other writers in Public Administration. Some of the recent works in Sociology on status, class, power, occupation, family, etc., provide useful information and a theoretical base for the Sociology of Public Administration.

The classical theories of administration tell us about the importance of structures in administration, considering human behaviour to be static. The contemporary theories, regarding it as being dynamic, investigate why a particular decision is taken by an administrator in a particular situation. In the course of such an investigation the study of social background of administrators will be found necessary. The tools developed by Sociology are made use of by the scholars of Public Administration in order to understand the sociology of administrators. A notable work in this field is that by V. Subrahmaniam on the social background of Indian Administrators. The interest in studies of the representativeness of a country's bureaucracy makes for the study of the relationship between Sociology and Public Administration. If one looks at the administrative structures engaged in the reconstruction of societies, especially those of developing countries, one will find that the bureaucracy is engaged in community action.

A good number of institutions/universities offer a course in Social Administration as part of the Postgraduate and other programmes. Premier institutes like the Tata Institute of Social Sciences are offering special training programmes to the officials of welfare agencies like Tribal Development, etc. The National Institute of Rural Development conducts special training courses for the personnel of All India Services which are intended to acquaint the administrators with the sociology of rural India.

Check Your Progress 4

Note : i) Use the space below for your answer.

ii) Check your answer with those given at the end of the unit.

3.4.3 Relation with Economics

"Economics is a science concerned with those aspects of social behaviour and those institutions which are involved in the use of scarce resources to produce and distribute goods and services in the satisfaction of human wants." This definition of Economics may be said to have been modified by the well-known economist, L. Robbins, who defines it as "the science which studies human behaviour as a relationship between ends and scarce means which have alternative use."

These definitions suggest that economics is as much concerned with human behaviour as any other Social Sciences.

The major objectives of administration during 18th and a good part of 19th century were maintenance of law and order and collection of revenue. In the wake of Industrial Revolution there occurred a radical transformation of the concept of the State. This was due to its being compelled to become more responsive to the needs of the masses, especially the working classes than ever before. Industrial Acts fixing working hours and minimum wages extended an enormous pressure on the administration. Goals like the establishment of a socialist society led to the expansion of the role of administration in development. Those industries which had been hitherto managed by the private sector had come under the direct administration of the government. The fast growing Public Sector (i.e. industries directly under the government) illustrates the relationship between Economics and Public Administration. Indeed, the expanding role of the Public Sector and direct intervention of the government to regulate extreme swings in the economy place a great burden on Public Administration.

Planning has been chosen as the means to realise the goal of Socialist society. If efficient implementation of plans ensures goal attainment, the task of the administrators is to choose methods for effective implementation of plans. The administrators today have been entrusted with the responsibility of managing railways, insurance companies and tackling issues concerning agriculture, banking, etc. They, therefore, have got to have an understanding of the economic problems of the country.

The ancient classic Arthashastra, is not only a treatise on the art of administration but also a reference book on Economics. In several other respects, Arthashastra points out the close relationship between Public Administration and Economics.

3.4.4 Relation with History

According to E.H. Carr, 'history is a continuous process of interaction (between the historian and his facts) an unending dialogue between the present and the past'.

History provides an insight into the past. The study of historical background of a country enables us to understand its administrative systems. Historians have recorded not only political events like battles and the deeds of rulers but also particulars of administration. For instance, L.D. White in his books on the early history of American administration, administrative history of Medieval England provided useful material for understanding the systems of administration of those times. History tells us how administrative problems arose in the past and how they were solved.

Significantly, modern historians have been paying increasing attention of the prevalent administrative systems. This augurs well for Social Sciences like Public Administration since it will provide valuable information to them.

3.4.5 Relation with Law

According to Malinowski, Law is 'sanctioned norm'. According to Goodhart, Law is any rule recognised as being obligatory by the bulk of the community. In other words, violation of

norms is usually followed by counteraction. A legal norm is marked by probability that it will be enforced by specialised staff. The authority to enforce rules is vested in administration. This explains the relationship between Law and Public Administration.

Public Administration has to function within the framework of the law of the country. In other words, law sets the limits of administrative action, though it allows considerable discretion to the administration. A subject common to these two disciplines is Administrative Law. Legislature enacts laws (acts) which the administration has to implement. The role of administration is not restricted to implementation only; it has a role to play in law-making also. Civil servants have a say in the formulation, presentation and enactment of laws.

In fact, Public Administration has been described by a writer as a machinery concerned with the 'systematic and detailed execution of law'. The relationship between administration and law appears to be so close that in some countries Public Administration is studied as part of some courses in law. Some subjects like Delegated Legislation, structure and functioning of Administrative Tribunals are studied by both the students of Law and those of Public Administration.

The Indian form of Ombudsman (i.e., Lok Pal and Lok Ayukta) are studied by students of Public Administration as institutions for the redressal of public grievances. The study of such institutions show the increasing importance of the relationship between Law and Public Administration.

3.5 LET US SUM UP

All social phenomena are found integrated in nature. No social event can be understood completely without an understanding of its various dimensions. While knowledge is regarded as single entity, the need to study different aspects of it led to specialisation.

While the mushroom growth of specialisation led to a spurt in research, the need for an integrated approach to social reality has not been met. Therefore, the study of various disciplines vis-a-vis others has become necessary. Public Administration as a discipline is only about 100 years old. It got separated from Political Science a few decades ago. It has close relations with other Social Sciences. It owes its emergence to Political Science. But as it is finding it difficult to sustain itself as an independent discipline, it is being increasingly felt that it must be strengthened with concepts drawn from Political Science. Public Administration is related to Sociology also. Public Administration cannot be appreciated without an understanding of social reality around it. Works of Sociologists like Max Weber influenced the theory and practice of Public Administration. The fact that the modern administrator is known as a social engineer, confirms the close relationship between Sociology and Public Administration. With the advent of planning the relationship between Public Administration with Economics has grown stronger. The present day administrators ought to know the economic aspects of the polity for effective implementation of policies. The focus of administration in the Third World countries is on removal of poverty. Matters connected with mobilisation of resources (taxes, exports, imports, etc.) have a great bearing on administration. History is yet another subject with which Public Administration has a close relationship. Knowledge of the past enables us to understand the present. Public Administration and Law are also closely related. The role of administration has been described as that of a machinery for systematic execution of law. There are some subjects common to Law and Public Administration.

The discussion in this unit clearly brings out the inter-related nature of the social phenomenon and its knowledge.

3.6 KEY WORDS

Constitutional Law : The branch of law that governs the formation, reformation and application of a constitution.

Empirical : Based or acting on observation and experiment; not on theory

Hypothesis : A proposition or supposition made from known facts as the basis for reasoning of investigation.

Industrial Revolution : The transformation of society, occurring first in Britain in the second half of the 18th century and the first part of the 19th century, in which the bulk of the working population changed from agriculture to industry

Normative : Establishing a customary behaviour.

Post Colonial Societies : Societies which have attained independence from Colonial rule.

Pressure Groups : A group (united by common interest) which has sufficient influence on Central Government to be able to put pressure on behalf of its interests.

3.7 SOME USEFUL BOOKS

Dimock, Marshall Edward and Dimock, Gladys Ogden, 1975. *Public Administration*; Oxford & IBH Publishing Co.: New Delhi.

Sharma, M.P. 1960, *Public Administration Theory and Practice*: Kitab Mahal : Allahabad.

3.8 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) See Section 3.2

Check Your Progress 2

1) See Section 3.3

Check Your Progress 3

1) See Sub-Section 3.4.1

Check Your Progress 4

1) See Sub-Section 3.4.2

UNIT 4 EVOLUTION OF PUBLIC ADMINISTRATION

Structure

- 4.0 Objectives
- 4.1 Introduction
- 4.2 Why Study Evolution of the Subject?
- 4.3 Absolutist Traditions
- 4.4 Liberal Democratic Traditions
 - 4.4.1 Politics — Administration Dichotomy Approach
 - 4.4.2 Structural Approach
 - 4.4.3 Human Relations Approach
 - 4.4.4 Behavioural Approach
 - 4.4.5 Development Approach
 - 4.4.6 Public Policy Approach
 - 4.4.7 Political Economy Approach
- 4.5 A Chart Indicating the Differences between Various Approaches
- 4.6 Marxian Traditions
- 4.7 Let Us Sum Up
- 4.8 Key Words
- 4.9 Some Useful Books
- 4.10 Answers to Check Your Progress Exercises

4.0 OBJECTIVES

This unit aims at explaining the evolution of Public Administration: ~~as~~ a significant area of inquiry. After studying this unit you should be able to:

- appreciate and summarise the importance of the study of the evolution of Public Administration
- to distinguish between different traditions of academic inquiry in Public Administration; and
- identify and explain the different phases in the growth of the study of Public Administration.

4.1 INTRODUCTION

In this Unit we shall trace the historical evolution of Public Administration as a field of inquiry and also explain different traditions in the development of Public Administration. Broadly, we have identified three traditions, viz. Absolutist, Liberal Democratic and Marxian, in the evolution of Public Administration. The classification is done for educative purposes rather than for the purpose of explaining their empirical implications. The analytical frame, we hope, will enable you to have a broad perspective on the developments in Public Administration considered in terms of the impulses, ideological or otherwise behind them. This unit introduces you to diverse traditions in the practice and theory of Public Administration. Such a diversity has arisen mainly because of differences in not only the history, culture and levels of development at various societies but also the impulses shaping them at different times. Before discussing them in detail, let us briefly consider the importance of the study of the evolution of Public Administration.

4.2 WHY STUDY EVOLUTION OF THE SUBJECT?

There have been few studies in the evolution of Public Administration, although its importance has been widely recognised. A possible reason is the erroneous impression that

The past developments are of little consequence to the present ones with which we are most actively concerned. But the question is whether the past can be separated from the present without rendering our understanding of the present incomplete and inadequate.

Evolution refers to a gradual unfolding of development of things in the course of time. When the past, present and future are considered in terms of a continuum, the study of the past or of history becomes all the more significant. The past not only foreshadows the present but also serves as its matrix. History, in the words of E.H. Carr, is an unending dialogue between the past and the present. In this sense, the study of history has a contemporary relevance. Indeed, it is necessary for the understanding of the contemporary status of the subject and the critical issues therein, the genesis of which may be found in the past. There is much truth in the saying that 'a phenomenon can be understood only in a historical context'. Again, the study of different phases and traditions in the evolution of Public Administration may also help in applying the 'lessons' or the indicators of the past to the consideration of the development of the subject in the present. Broadly, the study of evolution fulfils both theoretical and pragmatic purposes. From the theoretical point of view, it helps to locate the subject in a broader frame of reference and from the practical point of view it facilitates the use of the knowledge of the past to further the development of the subject in the present.

Check Your Progress I

Note : i) Use the space below for your answer.

ii) Check your answer with those at the end of the unit.

1) Describe the significance of study of evolution of Public Administration.

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4.3 ABSOLUTIST TRADITIONS

In this section we shall discuss the absolutist tradition which antedates the other two—Liberal Democratic and Marxian. Absolutist tradition refers to administrative traditions of absolute monarchical regimes, where all powers are concentrated in the monarchy. The earliest work concerning it is Kautilya's Arthashastra, the most important work on Public Administration in ancient India. We confine our discussion to the Indian tradition mainly for two reasons. Firstly, sufficient information is not available on the absolutist administrative traditions of other Asian societies. Secondly, the students of administration should be acquainted with their own traditions in the field of Public Administration.

According to tradition, Kautilya, also known as Chanakya and Vishnugupta, was the Prime Minister of Chandragupta Maurya (322-298 B.C.), who founded the Maurya Dynasty of Magadha (Bihar). Kautilya's treatise known as Arthashastra may be regarded as an ancient Indian text-book of practical politics. It, according to some, ranks in importance with Manusmriti and Kamasashtra and forms a triad with them in dealing with the three imperatives of the social philosophy of that time—Dharma, Kama, Artha. It deals mainly with the Science Polity, which, according to Kautilya, is a combination of Science of Wealth and Science of Government. [Vittasastra (Economics) and Dandanithi (Statecraft)]. To Kautilya, finances provide the sinews of government and financial considerations are paramount in the government's activities. Thus, his treatise adopts the political economy approach to the understanding of the problems of governance. H.V.R Iyengar described Arthashastra "as an exceptionally able dissertation both on the aims of the State as well as on practical means by which these aims can be achieved". Arthashastra is both an analytical and a perspective document revealing amazing perception and mastery of detail.

Kautilya's Arthashastra mainly discusses three aspects of the science of Public Administration, viz. the principles of Public Administration, the machinery of Government

and the management of personnel. The principles of administration are not explicitly dealt with in Arthashastra. They are implied by the functions of the monarch, ministers, etc. as detailed in it. The machinery of Government as described in the Arthashastra is mainly related to the monarch, his relations with ministers, etc. The problems of higher level personnel receive greater attention than the lower level functionaries in Arthashastra.

Kautilya spelt out the importance of the science of Public Administration. According to Kautilya, an administrator can adopt the art of Public Administration only if he is conversant with the science of Public Administration. So it is necessary for the King, the Crown Prince, the High Priest and the ministers to be conversant with the science of Administration. He emphasised the principles of authority, obedience and discipline as being central to the administration of the state. He considered principles like division of work, hierarchy and coordination important to the mechanism of internal organisation. Further, Kautilya is, perhaps, the earliest known thinker to recognise the importance of statistics in administration.

Kautilya made a systematic study of the society and did not blindly accept the current views based on faith and tradition. Ancient Hindus held that the Vedas constitute the sole source of law. But Kautilya laid down four distinct sources of law, namely, sacred scriptures, the rules laid down in Arthashastra, customs and edicts of kings. Each of these he considers more authoritative than the one preceding it. He explicitly states that when the sacred law is in conflict with the corporal law the latter should prevail. Arthashastra is secular in its tenor and puts politics in command over religion. According to Kautilya, religious considerations should not outweigh political considerations. The King according to him, should strive and maintain the stability of the State and increase his power and material resources by policy or subterfuge. To this end he even proposed an elaborate system of recruiting spies and training them. Some of these propositions of Kautilya are termed Machiavellian. Here it is interesting to note the observations of H.V.R. Iyengar, who said that "Kautilya was honest and stated frankly what today is hidden under dubious veil of secrecy".

Kautilya's 'Ideal State' was something like a modern Welfare State under an all powerful ruler. He clearly required the State to provide for the maintenance of children, women, the old, the infirm and the disabled. The State was to run agricultural farms, help the artisans, and exploit the forest wealth and mineral resources for the benefit of the people at large. Indeed, the basics of 'Welfarism' can be traced in Kautilya's Arthashastra.

Kautilya advocated a strong centralised authority vested in the monarchy. As pointed out by N.R. Inamdar, "the principles governing the democratic Public Administration are in many respects different from the principles underlying a monarchical Public Administration as described in Arthashastra, as the sources and the configurations of authority in the two systems are different". The administrative system as discussed in Arthashastra centres on the king. His orders are unquestionable. His interests are supreme. He is the source of authority for all institutions. The fading away of the monarchical form led to other additions to explain and understand the administrative systems in democratic societies. However, it should be noted that the traditions of Public Administration as established by Arthashastra are significant for its emphasis on the Science of Public Administration and systematic analysis of the art of governance.

Check Your Progress 2

Note : i) Use the space below for your answer.

ii) Check your answer with those at the end of the unit.

1) Explain Kautilya's views on Public Administration.

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4.4 LIBERAL DEMOCRATIC TRADITIONS

Traditionally, the origins of Public Administration as a separate area of inquiry are traced to Woodrow Wilson's essay, *The Study of Administration*, published in 1887. His essay marks the beginning of systematic investigation into the field of Public Administration. Since then the study of the subject passed through various phases, each phase characterised by a particular paradigmatic approach. Broadly, seven phases are identified for understanding the evolution of the subject in the broad paradigm of liberal democracy. Let us briefly discuss each one of them.

4.4.1 Politics—Administration Dichotomy Approach

Woodrow Wilson, the father of modern Public Administration, considered politics and administration as separate processes and attempted to conceptually distinguish between the two areas of study. A similar attempt was made by Frank Goodnow, another exponent of the dichotomy approach who observed that "politics has to do with policies or expressions of state while administration has to do with the execution of these policies". This distinction is made between policy making and policy execution. Policy making is regarded as the realm of politics and execution as the realm of Public Administration.

Further, politics and Public Administration are differentiated on the basis of their institutional locations. The location of politics is identified with the legislature and the higher echelons of government where major policy-decisions would be made and the larger questions of allocation of values decided upon. The location of administration on the other hand is identified with the executive arm of government—the bureaucracy. The processes of administration, it was argued, have a certain regularity and concreteness about them, which can be successfully investigated. Thus it is possible to develop a science of Administration.

4.4.2 Structural Approach

This approach is marked by the tendency to reinforce the idea of politics—administration dichotomy and to evolve a value-free 'Science of Management'.

The 'Public' aspects of Public Administration was virtually dropped at this stage and the focus was almost wholly on economy and efficiency. The questions of 'value' were not considered important to the new science of Administration. Politics as practised by the politicians was considered irrelevant. Scientific Management for the efficient handling of the 'business' of administration became the focus of interest. Principles of management were worked out as readymade aids to practitioners. The administrative practitioners and the business schools joined hands to emphasise the mechanistic aspect of management unaffected by the predilections of politicians and the failings of human beings.

The approach emphasised the structure of the organisation. Structure is a device through which human beings working in an organisation are assigned tasks and related to one another. It is believed that the effective functioning of the organisation depends upon the structure that a group of human beings build and operate. The structural approach was criticised for the ambiguity of its principles, absence of scientific validity and its mechanistic approach to human problems.

4.4.3 Human Relations Approach

The Hawthorne experiments pioneered a movement which came to be known as the Human Relations Approach to management. Its impact on Public Administration was felt much more widely in the postwar period than before. This approach to organisational analysis drew attention to the formation and effect of work groups in the organisation, the force of informal organisation in the formal setup, the phenomena of leadership and conflicts and cooperation among groups in the organisational setting. In short, the human relations approach brought out the limitations of the machine concept of organisation in 'Scientific Management' thought. By drawing attention to the social and psychological factors of work situation, it underlined the importance of the "human side of the enterprise".

The social psychologist has extended the concern of human relationists by bringing in additional knowledge about the sensitivity to human components. It is aimed at bringing about: (1) greater organisational productivity or effectiveness, and (2) greater human

happiness and increased self-realisation. Prominent writers advocating this approach include Abraham Maslow, Douglas McGregor, Rensis Likert and Chris Argyris.

The human relations approach has been criticised for its manipulative orientation. It is alleged that the aim of the movement is to manipulate the man in organisation to achieve higher productivity. It is also criticised for ignoring the institutional and social system variable in understanding the organisation.

1.4.4 Behavioural Approach

Herbert Simon's 'Administrative Behaviour' is a critique of the older Public Administration. More importantly, it sets forth the rigorous requirements of scientific analysis in Public Administration. Simon's conclusion about some of the classical 'Principles', was that they were unscientifically derived and were "no more than proverbs". He rejected the politics-administration dichotomy; and at the same time brought in the perspective of logical positivism for the study of policy-making and the relation of means and ends. Reflecting the perspectives and methodology of behaviouralism in psychology and social psychology, **Administrative Behaviour** pleaded for the enforcement of scientific rigour in Public Administration. The substantive focus was on "decision-making", and as Simon insisted, "If any 'theory' is involved, it is that decision-making is the heart of administration, and that the vocabulary of administrative theory must be derived from the logic and psychology of human choice".

Simon's approach provided an alternative definition of Public Administration, and widened the scope of the subject by relating it to Psychology, Sociology, Economics and Political Science. In the development of the 'discipline' he identified two mutually supportive streams of thought. One was engaged in the development of a pure science of administration which called for a good grounding in social psychology; and the other in the development of a broad range of values and in working out prescriptions for public policy. The second approach was, in Simon's view, analytically far-ranging. It would imply the assimilation of the whole of Political Science and Economics and Sociology as well as Public Administration. Thus Public Administration, he feared, might lose its identity in the second approach. But he favoured the co-existence of both the streams of thought for the growth and development of the discipline. As he said, "there does not appear to be any reason why these two developments in the field of Public Administration should not go side by side, for they in no way conflict or contradict. But the workers in this field must keep clearly in mind in which area, at any given time, they propose to work".

1.4.5 Development Approach

The ecological approach to the study of administration originated in the wake of the emergence of the Third World and increasing realisation of irrelevance of most of the Western organisation theories to the study of administration. To quote Robert Dahl, "The study of Public Administration inevitably must become a much more broadly based discipline, resting not on a narrowly defined knowledge of techniques and processes, but rather extending to the varying historical, sociological, economic and other conditioning factors...."; This suggestion has been taken up as a challenge and efforts have been made in the study of Public Administration in the developing countries in a bid to "establishing propositions about administrative behaviour which transcend national boundaries". Such efforts have given rise to Comparative Public Administration and Development Administration.

1.4.6 Public Policy Approach

The Social Sciences' general concern for social engineering has resulted in the laying of emphasis on public policy. The study of Public Administration has also been influenced by the public policy perspective. The abandonment of politics-administration dichotomy made the public policy approach agreeable to administrative analysis.

Evidence from the practical world of administration has brought out the criteria of a close nexus between politics and administration. As governments seek to formulate and implement more and more welfare programmes, the promotion of policy studies in public administration gathers momentum. At this stage, the study of Public Administration has been gaining in social relevance no doubt; but its boundaries as a descriptive study are not clearly distinguishable now as they used to be in the olden days of politics—administration dichotomy. The discipline, to many Public Administration analysts, has gained in vigour and rigour, but it has suffered a crisis of identity with diversification and length.

4.4.7. Political Economy Approach

Another development in the study of Public Administration is brought about by the adoption of the political economy approach to the analysis of administrative problems. This is associated with the moving of Political Science closer to Economics in the interest of greater theoretical coherence and better policy guidance. Economists like Anthony Downs and Gordon Tullock have gone over the boundary by experimenting with the application of economic methods and models to political problems. Thus Public Administration as a branch of Political Science and on its own has moved towards a liaison with Economics.

The liberal democratic tradition in the evolution of Public Administration as described above shows that, starting with an assertion of independent identity, it has moved towards the assimilation of ideas, methods and techniques of different Social Science disciplines. Thus the scope of the discipline seems to be broadening while the question of its identity remains unanswered.

Check Your Progress 3

Note :i) Use the space below for your answer.

ii) Check your answer with those given at the end of the unit.

1) Explain different phases in the evolution of Public Administration in Liberal Democratic Traditions.

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4.5 A CHART INDICATING THE DIFFERENCES BETWEEN VARIOUS APPROACHES

Politics-Administration Dichotomy Approach	Structural Approach	Human Relations Approach	Behavioural Approach
(1) Politics and administration are distinct.	(1) A value-free Science of Management.	(1) Emphasis on the human side of the enterprise.	(1) Deals with the "inside" human being with a focus on his values and rationality.
(2) Politics is concerned with policy making, administration with execution of policy.	(2) The focus is on economy and efficiency.	(2) Brings out the limitation of the machine concept of organisation.	(2) Decision-making is considered to be the heart of the administration.
(3) The location of politics is legislature and the Cabinet; the location of administration — the executive arm of the government.	(3) "Public" aspect of Public Administration was dropped.	(3) Emphasis on the social and psychological factors of work situations.	(3) Widens the scope of the subject by relating it to Psychology, Sociology etc.
(4) A value-free Science of Management.	(4) Emphasis on the structure.	(4) Deals with the relationship among the people working in organisation.	

Development Approach	Public Policy Approach	Political Economy Approach
(1) Emphasis on the study of the developmental aspect of the administration.	(1) Emphasis on Public policy.	(1) Emphasis on the application of economic methods and models of political problem.
(2) Emphasis on historical, socio-economic, political factors which condition development.	(2) With the formulation and implementation of welfare programmes, policy study assumes greater significance.	(2) Emphasis on the Public Administration's closer inter-relationship and interaction with politico-economic policies.

4.6 MARXIAN TRADITIONS

The October Revolution of 1917 generated debate among the Marxists on the role of bureaucracy in Russia. But the Marxist interest in the bureaucracy, organisation and management became pronounced only in the decade following the Second World War and developed in a number of directions.

We have to go back to Marx, to understand the classical Marxist view of bureaucracy. Although Marx has not paid much attention to the concept of bureaucracy, his views on bureaucracy and its relation to the power structure of the society found in his major works provide an important clue to the understanding of the later developments in the Marxist thought on bureaucracy. His ideas on bureaucracy figure mainly in his work, 'The 18th Brumaire of Louis Bonaparte.' His ideas about bureaucracy can be understood when considered within the general framework of his theory of class conflict, the crisis of capitalism, and the emergence of communism. In the wider context of class struggle Marx regards bureaucracy as an instrument of the dominant ruling class, promoting its particular interests. Its existence and development thus have a transient and parasitic character. From this point of view bureaucracy and further bureaucratisation become unavoidable in a society divided into classes. Marx envisaged that with the abolition of the classes, the State and its bureaucracy would 'wither away'. The "withering away" of the bureaucracy would mean its gradual absorption into the society as a whole. Thus instead of having an oppressive structure, Marx visualised that in a Communist society, the functions of the bureaucracy would be taken over by the members of the society themselves. The administrative tasks shedding their exploitative character, would come to mean administration of things and not of people. This philosophic stance of Marx has had a great influence on his followers as well as on his critics.

The October Revolution of 1917 in Russia and the establishment of socialist government in many countries of the world in subsequent years led to experimentation with Marxian ideas. There has been in the Socialist world a proliferation of bureaucracy and a growing tendency to apply Western management techniques. Lenin viewed the strengthening of the centralised bureaucracy in Post-Revolutionary Russia as an indication of the immaturity of socialism and the inadequate development of forces of production. Lenin like Marx considered it a transitional phenomenon. In contrast, the critics of the system have put forward theories regarding the bureaucracy as a "New Class", i.e. a newly emerged class in Soviet Union and other socialist countries ruling in the name of proletariat.

It is indisputable that Marxian studies of bureaucracy, its organisation and management have added a new dimension of the study of Public Administration and helped to develop it. The attempts of Stewart Clegg and David Dunkerly, Nicos Mouzelis, Braverman, and many others to build a radical organisation theory have led to some significant advances in the study of Public Organisation. Indeed, the Marxian traditions have placed the study of Public Administration in the wider perspective of social transformation.

Check Your Progress 4

Note : i) Use the space below for your answer.

ii) Check your answer with those given at the end of the unit.

1) Explain Marx's views on bureaucracy.

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4.7 LET US SUM UP

The evolution of Public Administration was examined in the framework of absolutist, liberal democratic and Marxian traditions. The State in the ancient times was dominated by an absolutist monarchical system for a long time. Kautilya's *Arthashastra* describes the science of Administration in relation to the authoritarian monarchy. Some of the principles of administration described in 'Arthashastra' have relevance to the present time probably because of the continuation of authoritarian traditions in the modern state. The Industrial Revolution of the late 18th and 19th Century resulted in the emergence of a liberal democratic state in many parts of the world. The modern Public Administration is a by product of the liberal democratic state. Different phases in the evolution of Public Administration in a liberal democratic state reflect those of the social transformation in these societies. The events of the October Revolution of 1917 in Soviet Union resulted in the study of Public Administration from a Marxian perspective. The proponents and critics of Marxism and socialist practices have enriched the field of inquiry in Public Administration. The diversity of human experience in respect of governance and the ideological moorings of the people provide a battle ground for the ideas and practices in Public Administration.

4.8 KEY WORDS

Corporal law : Law related to punishment.

Dichotomy : Division into two.

Edict : Order proclaimed by authority.

Paradigm : Example.

Proletariat : Class of industrial workers.

4.9 SOME USEFUL BOOKS

Bhattacharya, Mohit, 1987. *Public Administration*; The World Press Private Ltd.: Calcutta.

Golembiewski, Robert T., 1977. *Public Administration as Developing Discipline*;
(2 volumes) Marcel Dekker : New York.

Nicholas Henry, 1980. *Public Administration and Public Affairs*; Prentice Hall Inc.,
Englewood cliffs: New Jersey.

Nigro, Flex A and Nigro, Lloyd G., 1980, *Modern Public Administration*; Harper and Row:
New York.

Prasad, Ravindra D., 1989, *Administrative Thinkers*; (Eds), Sterling Publishers : New Delhi.

Sharkansky, Ira, 1978. *Public Administration—Policy Making in Conventional Agencies*;
Rand McNally College Publishing Company: Chicago.

4.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) See Section 4.2

Check Your Progress 2

1) See Section 4.3

Check Your Progress 3

1) See Section 4.4

Check Your Progress 4

1) See Section 4.6

UNIT 5 COMPARATIVE PUBLIC ADMINISTRATION

Structure

- 5.0 Objectives
- 5.1 Introduction
- 5.2 What to Compare?
- 5.3 Levels of Analysis
- 5.4 The Range of Comparative Studies
 - 5.4.1 Inter-institutional Analysis
 - 5.4.2 Intra-national Analysis
 - 5.4.3 Cross-national Analysis
 - 5.4.4 Cross-cultural Analysis
 - 5.4.5 Cross-temporal Analysis
- 5.5 Nature of Comparative Administrative Studies
 - 5.5.1 Normative to Empirical
 - 5.5.2 Ideographic to Nomothetic
 - 5.5.3 Non-ecological to Ecological
- 5.6 Scope of Comparative Public Administration
- 5.7 Significance of Comparative Public Administration
- 5.8 Conceptual Approaches in Comparative Public Administration
 - 5.8.1 Bureaucratic Approach
 - 5.8.2 Behavioural Approach
 - 5.8.3 General Systems Approach
 - 5.8.4 Ecological Approach
 - 5.8.5 Structural Functional Approach
 - 5.8.6 Development Approach
- 5.9 Let Us Sum Up
- 5.10 Key Words
- 5.11 Some Useful Books
- 5.12 Answers to Check Your Progress Exercises

5.0 OBJECTIVES

After you have read this unit you should be able to:

- explain the significance of Comparative Public Administration
- explain the nature and range of comparative studies; and
- describe the conceptual approaches in Comparative Public Administration.

5.1 INTRODUCTION

Dear student, comparisons of administrative systems has had a long tradition. But a focus on this aspect of administrative studies is about forty years old. Only after the Second World War and with the emergence of new nations in Asia and Africa, a vigorous interest in comparative studies of Public Administration has evolved. Comparative Public Administration, in simple terms, refers to a comparative study of government administrative systems functioning in different countries of the world. The nature of Comparative Administration has vast ramifications and ranges from the narrowest of studies to the broadest of analysis. To understand the meaning of Comparative Public Administration, it would be desirable to look at the types of comparative public administration studies undertaken by scholars in the field. In this unit we shall examine the meaning, scope and nature of Comparative Public Administration. We shall also discuss its conceptual approaches.

5.2 WHAT TO COMPARE?

In comparative (public) administrative studies, the unit of analysis is an administrative system. Therefore, the focus is either on the whole of an administrative system or on its various parts. Briefly, the subject matter of comparison would be one or all of the following phenomena:

- i) Environment of the administrative system.
- ii) The whole administrative system.
- iii) The formal structure of the administrative system with a focus on the pattern of hierarchy, division of work, specialisation, authority-responsibility network, decentralisation, delegation, control mechanisms, procedures, etc.
- iv) The informal organisational patterns existing in an administrative set-up, including the nature of human groups, the relationships among individuals, motivational system, the status of morale, patterns of informal communication and the nature of leadership.
- v) The roles of the individuals.
- vi) The interaction between the personality of individuals and the organisational system.
- vii) The policy and decisional systems of the organisation that link its various parts.
- viii) The communicational system, which also involves the feedback mechanism.
- ix) The performance of an administrative system.

You would notice from the foregoing discussion that an administrative system is not a simple entity. There are intricacies of its functioning which will be highlighted in any comparative analysis.

5.3 LEVELS OF ANALYSIS

Comparative administrative studies can be conducted at three analytical levels: macro, middle-range and micro. Macro studies focus on the comparisons of whole administrative systems in their proper ecological contexts. For instance, a macro study would involve a comparison of the administrative systems of India and Great Britain. It will comprise detailed analysis of all important aspects and parts of the administrative systems of the two nations. It will be comprehensive in its scope. Though the studies of macro level are rare, they are not impossible to be taken up. Generally, the relationship between an administrative system and its external environment are highlighted in the macro level studies. The middle-range studies are on certain important parts of an administrative system that are sufficiently large in size and scope of functioning. For instance, a comparison of the structure of higher bureaucracy of two or more nations, a comparison of agricultural administration in two or more countries or a comparison of local government in different countries will form part of middle-range studies.

Micro studies relate to comparisons of an individual organisation with its counterparts in other settings. A micro study might relate to an analysis of a small part of an administrative system, such as the recruitment or training system in two or more administrative organisations. Micro studies are more feasible to be undertaken and a large number of such studies have been conducted by scholars of Public Administration. In the contemporary Comparative Public Administration, all the three types of studies co-exist.

Another relevant question that arises is what is the range of comparative administrative studies? What type of studies are generally included in this realm? In fact, the scope of Comparative Public Administration studies is so wide that a variety of analysis form part of this branch of knowledge.

5.4 THE RANGE OF COMPARATIVE STUDIES

Let us now briefly outline the types of comparative administrative studies. Broadly there are five types of studies. They are:

5.4.1 Inter-institutional Analysis

It involves a comparison of two or more administrative systems. For instance, a comparison of the structure and working of the Home Ministry of the Government of India with the Defence Ministry will be a case of inter-institutional analysis. Such comparisons could involve the whole of an administrative organisation or its various parts.

5.4.2 Intra-national Analysis

When an analysis in a comparative perspective is taken up among various administrative systems functioning within a country, it would be an intra-national analysis. Comparison of district administration in Bihar and Punjab would be an example of such an analysis.

5.4.3 Cross-national Analysis

When two or more administrative systems (or their parts) are compared in the settings of different nations, this would be cross-national analysis. For example, comparing the recruitment of higher civil service of China, Thailand and Tanzania will form an example of a cross-national analysis.

5.4.4 Cross-cultural Analysis

A cross-national analysis of administrative system involves countries forming part of different "cultures", this would be called a cross-cultural analysis. For instance, comparing the administrative system of the USSR (a socialist state) with the U.S. (a capitalist system) could be termed a cross-cultural analysis. Even a comparison between a developed country (e.g. France) with a developing country (e.g. Algeria) or between a developing democratic country (e.g. Philippines) and a developing Communist regime (e.g. Vietnam) will be covered in a cross-cultural comparison. Thus the word "cultural" in the category "cross-cultural" has a broad connotation and involves an aggregation of distinctive political, economic and socio-cultural traits of a particular system and its environment.

5.4.5 Cross-temporal Analysis

Such a comparison involves different time-frames for analysis. For instance, a comparison between the administrative system prevailing during Ashoka's reign and during Akbar's regime would be a cross-temporal analysis. Likewise, comparisons between the administrative systems of ancient Rome and modern Italy, or between the administrative practices prevailing during the period of Jawaharlal Nehru and Indira Gandhi would fall under the rubric of cross-temporal analysis.

A cross-temporal analysis may be inter-institutional, intra-national, cross-national or cross-cultural. For instance, a comparison of the administrative control mechanisms prevailing during the times of Julius Caesar, Alexander, Harsha, Attaturk and Nasser will be cross-national as well as cross-cultural. Exactness in cross-temporal studies is not possible because of differences in the nature of historical sources available for various periods. But some broad conclusions on the basis of existing sources can be reached through such studies. Nimrod Raphaeli has defined Comparative Public Administration as a study of Public Administration on a comparative basis. The Comparative Administration Group referred to Comparative Public Administration as the theory of Public Administration which belongs to diverse cultures in the national settings and the body of factual data by which it can be expanded and tested. Robert Jackson has defined it as the phase of study which is concerned with making rigorous cross-cultural comparisons of the structures and processes involved in the activity of administering public affairs.

Check Your Progress I

Note : i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit

1) What are the units of analysis in Comparative Public Administration?

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2) What is cross cultural analysis?

3) Explain cross temporal analysis.

5.5 NATURE OF COMPARATIVE ADMINISTRATIVE STUDIES

Some scholars believe that comparison is an inherent part of any social analysis and whenever we examine any social problem or issue, we cannot do so without employing the comparative approach. Famous social scientist, Durkheim, subscribed to this approach.

Further, Eisenstad believes that there is no distinction between comparative research and general social research, for the methods of the two are similar. On the other hand, there are other scholars who believe that comparative inquiry has special focus and techniques.

Before the Second World War, there were several studies on comparative politics and administration but such studies were primarily descriptive and normative. Fred Riggs, the foremost scholar of Comparative Administration had observed that there were three trends which were noticeable in the comparative study of Public Administration. These were :

1) "normative" to "empirical", 2) "ideographic" to "nomothetic" and 3) "non-ecological" to "ecological". We shall now briefly refer to these trends.

5.5.1 Normative to Empirical

Traditional studies of Public Administration were very much influenced by the classical approach. These studies emphasised upon 'good administration' which was based on following certain ideal principles. Efficiency and economy were considered to be the primary goals of all administrative systems and there were certain principles of formal organisation which helped in the achievement of these goals. Therefore, a few models of administration, primarily of the western democratic world, were considered to be useful for all other administrative systems. As a number of developing countries emerged on the scene and with the success of the communist systems in various parts of the world, it became clear that a limited culture-bound normative approach to the study of Public Administration was not adequate. The behavioural approach highlighted the value of studying the facts and reality in a significant manner and therefore the comparative studies of Public Administration after the Second World War started assigning greater importance to the study of administrative "reality" existing in different countries and cultures. These studies were more interested in finding out facts about structural patterns and behaviours of administrative systems rather than in describing as to what was good for each system.

In this context, it may be mentioned that two important trends have influenced the character of some administrative studies in the past two decades or so. First, the concept of "Development Administration" which focuses on the goal-orientation of administrative

system is basically a normative concept. Though it considers reality as the basis of such goal-orientation, the emergence of Development Administration as a focus inquiry since the early sixties, Comparative Public Administration (encompassing the field of Comparative Development Administration) has evolved a synthesis between the normative and the empirical elements of analysis.

The second movement that has influenced the nature of Comparative administrative studies is the New Public Administration which stressed the idealistic goal to be achieved by an administrative system and thus tried to bridge the gap between the "is" and "should" aspects of Public Administration. In the late sixties, the New Public Administration marked the "post-behavioural" trend and its impact on most administrative analysis has been profound.

5.5.2 Ideographic to Nomothetic

The words "ideographic" and "nomothetic" have been used by Riggs in specific contexts. An ideographic approach concentrates on unique cases, e.g. a historical event, study of single agency, single country or even a single cultural area.

Nomothetic approach, on the other hand seeks to develop generalisations and theories which are based on analysis of regularities of behaviour of administrative systems. Thus earlier studies of Comparative Public Administration which were ideographic in character focused on the study of individual nations or institutions and their approach was primarily descriptive. No serious attempt was made to compare various nations and systems. Generally, within a volume on comparative governmental administration, there were separate chapters on different nations, without any attempt to look at the similarities or differences among such nations in terms of their administrative systems. These studies, therefore, were 'comparative' only in name and did not help in the process of theory-building or in developing generalisations concerning the functioning of administrative system in different settings.

Nomothetic studies analyse various administrative systems in comparative context in a manner that will help in the generation of hypothesis and theories. The objective of such studies is to look at the similarities and differences of various administrative systems existing in different nations and cultures and then draw certain generalisations relating to administrative systems functioning at various levels and in different settings.

It may be noted that the emphasis on nomothetic comparative studies is more noticeable in the United States of America than in Europe or Asia. Presently, a large number of comparative administrative studies are ideographic in character. Even these studies, it must be admitted, contribute to knowledge in Comparative Public Administration. Analysis or theory-building has to be based on facts and description. And therefore, in the present state of comparative administrative studies, a co-existence of ideographic and nomothetic studies may have to be accepted.

5.5.3 Non-ecological to Ecological

The traditional studies of Comparative Public Administration were mainly non-ecological. These studies mentioned about the environment of administrative system only in a casual manner. There was no serious attempt to examine the relationship between the administrative system and its environment. Thus, it had become very difficult to identify the sources of differences among various administrative systems. However, studies undertaken after the Second World War have been specifically looking at similarities and differences among environmental settings prevailing in different nations and cultures and have been attempting to examine the impact of environment on the administrative system on the one hand and the influence of the administrative system on the environment, on the other. The well-known ecological approach relates to the study of interrelationship between the system and its environment. This approach, popularised by Fred Riggs, has been regarded as an important development in the study of Public Administration.

It may be noted that most of the comparative studies of Public Administration after the Second World War have been referring to the environment of the administrative systems, but the main emphasis is still on analysing the impact of the environment on Public Administration. The analysis relating to the influences of the administrative system on the environment is still inadequate. Nevertheless, a change in emphasis is noticeable and the ecological orientation is gaining stronger footing in the contemporary comparative administrative analysis.

At this stage it may be pointed out that when Riggs presented the above three trends in 1962, he was conscious of the fact that there is bound to be a co-existence of older as well as the newer emphasis in the comparative studies. Accordingly, today there are normative as well as empirical, ideographic as well as nomothetic and non-ecological as well as ecological approaches co-existing in the literature on Comparative Administration.

Check Your Progress 2

Note : i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

1) Distinguish between normative and empirical studies.

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2) How ecological studies are different from non-ecological studies?

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5.6 SCOPE OF COMPARATIVE PUBLIC ADMINISTRATION

The scope of Public Administration has increased enormously during the twentieth century. The importance of Public Administration has grown substantially with the success of the Russian Revolution, increased role of state during and after the Second World War, measures of welfare adopted in most of the countries and growth of large number of developing countries. Today, Public Administration influences almost all aspects of human life. Even in a capitalistic country like the USA, the role of government has expanded in an effective manner. The net result of this increased role of state or government has been that large number of specialised branches of Public Administration have come up on the scene. Some of these branches are economic administration, social administration, educational administration, health administration, transport administration, space administration, etc. Besides, there are areas such as state administration, urban administration, rural administration, financial administration and personnel administration which have become integral parts of the vocabulary of government. Therefore, when we compare administrative systems existing in various nations or cultures, we can compare either the whole of the administrative systems or some important parts of such systems. Today, we find a number of studies on comparative educational administration, comparative health administration, comparative economic administration, comparative social administration and other related areas. Further, there are a very large number of publications on comparative urban administration and comparative rural administration. It becomes clear that the scope of Comparative Public Administration is as vast as that of its mother discipline, viz Public Administration. Anything that is 'administrative' can be compared.

While discussing the scope of Comparative Public Administration, not only the specialised branches of administration have to be taken into account. Further it also needs to be

stressed once again that comparative studies can be conducted at macro, middle-range and micro levels. These studies can be inter-institutional, cross-national, cross-cultural and cross-temporal.

Here an interesting question arises: what do we include under the rubric of "nature" of Comparative Administration and what do we put under the heading of "scope" of Comparative Administration? The best advice that can be given to students of Public Administration is that to attempt a neat distinction between the 'nature' and 'scope' of comparative Public Administration may not be a very useful effort. These two aspects are overlapping and have common stress on the types, levels, and range of comparative studies.

Now a brief reference to the significance of Comparative Public Administration is in order.

5.7 SIGNIFICANCE OF COMPARATIVE PUBLIC ADMINISTRATION

The importance of the study of Comparative Public Administration is well accepted today. There are two factors that make comparative studies significant. The first factor relates to the academic study of Public Administration. It is believed that through Comparative Public Administration hypotheses, generalisations, models and theories can be constructed which collectively help in the scientific study of Public Administration. The old orthodoxy of principles of administration is not considered valid anymore and therefore now it is believed that generalisations relating to administrative structures and behaviour emerging out of comparative studies in different nations and cultures can help in formulating theoretical constructs which can provide a scientific basis to the study of Public Administration. It may be mentioned that way back in 1947, a very eminent political scientist, Robert Dahl had observed that a science of Public Administration cannot be conceived of without adopting a comparative approach.

The study of Comparative Public Administration also contributes to a greater understanding of the individual characteristics of administrative systems functioning in different nations and cultures. Besides, comparative studies also help in explaining factors responsible for cross-national and cross-cultural similarities as well as differences in the administrative systems.

The second important function of Comparative Public Administration relates to its relevance to the empirical world. Through a study of Comparative Public Administration, administrators, policy makers and academicians can examine causes for the success or failure of particular administrative structures and patterns in different environmental settings. It is interesting to find out through comparative analysis as to which important environmental factors help in the promotion of administrative effectiveness and which administrative structures function appropriately and successfully in what type of environmental settings. Lastly, an administrator or policy maker can, through comparative studies of Public Administration, have greater insight into the process and strategies of administrative reforms. He can look at the structures of administrative reforms adopted by various nations and examine those strategies and methods which can be helpful in his own country. In other words, through Comparative Public Administration, we learn about the administrative practices followed in various nations and then we can endeavour to adopt those practices which can fit in our own nations and systems.

The importance of Comparative Public Administration lies in its academic utility in terms of scientific and systematic study of Public Administration and in improving the knowledge about other administrative systems so that appropriate administrative reforms and changes can be brought about in different nations.

Check Your Progress 3

Step : i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

What is the scope of Comparative Public Administration?

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2. How comparative studies are relevant for administrative problems?

5.8 CONCEPTUAL APPROACHES IN COMPARATIVE PUBLIC ADMINISTRATION

There are a number of approaches, models and theories presently characterising the subject-area of Comparative Public Administration. Particularly after Second World War, a number of approaches have emerged in comparative administrative analysis. Much of this effort is based on an adaptation of the developments in comparative anthropology, comparative sociology and comparative politics. We will now study different approaches in a nut-shell.

5.8.1 Bureaucratic Approach

The most influential of the approaches is Max Weber's ideal-type bureaucratic model. This has structural characteristics of hierarchy, specialisation, role-specificity, recruitment by merit, promotion by seniority-cum-merit, career development, training, discipline, separation between personal and official means, etc. The emphasis in the model is on rationality and efficiency.

There have been a number of studies conducted in a comparative context employing the bureaucratic model of Weber. Notable scholars in this area include Michael Crozier (on France), Roy Laird (on the Soviet Union) and Morroe Berger (on Egypt). The methodological limitation of an ideal-type model and specific context of a legal-rational authority system poses constraints in the application of Weber's model to the comparative study of bureaucracies. Nevertheless, for an analysis of the bureaucracies, of the developed countries, the model is still considered eminently useful. Dwight Waldo views Weber's bureaucratic model as a "paradigm" of Public Administration.

Particularly after Second World War, a number of approaches have emerged in comparative administrative analysis. Much of this effort is based on an adaptation of the developments in comparative anthropology, comparative sociology and comparative politics.

5.8.2 Behavioural Approach

The behavioural approach emphasises "facts", rigorous scientific methods of data collection and analysis, quantification, experimentation, testing, verification and an interdisciplinary orientation. It focuses on the analysis of human behaviour in administrative settings.

8.3 General Systems Approach

Further, the general systems approach views an administrative system as a subsystem of the society. It looks at various parts of an administrative system (formal organisation, formal organisation, roles, individuals) and examines the interlinkages among various parts. Besides, the approach analyses the dynamic interactions between the administrative system and its external environment.

8.4 Ecological Approach

One of the most popular approaches in Comparative Public Administration is the ecological approach which has been stressed considerably by Fred Riggs. This approach examines the interactions between an administrative system and its external environment. Thus the impact of the political system, economic system, social system and the cultural system, on the structure and behaviour of the administrative system as well as the influence of the administrative system on these environmental structures is highlighted in the ecological approach.

8.5 Structural—Functional Approach

A related approach, drawn mainly from Anthropology and Sociology, is the structural-functional approach. A structure, according to this approach, is a pattern of behaviour that has become a standard feature of a social system. Further, a function denotes the impact of a structure on another structure and the interrelationships among various structures.

Fred Riggs has successfully applied the ecological and structural-functional approaches in his analysis of societies and their administrative systems. His typology of "agraria-nsitia-industria" systems, developed in 1957, was superseded by the typology of "fused-smatic diffracted" societies that was constructed in 1959. For the past thirty years or so, Riggs's model of prismatic society and its administrative system known as "sala" has ruled the contemporary model-building scene in Comparative Public Administration. Despite its criticisms and certain inherent methodological limitations, the prismatic-sala model has fascinated the students and practitioners of Public Administration in "developing" countries. A prismatic society, according to Riggs, is characterised by a growing degree of structural differentiation but not matched by an equal degree of integration (coordination). This integration lag is reflected in almost all aspects of the functioning of a prismatic society.

The prismatic society and its 'sala' are characterised by 'heterogeneity', formalism and overlapping. Further, overlapping has five dimensions: poly-communalism, poly-mativism, bazaar-canteen model, authority versus control and nepotism. These features relate to the social, cultural, economic, political and administrative systems of the prismatic society. The details of these characteristics are found in all important books on Public Administration.

8.6 Development Approach

Another very well-known conceptual approach in Comparative Public Administration is of 'Development Administration' which has been elaborately dealt with in a separate unit. This approach focuses on certain characteristics of a dynamic administrative system, e.g. goal-orientation, change-orientation, progressiveness, innovativeness, participation and responsiveness.

Besides the above, there are a number of other less-known approaches to comparative administrative analysis. These include 'information-energy' model of John Dorsey and 'vision-making' model of Martin Landau. Nevertheless, other models have not been able to match the comprehensiveness and acceptability of Weber's bureaucratic model, Riggs's prismatic model and of course, the construct of Development Administration.

It appears that the experimentation phase in model-building in Comparative Public Administration is not vigorous anymore. However, the enthusiasm for understanding the complexities of administrative patterns is alive in the scholarship of Public Administration. It is why, one can hope for newer dimensions of Comparative Public Administration emerging on the scene in the times to come.

Check Your Progress 4

Directions: Use the space below for your answer.

- (i) Check your answer with those given at the end of the unit.

1) Explain the bureaucratic approach.

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5.9 LET US SUM UP

Comparative approach has become an integral part of the Social Science inquiry. No exercise of systematic Social Science research can be complete without a comparative focus. In this unit, we have examined the meaning and nature of Comparative Public Administration and its scope and significance. We have also examined the different approaches to the study of Comparative Public Administration.

5.10 KEY WORDS

- Bazaar-Canteen** : The "economic scene" in a prismatic society.
- Diffacted** : A social system where all structures are very specific.
- Formal** : The official norm, the theory, what ought to be done, as expressed in Constitutions, laws, rules and regulations.
- Functionally diffuse** : A structure that performs a large number of functions.
- Fused** : A social system where all structures are highly diffuse.
- Heterogeniety** : The simultaneous presence, side by side, of quite different kinds of systems, practices and view points.
- Overlapping** : The extent to which what is described as "administrative" behaviour is actually determined by non-administrative criteria, i.e. by political, social, religious or other factors.
- Poly-communal** : A society that is composed of several communities.
- Poly-functional** : A structure is poly-functional whose functions are more diffuse than those of an association, but more specific than those of a traditional family.
- Poly-normative** : Refers to the characteristic myth system of the "prismatic" society.
- Prismatic** : The mid-area on the continuum between the "fused" and the "diffacted" models.
- Sala** : The prismatic bureau.
- Structure** : A pattern of behaviour which has become a standard feature of a social system.

5.11 SOME USEFUL BOOKS

- Arora, Ramesh K., 1985. *Comparative Public Administration*; Associated Publishing House: New Delhi.
- Raphaeli, Nimrod, 1967. *Readings in Comparative Public Administration*; Allyn and Bacon: Boston.
- Riggs, Fred, 1964. *Administration in Developing Countries: The theory of Prismatic Society*; Houghton Mifflin: Boston.
- Varma, S.P. and Sharma S.K., 1983. *Comparative Administration*; IIPA : New Delhi.

5.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 5.2
- 2) See Sub-Section 5.4.4
- 3) See Sub-Section 5.4.5

Check Your Progress 2

- 1) See Sub-Section 5.5.1
- 2) See Sub-Section 5.5.3

Check Your Progress 3

- 1) See Section 5.6
- 2) See Section 5.7

Check Your Progress 4

- 1) See Sub-Section 5.8.1

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UNIT 6 DEVELOPMENT ADMINISTRATION

Structure

- 6.0 Objectives
- 6.1 Introduction
- 6.2 Elements of Development Administration
 - 6.2.1 Change-Oriented
 - 6.2.2 Goal-Oriented
 - 6.2.3 Progressivism
 - 6.2.4 Planning
 - 6.2.5 Innovativeness
 - 6.2.6 Flexibility in Organisational Procedures
 - 6.2.7 High Degree of Motivation
 - 6.2.8 Client-Oriented
 - 6.2.9 Participation
 - 6.2.10 Effective Integration
 - 6.2.11 Coping Ability
- 5.3 Development Administration and Administrative Development
- 5.4 Development Administration and Traditional Administration
- 5.5 Instruments of Development Administration
 - 6.5.1 Administrative System
 - 6.5.2 Political Organisation
 - 6.5.3 Voluntary Associations
 - 6.5.4 Peoples Organisations
- 6.6 Let Us Sum Up
- 6.7 Key Words
- 6.8 Some Useful Books
- 6.9 Answers to Check Your Progress Exercises

6.0 OBJECTIVES

After you have read this unit you should be able to:

- explain the meaning and elements of Development Administration
- distinguish between Development Administration and administrative development; and
- explain the features of Development Administration and traditional administration.

6.1 INTRODUCTION

There is a popular notion that the idea of Development Administration evolved with the emergence of a number of developing countries after the Second World War. This is only partly true. The concept has wider implications and its evolution is not confined to the nations in developing nations. You would find references to this concept in the early issues of the **Indian Journal of Public Administration** in the mid 1950's. However its systematic use started in the United States of America in the early 1960's. The experience gained in a large-scale American public corporation, namely, Tennessee Valley Authority, which was set up under the New Deal of Franklin Roosevelt, was also termed as 'Development Administration'. However, later, a number of other administrative experiences, particularly those relating to developing countries, were grouped together under the rubric of Development Administration. The latter were concerned with the problems relating to improvements in the administrative capabilities of developing nations that they may utilise in a more rational manner the foreign assistance received by them for developmental purposes. Thus, a series of factors helped in the evolution of the concept of Development Administration. In this unit you will study the significance of the elements

of Development Administration and the distinction between Development Administration and administrative development. You will also study the features of Development Administration and traditional administration.

6.2 ELEMENTS OF DEVELOPMENT ADMINISTRATION

Edward Weidner, way back in 1962, defined Development Administration as a "goal-oriented" and "change-oriented" administration. To Weidner Development Administration is concerned with maximising innovation for development. According to Riggs Development Administration refers to organised efforts to carry out programmes or projects initiated by those involved in serving developmental objectives. To Martin Landau Development Administration has come to mean the engineering of social change. He sees it as a directional process which is intended to make things happen in a certain way over intervals of time.

A number of other scholars also defined and refined the concept. Over the years, its meaning has expanded in accordance with the added implications attached to it. As a result, one would find it difficult to precisely define the concept of development administration. At best one can attempt to explain what it implies and includes as per the current usage of the term. In the following section, we would outline a few of the most important elements of Development Administration existing in the literature of Public Administration.

6.2.1 Change-Oriented

Development Administration is change-oriented administration. Change involves the movement of a system or a structure from one point to another. The reverse of 'change' could be status-quo or inertia. Thus, a development administrative system would be dynamic and not 'static'. There is an in-built philosophy of Development Administration that values change. This change is a strategy for increasing the coping ability of an Administrative system in relation to its external environment as well as a mechanism to activate its internal structures.

6.2.2 Goal-Oriented

As we have pointed out above, Development Administration, as defined by Weidner, is a 'goal-oriented' administration. One might ask a simple question: Is an administrative system not necessarily goal-oriented? Do we not define administration as a collective human activity that is designed to achieve certain specific goals? Yes, it is true that all administrative systems as such are goal-oriented. Yet what distinguishes the general Public Administration from Development Administration is the dominant focus on goal-achievement in a more systematic manner. In other words, Development Administration is that aspect of Public Administration which is dominantly goal-oriented. And these goals, as Weidner points out are progressive in nature. Thus Development Administration is concerned with the achievement of progressive political, economic, social and cultural goals.

6.2.3 Progressivism

The element of 'progressiveness' of goals is an accepted feature of Development Administration. What is progressive for one society may not be so for another society. Nevertheless, there appears to be a broad consensus on the nature of 'progressiveness' of these goals in most of the countries, particularly those which are 'developing' societies.

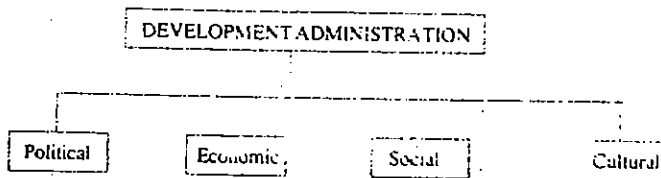
In political systems, progressivism would imply greater participation of the people in governmental affairs. In a democratic system, participation could imply strengthening of the pressure groups, political parties, free voting in elections and greater respect for public opinion in governmental affairs. On the other hand, in a totalitarian country, participation would be more of a symbolic character. But in both types of systems, increasing participation would involve greater share of the common man in the formulation and implementation of government policies, plans, programmes and projects. It is a very difficult goal to achieve, particularly by an administrative system. Nevertheless, it is expected of a development administrative system to create and promote such conditions that will facilitate greater participation of the people in the process of development.

In the economic sphere, a progressive approach would involve faster pace of economic development and a more equitable distribution of income and wealth. It would involve an approach of economic justice where opportunities to develop economically are equitably distributed to all sections of society.

In the socio-cultural sphere, a progressive approach would involve universalisation of education, promotion of health facilities for all sections of society, social justice based on equity, secularism and adequate opportunities to all social groups to promote their respective cultural distinctiveness.

Development Administration, thus, is, an administration designed to achieve progressive political, economic and socio-cultural goals. You can observe this from Figure 1.

Figure 1: PROGRESSIVE GOALS



6.2.4 Planning

Planning is not a prerequisite to Development Administration, but it is the most helpful aid to the whole process of goal-oriented change. An Indian scholar, Pai Panandiker looks at Development Administration as administration of "planned change". Weidner, however opines that planning may or may not be a necessary condition for Development Administration. Nevertheless, it is true that planning is a strategy that facilitates maximum possible utilisation of human and material resource. And in poor countries, where such resources are scarce, planning gains a central importance. As a programme of action to achieve certain specified goals in a given period, planning helps in the maximum possible utilisation of time and other resources that make the whole process of development effective. Little wonder, almost all developing countries have adopted socio-economic planning as a strategy of development, and even the developed socialist countries continue to place great reliance on the mechanism of planned development. Further, capitalistic developed nations such as Great Britain and France have some form of 'indicative' planning.

6.2.5 Innovativeness

Development administration is not dogmatic and traditional in its approach to problem-solving. Instead, it stresses upon identification and adoption of new structures, method procedures, policies, plans, programmes and projects which would help achieve the developmental objectives with the greatest possible facilitation. Experimentation and adoption are the hallmarks of Development Administration. In India, for instance, organisations such as District Rural Development Agency (DRDA) and Command Area Development Administration (CADA) and programmes such as Integrated Rural Development Programme (IRDP) and Tribal Area Development Programme (TADP) are examples of such innovations. Likewise, use of computers, district planning, national education policy etc. are other instances of an on-going creative approach to the development process.

This creativity is not confined to the organisational level only. At the group and the individual levels as well, creativity in administration is feasible and its overall contribution to effectiveness of goal-oriented change can be immense. A development administrative system has the responsibility to create an organisational environment which would be congenial to creativity and innovations.

6.2.6 Flexibility in Organisational Procedures

Generally, a bureaucratic administration is considered as a synonym of rule-oriented administration. While it is true that no bureaucracy or administration can function without an adequate set of rules, it is also true that a totally "rule-oriented" administration can fall in the trap of treating rules as ends rather than as means. Such a dogmatic approach can make an administrative system straight-jacketed and inflexible and thus make it unfit for

promoting development as a faster pace. Development oriented administration requires an optimum flexibility of operations which would allow an administrator the required autonomy to apply rules with discretion to certain unique and significantly distinctive administrative situations. Though accountability for any decision made shall remain with the administrator, yet he will be granted adequate leeway in using the set of rules to the advantage of the organisation and to the best of his ability and judgement. Yes, the risk is likely to remain of misuse of any discretionary powers, yet this little inevitable risk should not become an obstruction in the process of making a Development Administration optimally flexible in its functioning. Otherwise, the ideal notions of creativity and innovation will remain only myths.

6.2.7 High Degree of Motivation

Motivated personnel are the backbone of any organisation designed to achieve certain progressive goals. A development administrative system needs a set of highly motivated personnel at top, middle and lower levels. Such personnel should be committed to the progressive goals designed to be the achieved and should have a high degree of enthusiasm to accomplish those goals. Their narrow vested interests or comforts should not deter them from acting in the highest interest of the organisation and the society.

What factors can motivate the personnel functioning in development administrative organisation? Essentially, the maxim of need-fulfilment will apply to any group of individuals entrusted with the responsibilities of achieving certain goals. For the developmental administrative personnel too, the bases of motivation will remain the same. Notwithstanding this commonality, it may be stressed that in a development administrative system, the personnel need to possess and demonstrate extra zeal, extra dedication and even perseverance to achieve lofty progressive goals of change. In case it is not possible to create such a cadre of motivated people, there is a likelihood of routinisation of administration resulting in only modest performance.

How to get a group of highly motivated people to guide and man development administrative organisations is a difficult question. Yet, a rigorous exercise in building individuals and groups in a planned manner through proper training can be attempted. Behavioural training for attitudinal change can be effectively employed for creating a new class of motivated individuals.

6.2.8 Client-Orientation

A development administrative system is a client-oriented or a beneficiary-oriented administration. It aims at providing maximum benefits of its services and products to the very people for whom the organisation is designed. In other words, Development Administration is "people-centred" administration which accords primacy to the needs of its beneficiaries and tries to tune its programmes, policies and actions to these needs.

Here it may be appropriate to refer to a very important aspect of motivation that is pre-eminent in any service-oriented or beneficiary-oriented administration. It is called "extension" motivation, which means motivation to "help" people. Western motivation theorists such as Maslow, Herzberg and McClelland have not highlighted this particular type of motivation, but Indian social psychologists have been successful in identifying and highlighting this notable phenomenon.

The assumption of extension motivation is that there is a desire in every man to be of use to others. There are varying intensities of extension motivation among people, depending on their socialisation and orientations. It can be suggested without much risk of contradiction that in a beneficiary-oriented administration, existence of functionaries with a high degree of extension motivation will be a great asset in moving that organisation towards its goal of responsiveness. No doubt, a development administrative organisation is a "responsive" organisation. It is responsive to the needs, wishes and aspirations of the people that it purports to serve. Responsiveness is a trait that would do good to any administrative system, but for a development administrative organisation, it is a fundamental prerequisite to its successful existence.

6.2.9 Participation

We have discussed earlier that progressive political goals in a society will involve greater participation of the people in governmental affairs. The notion of participation gains added importance in the actual functioning of a development administrative system.

Development Administration involves the participation of the people or the beneficiaries in the formulation and implementation of development programmes. In identifying goals, prescribing objectives, formulating plans, designing action strategies, implementing projects and evaluating performance, the role of the beneficiaries is of utmost importance. That is why the block level and district planning are gaining increasing importance in Development Administration in India. Not only participation helps in making policies and plans more realistic and down-to-earth, it also mobilises people's cooperation and support in implementing development programmes with minimum cost in terms of manpower, time and money.

Participation of the people in development programmes depends on three factors. These are:

- i) Ability to participate which in turn depends on their level of formal and informal education;
- ii) Willingness to participate which in turn depends on the socio-psychological framework of society, groups and individuals, and
- iii) Opportunity provided to the people by the governmental organisations to participate. Their absence may cause low participation.

Participation has an important concomitant in decentralisation. A development administrative system effectively utilises the strategies of delegation and consultation and thus makes the administration "grass-root" oriented. People's willing cooperation is sought and mobilised by the governmental authorities and this cooperation and collaboration becomes a potent instrument for making the process of Development Administration successful.

6.2.10 Effective Integration

Bringing together a host of groups and authorities for the achievement of common developmental goals would require a high degree of integrative capacity in an administrative organisation. Verily, Development Administration is characterised by a high degree of coordination or integration. And in case the level of integration is low, the developmental results are likely to be adversely affected.

In a development administrative situation, coordination is required to be affected at various levels, among different organisations and units, among various positions and functionaries and among the resources available for the achievement of goals. Lack of coordination is bound to result into wastage of resources and mitigation of effectiveness.

As is well known, any developing society experiences a proliferation of structures to equip itself to undertake specialised tasks. But what generally happens is that the level of specialisation of functions and structures increases. But this is not accompanied by a required level of coordination. This gap between specialisation and coordination is termed as "integration lag". Fred Riggs calls that society "Prismatic" where the level of integration (coordination) is less than that of differentiation (specialisation). In a Prismatic society,

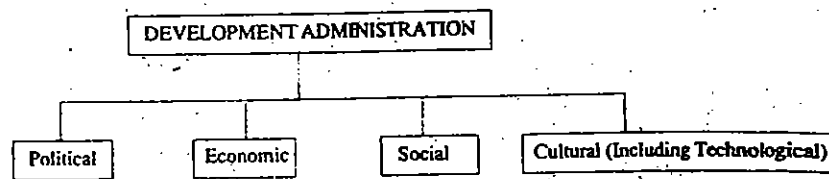
< D (I stands for "integration lag", D stands for Development)

6.2.11 Coping Ability

A development administrative system is an "open" system. It receives inputs regularly from the environment and attempts to respond through its outputs, viz., decisions and actions. No doubt there is a continuing interaction between a system and its environment and this reciprocity of relationship is an important trait of Development Administration.

Every development administrative system functions in an environment which has its set of sub-structures. For instance, there are the political, economic, social and cultural (including technological) environments in which the Development Administration has to function. Obviously, the influences of these environments affect the nature of functioning and effectiveness of Development Administration. The political environment places demands for a change and provides direction of movement, the economic environment utilises the agenda of action of the administrative system and puts constraints of resources on it and the socio-cultural system creates the milieu in which the development administrative system has to operate. This is clear in Figure-2.

Figure 2: ENVIRONMENT OF DEVELOPMENT ADMINISTRATION



It does not imply that Development Administration is only a dependent variable and lacks its own mechanism to influence the environment. Essentially, the process of Development Administration is interactional and therefore it would be a mistake on the part of theorists to present it only as a uni-directional process.

One thing is clear in this context: Development Administration has to respond to the demands and challenges arising from its environment. Sometimes these challenges are moderate and modest and thus do not strain the development administrative system. However, on occasion, the challenges are serious and test the coping ability of the administrative system. A development administrative system, therefore, continuously tries to enhance its coping capacity. This is done through a process of greater sensitivity and responsiveness to the environment and the capacity to strengthen its administrative structures, behaviour and processes. This is what is known as "Administrative Development" about which we would discuss in the next section. At this stage it should be adequate to mention that Development Administration is goal-oriented, change-oriented, progressive, planned, innovative, flexible, motivational, client-oriented, participative, it is a highly integrated administrative system with substantial coping ability.

6.3 DEVELOPMENT ADMINISTRATION AND ADMINISTRATIVE DEVELOPMENT

In the literature on Development Administration, two notions have been interwoven: first the "administration development" and second, the "development of administrative capacity". The former is termed as "Development Administration", and the latter "Administrative Development". Both the phenomena are interdependent: any society experiencing notable development in its political, economic, social and cultural systems is likely to affect in a matching manner, its administrative system, and conversely a well-organised and competent administrative system is likely to direct the process of all-round-development of society in a competent manner. These twin processes are so much interlinked that it is difficult to assert as to which would be more prominent and which would precede the other. Little wonder that Fred Riggs has found in "Development Administration" and "Administrative Development" a "chicken and egg" relationship.

Whatever be the sequence, it is undeniable that administrative development is an essential corollary to Development Administration. Administrative Development implies the enhancement of the capacity and capability of an administrative system to achieve the prescribed progressive goals. The process depends on modernisation of administrative structures and processes, induction of a spirit of innovation, cultivating a highly motivating climate, increasing differentiation, effective integration, and positive attitudinal and behavioural changes among the administrators. The strategies of administrative reform are a part of the process of Administrative Development.

6.4 DEVELOPMENT ADMINISTRATION AND TRADITIONAL ADMINISTRATION

With the emergence of development administration, some scholars have attempted a distinction between development and traditional administrations. The term traditional administration is used as a synonym for 'general' administration and even revenue and law and order administration. The distinctions are generally made on the following lines:

- i) The objectives of traditional administration are simple while those of Development Administration are multiple and variegated.

- ii) Traditional administration has a limited scope of operations, while Development Administration has a much vaster scope of functioning.
- iii) Development Administration is more complex in its parts and procedures than traditional administration.
- iv) Development Administration is larger in size than traditional administration.
- v) Development Administration is much more innovative and creative than traditional administration.
- vi) Development Administration is dynamic in its functioning, while traditional administration stresses upon stability.
- vii) Rule-orientation is valued in traditional administration, while flexibility is considered a virtue in Development administration.
- viii) Participatory style of administration is a characteristic of Development Administration while traditional administration is bureaucratic and authority-oriented.
- ix) Development Administration is administration of planned change, while traditional administration does not rely as much on planning.
- x) Colonial bureaucracy is engaged dominantly in the performance of general administrative functions, while the administrative system of an independent country is primarily developmental in character.
- xi) The administrative systems in developing countries are basically developmental in orientation, while those in developed countries focus on general administration.

It has become clear over the years that to attempt a neat distinction between development and traditional administration is, at best, being over-simplistic. The nature of operations in revenue, finance, police and para-military administrations has become so complex, consequently in these sectors of administration, not only the complexity has increased manifold and their objectives multiplied and intertwined but also the structures and processes in these organisations have undergone notable changes. The techniques and technologies in general administration have become modernised and sophisticated; planning has become an integral part of their functioning; innovativeness and creativity in their operations are being valued immensely; people's cooperation in taxation and law and order administration is being sought and mobilised; and flexibility is being introduced in their procedures. No more, the 'general' administration is 'traditional'; it has already adopted the maxims of modernisation with vigour. Thus, to attempt an absolute distinction between general administration and Development Administration would be untenable and unrealistic.

Further, to assert that the colonial administration is engaged mostly in performing traditional administrative functions of law and order and revenue administration would be an over-simplification. It is well known that even the colonial bureaucracies, such as the Indian, were engaged in promoting so-called 'developmental' activities (railways, roads, tele-communication, education, health, etc.). Even a Planning and Development Department was set up in the Government of India before Independence. Conversely, in the independent countries, the focus is not on Development Administration alone. The crises of stability, nation building, internal security and national integrity have forced the governments in developing countries to strengthen their law and order maintenance systems. In a country beset with problems of internal disharmony, communal riots and violence, it is difficult to promote socio-economic development in a whole-hearted manner. Time, energy and resources are distributed between the developmental and the non-developmental activities. In fact, both are interdependent and changes in one lead to changes in the other. Both prosperity and poverty can lead to discontentment and even violence. It may be pointed out that even the developed countries face problems of change and challenges from their dynamic environment. In order to meet the progressive goals of development, their administrative systems have also to be goal-oriented, change-oriented, innovative, responsive, motivational and integrated. That is why the New Public Administration, a movement started twenty years ago, stressed on almost the same premises that characterise Development Administration. Thus to say that development administration is a dominant feature only of developing countries would be an over-generalisation. And when we look at the developed 'socialist' countries (such as the U.S.S.R.), the distinction further loses its validity.

When viewed objectively, it would become clear that the differences between development and traditional administration are differences of degree rather than of kind.

The characteristics of Development Administration enumerated in this lesson are also associated with general administration, but their intensity is greater in the case of the former.

There are scholars (including William Wood) who say that to distinguish between development and traditional administrations would involve an undue undermining of the latter and thus belittling the importance of the fundamental bases of a nation's existence, security and financial resources. How can, it is argued, a process of development take place without adequate resource base? The argument has validity.

Check Your Progress I

Select the correct answer for each question.

iii) Developmental tasks are not a consequence of the end of the war.

i) Define Development Administration and explain its meaning.

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ii) How is participation important in Development Administration?

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iii) How is participation important in Development Administration?

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6.5 INSTRUMENTS OF DEVELOPMENT ADMINISTRATION

You would agree that the problems of development are many and complexity of developmental tasks are varied. It is very difficult to depend only on administrative system to realise the developmental goals. There is need to employ other instruments also. We would examine the four important instruments that can be employed to realise the goals of development. They are :

- administrative system
- political organisation
- voluntary associations, and
- people's organisations.

6.5.1 Administrative System

Public Administration of any country is an indispensable instrument to implement development policies and programmes. Administrative system performs specialised

services and undertake vast range of developmental and non-developmental activities. As administrative systems have specialised skills and have rich experience there is a heavy dependence on this instrument to realise development goals. But, because of the number of the goals there is need to enlist other instruments also.

6.5.2 Political Organisation

Political parties mobilise people in support of developmental programmes. They resolve social conflicts and pave the way for development. Therefore it is considered an important instrument of Development Administration.

6.5.3 Voluntary Associations

In transitional societies there will always be gap between the people and the governmental system. This should be filled to expedite the process of development. It is here that the voluntary organisations can play a very crucial and significant role. Higher level of motivation, flexibility in the organisation and approach, apolitical nature, commitment to the cause, make them fit instruments to undertake developmental tasks.

6.5.4 Peoples Organisations

We have discussed earlier that development requires greater participation of people. Participation can be at the level of decision-making, or implementation or in sharing benefits or in evaluation. This requires skills as well as devoted work and calls for mass movement. Peoples organisations contribute to quicken the process of development and social transformation.

We have to bear in mind that development strategy cannot depend only on one strategy for national building and socio-economic progress. We have to use all the instruments or a combination of different instruments.

Further, there are several administrative positions, such as those of District Collectors and Chief Secretaries in India, which are intricately involved in performing developmental as well as traditional functions. To separate their functions would at best have only academic relevance.

And, therefore, the most acceptable approach would be to look at Development Administration as a type of administration which has its distinctive characteristics, but in an inseparable form from general administration.

Check Your Progress 2

Note : i) Use the space below for your answers.

ii) Check your answer with those given at the end of the unit.

1) "Administrative development is an essential corollary to Development Administration"
Discuss.

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2) How is Development Administration different from traditional administration?

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iii) What are the instruments of development administration?

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6.6 LET US SUM UP

We have studied in this unit the meaning and definitions of Development Administration and its important elements. We have also discussed the distinction between Development Administration and administration. Finally we have studied the differences between traditional or non-developmental administration and Development Administration. In the next unit we will examine the meaning and elements of New Public Administration.

6.7 KEY WORDS

Pressure group : An interest group which has sufficient influence on Central Government to be able to put pressure on behalf of its interests.

Totalitarian : A state is totalitarian when the aims, activities and membership of all associations are subject to the control of the State.

6.8 SOME USEFUL BOOKS

Arora, Ramesh K., 1985. *Comparative Public Administration*; Associated Publishing House: New Delhi.

Riggs, Fred (ed) 1970. *Frontiers of Development Administration*; N.C. Duke University Press : Durham.

Swerdlow, Irving, 1968. *Development Administration : Concept and Problems*; Syracuse University Press : Syracuse.

Verma, S.P., and Sharma, S.K. (eds), 1983. *Development Administration: IIPA* : New Delhi.

Weidner, Edward, (ed), 1970. *Development Administration in Asia*; N.C. Duke University Press: Durham.

6.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- i) See Section 6.2
- ii) See Sub-Section 6.2.2
- iii) See Sub-Section 6.2.9

Check Your Progress 2

- i) See Section 6.3
- ii) See Section 6.4
- iii) See Section 6.5

UNIT 7 NEW PUBLIC ADMINISTRATION

Structure

- 7.0 Objectives
- 7.1 Introduction
- 7.2 New Trends in USA
 - 7.2.1 Changing Environment of Social Unrest
 - 7.2.2 Philadelphia Conference
 - 7.2.3 Minnowbrook Conference
- 7.3 Features of New Public Administration
 - 7.3.1 Change and Administrative Responsiveness
 - 7.3.2 Rationality
 - 7.3.3 Management-Worker Relations
 - 7.3.4 Structures
 - 7.3.5 Education in Public Administration
- 7.4 Goals of New Public Administration
 - 7.4.1 Relevance
 - 7.4.2 Values
 - 7.4.3 Social Equity
 - 7.4.4 Change
- 7.5 Comments on New Public Administration
- 7.6 Let Us Sum Up
- 7.7 Key Words
- 7.8 Some Useful Books
- 7.9 Answers to Check Your Progress Exercises

7.0 OBJECTIVES

After you have read this unit you should be able to :

- explain the significance of New Public Administration
- explain the context of New Public Administration
- discuss the features of New Public Administration; and
- explain the relevance of New Public Administration to developing societies.

7.1 INTRODUCTION

In the earlier units we have discussed the new approaches in Public Administration like Comparative Administration and Development Administration mainly in the context of developments in the subject to meet the requirements of developing societies. Even in developed societies like USA, Canada and Britain, the administrative systems faced new challenges. The concept of New Public Administration is one response to these challenges. In this unit we shall examine the significance, features, and relevance of New Public Administration.

7.2 NEW TRENDS IN USA

In regard to the theory and practice of Public Administration rethinking and suggestions for reform took place among individual intellectuals as well as at common forums of the scholars and administrators. For instance, F.C. Mosher edited a publication, entitled "Governmental Reorganization: Cases and Commentaries (1967)". The book dealt with the common theme of administrative reorganisation and reform to strengthen administrative capability and responsibility. The discussions at the various forums did not always result in

any consensus among the participants about any set formulae for administrative change. However, several valuable view points did emerge, regarding introduction of changes in the theory and practice of Public Administration in response to the rapidly changing environment. This urge for change has resulted in the organisation of several conferences in America. Of these conferences one organised at Philadelphia in 1967 and the second organised at Minnowbrook in 1968 are the most important.

7.2.1 Changing Environment of Social Unrest

In the second half of the present century rapid environmental changes taking place in USA enabled her to achieve greater prosperity and power. But at the same time more and more social tensions and unrest among several sections of people began to take place. The social dissatisfaction and protests were mostly confined to the minority groups, the unemployed and certain highly sensitive youth groups. These became a matter of growing concern to the elected officials, the administrators, the intellectuals and the public leaders. A good deal of public debate and discussion began to take place as how to solve the challenging societal and technological problems. Several changes in policies and institutions began to be undertaken and some others were debated to strengthen political and administrative capabilities for coping with the rapidly changing environments: economic, social, political, technological and human.

7.2.2 Philadelphia Conference

Major viewpoints expressed at this conference about the subject and practice of Public Administration are summarised below :

- a) With the progressive transformation of the limited function state into a welfare state, the responsibilities and functions of its government have increased very considerably. This implies growth in the dimensions and functions of the administration. Since this growth is to be a continuous process, it would be erroneous to demarcate rigidly the boundaries of the study of Public Administration. The scope of the subject should remain flexible to facilitate its growth. Again, it being obvious that administrators are involved in policy making process as advisers and facilitators besides being primarily concerned with policy implementation, the dichotomy between policy and administration and therefore between the study of government and study of Public Administration is meaningless.
- b) Too much emphasis on perfection of hierarchy and internal processes in administrative organisations results in rigidities in administrative performance which detract from its relevance and efficacy in rapidly changing environments; organisational innovations and management flexibility are therefore appropriate.
- c) The subject and practice of Public Administration should pay increased attention to the social problems of urban squalor, unemployment, poverty, environmental pollution and degradation.
- d) There are great socio-economic disparities between classes of people. Hence, social equity should be given due attention. For promoting equity as an administrative value along with the existing values of efficiency and accountability, as well as for improving administrative responsiveness, people's participation in administrative decision-making and activities should be institutionally provided in a reorganised administration. This would also mean that the study of Public Administration should also include social equity as one of the themes.
- e) Education and training programmes in Public Administration should not only provide management abilities and technique skills but should also deepen the social sensitivity or consciousness of students/trainees as well as of the public personnel at work in various governmental agencies. Moreover, administrative ethics needs due emphasis in education programmes so as to prevent or minimise the chances of malpractices and corruption.

7.2.3 Minnowbrook Conference

A year later in 1968 comparatively young scholars and practitioners of Public Administration met at Minnowbrook to critically review the relevance of the study and practice of Public Administration in terms of rapidly changing environment posing challenging problems before the government and social system in the country. Several viewpoints were expressed vigorously. Though these were not much dissimilar to the ones

expressed at the Philadelphia Conference or by some individual academics at times, it was the passionate character of discussions which was the distinctive feature of the meet at Minnowbrook. Moreover, this was followed later on by small group meets of the participants to keep up the tempo of their viewpoints as well as to elucidate these for general publicity or dissemination. The essence of the various viewpoints articulated by the young participants was the advocacy for a normative approach in place of the value-free efficiency approach of the classical theory. This normative approach stresses that the purpose of governmental administration should be reduction of economic, social and psychic suffering and the enhancement of life opportunities both for the employees of the government as well as for citizens. In other words, concerned sections of people should be freed from deprivations, wants and social disabilities. For this purpose, it was suggested that administrative organisations and administrative systems should be continuously adapted to the environmental changes and should also facilitate clientele or citizen involvement in administrative processes to improve administrative effectiveness.

Check Your Progress I

Note : i) Use the space below for your answer.

ii) Check your answer with the answer given at the end of this unit.

i) Describe the major viewpoints of Philadelphia Conference.

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3.3 FEATURES OF NEW PUBLIC ADMINISTRATION

George Frederickson has summarised, in several of his writings, the main features of the new approach to Public Administration passionately advocated at Minnowbrook Conference and afterwards. According to him, social equity is the key concept stressed as an additional administrative value by the advocates of the new approach. He even titled one of his books as New Public Administration. According to him the various features of the New Public Administration are as stated below.

3.1 Change and Administrative Responsiveness

The social, political, economic and technological environments are changing rapidly. Administrative organisations should, therefore, develop clear criteria by which the effectiveness and relevance of their decisions and actions can be judged in the changing context. They should also set up an appropriate device and procedure to effect appropriate change regularly within themselves so as to be responsive to the environment. In other words, organisational and operational flexibility or adaptability to meet environmental changes should be in-built in the administrative system and in each of its departments and agencies.

3.2 Rationality

In Public Administration there is a good deal of emphasis on rationality as the main criterion for administrative decisions and actions. But this rationality really refers to the

rationality of the administrator and not as people would interpret it. The administrator needs to consult the citizens as well not only about what is proposed to be done but also about what ought to be done and by whom.

7.3.3 Management-Worker Relations

It is true that human relations approach within an administrative organisation enhances both morale and productivity (efficiency) among employees but these are not to be end in themselves. The main objective should be the satisfaction of the citizens with the performance and attitudes of the administrative employees whose morale and productivity would have risen due to any human relations approach within an organisation.

7.3.4 Structures

There is a need for adopting a dynamic approach to organisational structure. Appropriate decentralisation of authority and modification of hierarchies of control and subordination, for instance, need continuous review so that the structure becomes relevant to the changing needs of environment. In other words, there should be alternative structures to be chosen from the above inventory of organisations rather than one standardised organisational structure based upon POSDCORB or other principles espoused by the advocates of the traditional approach to Public Administration. Small decentralised and flexible hierarchies, for instance, can be suitable for administrative organisations concerned with programmes of intimate concern to the people or some of their sections.

7.3.5 Education in Public Administration

The subject of Public Administration has been enriched by several streams of knowledge (concepts, ideas and insights). Heterogeneity is characteristic of this subject. The management approach, the human relations approach, political approach and public participative or choice approach continue to contribute to its growth. This is how it should be. Since public affairs, in which the government is engaged, are highly varied and complex, no single approach or theory or concept would be adequate to guide action or understand its rationale.

Check Your Progress 2

Note : i) Use the space below for your answer.

ii) Check your answer with those given at the end of this unit.

i) Explain the features of New Public Administration.

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7.4 GOALS OF NEW PUBLIC ADMINISTRATION

New Public Administration literature has stressed four important goals — namely, relevance, values, equity and change.

7.4.1 Relevance

Public Administration has always emphasised efficiency and economy. Public Administration is criticised as having little to say about contemporary problems and issues. At the Minnowbrook Conference, the participants focused attention on the need for policy-oriented Public Administration and emphasised that Public Administration must explicitly deal with political and normative implications of all administrative actions. Another aspect of relevance that was voiced was Public Administration knowledge. At the Minnowbrook Conference, some of the following questions were raised:

- a) What standards of decision do we use to select?
- b) Which questions ought to be studied and how to study them?
- c) Who defines our questions and priorities for us?
- d) To what extent are we aware of the social and moral implications of knowledge in Public Administration?
- e) What are the uses of Public Administration as a social and political science?
- f) Does Public Administration presently yield knowledge useful to certain institutions in society (usually the dominant ones) and not to others?

These are very disturbing questions challenging the status quo in Public Administration.

7.4.2 Values

New Public Administration is explicitly normative. It rejects value concealing behaviouralism as well as procedural neutrality of traditional Public Administration. The participants at the Minnowbrook Conference, clearly espoused that value neutral Public Administration is impossible. They emphasised that public officials have to advocate the interests of the disadvantaged people.

7.4.3 Social Equity

Public Administration is indicated as an instrument of status quo, denying social justice to the less privileged groups. The leaders of New Public Administration emphasise the principle of social equity. Realisation of this principle should be the purpose of Public Administration. Frederickson himself explains the concept of social equity much more boldly when says: "A Public Administration which fails to work for changes, which tries to redress the deprivation of minorities, will likely be eventually used to repress those minorities". Client-focus administration is a major goal of New Public Administration. Other goals are debureaucratisation, democratic decision-making and decentralisation of administrative process in the interest of more effective and humane delivery of public services.

7.4.4 Change

Achievement of social equity requires promotion of change by the public administrators. Change is necessary to prevent Public Administration from coming under the dominance of powerful interest groups. New public administrators should regard change as a constant fact of administrative life.

In conclusion, what the New Public Administration movement focused was that the administrator should be given less "generic" and more "public" than his predecessor, less "descriptive" and more "prescriptive", less "institution oriented" and more "client-impact oriented", less "neutral" and more "normative", and it is hoped, no less scientific.

Check Your Progress 3

Note: i) Use the space below for your answer.

ii) Check your answer with those given at the end of the unit.

i) Explain the goals of New Public Administration.

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7.5 COMMENTS ON NEW PUBLIC ADMINISTRATION

According to Alan Campbell many of the issues brought to the surface vigorously by advocates of New Public Administration were not new. These have been raised by other scholars from time to time. But these have been raised by proponents of New Public Administration very forcefully and with a strong commitment to social change. Their strong emphasis on citizen's participation in decision-making, on normative value of social equity, and human relations approach oriented largely to service to people is once again a reminder about the need for reorientation of theory and practice of Public Administration.

Dwight Waldo, in his book titled "Enterprise of Public Administration (1980)" has pointed out that New Public Administration projects three perspectives clearly—client (citizen) oriented bureaucracy, representative bureaucracy and people's participation. These public perspectives if woven into Public Administration appropriately would tend to democratise it even more than before.

Carter and Duffey, writing on New Public Administration in the *International Journal of Public Administration*, (1984), have expressed doubt whether the objective of social equity is actually getting recognised as a well-established administrative objective or value in addition to the existing ones of efficiency, effectiveness and public accountability. The great disparities of wealth and income continue in USA to a large extent. Due to recent curtailment of government spending on social welfare programme in USA the deprived sections of the people still do not have adequate access to all the requisite economic and social facilities for their substantial betterment.

We are of the view that since in USA the main emphasis has been on free competition and individual initiative, adoption of social equity as a policy and administrative objective is not an easy proposition. In course of time, perhaps the progress towards its adoption may become more encouraging due to social pressures.

Recent trends in the study and practice of Public Administration in several countries, both developed (e.g. France, Sweden and Britain) and developing (e.g., India, Pakistan) also, indicate similar revision and additions. The intensity and extent of the impact of the trends however, vary from one country to the other, depending upon their respective historical heritages, national resources, character of political system, cultural and demographic patterns and role of the state in national development. The impact is very weak in some countries at one extreme and very strong at the other due to their differing national profiles. On the whole, these trends indicate:

- a) growing emphasis on social equity in public policies and administrative actions;
- b) devising of institutional arrangements to facilitate increased public participation in administrative processes (i.e. decision-making, operations, etc.) at local and grassroot levels;
- c) strengthening of political direction of administration as well as of administrative accountability to the political authorities within the government;
- d) adoption of innovative (new) types of organisations as well as of modern management practices, and techniques and technologies to raise the administrative capability (i.e. efficiency and effectiveness) to deal with highly diverse, complex and numerous governmental tasks.
- e) growth of unionism among the public personnel (government employees) of various grades and making of organised arrangements for government-employees consultations and negotiations as well as for arbitration of disputes.

Because of these trends in administrative systems, the scope of the study of the subject of Public Administration has increased considerably. Moreover, the study is no longer content with the description and analysis of administrative phenomena, policies, organisations and

processes. It is also becoming increasingly normative as it now deals with questions of social equity orientation, democratic orientation, ethical behaviour and citizen's participation within continuously expanding administrative systems. Besides, it is also beginning to be increasingly comparative as it now examines and conceptualises the administrative policies and organisations and operations in various national environments comprising several aspects — political, social, economic, demographic, physical and technological.

In short, the New Public Administration, both in practice and theory tends to be comprehensive in scope, descriptive-cum-normative in character and comparative besides multi-disciplinary in substance.

Check Your Progress 4

Note : i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

i) Explain Waldo's comments on New Public Administration.

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ii) Explain new trends in Public Administration.

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7.6 LET US SUM UP

In this unit, we have examined the significance and the context of New Public Administration. We have also examined the main features of New Public Administration. The comments on New Public Administration and the influence of this concept on new developments in Public Administration are also discussed.

7.7 KEY WORDS

Administrative Accountability : Accountability of the junior about their decisions and actions to the seniors—within the bureaucracy, and accountability of the executive branch of the government to the legislature.

Administrative Capability : Ability of the administrative arm of government to perform or achieve its objectives.

Administrative Effectiveness : The degree or extent of objective/goal achievement by an organisation.

Administrative Efficiency : The ratio of output to input in an organisation.

Organisational Equity : Fair deal to all the employees, with particular attention at lower levels of an organisation.

Social Equity : The delivery of services and goods by the administration should be directly related to needs of less privileged people on a priority basis.

7.8 SOME USEFUL BOOKS

Avasthi & Maheshwari, 1985. *Public Administration*, Chapter-2 & 3; Lakshmi Narain Aggarwal : Agra.

Bhattacharya, 1987. *Public Administration, Structure, Process and Behaviour*, Chapter-1; The World Press Pvt. Ltd. : Calcutta.

Marini Frank, 1971. *Towards a New Public Administration*, the Minnowbrook prescriptive; Scranton, pa : Chandler.

7.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- i) See Sub-Section 7.2.2

Check Your Progress 2

- i) See Section 7.3

Check Your Progress 3

- i) See Section 7.4
- ii) See Section 7.4

Check Your Progress 4

- i) See Section 7.5
- ii) See Section 7.2

Administrative Theory

Block

2

PUBLIC ORGANISATIONS: THE PARADIGMS

UNIT 8

Classical Approach—Luther Gulick and Lyndall Urwick 5

UNIT 9

Scientific Management—F.W. Taylor 13

UNIT 10

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UNIT 11

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UNIT 12

Behavioural Approach—Herbert Simon 41

UNIT 13

Social Psychological Approach—Douglas McGregor
and Abraham Maslow 53

UNIT 14

Ecological Approach—Fred. W. Riggs 61

BLOCK 2 PUBLIC ORGANISATIONS: THE PARADIGMS

We hope you have completed working on Block 1. You must be familiar by now with all the aspects of the nature of Public Administration—particularly its meaning and scope, its significance and its evolution. You must also be familiar with the design and structure of the Blocks and Units of the course material.

This Block on 'Public Organisations: The Paradigms' is very important in the study of the discipline of Public Administration. This block is divided into seven Units. Each unit deals with an important approach that expounds Public Administration from a particular angle.

In the title of the Block, we have used the term 'paradigm' and in the Units, the term 'approach' is used. You may be interested in knowing the meaning of these two terms and why different terms are used.

Any branch of learning or field of study before being recognised as an academic discipline passes through several stages. Initial ideas and beliefs are articulated, concepts developed, models built and approaches adopted for systematic enquiry before the field of study becomes a Science. The term 'Science' can be defined as a body of knowledge, ascertained through observation and experimentation, whose principles are universally accepted or have reached the greatest perfection. It is a systematised and critically tested body of knowledge. Thus, before attaining universality and before becoming a Science, every discipline goes through several stages. It is an evolutionary process. As we have noted, for study and experimentation, several approaches are adopted. An approach is a way of gaining access to the understanding of a subject or a discipline. It refers to taking tentative or introductory steps with a view to accomplish full knowledge. It also refers to a particular manner of dealing with the problem. In Public Administration also one can find several approaches to the study of Public Administration which have been developed during the last hundred years after Woodrow Wilson identified it as an independent area of study. The classical, the human relations, the behavioural, the ecological, etc., approaches are cases in point. Each of the approaches has a specific focus and is built around specific aspects. But each of these approaches was subjected to severe criticism both on methodological and other grounds. You would notice this as you go through the Units in this Block. They have not yet reached a stage to call them 'paradigms' or theories.

Therefore, we have used the term 'approach' in the Units. A study of each of these approaches is a must for a fuller understanding of the discipline.

One school of thought argue that Public Administration is already a developed discipline and it has reached paradigmatic stage. For example, Nicholas Henry has identified five paradigms in Public Administration. You may be wondering as to what a 'paradigm' is? A paradigm is a set of accepted (most of the time on questions) beliefs that are jointly held by researchers and practitioners in a discipline. Paradigm is also characterised by symbolic generalisations, shared commitments to a specific set of beliefs by the discipline and shared values. Development of a paradigm is a sign of maturity for a scientific field. Each of the approaches identified independently may not be called a paradigm, but Public Administration as a discipline has certainly crossed pre-paradigmatic stage. Therefore, the term 'paradigm' is used as title of the Block.

A brief introduction to each Unit is given below.

Unit 8 Classical Approach—Luther Gulick and Lyndall Urwick: This Unit deals with the contributions of classicists, particularly Gulick and Urwick. Here you will read how they formulated certain principles of organisation. You will know that the structure and design are the heart of the classical theory.

Unit 9 Scientific Management—F.W. Taylor: Here we will discuss the contributions of Taylor to the Scientific Management Movement. You will study the four principles of Scientific Management propounded by Taylor. We will also discuss the concept of functional foremanship, mechanisms of scientific management, etc.

Unit 10 Human Relations Approach—Elton Mayo: Here we will discuss the meaning of human relations approach as well as the factors that contributed for its emergence. You will

study different experiments conducted by Mayo and his colleagues. You will also read the importance of interactions between individuals and groups and the relevance of informal organisation to understand the working of formal organisation.

Unit 11 Systems Approach—Chester Barnard: This Unit discusses Barnard's views on organisation as a cooperative system. Formal organisation, concept of authority, and the functions of the executive in a cooperative system are discussed in this Unit.

Unit 12 Behavioural Approach—Herbert Simon: In this Unit we will discuss Simon's criticism of classical principles. You will read Simon's views on decision-making which is central to administrative action. We will examine the place of value and fact and rationality in decision-making. You will also read different modes of organisational influence.

Unit 13 Social Psychological Approach—D. McGregor and A. Maslow: In this Unit we will discuss the contributions of McGregor and Maslow. You will study the underlying assumptions of Theory 'X' and Theory 'Y'. You will know how adequate and inadequate these assumptions are. You will also study the five important needs identified by Maslow. You will know how satisfaction of these needs motivates the individual.

Unit 14 Ecological Approach—Fred. W. Riggs: In this Unit you will study the meaning and importance of ecological approach. You will read the different models built by Riggs as well as their characteristics. We will also examine the limitations of Riggs' prismatic model.

SOME USEFUL BOOKS

Bellone Carl T., 1980. *Organisation Theory and the New Public Administration*; Allyn and Bacon Inc. : Boston.

Golembiewski, Robert T., 1977. *Public Administration as a Developing Discipline; Part I*; Marcel Dekker: New York.

Henry, Nicholas, 1980. *Public Administration and Public Affairs (2nd Ed.)*; Prentice-Hall Inc. : New Jersey.

UNIT 8 CLASSICAL APPROACH— LUTHER GULICK AND LYNDALL URWICK

Structure

- 8.0 Objectives
- 8.1 Introduction
- 8.2 Importance of Structure
- 8.3 From Fayol's Elements to POSDCORB
- 8.4 Principles of Organisation
 - 8.4.1 Work Division
 - 8.4.2 Coordination
 - 8.4.3 Unity of Command
 - 8.4.4 Line and Staff
 - 8.4.5 The Span of Control
- 8.5 Practical Value of Classical Theory
- 8.6 Criticism of Classical Theory
- 8.7 Let Us Sum Up
- 8.8 Key Words
- 8.9 Some Useful Books
- 8.10 Answers to Check Your Progress Exercises

8.0 OBJECTIVES

In this Unit we shall discuss the contribution of Luther Gulick and Lyndall Urwick to the study of classical theory of administration. The study of this unit would enable you to:

- describe the classical approach to administration and organisation, given by Gulick and Urwick
- point out the short-comings of the universal principles, formulated by Gulick and Urwick; and
- evaluate the importance of classical theory in the administrative theory.

8.1 INTRODUCTION

Systematic study and analysis of organisation can be traced to the later part of 19th and early 20th centuries. Taylor, Henry Fayol, Max Weber, Mooney and Reiley, Gulick and Urwick are prominent among the many who attempted the scientific study of organisation. Based on his experiments, Taylor formulated his universal 'principles of scientific management' to improve productivity and efficiency in organisations. Henry Fayol, a successful French Manager and industrialist, expressed his ideas in 1916 in his book "*General and Industrial Management*". Max Weber a German Sociologist, focused on the concept of 'Bureaucracy'. James Mooney, an industrialist with long years of experience with business enterprises, published '*Onward Industry*' in 1918 co-authoring with Alan Reiley. Luther Gulick and Lyndall Urwick based on their own experience and studies and that of others contributed extensively towards formulating general principles of administration and organisation.

They concentrated on certain aspects of Public Administration with rich experience of serving the public offices, military and industrial organisations. Both were "indefatigable publicists, propagandists, and promoters of the gospel of neutral principles directed at raising the level of organisational efficiency". Gulick was a member of the "Presidents' Committee on Administrative Management".

They edited "*Papers on the Science of Administration*" (1937) which is considered as an important work in the development of the science of administration. It summarised the principles of administration and proclaimed that Public Administration guided by efficiency could become a science.

Gulick's other works include: *Administrative Reflections from World War-II*, *Metropolitan Problems and American Ideas*, *Modern Management for the City of New York*.

Urwick's published works include: *"The Elements of Administration"*, *"Management of Tomorrow"*, *"The Making of Scientific Management"* (3 Volumes), *"The Patterns of Management and Leadership in the XX Century Organisations"*

8.2 IMPORTANCE OF STRUCTURE

Although Gulick and Urwick were interested in dealing with administration as a whole, they dealt mostly with the technical aspects of formal organisation. Urwick was heavily oriented to formalism in organisation theory.

Gulick and Urwick formulated 'universal' principles of organisation. These formulations are popularly called 'classical theory' of organisation. They are also called 'administrative management' theory, 'mechanistic' theory, etc. The classical theory is so called because it is one of the earliest formulations based on systematic analysis of organisations; it is dominant in the field of administrative theory; and finally because it is long established and generally accepted in administrative literature. They sincerely believed that a science of administration can be developed based on some principles and based on the experience of administrators. Thus, the administration which was considered hitherto an art developed into a science.

In discussing organisations as social groups, Urwick says "the correct analogy must be analogy with the living organism—the biological parallel.... For this reason the mechanistic parallel can be very helpful in discussing organisation. Another name for it is the engineering approach".

It is significant to note that Gulick and Urwick, along with other classical theorists, attached more importance to the structure of organisation than the role of the people in the organisation. In short, Urwick traces a very large proportion of the friction and confusion in the society, with its manifest consequences in human suffering, to the faulty structural arrangements in organisations. Urwick stressed the importance of design in organisation. He pointed out that it is impossible for humanity to advance the knowledge of organisations unless this factor is isolated. He further considered lack of design as "illogical, cruel, wasteful and inefficient".

Urwick in his book "Elements of Administration" defines organisation as determining activities necessary to any purpose and arranging them in groups assigned to individuals. The whole arrangement must be undertaken in a "cold-blooded, detached spirit", like the preparation of an engineering design, without any reference to the individuals in the organisation. Thus, he believed that effort must be made to fit people to the structure.

8.3 FROM FAYOL'S ELEMENTS TO POSDCORB

Both Gulick and Urwick were heavily influenced by Taylor and Fayol. Gulick used Fayol's five elements of administration viz., Planning, Organisation, Command, Coordination and Control as a framework for his neutral principles. Gulick condensed the duties of an administrator into a famous acronym POSDCORB. Each letter in the acronym stands for one of the seven activities of the administrator. They are as follows:

Planning (P): working out the things that need to be done and the methods for doing them to accomplish the purpose set for the enterprise;

Organising (O): establishment of the formal structure of authority through which work sub-divisions are arranged, defined and coordinated for the defined objective;

Staffing (S): the whole personnel function of bringing in and training the staff, and maintaining favourable conditions of work;

Directing (D): continuous task of making decisions and embodying them in specific and general orders and instructions, and serving as the leader of the enterprise;

Coordinating (CO): The all important duty of inter-relating the various parts of the work;

Reporting (R): keeping the executive informed as to what is going on, which thus includes keeping himself and his subordinates informed through records, research, and inspection; and

Budgeting (B): all that goes with budgeting in the form of fiscal planning, accounting and control.

This list of activities is an improvement over Fayol's elements of administration. The term POSDCORB came into wide use, in the administrative processes. With its merits and demerits, it served a number of writers well in dealing with different aspects of administration.

Check your progress.

Note: (i) Use the space given below for your answers.
(ii) Check your answers with those given at the end of the unit.

i) Explain the significance of structure in organisations.

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ii) What does the acronym "POSDCORB" stand for?

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8.4 PRINCIPLES OF ORGANISATION

Urwick identified eight principles of administration applicable to all organisations. The principles are:

- i) The "principle of Objective"—that all organisations should be an expression of a purpose;
- ii) The "principle of Correspondence"—that authority and responsibility must be co-equal;
- iii) The "principle of Responsibility"—that the responsibility of higher authorities for the work of subordinates is absolute;
- iv) The "Scalar Principle"—that a pyramidal type of structure is built up in an organisation;
- v) The "principle of Span of Control";
- vi) The "principle of Specialisation"—limiting one's work to a single function;
- vii) The "principle of Coordination"; and
- viii) The "principle of Definition"—clear prescription of every duty.

After stressing the significance of structure as a designing process and identifying the functions of the executive in terms of POSDCORB, Gulick and Urwick concentrated their efforts on the discovery of principles of organisation based on which the structure may be designed.

Similarly Gulick expounded ten principles of organisation. In expressing these principles Gulick was very much influenced by Henry Fayol's 14 basic elements of administration. The principles of Gulick are:

- i) Division of work or Specialisation;
- ii) Bases of departmental organisations;
- iii) Coordination through Hierarchy;
- iv) Deliberate Coordination;
- v) Coordination through Committees;
- vi) Decentralisation;
- vii) Unity of Command;
- viii) Staff and Line;
- ix) Delegation; and
- x) Span of control.

You would now examine some of these important principles briefly.

8.4.1 Work Division

According to Gulick "work division is the foundation of organisation, indeed, the reason for organisation". The other classical thinkers also made the principle of work division as the central tenet of their theory. Work division is necessary because "men differ in nature, capacity and skill, and gain greatly in dexterity by specialisation".

In assigning functions to groups of people, their first principle is homogeneity based on the identity or simplicity of four factors:

- The purpose they serve, (function).
- The process they use.
- The persons or things they deal with (clientele), and
- The place where they work.

These are popularly known as Gulick's 4 'P' bases of departmentalisation. However, in subdividing the work or establishing the units of work, a choice must be made as to which of these principles—purpose, process, person(s) or place are relevant. Realising the limitations of the division of work, Gulick observed that "division of work and integrated organisation are the bootstraps by which mankind lifts itself in the process of civilisation".

8.4.2 Coordination

If sub-division of work is inescapable, Gulick declared, coordination becomes mandatory. Based on his experience, Gulick says that coordination can be achieved in two primary ways:

- By organisation, that is inter-relating the sub-divisions of work by allotting them to persons who are appropriately placed in the structure of authority, so that the work may be coordinated by orders reaching from the top to the bottom of the entire organisation.
- By the dominance of an idea, that is, the development of intelligent singleness of purpose in the minds of those who are working together so that each worker will voluntarily fit his task into the whole with skill and enthusiasm.

These two principles of coordination, he observes, are not mutually exclusive, but together both are really effective. Size and time are the great limiting factors in the development of coordination. Therefore, he pointed out, coordination must be approached with different emphasis in small and in large organisations, in simple and in complex situations, in stable and in new or changing organisations. Thus, Gulick maintains that "coordination is not something that develops by accident. It must be won by intelligent, vigorous, persistent and organised effort".

8.4.3 Unity of Command

Gulick and Urwick believed that "well-managed administrative units in the Government are almost without exception headed by single administrators". They were against boards or commissions. Leadership is vested in one man against a plural body. They reiterated Fayol's maxim of unity of command, knowing that rigid adherence to this principle may lead to absurdities. They were emphatic that "A man cannot serve two masters".

A workman subjected to order from more than one supervisor will be "confused, inefficient, and irresponsible", a workman subjected to order from but one superior may be "methodical, efficient, and responsible".

8.4.4 Line and Staff

A special mention should be made of the Gulick-Urwick's principle of staff assistance to the executive and the relations between the "Line" and "Staff officials". They borrowed these principles from their experience in military administration. However, no management theory has yet been clear about the meaning of the Line and Staff principle in civilian organisations.

According to Gulick the staff experts have to "devote their time exclusively to the knowing, thinking and planning functions". They must not be given any administrative authority or responsibility but they should get the results by the "authority of ideas". Thus, they emphasised the necessity of special staff to assist the higher executives. Public officials in their every day work do not have time to read, think and meet their subordinates; hence they need assistance in their central tasks of command, control and coordination. Such assistance should be extended by general staff, coordinating the work of staff specialists. Thus, the general staff and special staff relieve the top executive from the burdensome details of administration; they free him to concentrate upon the most important tasks and enable him to exercise a larger span of control.

3.4.5 The Span of Control

To Urwick, "no supervisor can supervise directly the work of more than five or at the most, six subordinates whose work interlocks". The limit of control is due to the limits of knowledge, time and energy, and different kinds of works and sizes of organisations. It arises in part from the differences, in the capacities and work habits of individual executives and in part from the non-comparable character of work. Thus, the element of diversification of function, the element of time and the element of space govern the principle of span of control. The failure to attach sufficient importance to these variables limits the scientific validity of the principle. Gulick and Urwick were influenced by Graicunas who furnished mathematical support to the concept of a narrow Span of Control.

Gulick, suggested further research into the problem, but concluded that the chief executive of an organisation can deal with only a few immediate subordinates. The number is determined not only by the nature of work, but also by the capacity of the executive, and the number of immediate subordinates, the stability and geographical proximity of organisation. Though, he was less categorical about the number of subordinates, he was nonetheless confident about the general validity of the principle.

Check Your Progress 2

- Note: i) Use the space given below for your answers.
- ii) Check your answers with those given at the end of the unit.

i) Explain the Principles of organisation as discussed by Urwick and Gulick.

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i) Explain Gulick's 4 'P' bases of departmentalisation.

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iii) Discuss any two principles of organisation.
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8.5 PRACTICAL VALUE OF CLASSICAL THEORY

According to Baker certain specific ideas of practical value have emerged from classical theory. They are enumerated below:

- The first was the identification of organisation or administration as a distinct function to be studied and practised. The practical achievement was to make people think and apply themselves to the problem of management and organisation.
- Secondly it introduced some clear thinking about authority, responsibility, delegation.
- Thirdly it propounded the idea that administration is a separate activity which deserves intellectual investigation.
- Fourthly it played a significant role in rationalising and stimulating production in the industrial organisation, to some extent.
- Finally, the very limitations of the theory instigated further investigations in organisational behaviour. Thus, classical theory despite its shortcomings made significant contribution to the development of the organisation theories.

8.6 CRITICISM OF CLASSICAL THEORY

Herbert Simon attacked some of the accepted principles of administration of classical organisation theory, particularly its principles of division of functions, unity of command and span of control. Referring to the 4 'P's, he asserts that division of responsibility and specialisation can be either by function, or by process, or by objective or by place. Classical theory, he points out has not given any clue as to which basis is preferable in any particular circumstance. For him the principle of unity of command is also ambiguous in terms of sphere. Thus, Simon described the "Principles of Administration" as the mere "Proverbs of Administration", each paired with a mutually contradictory proverb—as Span of Control should be narrow, but chains of command should be short.

Gulick's line and staff functions in large and complex organisations are simply out of touch with reality. The 'span of control' doctrine is even more confusing and misleading. The responsibility for this confusion rests mainly with Graicuna mathematical formula of 'five or most probably four'. The basic fallacy is the authoritarian assumption that the top executive needs to have some sort of relationship with every one below him in the organisation.

The principles of administration of Gulick and Urwick were severely criticised as they have not made clear as to what they meant by the universal validity of the 'principles'. Simon considered that "the principles of administration are at best criteria for describing and diagnosing administrative situations". They suggest only working rules of conduct which wide experience seems to have validated.

It has been pointed out that all the classical theorists have displayed a pro-management bias in their theories. They were concerned with the problems of management and not the other organisational problems that concern the other levels of management and men.

The theory is criticised as atomistic, which looks at the individuals in isolation from the fellowmen in the organisation. It is mechanistic as it fails to explain the dynamics of organisational behaviour. It is static and rational. It also does not take any note of non-economic incentives.

It is more concerned with the work than the human being who does the work. It underestimated the human element and human behaviour. The human being is considered a mere cog in the organisation machine.

Check Your Progress 5

- Note: i) Use the space given below for answers.
ii) Check your answers with those given at the end of the unit.

Q) What is the significance of the

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8.7 LET US SUM UP

Though the classical ideas were expounded in the first two decades of this century, the classical management thinking is still dominant among many practising administrators today. The most distinguishing feature of classical theory is its concern with the formulation of principles of organisation. The classical theorists attempted to discover the true bases on which division of work in organisations can be carried on and find effective methods of coordinating the work for the sake of efficiency. They placed emphasis on the precise definition of various activities and their inter-relationship and suggested the use of authority through a system of checks and control over the people working in the organisations to get things done.

Accordingly, classical theory of organisation is a formal structure of design and plan. The theory advocates a body of principles of organisation in accordance with which organisation plans are made out to fit into the requirements of selected purpose or function and then capable men are selected to get the things done as per the preconceived plan. This approach "bears the stamp of the engineer seeking scientific precision, logical structure, and the one best way of performing each step, and of relating the parts to a unified whole". Thus, the theory clearly manifests, four features—Division of work, hierarchy, impersonality and efficiency.

8.8 KEY WORDS

Formal organisation: Organisation in which emphasis is placed on design and structure

Proverbs of Administration: Herbert Simon ridiculing the 'Principles of Administration'

Staff and Line: Planners and operators

8.9 SOME USEFUL BOOKS

- Avasthi, A., & Maheshwari S., 1984. *Public Administration*: Lakshmi Narain Agarwal: Agra.
- Baker, R.J.S., 1972. *Administrative Theory and Public Administration*; Hutchinson: London.
- Gross, Betras, 1964. *The Managing of Organisations: The Administrative Struggle, Vol.1*; The Free Press of GlenCoe: London.
- Gulick L. and Urwick L. (eds.) 1937. *Papers on Science of Administration*; The Institute of Public Administration, Columbia University: New York.
- Prasad, Ravindra, D., (ed.) 1989. *Administrative Thinkers*; Sterling Publishers: New Delhi.
- Rowat, C. Donald: (ed.), 1961. *Basic Issues in Public Administration*; The Macmillan Company: New York.

8.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- i) See Section—8.2
- ii) See Section—8.3

Check Your Progress 2

- i) See Section—8.4
- ii) See Sub-section—8.4.1
- iii) See Sub-sections—8.4.1 to 8.4.5

Check Your Progress 3

- i) See Section—8.5
- ii) See Section—8.6

UNIT 9 SCIENTIFIC MANAGEMENT— F.W. TAYLOR

Structure

- 9.0 Objectives
- 9.1 Introduction
- 9.2 Early Works
 - 9.2.1 A Piece-Rate System
 - 9.2.2 Shop Management
 - 9.2.3 Art of Cutting Metals
 - 9.2.4 Defects of Management
 - 9.2.5 Time and Motion Study
- 9.3 Taylor's Concept of Management
- 9.4 Principles of Scientific Management
 - 9.4.1 Development of a True Science of Work
 - 9.4.2 Scientific Selection and Progressive Development of the Workmen
 - 9.4.3 Bringing together the Science of Work and Scientifically Selected and Trained men
 - 9.4.4 Division of Work and Responsibility
- 9.5 Functional Foremanship
- 9.6 Mechanisms of Scientific Management
- 9.7 Mental Revolution
- 9.8 Criticism
- 9.9 An Evaluation of Taylor's Contribution
- 9.10 Let Us Sum Up
- 9.11 Key Words
- 9.12 Some Useful Books
- 9.13 Answers to Check Your Progress Exercises

9.0 OBJECTIVES

In the previous unit on classical approach you have studied the contributions of Luther Gulick and Lyndall Urwick in synthesising the propositions of the classicists. In this unit we shall discuss the contributions of Taylor, another classicist of scientific management.

After studying this unit you should be able to:

- explain how the scientific methods and approaches were introduced in the management of organisations
- state Taylor's concept of management and explain his principles of scientific management
- describe the mechanisms to serve the principles of scientific management; and
- critically evaluate Taylor's contributions to scientific management.

9.1 INTRODUCTION

At the turn of the twentieth century, Frederick Winslow Taylor undertook researches in management of industry in the USA. Although he was not the pioneer in the study of management in a scientific way, none of his predecessors were engaged directly in the analysis of the work methods. Taylor believed that the principle "best management is a true science," is applicable to all kinds of human activities. Taylor attempted to bring the precision of science to the analysis and measurement of work. He wanted it to be universally applicable to improve productivity by establishing a rationale for organising work. Taylor's influence on management has been so profound that his methods are used in most countries. Therefore, he is generally regarded as the father of scientific management. The fundamental contribution of scientific management movement was the application of scientific method to discover new knowledge. It is the method of controlled experimentation, with well defined steps in proper sequence, under controlled situation.

During the latter part of the 19th century a new industrial climate began to descend upon American business giving rise to the growth of a managerial class. The practices of

management began to change from a day-to-day problem solving approach to a more all-inclusive, comprehensive, long-run approach to encounter multiple managerial problems which were not faced previously. Prominent leaders like Henry Towne, Henry Metcalf and Frederick Taylor tried to develop a unified system of management and Towne called this new philosophy of management as the **science of management**. Taylor's contribution to the development of scientific management was recorded in his papers, 'A Piece-Rate System' (1895), 'Shop Management' (1903), 'The Art of Cutting Metals' (1906) and 'The Principles of Scientific Management' (1911).

In this unit we shall examine the principles of management developed by Taylor and evaluate his contributions to the development of a science of management.

9.2 EARLY WORKS

Taylor's contribution to the development of scientific management was recorded in his papers. Of these early ones are: **A Piece-Rate System, Shop Management, and The Art of Cutting Metals.**

Among his early works, Taylor also discussed defects of management and Time and Motion Study.

9.2.1 A Piece-Rate System

Taylor's first paper on Piece-Rate System was considered as an outstanding contribution to the principles of wage payment. He proposed a new system consisting of three parts: (a) observation and analysis of work through time study to set the 'rate' or standard, (b) a 'differential rate' system of piece work, and (c) 'paying men and not positions'.

9.2.2 Shop Management

In his second paper on Shop Management he discussed at length workshop organisation and management. He focused attention, in this paper, on his philosophy of management as given below:

- The objective of management must be to pay high wages and have low unit production costs to achieve the increased industrial efficiency.
- Management has to apply scientific methods of research and experiment to the management problems.
- Standardisation of working conditions and placing the workers on the basis of scientific criteria.
- Management must give formal training to workers and specific instructions to perform the prescribed motions with standardised tools and materials.
- Friendly cooperation between workers and management on the basis of scientific system of labour organisation.

Taylor wanted to develop a new and total concept of management. He advocated that the traditional managers, should develop a new approach and change to a more comprehensive and broader view of their jobs incorporating the elements of planning, organising and controlling.

9.2.3 Art of Cutting Metals

Taylor experienced bitter labour-management conflict particularly between foreman and workers over the quantity of output. He failed to resolve the problems by persuasion and force. Realising that a new industrial scheme was essential to prevent encounters, he began searching for a science of work. In the process he conducted a series of experiments for more than two decades. He experimented with machine tools, speed, metals, materials, etc. His experiments at the Midvale and Bethlehem Steel Company led to the discovery of high speed steel and revolutionised the art of cutting metals. His paper on "The Art of Cutting Metals" presented to ASME was considered as the most remarkable piece of research ever presented at a conference. The paper was based on the longest and most exhaustive series of about 30,000 experiments conducted over a period of 26 years, at a cost of about \$ 2,00,000. The achievements of metal cutting experiments were considered more important than Taylor's other contributions, because they initiated a major breakthrough in the development of American industry.

9.2.4 Defects of Management

While at Midvale Steel Company, Taylor made serious observations and study of operations of many factories, and identified the following major defects in management:

- management had no clear understanding of worker-management responsibilities;
- lack of effective standards of work;
- restricted output because of 'natural soldering' and 'systematic soldering' of work by the workers;
- failure of management to design jobs properly and to offer proper incentives to workers to overcome the soldering;
- most decisions of the management were unscientific as they were based on hunch, intuition, past experience, and rule-of-thumb;
- lack of proper studies about the division of work among departments; and
- placement of workers without consideration of their ability, aptitude and interests.

9.2.5 Time and Motion Study

In his other experiments he studied through motion and time study and analysed how the workers handled materials, machines and tools, and developed a coordinated system of shop management. Taylor set out to determine scientifically the ability of workers in dealing with equipment and materials and this approach led to the true beginning of scientific management.

In the development of his shop system Taylor wished to know that under optimum conditions, how long a man or a machine would or should take to perform a given task, in a specified process, using specified materials and methods. He used scientific fact-finding methods to determine empirically the right ways to perform tasks with the help of stop watch.

Taylor also recognised the need for scientific method of selecting the right men for the right jobs considering their initial qualifications and potential for further learning. He wanted effective supervision of a worker and his working conditions after placing the worker in the right place. Taylor wanted to lay down the foundation for sound personnel management i.e. to match the worker's abilities to the job.

Check your Progress I

- Note: i) Use the space given below for your answers.
ii) Check your answers with those given at the end of the unit.

i) What is Piece Rate system?

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ii) What defects were identified by Taylor in traditional management?

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9.3 TAYLOR'S CONCEPT OF MANAGEMENT

Before we discuss Taylor's 'great principles of management', it is desirable to know his

views on the concept of management. Taylor pointed out that management is a true science resting upon fixed laws, rules and principles. He argued that management comprised a number of principles which are applicable to all organisations—both private and government. The main object of management, according to him is to secure the maximum prosperity for the employer, coupled with the maximum prosperity for each employee. His philosophy of scientific management is that there is no inherent conflict in the interest of the employers, workers and consumers. The primary concern of Taylor was that the results of higher productivity should equally benefit all people i.e. workers, employers, and consumers in the shape of higher wages to the workers, greater profits to the management and payment of lower prices for the products by the consumers.

Taylor observed that management neglected its functions and shifted its burden to the labour while keeping for itself minor responsibilities. He advised that management should take the responsibility of determining standards, planning work, organising, controlling and devising incentive schemes.

9.4 PRINCIPLES OF SCIENTIFIC MANAGEMENT

Taylor advocated, in the interest of societal prosperity, close collaboration and deliberate cooperation between the workmen and the management. His philosophy of management was based on mutual interests and on four basic principles of scientific management:

- i) the development of true science;
- ii) the scientific selection of the workmen;
- iii) the scientific education and development of workmen; and
- iv) intimate and friendly cooperation between the management and the men.

We shall now examine these four principles in detail.

9.4.1 Development of a True Science of Work

When science is viewed as an 'organised knowledge' every act of a workman can be reduced to a science. In the interests of the worker and management, it is necessary to know as to what constitutes a fair day's work. It saves the worker from the unnecessary criticism of the boss, and enables the management to get the maximum work from worker. This needs a scientific investigation of a 'large daily task' to be done by qualified workers under optimum conditions.

The investigation can take the form of collecting information about worker's past and present working methods. The results of investigation have to be classified, tabulated, and reduced into rules and laws to find out the ideal working methods or what is called 'one best way of doing the job'. Such development of science of work enables the organisation to produce more; enables the worker to receive higher wages and a much larger profit to the company.

9.4.2 Scientific Selection and Progressive Development of the Workmen

To ensure effective performance of the work which is developed through scientific investigation, there is also a need to select only those workers who possess the necessary physical and intellectual qualities. This needs a deliberate study of the aptitude, nature and performance of the worker and finding out what possibilities and limitations one has for future development. Taylor believed that every worker has potentialities for development. He insisted that every worker must be systematically and thoroughly trained. Taylor felt that it is the responsibility of the management to develop the worker offering him opportunities for advancement to do the job to the fullest realisation of his natural capacities. It is necessary to ensure that the employees accept the new methods, tools and conditions willingly and enthusiastically.

9.4.3 Bringing together the Science of Work and Scientifically Selected and Trained men

To enable the worker to do his job and to ensure that he may not slip back to the earlier methods of doing work, there must be somebody to inspire the workers. This Taylor felt is the exclusive responsibility of the management. He believed that workers are always willing

management. Taylor maintained that this process of bringing together causes the mental revolution.

9.4.4 Division of Work and Responsibility

In the traditional management theory, the worker bore the entire responsibility for work while management had lesser responsibilities. But Taylor's scientific management assumes equal responsibility between management and worker. The manager unlike in the past is equally busy as the worker. This division of work creates understanding and mutual dependence between them. There will also be constant and intimate cooperation between them. All this results in elimination of conflicts and strikes.

However, none of these four principles could be isolated and called scientific management. It is a combination of all elements described above. We can summarise the philosophy of these principles as under:

- a) Science, not rule of thumb;
- b) Harmony, not discord;
- c) Cooperation, not individualism;
- d) Maximum output, in place of restricted output; and
- e) Development of efficiency and prosperity.

9.5 FUNCTIONAL FOREMANSHIP

Taylor doubted the efficacy of the 'linear' system or the military type of organisation in which each worker is subordinate to only one boss. He replaced this system with what is called 'functional foremanship' in which the worker receives orders from eight narrowly specialised supervisors. He divided the work not only among workers, but also at the supervisory level. Of the eight functional bosses, four will be responsible for planning and the remaining four for execution. The gang-boss, the repair-boss, the speed-boss and the inspector are the four bosses for execution. The order book clerk, the route clerk, the instruction card clerk, the time and cost clerk, and the shop disciplinarian are the four planning bosses. Taylor believed that in this functional type of organisation, the foreman can be trained quickly and specialisation becomes very easy. The concept of division of work between planning and execution was incorporated in line and staff concept, with line being the executing agency and staff being the planning agency. Taylor also specified nine qualities which will make a good 'foreman'. They are: education, special or technical knowledge, manual dexterity and strength, tact, energy, grit, honesty, judgement and good health.

9.6 MECHANISMS OF SCIENTIFIC MANAGEMENT

Apart from functional foremanship, Taylor also developed some more mechanisms to serve his principles of scientific management. They are:

- Time study;
- Standardisation of all tools and implements used in the trades and also of the acts or movements of workmen for each class of work;
- The desirability of a planning room or department;
- The 'exception principle' in management;
- The use of slide-rules and similar time saving implements;
- Instruction cards for the workman;
- The task idea in management, accompanied by a large bonus for the successful performance of the task;
- The 'differential rate';
- Mnemonic systems for classifying manufactured products as well as implements used in manufacturing;
- A routing system; and
- Modern cost system.

Taylor defined scientific management negatively:

- i) It is not an efficiency device;

- iii) it is not a new system of figuring cost;
- iv) It is not a time study or motion study; and
- v) It is not divided foremanship or functional foremanship.

Check Your Progress 2

- Note:
- i) Use the space given below for your answers.
 - ii) Check your answers with those given at the end of the unit.

i) What is Taylor's concept of management?

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ii) Discuss the principles of scientific management.

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iii) Explain functional foremanship.

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iv) What mechanisms were identified by Taylor to serve his principles of scientific management?

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9.7 MENTAL REVOLUTION

Scientific management, in its essence, according to Taylor, primarily involves a complete mental revolution on the part of workers and management regarding their duties, towards their work, towards their fellow workers, and towards all of their daily problems. It demands the realisation of the fact that their mutual interest is not antagonistic; and mutual prosperity is possible only through mutual cooperation.

According to Taylor, in every organisation a conflict exists between workers and management due to improper division of output, to avoid this, it is essential to change the mental attitude of both sides. Thus Taylor propagated the concept of 'mental revolution'.

Taylor was of the view that in an organisation both workers and employers should cooperate with each other and work together towards increasing the productivity. The workers and management should concentrate only on increasing output and nothing else; they should continue to do so until the output increases to such an extent that it becomes unnecessary to quarrel over its division. Increased output would give better wages to worker and high profit to management and this atmosphere of conflict will be replaced by peace and harmony.

Scientific management became something of a 'movement' and offered the hope of resolving industrial problems. But there were many criticisms on Taylor's concept. The criticisms primarily came from:

- Trade Unions and Organised Labour
- Managers
- Human-Relations Theorists and Behaviouralists.

The trade unions were against the modern methods of increasing output by the introduction of the premium bonus system. The labour leaders considered Taylorism as not only destroying trade unionism but also destroying the principle of collective bargaining. They thought that the system was a menace to the community at large as it causes continuous increase in unemployment.

Trade unions felt that Taylor was more interested in the mechanical aspects of work and not much concerned about the total work situation. A number of agitations by the labour organisations and their representations to the American Congress, led the House in 1912 to appoint a Special Committee of the House of Representatives to investigate into Taylorism. Although the report of the committee favoured neither the labour nor Taylor, the trade unions in 1915 succeeded in getting an amendment to Army Appropriation Act, forbidding the use of stop watches or the payment of premiums or bonuses in Army Arsenals.

Trade Union's opposition to Taylorism also led to an investigation conducted by Robert Hoxie for the United States Commission on Industrial Relations. Professor Hoxie in his report criticised Taylor's scientific management and Taylor's approaches as they were concerned only with mechanical aspects and not with the human aspects of production. The report also stated that the basic ideals of scientific management and labour unionism were incompatible.

Taylorism was also attacked by the managers. Those who wanted quick promotions to the high managerial positions opposed Taylor's stand, which advocated training by experts. The managers "did not appreciate his scornful comments on rule of thumb method. Those who had fought their way to high managerial positions without the benefit of higher education were sensitive to Taylor's stand that unless assisted by highly trained experts they were unqualified to manage". It is very interesting to note that Taylor had to resign from both Midvale Steel Works and Bethlehem Steel because of the friction with the company managers.

Among others who criticised Taylor include Oliver Sheldon, a British Management thinker, Mary Parker Pollett, an American business philosopher, Sam Lewisohn, Elton Mayo, Peter Drucker and others. They charged that Taylor's scientific management was impersonal and underemphasised the human factor. This criticism led to a series of experiments in industrial sociology and social psychology. The classic Hawthorne Experiments of Elton Mayo and other research studies on human relations and group dynamics in industry rejected Taylorism. (More on this in Unit 10.)

Elton Mayo through his classic Hawthorne investigations conclusively proved that it is not the structural arrangements which are important for increasing productivity and efficiency in the organisation, but it is the emotional attitude of the worker towards his work and his colleagues. The Taylor's philosophy that men were generally lazy and try to avoid work has also been disputed. It is evident from Brown's analysis that "work is an essential part of man's life, since it is that aspect of life which gives him status and binds him to the society.... When they do not like it, the fault lies in the psychological and social conditions of the job, rather than the worker".

Another criticism of Taylor is that he did not properly understand the anatomy of the work. His emphasis on the minute division of work and specialisation was severely criticised on several grounds. Firstly, the work gets depersonalised and the worker becomes a mere cog in the machine. Relations between the worker and manager become remote as a result the worker loses the sense of participation in the work. More than anything, the worker finds no outlet to exhibit his abilities and potentialities. Secondly, it may even lead to automation of the workers which may have physiological and neurological consequences. As has aptly been put by Peter Drucker the organisation becomes a piece of poor engineering judged by

the standards of human relations, as well as by those of productive efficiency and output. Thirdly, Taylor's division of work into planning and executive divisions has severely been criticised. It is argued that in such situations it is difficult to develop proper team spirit, and if planning is totally divorced from execution it is difficult to secure the participation of the workers in the progress of the firm. It has also been argued that Taylor overlooked the fact that the principle of division and sub-division of work into minutest parts is subject to the law of diminishing returns. Thus Taylor's philosophy was summarised in the following words: "First, he confuses the principle of analysis with the principle of action.... Second, planning and doing are separate parts of the same job; they cannot be totally divorced".

Behaviouralists charged that Taylor's methods of scientific management sacrifices the initiative of the worker, his individual freedom and the use of his intelligence and responsibility. Herbert Simon and March have described the scientific management as the 'physiological organisation theory'. Braverman, characterised Taylorism: (a) as abstracting the craft skill from the worker and housing it in a system of control, and (b) using this knowledge so gained to legitimise control of the worker.

The second point about legitimising the managerial control of the worker has been expanded by Whiteaker. He asserted that it is an effort by capitalist philosophy to resolve the contrast between representative political democracy and the appointed non-responsible authority in business and industry in modern industrial societies.

9.9 AN EVALUATION OF TAYLOR'S CONTRIBUTION

Despite the limitations — limitations concerning an adequate understanding of human psychology, sociology and the anatomy of work — Taylor's work remains supremely important. By all accounts Taylor must be regarded as a pioneer in the study of human beings at work. He was the first person to initiate the quest for better performance at work. He was also the first to apply quantitative techniques to the study of industrial management. Modern scientific management, operations research, method study, time study, systems analysis, management by exceptions, etc., are all a part of Taylor's heritage.

Taylor's scientific management became something of a movement. In an age of growing achievement in the physical sciences it offered the hope of resolving industrial problems through the use of objective principles. For young and imaginative engineers, it provided an ethos and a mission in life. After the initial period of resistance, it conquered the citadels of old fashioned industrial management in the United States and had a tremendous effect on industrial practice. It spread to Germany, England, France, USSR, and other European countries. Japanese Industry has used the techniques of scientific management extensively during the entire period of its growth to improve its unit cost production. Many of the developing countries have been trying to use scientific management with varying effect. Scientific management was supported in Russia and Taylor's principles were included in the curriculum of education and training of the engineers. Ruthlessly exposing the essence of the Taylor system as "the last word in reckless capital exploitation" Lenin explained "we must introduce the Taylor systems and scientific efficiency of labour throughout Russia by combining the system with reduction in working time, with the application of the new methods of production and work organisation undetrimental to the labour power in the working population". Taylorism took shape as "Stakhanovite movement" in USSR.

Check Your Progress 3

- Note: (i) Use the space given below for your answers.
(ii) Check your answers with those given at the end of the unit.

(i) What are the major criticisms against Taylor's Scientific Management?

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- ii) Estimate the place of Taylor in administrative literature.

9.10 LET US SUM UP

The contributions of Taylor to the philosophy and principles of Scientific Management have been highlighted in this unit. We have discussed the four principles of scientific management propounded by Taylor. Other contributions like functional foremanship, the different mechanisms to serve his principles have also been highlighted in this unit. Taylor's contributions evoked severe criticisms from different quarters even during his times. We have made, therefore, a critical evaluation of his contributions. One of the criticisms against Taylor's principles is that it sacrificed human element for the sake of mechanical efficiency. Taking clue from these criticisms later scholars developed what is now popularly known as 'human relations approach' to the study of organisations. In the following unit we would study the contributions of Elton Mayo.

9.11 KEY WORDS

Functional Foreman: Specialist supervisor

Hawthorne Experiments: Elton Mayo's research studies which rejected Taylorism

Mental Revolution: Changing of mental attitudes of workers and management towards increasing surplus to such an extent that division of output between them is not necessary

Midvale Steel Company: Where Taylor observed the workers and conducted experiments

Motion and Time Study: Studying the workers handling the jobs

Piece-rate: Principle of wage payment

Shop System: Where the work is done under the optimum conditions

9.12 SOME USEFUL BOOKS

Prasad, Ravindra, D. et. al, (Eds.), 1989. *Administrative Thinkers*; Sterling Publishers: New Delhi.

Pugh, D.S. et. al, 1971. *Writers on Organisations*; Penguin Books: Lords.

Taylor F.W., 1947. *Scientific Management*; Harper & Row: New York.

9.13 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

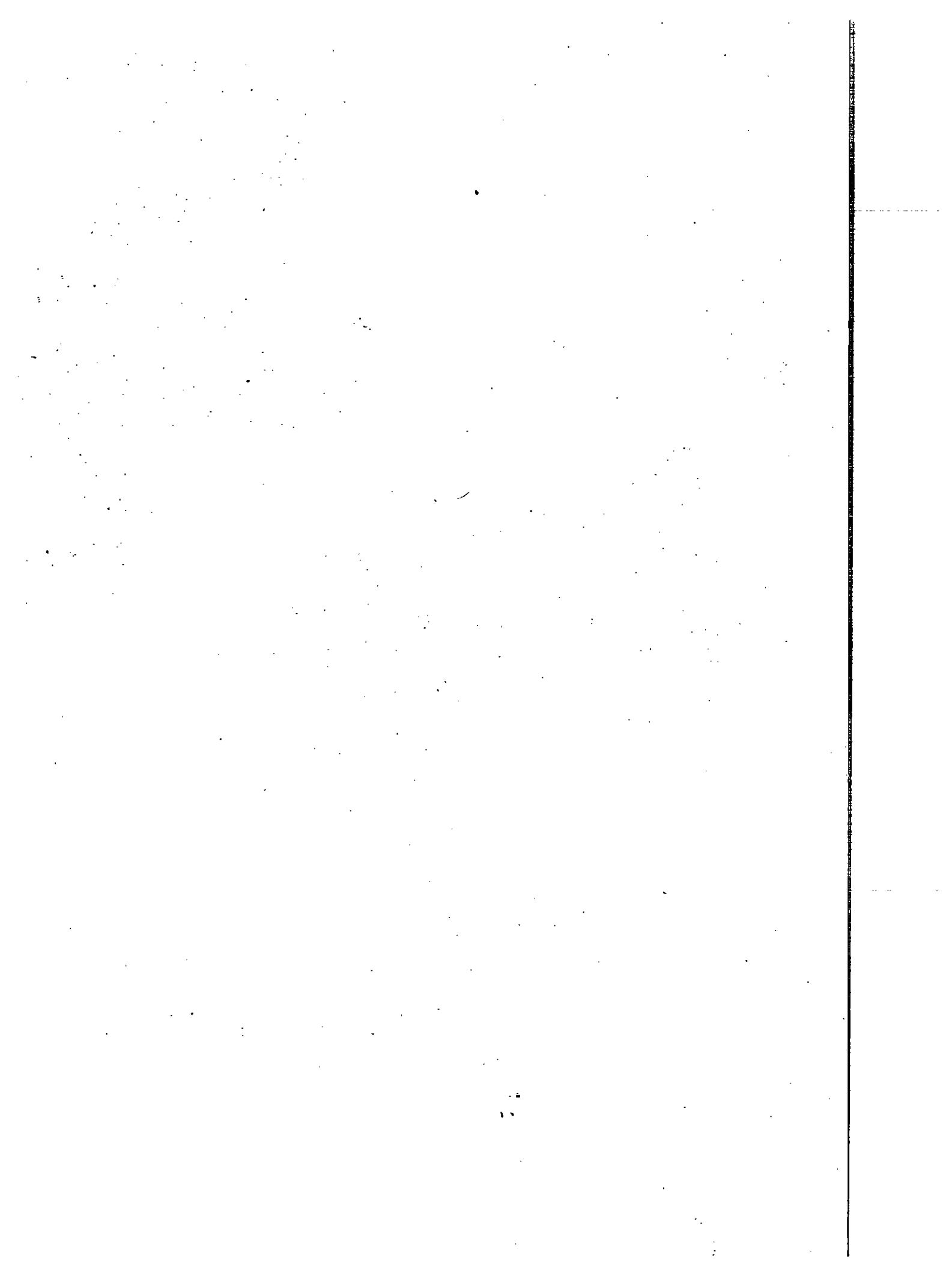
- i) See Sub-section—9.2.1
- ii) See Sub-section—9.2.2

Check Your Progress 2

- i) See Section—9.3
- ii) See Section—9.4
- iii) See Section—9.5
- iv) See Section—9.6

Check Your Progress 3

- i) See Section—9.8
- ii) See Section—9.9



UNIT 10 HUMAN RELATIONS

APPROACH—ELTON MAYO

Structure

- 10.0 Objectives
- 10.1 Introduction
- 10.2 Meaning and Emergence
 - 10.2.1 Economic Depression
 - 10.2.2 Capital Intensive Industry
 - 10.2.3 Technological Progress
 - 10.2.4 Reaction to Taylorism
 - 10.2.5 Class Antagonism
- 10.3 Early Experiments of Mayo
 - 10.3.1 The First Enquiry
- 10.4 Hawthorne Studies
 - 10.4.1 The Great Illumination 1924-27
 - 10.4.2 Human Attitudes and Sentiments
 - 10.4.3 Social Organisation
- 10.5 Absenteeism in Industries
- 10.6 Criticism
- 10.7 Let Us Sum Up
- 10.8 Key Words
- 10.9 Some Useful Books
- 10.10 Answers to Check Your Progress Exercises

10.0 OBJECTIVES

After reading this unit, you should be able to:

- explain the meaning and content of human relations approach
- discuss the significance of Hawthorne Studies
- describe the features of human relations approach; and
- critically evaluate the human relations approach.

10.1 INTRODUCTION

In the earlier (Units 8 and 9) we have examined the approaches to organisation mainly from the structural point of view. The limitations of this approach led to a search for alternative approaches to fully understand the working of organisations. The emergence of human relations approach is the result of such a search. In this unit we will examine various developments, experiments and trials in this field. Since the contribution of Elton Mayo is very important, we will focus our attention on him and his studies in detail. Finally, we shall evaluate the theory and the contribution of Elton Mayo.

10.2 MEANING AND EMERGENCE

Now let us start with the meaning of the concept of human relations. The term human relations mostly refers to relations between workers and employers which are not regulated by legal norms. These relations are concerned with moral and psychological rather than legal factors. However, the term industrial relations which embraces both the above-mentioned concepts should not be confused with human relations. The human relations concept is concerned with devising concrete methods for ideological orientation of workers in the factory.

Human relations approach lays emphasis on people and their motivations unlike classical

theorists who emphasised on structure and principles. It believes in analysing the multi-dimensional nature of human beings and their interactions, to understand the working of organisations. It also emphasises on the study of informal organisations to understand the working of formal organisations.

Several socio-economic factors influenced the emergence of the theory and practice of human relations. The most important of them are:

- Economic depression
- Capital intensive industry
- Technological progress
- Reaction to Taylorism
- Class antagonisms

Let us briefly discuss each of the five factors.

10.2.1 Economic Depression

The theory took shape in the twenties and thirties of this century when there was a general crisis in the capitalist countries. The United States of America may be mentioned as the most suitable example since it was hit by the unprecedented economic crisis of 1929-32. The problem became acute due to increased production as a result of mechanisation. Mechanisation reduced physical stress considerably but it had increased mental strain. Employers found themselves compelled to focus their attention on the psychological or human factor in industry. The interest of the employees in their work began to determine the productivity levels to an increasing degree. Growing concentration and specialisation of production demanded better coordination in the work of all sections of an enterprise. Researchers and executives established that the relations between members of production teams were important with regard to the attainment of this end.

10.2.2 Capital Intensive Industry

During this period, industry was becoming more capital intensive. A breakdown of equipment, strikes and high labour turnover used to cause the monopolies enormous losses. It is thus not surprising that the giants of monopoly capital started showing much more interest in ensuring that the workers showed a "dedicated" attitude to their work and the interests of the company.

10.2.3 Technological Progress

Technological progress produced major changes in the workers as well. Their level of education and professional skills rose considerably. Consequently the worker's sense of personal dignity had asserted itself and their material and cultural aspirations had changed beyond recognition. Thus the workers started demanding more and more resolutely and insistently that they be treated as human beings.

10.2.4 Reaction to Taylorism

The human relations approach was also partly a reaction to the one sided nature of the Taylor system. You are aware that Taylorism dominated the scene in the twenties and thirties. It was criticised as a design to intensify exploitation by raising productivity levels through improved organisation of production and the maximum utilisation of the worker's physical capacities. Taylor openly stated that "each shop exists ... for the purpose of paying dividends to its owners". He regarded the worker as an appendage to the machine blindly carrying out a specific set of mechanical operations.

Although the Taylor system did result in a certain rise in productivity of labour, eventually the system found itself at a dead end. In the thirties, apathy among the workers, depression, heightened irritability and a complete loss of interest in work etc., became widespread. These phenomena could not but arouse uneasiness among employers since they led to a drop in labour productivity, to absenteeism and high labour turnover. In addition, it led to a deterioration in relations between the workers on the one hand and the owners and the management on the other.

10.2.5 Class Antagonisms

The worsening of class antagonisms and the resolute character of the Trade Union movement in the United States accelerated the introduction of the human relations approach.

A few critics stated that the interest of the monopolists can be explained largely by the growth of the labour movement and the expansion of the trade unions.

The emergence and evolution of the human relations approach must be viewed in the light of the correlation of the class forces in an international context. Here mention must be made of the influence of the October Revolution of the Soviet Union on the world. In order to retain their dominant position capitalists have found it more and more essential to evolve their own measures in answer to the challenge of socialism.

Check Your Progress 1

- Note: i) Use the space given below for your answers.
ii) Check your answers with those given at the end of the unit.

1) What is human relations approach?

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2) Describe the factors which led to the emergence of human relations theory.

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10.3 EARLY EXPERIMENTS OF MAYO

The basic tenets of human relations doctrine were formulated by the American Sociologist, Elton Mayo, in the late twenties and early thirties. His studies on Industrial Sociology and Industrial Psychology are so profound that he has been considered one of the pioneers of the human relations approach to the organisation. Mayo concentrated his attention on the behaviour of the workers and their productive capacity. He called this approach a clinical method. He published a few scholarly articles and a few books on the basis of his research.

10.3.1 The First Enquiry

As we have discussed earlier, at the time of Mayo's research work, the industry in America was undergoing a crisis. Therefore like his contemporaries Mayo focused his attention on fatigue, accidents, production levels, rest periods, working conditions etc., of the industrial worker in the factories. He started his first experiment in a textile mill near Philadelphia in 1923. In the circumstances prevailing at that time, the mill provided all the facilities to the labour, was well organised, and was considered to be a model organisation. The company president who had been a colonel in the US army gained respect from the employees since several of them were under his command before and during the First World War in France. The management was progressive and human but at the same time it faced some serious problems in a particular section of the mill. The general turnover of the employees was estimated at 5 per cent per year in all the branches except in mule-spinning section where the turnover was nearly 250 per cent. None was able to find out the reason for this large turnover. All possible incentives were introduced to minimise this large turnover but did not yield any good result. As a last resort the matter was referred to Harvard University.

This was the first major research study undertaken by Elton Mayo after joining Harvard and he named it "The First Enquiry". He studied the problems of the mule-spinning department intensely from various angles and with the help of management started experiments. To begin with, he introduced rest periods with every team of piecers. The results were encouraging. The scheme was extended to all the workers to eliminate the problems of fatigue. The workers evinced interest in the scheme and were pleased with the results. The symptoms of uneasiness disappeared, the labour turnover almost came to an end, production rose and the morale generally improved.

This was the beginning for Mayo to proceed further. He suggested a number of new schemes whereby the workers had to earn their rest periods and bonus by producing more than a certain percentage. Some more new schemes like stopping the spinning section completely for ten minutes brought a new change in the outlook of supervisors and employees and all of them were satisfied with this new work culture. The management had placed the control of rest periods squarely in the hands of workers which led to consultations among the workers. A new awakening began whereby the assumption of rabble hypothesis which assumes "mankind as a hord of unorganised individuals by self-interest" has gradually given place to group interest etc.

10.4 HAWTHORNE STUDIES

Let us go to the next phase of the experiments conducted by Elton Mayo. The Hawthorne plant of the Western Electric Company which employed 25,000 workers at the time became a centre of intense research activity. Beginning from 1924 it was conducted in different places. At that time it was felt that there was a clear-cut cause and effect relationship between the physical work, environment, and the well-being on the one hand and the productivity of worker on the other. Therefore, the management assumed that given proper ventilation, room temperature, lighting and other physical working conditions, and wage incentives the worker could produce more. The National Research Council of the National Academy of Sciences decided to examine the exact relationship between illumination and the efficiency of the worker. The research began in 1924.

10.4.1 The Great Illumination 1924-27

Two groups of female workers each consisting of six, were selected and located in two separate rooms, performing the same tasks. The rooms were equally illuminated to examine the level of production on the basis of varying levels of illumination. In the beginning, the working conditions were stabilised. Then slowly the conditions of work were changed to mark the effect of this change on the output. This research established that regardless of level of illumination, production in both the control and experimental groups increased, this made them to give up the illumination theory. Mayo, established that the test room girls became a social unit and because of the increased attention of research team in them they developed a sense of participation in the project.

From 1924 to 1927, various experiments were conducted in the Hawthorne plant. In fact Mayo was involved in the experiments after some initial probings by a research failed to come to any definite conclusions. On the basis of the results derived by the team, Mayo felt that mental attitude of the workers was perhaps responsible in the behaviour of workers. Certain hypotheses were proposed to explain the failure of the original illumination project. But all the hypotheses were rejected.

Mayo felt that work satisfaction depends to a large extent on the informal social pattern of the working group. He thought that the supervisor could be trained to play a different role which would help him to take personal interest in the subordinates and discharge his duties better than earlier.

Mayo also noted that the worker should be made to come out openly with their needs, interact freely and without fear with company officials. Improving morale is to be closely associated with the style of supervision. This link between supervision, morale and productivity became the foundation stone of the human relations movement. This network of experiments had been hailed as the "Great Illumination" because it had thrown light on the new areas of industrial relations.

10.4.2 Human Attitudes and Sentiments

In 1928, the Harvard study team conducted an indepth study in the same plant on human attitudes and sentiments. The workers were asked to express freely and frankly their likes and dislikes on the programmes and policies of the management, working conditions, treatment by the management etc. After some initial difficulties, it was realised that there was a change in the mental attitude of the workers although no reforms were introduced. It appeared as if the workers were involved in the management and also felt that there was an opportunity to "let off steam" which made them feel better eventhough there was no

When the data was analysed, it was found out that there was no correlation between the nature of complaints and the facts. The research team realised that there were two types of complaints. They were material complaints and psychological complaints. The team felt that the preoccupation of the worker with personal problems many a time inhibited his performance in the industry.

The study identified the following three aspects: First, the workers appreciated the method of collecting information on the problems of the company from them. They thought they had valuable comments to offer and felt happy because they were allowed to express freely.

Second, there was a change in the supervisors because their work was closely observed by the research team and subordinates were allowed to talk freely.

Third, the research team also realised that they had acquired new skills in understanding and dealing with their fellow beings.

10.4.3 Social Organisation

In 1931-32 Mayo and his team conducted the final phase of the research programme at Western Electric Company. It was conducted mainly to observe a group of workers performing a task in a natural setting. Formal methods were discarded. Observation method was followed by analysis of group behaviour. A number of employees consisting of three groups of workmen whose work was inter-related were selected for the study. Their job was to solder, fix the terminals and finish the wiring. Wages were paid on the basis of a group incentive plan and each member got his share on the basis of the total output of the group. It was found that the workers had a clear cut standard of output which was lower than the target fixed by the management. The workers according to their standard plan did not allow its members to increase or decrease the output. Although they were capable of producing more, the output was held down to maintain uniform rate of output. They were highly integrated with their social structure and informal pressure was used to set right the erring members. A code of conduct was also maintained by the group.

Mayo and his team found out that the behaviour of the group had nothing to do with the management or general economic condition of the plant. The workers resented the interference of the supervisors and technologists who were supposed to increase efficiency, as disturbance. The workers thought that the experts follow logic of efficiency with a constraint on their group activity.

Further, the supervisor as a separate category represented authority to discipline the workers. The logic of efficiency did not go well with the logic of sentiments which had become the cornerstone of the social system.

Thus, the study concluded that one should not ignore the human aspect of organisation. Instead of overemphasising technical and economic aspects of the organisation; the management should also concentrate on human situations, motivation, communication with the workers. The concept of authority, Mayo felt, should be based on social skills in securing cooperation rather than expertise.

10.5 ABSENTEEISM IN INDUSTRIES

The study undertaken by Mayo in 1943 may be considered as the final one. Mayo came across a typical problem faced by an industrialist during the Second World War. The war situation created an all round dislocation in all walks of life. Industry was no exception. In this particular situation the turnover of the labour was more than 70 per cent and absenteeism was chronic. The management was perplexed at the situation and approached Mayo to find out the reason and suggest remedies. Mayo began his work in 1943.

On the basis of the previous experience, Mayo and his team found out that in the industry with alarming turnover and absenteeism, there were neither informal groups nor natural leaders to knit the workers into a team. They were unable to form a team because of certain personal eccentricities, as they were not given an opportunity to form an informal team. Hence, there was heavy turnover and absenteeism of the labour. Mayo suggested that to the extent possible the management should encourage formation of informal groups and treat the problems of the workers with human understanding. He stated that the worker should be

treated as human beings but not as cogs in the machine. The labour should not develop a feeling that they were subject to exploitation by the management.

Thus, Mayo suggested the formation of informal groups so that the cooperation of the employees could be developed in organisations. His studies also led to an increased understanding of the human factor in work situations and a greater degree of communication system between employers and employees.

After analysing the various studies of Mayo, we have reached the final stage in which we have to look at his studies critically.

10.6 CRITICISM

Mayo and his research findings were subject to bitter criticism. First of all, they were criticised on the ground that the theory tried to substitute human relations-oriented supervisors for union representation. He was criticised for not understanding the role of unions in a free society. It was argued that Mayo never tried to integrate unions into his thinking. Hence, Loren Baritz and others criticised 'Mayoists' as anti-union and pro-management. In fact in 1949, United Auto Workers in America lashed out at the Mayoism with bitter criticism and branded the Hawthorne researchers as 'cow sociologists'. Some critics pointed out that sweeping conclusions were drawn from a relatively few studies which were full of pitfalls.

Critics like Carey pointed out that the Hawthorne group selected in their first experiment 'cooperative' girls who were willing to participate in the research programme and this type of research was "worthless", since a sample of five or six could not be taken as a reliable sample to make generalisations. Carey also observed that the evidence obtained from the experiments does not support any of the conclusions derived by the Hawthorne investigators. There exists a vast discrepancy between the evidence and the conclusions. On the other hand, the data only supports, according to Carey, the old view of monetary incentives, leadership and discipline as motivating factors for better performance. He also criticised Hawthorne investigations for their lack of scientific base.

Peter F. Drucker, the well known management expert, criticised human relationists for their lack of awareness of economic dimension. He felt that the Harvard group neglected the nature of work and instead focused on interpersonal relations. Mayo was criticised for his sentimental concentration on the members of an organisation to the neglect of its work and purposes, and a general softness and lack of direction. Mayo also has been criticised as encouraging a paternalistic domination of the private lives and even the private thoughts of individuals by their employers. The critics argue that there was no place in Mayo's philosophy for conflict, and he sought to achieve organisational harmony by subordinating individual and group interests to the administrative elite.

Bendix and Fisher have argued that Mayo's failure as a social scientist arises in large measure from his failure to define sharply the ethical presuppositions of his scientific work. Without these presuppositions made clear, the knowledge and skills which Mayo finds so undervalued in democratic societies deserve no higher rating than they get. Daniel Sell was one of the bitter critics of the human relations theory propounded by Mayo and his colleagues. He said the methodology adopted by the Harvard group was defective. Others pointed out that to think that a conflict-free state and worker-contentment would lead to success of the company was not tenable because some tensions and conflicts were inevitable in every human situation. The goal should be to provide healthy outlets instead of indulging in utopian ideas of conflict-free society. Therefore, the critics stated that the team displayed a lack of total awareness of larger social and technological systems.

Check Your Progress 2

- Note: i) Use the space given below for your answers.
ii) Check your answers with those given at the end of the unit.
- i) Explain the First Enquiry.

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Great Illumination: Elton Mayo's network of experiments which had thrown light on the new areas of industrial relations
Industrial Blues: Depression, irritability, a complete loss of interest among the workers in a highly mechanised factories
Let-off Steam: Express one's complaints
Material Complaints: Complaints relating to monetary matters
Psychological Complaints: Complaints regarding mental stress and strain
Robert Owen: Early Socialist who believed that social life and work are mutually dependent
The First Enquiry: The first major research study undertaken by Elton Mayo in a textile mill near Philadelphia in 1923

10.9 SOME USEFUL BOOKS

Baker, R.J.S., 1972. *Administrative Theory and Public Administration*: Hutchinson University Library: London.
Gvishiani, G., 1972. *Organisation & Management*: Progress Publishers: Moscow.
Prasad, Ravindra, D. (ed.). 1989. *Administrative Thinkers*: Sterling Publishers: New Delhi.

10.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- i) See Section — 10.2
- ii) See Section — 10.2

Check Your Progress 2

- i) See Sub-section — 10.3.1
- ii) See Section — 10.6
- iii) See Section — 10.8

UNIT 11 SYSTEMS APPROACH —

CHESTER BARNARD

Structure

- 11.0 Objectives
- 11.1 Introduction
- 11.2 Systems Approach
- 11.3 Organisation as a Cooperative System
- 11.4 Formal Organisation
- 11.5 Concept of Authority
- 11.6 Zone of Indifference
- 11.7 The Functions of the Executive
- 11.8 A Critical Evaluation
- 11.9 Let Us Sum Up
- 11.10 Key Words
- 11.11 Some Useful Books
- 11.12 Answers to Check Your Progress Exercises

11.0 OBJECTIVES

After studying this unit you should be able to:

- define a system
- describe the features of a cooperative system
- explain the theory of authority
- identify the zone of indifference
- explain the function of the executive; and
- assess the contribution of Barnard to administrative theory.

11.1 INTRODUCTION

So far, in this Block you have studied the scientific management, classical and human relations approaches. In particular you have studied the ideas of thinkers whose contributions have strengthened the discipline of Public Administration. In this unit you will study the systems approach; particularly the contributions of Chester Barnard. Barnard is primarily considered as a behaviouralist as he laid emphasis on the psychological aspects of management. At the same time he is considered as a systems theorist. He viewed organisation as a social system. Barnard, who had spent his life-time as a practitioner managing business 'systems', wrote two books "The Functions of the Executive" (1938) and "Organisation and Management" (1948). In these books Barnard presented convincingly his views on organisation as a cooperative system.

11.2 SYSTEMS APPROACH

A system is defined as a set of arrangement of things so related or connected as to form a unity or organic whole. 'A system is composed of elements that are related and dependent upon one another but that when in interaction, form a unitary whole'. By definition any phenomenon can be analysed from a systems viewpoint. Systems approach is based on the thesis that all parts of an organisation are inter-related, inter-connected and inter-dependent. Systems approach by itself is not new. This approach was first developed in natural and physical sciences. Even in administrative and management literature, systems concepts were used by Taylor and others during the early part of this century. What is relatively new is the emphasis given to this approach in social science literature where knowledge integration is keenly felt. For example, Talcott Parsons applied open systems approach to the study of social structures. Similarly psychologists, economists, political scientists and administrative

analysts have been using the systems approach in the analysis of phenomenon. In administrative analysis the systems approach is being widely used in recent years. In this unit you would study Barnard's conceptualisation of organisations as cooperative systems.

The contribution of Barnard to the understanding of organisation phenomenon is one of the important landmarks in the evolution of administrative theory. The theory which was developed and published in the late thirties continues to be debated and discussed. This indicates both relevance of the theory and its intellectual and conceptual potential. Barnard's theory comes as both converging and culminating points of the theory of rationality on the one hand and the synthesis of formal and informal theory on the other. The purpose of his theory, as stated by Barnard himself, is to provide a comprehensive theory of cooperative behaviour in formal organisations. This theory was attempted not based on pure academic or theoretical exercise but on rich and varied experience Barnard had gained in various important administrative positions he occupied. It is this combination that makes Barnard's contribution quite important.

11.3 ORGANISATION AS A COOPERATIVE SYSTEM

Barnard seeks to develop his theory around one central question viz., under what conditions cooperative behaviour of man is possible? For him organisation is a cooperative system. He maintains that 'cooperation originates in the need of an individual to accomplish purposes which he individually cannot achieve'. With the result organisation becomes an enlistment of other individuals cooperation. As many individuals are engaged in cooperative behaviour it constantly changes and the complex biological, psychological and social factors are in constant interaction. The cooperative organisation for its survival must be "effective" in the sense of achieving organisation purpose and "efficient" in satisfying individual motives. Thus the individual and organisation become important. The executive should adopt the organisation to the needs of individual and the general environment. It is these concerns of "effectiveness" and "efficiency" that form the running thread of his theory of cooperative behaviour.

Cooperative system needs to be understood in terms of relationship between individual and organisation. To start with Barnard seeks to understand the properties that an individual possesses: these are (a) activities or behaviour arising from (b) psychological factors to which one added (c) the limited power of choice, which results in (d) purpose. It is these four premises that determine Barnard's analysis. He advances an argument that there is a tendency to exaggerate the power of personal choice. Further, action is also based on the belief that individual has a choice: Barnard maintains that such a free choice does not exist. The individual's failure to conform is mistakenly believed as opposition to the organisation. In fact, it is not the opposition but a structural limitation where free choice of the individual cannot be either accommodated or reconciled to the organisational goals. It is this process which gives rise to training and other incentives which are intended to facilitate the reconciliation of individual behaviour and the organisational requirements.

Barnard seeks to understand human beings at two levels: One from inside the organisation and two from outside the organisation. From inside they are treated as 'participants in specific cooperative system'. Here they are regarded in their purely functional aspects. Their efforts are depersonalised and they have to fit into the formalised roles. From the second angle a person outside any specific organisation has his own distinct qualities. These two aspects, according to Barnard, are not alternative in time but are simultaneously present. These two aspects are always present in cooperative systems. It is from such a position a situation arises where the activities of the person are nearly a part of non-personal systems of activities from one angle and from the second angle the individual is outside and opposed to the cooperative system. It is these opposing and conflicting aspects that require a serious examination to understand the organisation phenomenon as a system of cooperation:

An examination of behaviour of the individuals should start with an enquiry as to how individuals join a cooperative system or an organisation. The individual makes a choice on the basis of (1) purposes, desires, impulses of the moment, and (2) the alternatives external to the individual. Organised effort results from the modification of the action of the individual through control of or influence upon one of these categories. The desires, impulses, wants etc. are popularly characterised as 'motives'. They form an important dimension of human behaviour. It is in the process of expressing his motives that man comes to

know of them. The concepts of 'effectiveness' and 'efficiency' are rooted in the motivational processes.

Barnard observes that when a specific desired end is attained through an action, that action is said to be 'effective', when the action leads to unexpected or unanticipated consequences then the action is described as 'inefficient'. However, if the unexpected consequences satisfy desires or motives of individuals not necessarily and directly presumed by the action, the action becomes 'efficient' but not 'effective'. Thus the unanticipated consequences may provide the criterion in judging the action as 'effective' or 'efficient' or both. In other words an action is effective if it accomplishes its specific aim. It becomes efficient when it satisfies the motives of that aim, and without helping in attainment of the goal towards which the activity is directed.

From the above debate it is evident that there are two philosophical propositions about the human nature: (a) there are philosophies that explain human conduct as a presentation of individual forces, that regard the individual as merely responsive, that deny freedom of choice or of will, that make of organisation and socialism the basic position, (b) there are philosophies that grant freedom of choice and of will, that make of individual as an independent entity, that depress the physical and social environment, to a secondary and conditional condition. Barnard seeks not a reconciliation of these two opposite positions but attempts to understand and explain how these two positions get manifest in the 'cooperative systems'. From the experience that the cooperative systems throw up, one can understand how these two philosophies influence human action depending upon the context in which the cooperative systems operate.

In examining the phenomenon of cooperation, Barnard traces the causes for cooperation in physical and physiological factors. Individuals enter cooperative action because as individuals they are not capable of realising their goals. It is their physiological limitations that drive them into cooperative action. The other way to look at cooperative phenomenon is that the nature puts such a constraint on a single individual that he cannot overcome it except through cooperative action. For instance, there is a stone and man wants to lift it. But cannot do so. His inability can be looked from two points; one, he is too small to lift it; two, the stone is too big to be lifted. From one angle the limitation is physiological and from the other angle it is physical. Either way cooperation becomes necessary once a man sets a purpose of lifting the stone. Limitations always are related to the purpose or goal that one is at.

In the situations of the above kind the individual characteristics require to be understood. But individual faculties by themselves may not mean anything in a cooperative situation where the faculties of individuals are pooled together. Therefore in all cooperative activity the objective of action is removed from the individual and replaced by the collective objectives. Since the ends of cooperative action can be of different kind, each type of action becomes a limiting condition for cooperation. Added to it the objectives that man seek of are not stable as the environment changes resulting in alteration of purposes calling for new forms of cooperative action. Thus the limitations in a cooperative action arise not only because of the use of the limitations of individuals but also due to the very structure of cooperative action. Thus effectiveness of cooperative action depends upon its capacity to cope with a changing environment and purposes of cooperative action.

The above discussion indicates that cooperation depends upon two inter-related and inter-dependent classes of processes: (a) those which relate to the system of cooperation as a whole in relation to the environment; and (b) those which relate to the creation or contribution of satisfaction among the individuals. The instability and failure of organisations and cooperative processes arise from defects in each of these classes of processes separately and from defects in their combinations.

FORMAL ORGANISATION

In the cooperative systems that give rise to formal organisations, Barnard defines formal organisation as a "system of consciously coordinated personal activities or forces". The formal organisations come into existence when (1) there are persons able to communicate with each other, (2) who are willing to contribute action (3) to accomplish a common purpose. The essential elements of an organisation are (1) communication; (2) willingness; (3) common purpose. Elaborating this point Barnard points out that vitality of organisation depends on

the willingness of the individuals to contribute forces to the cooperative system. This willingness requires the belief that the purpose can be carried out. However willingness to contribute disappears when effectiveness ceases. The continuance of willingness also depends upon the satisfactions that are secured by individual contributors in the process of carrying out the purpose. If the satisfactions do not exceed the sacrifices required, willingness disappears and the condition is one of organisation inefficiency. If the satisfactions exceed the sacrifices, willingness persists, and the condition is one of efficiency of organisation.

Based on the above assumption Barnard observes that initial existence of an organisation depends upon a combination of communication, willingness and purpose which are suitable to the external environment. Its survival depends upon the maintenance of an equilibrium of the system. The equilibrium has both internal and external dimensions. The internal equilibrium depends upon the proportion between these three elements. The external equilibrium has two terms in it; first, the effectiveness of the organisation which comprises the relevance of its purpose to the environmental situation; and second, its efficiency, which comprises the interchange between the organisation and individuals. It is in maintaining the equilibrium at two levels that a formal organisation persists and thrives.

For a deeper understanding of the cooperative systems and the processes, it is necessary to understand the relationship between formal and informal organisation. Barnard maintains that it is a part of human nature and a social process that men develop a network of relationships on systematised interactions. This gives rise to the growth of conventions, customs and institutions. They have tremendous influence on cooperative systems. Infact Barnard emphasises that every informal organisation—a result of social interactions—gives rise to formal organisation and every formal organisation because of network of interpersonal relationships gives rise to informal organisations. The informal organisation becomes necessary to the operation of formal organisations as a means of communication, or cohesion, and of protecting the integrity of the individuals.

The formal organisations, however, have certain distinct elements which are crucial to the understanding of the cooperative systems and their capacity to make use of the structural needs and individual aspirations. In the formal systems of organisation, division of labour which is described as specialisation or functionalisation is integral to the organisation. These two terms, when subject to further analysis, indicate that men specialise but work is functionalised. In either event, there is division of labour which results in corresponding division of work. The bases of specialisation of organisation are five: (a) the place where work is done; (b) the time at which work is done; (c) the persons with whom work is done; (d) the things upon which work is done; and (e) the method or process by which work is done. The process of cooperation requires all the five requirements. The efficiency of organisation largely rests on how these requirements are met.

For the purpose of cooperative effort in a formal organisation the question of incentives is also important. The net satisfaction which induces a man to contribute his efforts to an organisation results from the positive advantages as against the disadvantages. The incentives are of two kinds; material and non-material. The material incentives include the conditions of salary and chances of promotion etc. There are also the non-material incentives which include the hierarchy of positions, with gradation of honours and privileges and maintenance or pride of organisation, community sense and so on. Both the types of incentives, Barnard maintains, are essential. He further emphasises that no organisation can exist without a combination of these two types of incentives.

Check Your Progress I

- Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

i) Define a system.

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ii) Why do individuals enter into cooperative action?

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iii) Describe the elements of formal organisation

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iv) Explain the bases of specialisation in formal organisations.

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11.5 CONCEPT OF AUTHORITY

Another important element for cooperative effort in a general organisation, which is believed to be most crucial, is the element of "authority". Barnard defines authority as "the character of a communication (order) in a formal organisation by virtue of which it is accepted by a contributor or 'member' of the organisation as governing the action he contributes". This indicates that for Barnard authority consists of two aspects; first, the subjective aspect, the personal aspect, the accepting of communication as authoritative and second, the objective aspect—the character in the communication by virtue of which it is accepted.

Barnard further argues that if a directive communication is accepted by one to whom it is addressed, its authority for him is confirmed or established. It is admitted as the basis of action. Disobedience of such a communication is a denial of its authority for him. Therefore under the definition the decision as to whether an order has authority or not lies with the persons to whom it is addressed and does not reside in "persons of authority", or those who issue these orders. He adds that organisations fail because the authority fails which means they cannot secure sufficient contribution of personal efforts to be effective or cannot induce them on terms that are efficient. Further authority fails because the individuals in sufficient numbers regard the burden involved in accepting necessary orders as changing the balance of advantage against their interest and they withdraw or withhold the indispensable contributions. It is for this reason Barnard emphasises "the necessity of the assent of the individual to establish authority for him is inescapable". A person can and will accept a communication as authoritative only when four conditions simultaneously obtain: (a) he can and does understand the communication; (b) at the time of his decision he believes that it is

not inconsistent with the purpose of the organisation; (c) at the time of his decision, he believes it to be compatible with his personal interest as a whole; and (d) he is mentally and physically able to comply with it.

This above description leads to an important question as to how is it possible to secure such an important and enduring cooperation as we observe if in principle and in fact the determination of authority lies with the subordinate individuals. It is possible because the decisions of individuals occur under the following conditions: (a) orders that are deliberately issued in enduring organisations usually comply with the four conditions mentioned above; (b) there exists a "zone of indifference" in each individual within which orders are acceptable without conscious questioning of their authority; (c) the interests of the persons who contribute to an organisation as a group result in the exercise of an influence on the subject, or on the attitude of the individual, that maintains a certain stability of this "zone of indifference".

11.6 ZONE OF INDIFFERENCE

We have discussed in the previous section that the acceptance of authority in organisations depends upon the zone of indifference. What then is the Zone of Indifference? If all the orders for action reasonably practicable are arranged in the order of their acceptability to the person affected, the range may consist of a number of orders which are clearly unacceptable, that is, which certainly will not be obeyed. Another group may be somewhat neutral, that is, either barely acceptable or barely unacceptable. A third group may be unquestionably acceptable. This last group, Barnard says, lies within the "zone of indifference". The person affected will accept orders lying within this zone and is relatively indifferent as to what the order is so far as the question of authority is concerned. The zone of indifference will be wider or narrower depending upon the degree to which the motives exceed the burdens and sacrifices which determine the individuals adherence to the organisation.

If the inducements are not adequate, the range of orders that are likely to be accepted by the members of the organisations would be limited. In other words, you may say that the zone would be short. The executive, therefore, should be conscious of the zone. He should issue only those orders which would fall within the zone and are acceptable. If the executive is not conscious of this, Barnard says, that the executive either does not know how to use his authority or he is abusing the authority.

11.7 THE FUNCTIONS OF THE EXECUTIVE

From the above processes and considerations, the functions of the executive arise. The essential executive functions, as stated by Barnard, are first, to provide the system of communication; second, to promote the securing of essential efforts, and third, to formulate and define the purposes.

The first function of maintenance of organisational communication has two phases. The first is definition of organisational positions and the second is maintaining a personnel system. The former requires organisational charts, specification of duties, division of work, etc. The latter includes recruiting men who have appropriate qualifications, offering incentives, etc. These two phases are complementary and depend on each other.

The second function of securing essential services from individuals also has two main aspects. The first is bringing persons into cooperative relationship with the organisation and the second is eliciting services and contributions from such people. These can be achieved, according to Barnard, by maintaining morale, education and training, incentives, and supervision and control.

The third executive function is the formulation of organisational objectives and purposes. These purposes must be widely accepted by all the members of the organisation.

The above three functions arise basically from the need for cooperation among various human beings as every organisation is basically a cooperative system, the cooperative effort requires to be consciously coordinated. It is in this area of organisational process the executive has to perform the role in realising the goals and purposes of a cooperative system.

11.8 A CRITICAL EVALUATION

Kenneth Andrews who wrote introduction to the book 'Functions of Executive' observes that Barnard was on his subjective experience. While it makes his analysis insightful, it also works as a constraint. The theory does not provide a clue as to how this theory can be extended to the various facets of organisations of different types. He further observes that Barnard has not dealt about the institutions of top management.

Barnard emphasises on purpose as a central question but pays no attention to the choice of the purpose in a changing world or to the processes of formulating goals and objectives for the organisation. In fact what is important is the participation of individual in the conflict and the way he seeks to integrate it. Also he had not paid adequate attention to the day-to-day problems that arise in the organisation of human beings. The lack of attention to the goals could be on account of the fact that the organisations that he held charge of had constant goals, with the result he did not give full descriptive or prescriptive attention to the processes of formulation.

Barnard's theory while focuses its attention on cooperative effort, it does not adequately deal with the creative development of our individual. Nor does it deal with the question as to under what conditions individuals develop commitment to the organisation and how such commitment gets strengthened.

The definition of authority underestimates the objective conditions and deals with the details of subjective factors as acceptance of the individuals and not on the persons of authority who exercise it. Authority, in fact has an economic dimension. Economically the subjective dependence depends on the market structure. In a society where the range of alternatives is large, there individuals may enjoy relative freedom. But where the opportunities are restricted, the individual has no freedom to reject authority. In other words in a capitalist society while his interpretation is valid, in feudal or underdeveloped societies such freedom does not exist.

The socialisation process, the family structure, the educational processes determine individuals attitude towards authority. In fact it is these processes which shape the value system. Barnard has not taken the larger context into account, to that extent his theory suffers.

Check Your Progress 2

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

i) Define authority and explain its subjective and objective aspects.

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ii) "Authority lies with the persons to whom it is addressed and not with those who issue orders". Explain.

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iii) Describe the concept of 'Zone of Indifference'.

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iv) What according to Barnard are the functions of the executive?

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11.9 LET US SUM UP

In this unit you have studied the contribution of Chester Barnard. He laid emphasis on organisations as cooperative systems. This conveys the very essence of group effort. He expounded the nature of formal (structure) and informal organisation (relationships) and their mutual inter-dependencies in a lucid way. He laid emphasis on the acceptance of authority by others. Barnard has also explained the existence of a zone of indifference. If the orders fall within this zone they are unquestionably accepted. All these penetrating insights into the complex nature of organisation and its working would enable you to understand organisations better.

11.10 KEY WORDS

- Authority:** Legitimate exercise of power
- Communication:** Inter-change of information between different levels of organisation
- Converge:** To approach from different directions towards the same point
- Prescriptive:** Laying down rules

11.11 SOME USEFUL BOOKS

Barnard, Chester I, 1938. *The Functions of the Executive*; Harvard University Press: Cambridge.
Bhattacharya, Mohit, 1987. *Public Administration*; The World Press Private Limited: Calcutta.
Luthan S. Fred, 1977. *Organisational Behaviour*, McGraw-Hill Book Company: New York

Prasad, Ravindra D., et. al, (eds.), 1989. *Administrative Thinkers*; Sterling Publishers: New Delhi
Hugh, D.S., et. al, 1977. *Writers on Organisation*; Penguin Books: Lords.

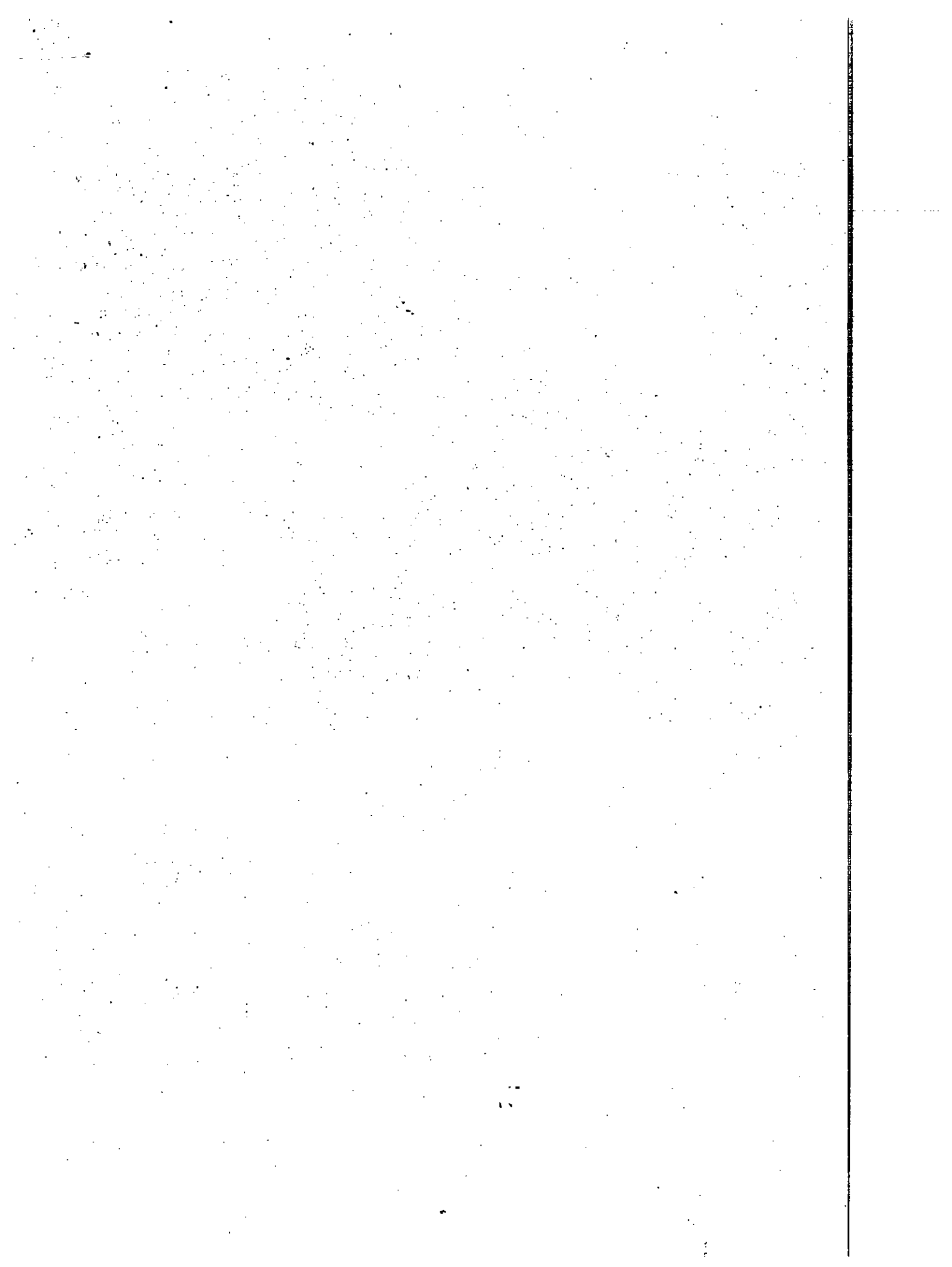
11.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- i) See Section—11.2
- ii) See Section—11.3
- iii) See Section—11.4
- iv) See Section—11.4

Check Your Progress 2

- i) See Section—11.5
- ii) See Section—11.5
- iii) See Section—11.6
- iv) See Section—11.7



UNIT 12 BEHAVIOURAL APPROACH — HERBERT SIMON

Structure

- 12.0 Objectives
- 12.1 Introduction
- 12.2 Classical Theory : Simon's Criticism
- 12.3 Place of Decision-making in Administration
- 12.4 Choice and Behaviour
- 12.5 Value and Fact in Decision-making
- 12.6 Hierarchy of Decisions
- 12.7 Rationality
- 12.8 Programmed and Non-Programmed Decision
- 12.9 Decision-making and Administrative Process
 - 12.9.1 Specialisation
 - 12.9.2 Coordination
 - 12.9.3 Expertise
 - 12.9.4 Responsibility
- 2.10 Modes of Organisational Influence
 - 12.10.1 Authority
 - 12.10.2 Organisational Loyalties
 - 12.10.3 Criterion of Efficiency
 - 12.10.4 Advice and Information
 - 12.10.5 Training
- 2.11 Critical Evaluation
- 2.12 Let Us Sum Up
- 2.13 Key Words
- 2.14 Some Useful Books
- 2.15 Answers to Check Your Progress Exercises

2.0 OBJECTIVES

After studying this unit you should be able to:

- explain the importance of behaviouralism in Public Administration
- explain Simon's criticism of classical theory
- describe Simon's views on decision-making
- discuss the meaning of rationality and its relation to behaviouralism; and
- critically evaluate the behavioural approach.

2.1 INTRODUCTION

We have discussed in unit 8 that the classical approach to the study of administration emphasised the importance of the structure—the formal dimension of organisation. The 'man relations' approach, on the other hand emphasises the informal dimension of the organisation. While the formal and informal dimensions of organisation form an important component of organisation phenomenon, the human behaviour—the value disposition of the actionaries—determine their attitudes and working style of the organisation. The human relations and behavioural approaches broadly deal with the man in the organisation. While the former deals with the relationships among the people working in an organisation, the latter deals with the 'inside' human being with a focus on the place of his values and rationality in the working of an organisation. An understanding of 'inside' the man is as important as 'inside' the organisation. In this unit we shall focus mainly on the views of Herbert Simon on behavioural approach in Public Administration.

Herbert Simon analysed the human behaviour in terms of its value preferences in decision-making process. It is this central concern that is significant to the understanding of organisation and its working. Human behaviour being complex and dynamic, as a student of Public Administration you should understand and appreciate these facets of organisation.

12.2 CLASSICAL THEORY: SIMON'S CRITICISM

You have studied in unit 8 how Simon waged a frontal attack on the structural approach. He criticised the principles of organisation and described them as mere proverbs. He pointed out that the principles are contradictory and internally inconsistent. He also noted, that they are not scientifically valid and do not have universal relevance. It is on these grounds Simon questions their theoretical basis to analyse or explain the organisational phenomenon. Any theoretical construct should possess a frame of reference which should have universal validity. It is this investigation that led to the growth of the study of administrative behaviour with a focus on authority and decision-making. Unlike the principles which have a contextual relevance, the decision-making, according to Simon, is a universal process and can form the base for wider organisational analysis.

12.3 PLACE OF DECISION-MAKING IN ADMINISTRATION

To Simon, administration is the art of "getting the things done". He lays emphasis on the processes and methods that ensure action. He says that in administrative analysis not sufficient attention is paid to the choice which precedes action. Determination of 'what to do' rather than 'doing actually' did not receive proper attention. Decision-making deals with the process of choice which leads to action. Simon points out without an adequate understanding of this dimension, which is rooted in the behaviour of man in the organisation, the study of administration would remain largely inadequate.

In the behavioural approach, the question that is to be understood is the process that precedes action. This is popularly known as decision-making process. The need for taking decisions arises when there are several alternatives or courses of action open to an individual. But one has to choose only one alternative by a process of elimination. Therefore, decision-making is defined as a process of reducing the alternatives to one. Rationality of human being lies in selecting such an alternative which can produce maximum positive results and minimum negative results. The efficiency of any group effort does not depend only on organisation that ensures effective doing of a job. It also depends on the existence of principles which would ensure correct decision-making which in turn determines the effectiveness of doing the job.

In an organisation people above the operative level are considered important as they are entrusted with more crucial functions of decision-making. They have a very important role to play in realising the organisational goals. They have greater role in influencing the behaviour of the operative staff. For example, in a war the soldiers fight in the battle field. They take many decisions at their own levels. But the overall strategy that is formulated by the Generals, who are not engaged in the actual battle would determine the outcome of the battle. Similarly in an automobile industry, the car is produced by the mechanics on the assembly line and neither by the engineer nor the executive. Yet the latter occupied a crucial place. Again, the fire is extinguished by a team of firemen and not by the fire chief. In administration operative staff are important. The success of organisation depends on them. The men above the operative level are equally important. They have an essential role to play in achieving the organisational goals. The supervising staff have greater influence upon the outcome of an organisational effort, than the lower levels. These supervisory staff have greater influence on the operative staff. They decide, plan and direct the operative staff. In smaller organisations, the influence of the supervisory staff is direct, while the influence is indirect in the big and complex organisations. Simon, therefore, says that effective organisation involves setting up of operative staff and above it, a super imposing staff capable of influencing the operative staff toward a coordinated and effective behaviour. He also says that the working of organisations depends on the manner in which decisions and behaviour of employees are influenced. It is for these reasons that the behavioural approach emphasises that "insight into the structure and function of an organisation can best be gained by analysing the manner in which the decision and the behaviour of such employees are influenced within and by the organisation".

Check Your Progress I

- Note: i) Use the space given below for your answers.
ii) Check your answers with those given at the end of the unit.

i) What is the focus of Simon's behavioural approach?

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ii) On what grounds Simon criticised classical theory?

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iii) Why is decision-making important in administration?

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12.4 CHOICE AND BEHAVIOUR

Human behaviour involves conscious or unconscious selection of particular alternative which is physically possible and organisationally effective. The selection of a choice refers to preference of a course of action over other courses of action. In any mechanical action, the choice and the action are directly related. You would notice this in case of a typist. He hits a particular key with a finger because a reflex has been established between the letter on printed page and the particular key. Here the action is rational but no element of consciousness is involved. It is, therefore, a conditioned reflex action. In other cases, the selection will have to be a product of a complex chain of activities called planning or design activities. This can be noticed in the construction of a bridge where an engineer designs and the rest of the activities will have to be tailored to the design. Decision-making process involves three important phases as activities: They are intelligence activity, design activity and choice activity. Intelligence activity involves finding occasions to take decisions. For this the executive has to analyse and understand the organisational environment. He has also to identify the conditions that need decision. The second phase is design activity. This involves development of alternatives to do a particular job. The executive should also identify the merits and advantages as well as problems involved in each of the alternatives. The final phase is the choice activity. In this the decision maker should choose or select one of the alternatives or course of action, keeping in view the organisational goals.

2.5 VALUE AND FACT IN DECISION-MAKING

The effectiveness of a course of action depends upon the capacity of that decision to attain the goals that are set. The choosing of a correct choice is related to the individual's

performance. This deals with the question of values. The effectiveness depends upon the information available at a given point of time. This is related to the question of facts. Value is expression of a preference. It can only be subjectively asserted as valid. Fact, on the other hand is a statement of reality. It can be proved by observable means. Choice or decision involves both facts and values. They clarify the criteria in analysing the ethical and factual elements involved in a decision.

Simon argues that the behaviour of members of an organisation is partly determined by the purpose of the organisation. It is the purposiveness which brings integration in the pattern of behaviour. Absence of purpose renders an organisation meaningless.

The purpose provides the direction and a frame of reference and determines the things that are to be done and the things that should not be done. In the process, even a minute decision governing specific action is necessarily an application of broader decisions related to purpose and to method. Simon gives the example of a man walking. He describes the process as follows: "A walk contracts his leg muscles in order to make a step; he takes a step in order to proceed towards his destination; he is going to the destination, a small box, in order to mail a letter, he is sending a letter in order to transmit certain information to another person and so forth". Each decision involves the selection of a goal and behaviour relevant to it; this goal is not an end in itself. It may lead to a distant goal and so on, until a relatively final aim is reached. Simon maintains that in so far as decisions lead toward the selection of final goals, they are called "value judgements". And if they involve the implementation of such goals they are called "factual judgements". For instance in the budgeting of a local body the council has to decide on what items the amount should be allocated. This depends on the priorities. The decisions whether to allocate more amount to roads or parks, education or health are inter-linked with the 'value judgements'. Once the priorities are decided, then the implementation mostly depends on 'factual judgements'. For instance, the length of the road, the connecting points, the type of road, etc., are the decisions related to factual judgements.

There do not exist value decisions and factual decisions. Values and facts are only the premises and components which are inter-wined. Problems do not come to us as value decisions or factual decisions.

12.6 THE HIERARCHY OF DECISIONS

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

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

12.7 RATIONALITY IN DECISION-MAKING

As you know decision-making is a very complex process involving a chain of unending decisions. In the simpler situations analysing the sequence is easier and, therefore, a better and rational decision-making is possible. In complex situations which involve a large number of decisions at different phases, the rationality in the decision-making is bound to

offer. But Simon emphasises that all decision-making should be based on rational choices. He defines rationality as one "concerned with the relation of a preferred behaviour alternatives in terms of some system of values whereby the consequences of behaviour can be evaluated". This requires that the decision maker should have knowledge about all available alternatives. The decision maker should also be able to anticipate the consequences of each of the alternatives.

Simon explains that there are six different types of rationality viz., objective, subjective, unconscious, deliberate, organisational and personal. Simon rejects the concept of total rationality as it is based on totally unrealistic assumptions. Total rationality is based on the belief that decision makers are omniscient and they have knowledge about all available alternatives as well as their consequences. Secondly, the assumption is that the decision maker has unlimited computational ability. Finally, it believes that the decision maker has the capacity to put in order all the possible consequences. These assumptions, Simon says, are fundamentally wrong. There are several limitations in the decision makers in terms of skills, habits, values and conception of purpose as well as the extent of knowledge relevant to his job. Therefore Simon says that organisations should not start with the concept of total rationality. Instead, they should work on the basis of 'bounded rationality'.

At this concept of bounded rationality, Simon develops the concept of 'satisficing'. The term satisficing is derived from the words satisfaction and sufficing. As total rationality is inconceivable, the executive 'satisfices' with a good enough choice. The decision maker tries to arrive at either optimal or fairly good solutions. Such solutions or decisions may or may not lead to maximisation of organisational goals.

Check Your Progress 2

- Note: i) Use the space given below for your answers.
- ii) Check your answers with those given at the end of the unit.

1) How is choice linked to behaviour?

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2) What is the role of value in decision-making?

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3) What is the role of fact in decision-making?

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iv) What is meant by the notion of hierarchy of decisions?

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v) Explain the concept of rationality.

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vi) What is bounded rationality?

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12.8 PROGRAMMED AND NON-PROGRAMMED DECISIONS

Simon makes a clear distinction between programmed and non-programmed decisions. The former are those which are repetitive and routine in nature. For such decisions definite procedures can be worked out. Each decision need not be dealt with separately. In programmed decisions, habits, skills and knowledge about the problem is important. In such decisions, mathematical models and computer can help the decision makers to arrive at rational decisions. Non-programmed decisions, in contrast, are new, novel and unstructured. No cut-and-dried methods would be available and each question or issue has to be dealt with separately. Training in skills relevant to the job and innovative ability become relevant and important to develop capacity to take proper and relevant decisions.

12.9 DECISION-MAKING AND ADMINISTRATIVE PROCESS

Behavioural approach has certain unique characteristics which require to be appreciated. Administrative activity is a group activity. In organisations, decision-making is more systematic unlike in the case of an individual or a family. Administrative process as you know, is a decisional process. This process, according to Simon involves three important steps. They are segregating the elements in the decision-making process, establishing procedures to select and determine these elements and communication of these elements to the members of the organisation. The organisation takes away from the individual a part of his decisional autonomy and substitutes it with organisational decision-making process. Organisational decision-making process specify the functions of individuals, allocate authority and also set limits to his choice.

The following are some of the practices that emerge from the structuring of behavioural choice.

2.9.1 Specialisation

Specialisation is a characteristic of organisations. In this particular practice tasks are allotted to different levels in the organisation. The specialisation may take a form of vertical or horizontal division of labour. Simon emphasises on vertical specialisation. He argues that there is need for specialisation between operative and supervisory staff.

2.9.2 Coordination

Group behaviour requires not only the adoption of correct decision, but also adoption of the same decision by all members of the group. In the decision to construct a house, several individuals are involved. If each has his own plan and they do not communicate their plans, chances of a good house construction are very bleak. They would be able to achieve better results if they adopt a design, and execute it.

2.9.3 Expertise

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

2.9.4 Responsibility

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

12.10. MODES OF ORGANISATIONAL INFLUENCE

An administrative organisation devises its own modes and methods to influence the decision-making process. In other words, the organisation seeks to restrict the behavioural choice and reduces decision-making autonomy. This is done partly through structure and partly through a systematic influence on individual's behaviour. The modes that are used to influence the behaviour are, authority, organisational loyalty, criterion of efficiency, advice and information, and training.

12.10.1 Authority

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

12.10.2 Organisational Loyalties

In any organisation its members tend to identify themselves with that group. This is an important characteristic of human behaviour. They take decisions keeping in view the interests of the organisations with which they have identification. The organisation good always dominates the consciousness of the member. It is this conception of good that makes him loyal and enable him to take decisions which would be in conformity with the good of the organisation. Thus, the behavioural choice is narrowed down by the organisational loyalties and facilitate homogeneity of behaviour rendering group work possible. Each member of the organisation would also have a limited range of values which is essential to ensure accountability. But the problem in organisational loyalty is that each individual takes a narrow view of the organisation and ignores the broader organisational interests. Simon

opines that as one moves higher in the organisation, greater value is placed on the need for broader outlook.

12.10.3 Criterion of Efficiency

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

12.10.4 Advice and Information

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

12.10.5 Training

Training is a device which prepares members of an organisation to take satisfactory decisions. It equips an individual in methods of using his discretion in conformity with the design and the goals of the organisation. This is also a device through which the information and the necessary goals are transmitted to an individual so as to enable him to make right type of choices in the organisation.

12.11 CRITICAL EVALUATION

In the foregoing discussion you have studied how behaviour influences administrative organisation, it has its unique characteristics. The discussion indicates that for the purpose of organisational analysis, it is neither the structure nor the human relations but it is the decision-making that should be the frame of reference. The discussion highlights how some of the principles such as hierarchy, coordination, division of work, specialisation are associated with the decision-making process. The discussion also shows what efforts go into making of an organisation structure. The determinants of the structure such as authority, loyalty, efficiency and training are mainly intended to restrict the behavioural choice and facilitates group effort. If every individual in the organisation is permitted to behave the way he wants to, then no group efforts would be possible. It is for this reason that the organisational structure is built. Thus human behaviour and its inter-connection with the structure and group effort form the substance of behavioural approach to the study of organisation. In spite of its valuable contributions, the behavioural approach has come under considerable attack. It is criticised mainly on the following grounds:

- i) The conceptual framework is not adequate. While the behavioural approach criticised the classical approach as inconsistent and internally contradictory, the behavioural approach itself has not offered an adequate framework to explain the organisation phenomenon. It confined its analysis to only "inside" the man in an organisation. It has not taken the entire social setting in which an organisation operates. Ignoring the social, historical, political, economic, geographical and cultural factors is virtually delinking the organisation from its wider setting. This puts a major constraint on the explanation of organisation phenomenon.
- ii) It is apolitical. Administrative system is a sub-system of a political system. It is the politics and the political power that set the goals of an administrative organisation. It is largely influenced by the political process. The behavioural approach, like classical approach, took a political view giving an impression that organisations are autonomous from the political environment. An approach which lays emphasis on 'value judgement' should not have ignored the political process which also determines the value premises of the public organisations.

- iii) Value free and neutral approach is not helpful: While the approach sought to analyse the value judgement, the concept of rationality did not touch any ethical questions. For the approach maintains that rationality lies in picking up appropriate means to achieve the goals. A theory which ignored the larger questions of what is desirable and what is undesirable in the larger interests of the society, would not be able to set pace to right types of development, nor can it provide a correct perspective. A thief committing theft by highing up appropriate means would be within the rationalist frame, although what he does may not fit into a socially desirable ethical framework. Such danger, involved in the value free and neutral approach is not realised by the behavioural approach.
- iv) The approach is general and not of practical relevance. Another criticism against the behavioural approach has been that it offered only a general explanation to the understanding of organisation at an abstract level. It hardly helps a practitioner as to how the working of an organisation can be improved. It tends to be highly general in explanation. Therefore, it has no concrete suggestions to offer for either better working of the organisation or to improve the decision-making process in an organisation.
- v) The concepts of authority and rationality seek to explain human behaviour from an idealistic point of view. The material conditions and concrete historical situation which govern human behaviour have not been taken into account. Organisation man is compared with economic man. The contrast between these two view points is very wide and striking. The entire discussion on economic man deals with his material behaviour. This factor does not figure in the discussion on administrative man at all. The productive processes and the general human relations that determine the value judgements and choice of behaviour is totally ignored in this approach.

Check Your Progress 3

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

- i) Distinguish between programmed and non-programmed decisions.

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- ii) Administrative process is a decision-making process. Explain.

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- iii) Discuss how authority and training are modes of organisational influence.

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iv) Critically evaluate Simon's behavioural approach.

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12.12 LET US SUM UP

The behavioural approach marks a significant break-through in the growth and evolution of organisation theory. Its contribution to the study of organisation is quite substantial. Behavioural approach has taken the organisation study beyond the principles and structures which are of technical nature. It provided a new angle to look at organisations and offered a new frame of reference, viz., the decision-making. It also brought in concepts of value and facts and rationality into administrative discussions. The principles enunciated by the classical thinkers are presented in a new light. The lengthy discussion on the determinants of organisation—both the structural and behavioural—and the modes of organisation influences add to the rich understanding of the administration. In fact, Simon's subsequent devotion to the study of economic organisation is considered as a loss to the discipline of public administrative organisation. Critics think that had he pursued the same line of enquiry, the study of administration would have gained enormously. Finally, behavioural approach, widened the conceptual framework and contributed richly to the lively debate on organisation in general and organisation behaviour in particular.

12.13 KEY WORDS

Bounded rationality: According to Simon, human behaviour is neither totally rational nor totally non-rational. It has its limits

Horizontal division of labour: Where there is division of labour at the same level

Vertical division of labour: When there is hierarchical division of labour based on skill and knowledge required at different levels

12.14 SOME USEFUL BOOKS

- Banerjee M. 1984. *Organisation Behaviour*. Allied Publishers (Private) Ltd.: New Delhi.
- Berelson, Barnard and Steiner, Gary A., 1964. *Human Behaviour*: Brace and World: New York.
- Hicks Herbert G & Gullet C Ray. *Organizations: Theory and Behavior*: McGraw-Hill: New York.
- Prasad, Ravindra D. et. al (Eds.), 1989. *Administrative Thinkers*: Sterling Publishers: New Delhi
- Simon H & March James, 1957. *Organisations*: John Wiley and Sons: New York.
- Simon, Herbert 1957. *Administrative Behaviour*: The Free Press: New York.

12.15 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress I

- i) See Section—12.1
ii) See Section—12.2

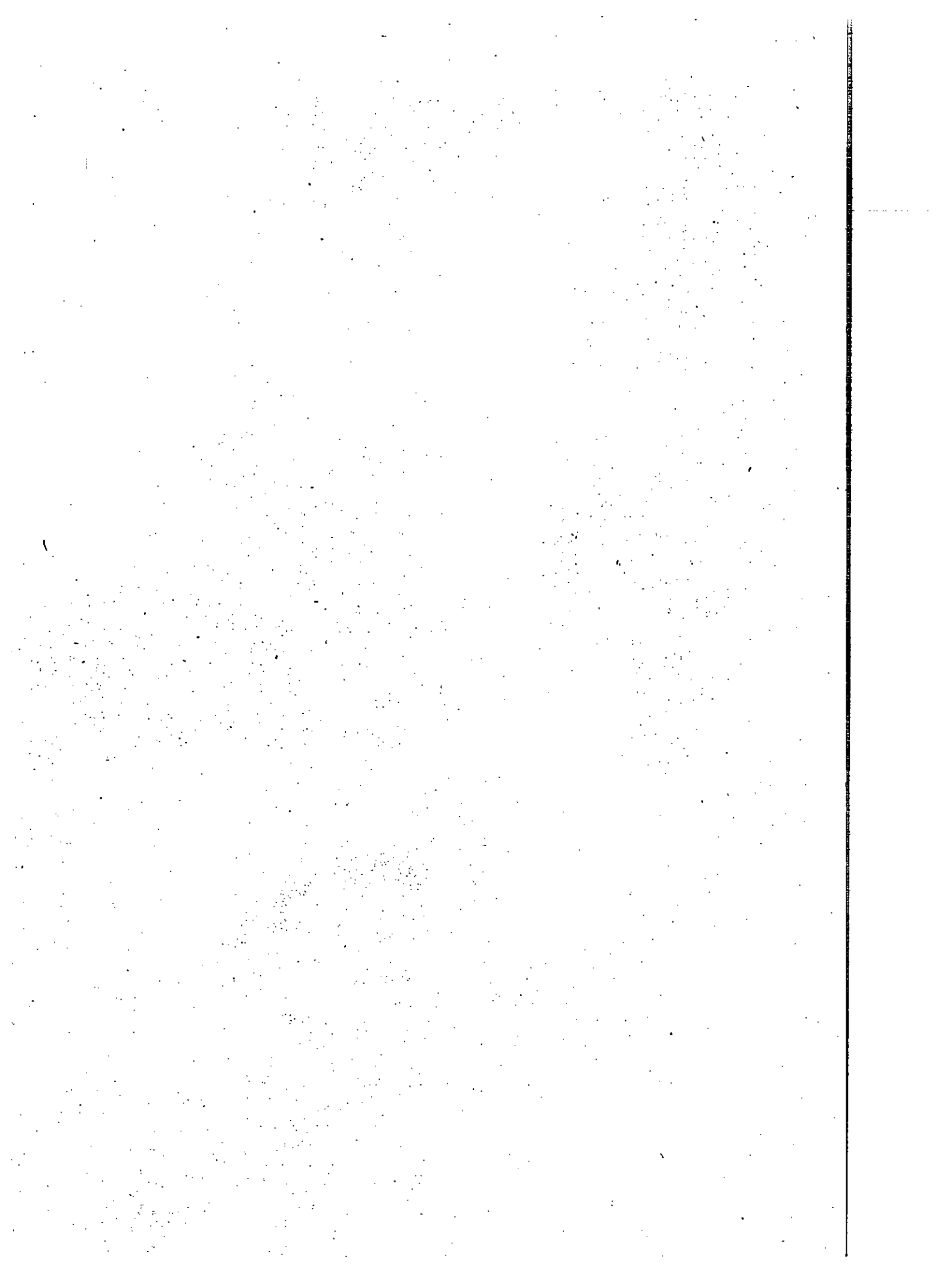
iii) See Section—12.3

Check Your Progress 2

- i) See Section—12.4
- ii) See Section—12.5
- iii) See Section—12.5
- iv) See Section—12.6
- v) See Section—12.7
- vi) See Section—12.7

Check Your Progress 3

- i) See Section—12.8
- ii) See Section—12.9
- iii) See Section—12.10
- iv) See Section—12.11



UNIT 13 SOCIAL PSYCHOLOGICAL APPROACH— DOUGLAS MCGREGOR AND ABRAHAM MASLOW

Structure

- 13.0 Objectives
- 13.1 Introduction
- 13.2 Maslow's Theory of Motivation
- 13.3 Need Hierarchy Theory
- 13.4 How the Need Hierarchy Works
- 13.5 Conditions for Need Fulfilment
- 13.6 Need Hierarchy: An Evaluation
- 13.7 McGregor's Theory 'X' : A Traditional View of Management
- 13.8 Theory 'Y' : A New Theory of Management
- 13.9 Theory 'X' and Theory 'Y' : An Evaluation
- 13.10 Let us sum up
- 13.11 Key Words
- 13.12 Some Useful Books
- 13.13 Answers to Check your Progress Exercises

13.0 OBJECTIVES

After reading this unit you should be able to :

- describe the social psychology approach
- explain the assumptions behind Theory 'X' and Theory 'Y'
- describe the need hierarchy theory; and
- critically evaluate the contributions of Maslow and McGregor to the social psychology approach.

13.1 INTRODUCTION

In the previous units you have studied the classical, human relations, systems and behavioural approaches to the study of Public Administration. In this unit you would study about the social psychological approach.

Social psychological approach is a tool to understand the relationships between man and the organisation. Since long time, the most intriguing questions are: Why people work in organisations? What are the conditions that enhance the performance of people at work in organisations? Answers to these and several interrelated questions can be analysed from a social-psychological point of view. The belief is that an analysis of human beings with reference to their psychological factors provides answers to many questions relating to their behaviour in organisations. This is mainly because, in organisations people work individually as well as in groups to accomplish tasks and purposes. Basically this approach places emphasis on the human side of the organisation. A belief in man and his contribution to organisations is central to this approach. Several thinkers and writers have contributed to this approach. Among them the contributions of Abraham Maslow and Douglas McGregor are phenomenal. In this unit, therefore, we would be studying their contributions. In particular we will study McGregor's Theory 'X' and Theory 'Y' and Maslow's 'Hierarchy of Needs'. Chronologically Maslow's studies come first and McGregor's later. Maslow's contributions became popular only during sixties when Herzberg, McGregor and others

social psychologists used his analysis in their motivation studies. We will first study, Maslow's 'Need Hierarchy' and then McGregor's "Theory 'X' and Theory 'Y'."

13.2 MASLOW'S THEORY OF MOTIVATION

Maslow in his classic paper 'A Theory of Human Motivation' published in 1943 outlined an overall theory of motivation. He analysed the relationship between the human beings and organisations from the stand point of 'human needs'. Human beings become members of organisations to fulfil their needs. These needs arise in several areas. Fulfilment of these needs motivate the human beings to a higher level of performance. Non-fulfilment of needs will have adverse effect on the motivation of individuals to contribute to the organisation to realise the organisational objectives.

13.3 NEED HIERARCHY THEORY

Maslow arranged a person's motivational needs in a hierarchical manner. According to him there are several needs of human beings which explain human behaviour in organisations. These needs have a hierarchy. The needs are: physiological needs, security needs, social needs, esteem needs and self actualisation needs. Physiological and security needs are lower order needs in the hierarchy. Self-actualisation need is the highest in the hierarchy. In between comes the social and esteem needs. Maslow believed that unless the need at the lower level is satisfied, it will not motivate a person. Let us see what is the meaning of each of these needs.

Physiological needs:

Basic things necessary for human survival are hunger, thirst, shelter, etc. The human being has to satisfy these needs first. After they are fulfilled he no longer strives hard to obtain them. They no longer motivate him.

Security needs:

Job security or safety in the work place gives psychological security to human beings. Maslow stresses both physical and emotional safety. Human being is a safety seeking mechanism. Once safety and security are ensured, they no longer motivate the human being.

Social needs:

This represents the relationships between and among groups of people working in the organisation. This need provides emotional security to people. This gives a sense of belongingness and association. Every human being needs friendship with others. If these social needs are not met, the employee becomes resistant and hostile.

Esteem needs:

This represents higher level needs of human beings. At this level human beings strive for power, achievement and status. Esteem connotes both self esteem and esteem from others.

Self-actualisation:

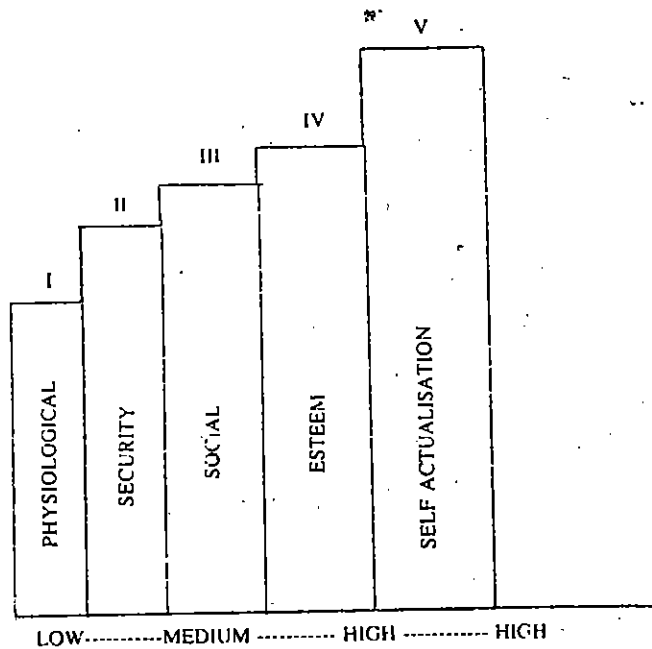
This higher level need represents culmination of all other needs. The fulfilment of this need gives a high degree of satisfaction to the individual in work and life. This will further improve a person's performance in an organisation. A self-actualised person has fulfilled all his potential. This represents a person's motivation to transform perception of self into reality.

13.4 HOW THE NEED HIERARCHY WORKS

The need hierarchy has five levels: (See the diagram).

Each need, according to Maslow, is a goal to a person at a point of time. If a person's basic requirements, viz., physiological needs are not fulfilled, he concentrates all his energies to achieve satisfaction in that area. Once he gets satisfaction in that need area, he moves to the next order need. This process continues in the daily life of all human beings. Non-achievement of a particular goal in a need area motivates a person to achieve it. Once it is achieved, it no longer motivates or drives a person to work further in that area. This is one of the main foundations of Maslow's theory of need hierarchy.

Diagram 1 : Showing Maslow's Need Hierarchy Framework:



The lowest in the hierarchy are the physiological needs like hunger, thirst, shelter etc. Such needs call for contributions from the organisation in the form of salary and other amenities to the members of the organisation. Once a person's needs in physiological areas are satisfied by the contributions from the organisation, he moves up in the hierarchy and the next higher level needs become important to him. He strives hard to satisfy himself in that need area. Fulfilment of physiological needs drives one to pursue satisfaction of his security needs. Security need dominates and motivates his behaviour. Once security needs are satisfied, social needs come to the surface. Human beings are social beings and they value affiliation and association. Social needs include fulfilment of psychological needs like acceptance in the organisation. Social needs drives people to improve their interpersonal relations. Once the need to affiliate is fulfilled, human mind searches for the autonomy and prestige in organisation and freedom to work with and through people as described under esteem need. The fulfilment of esteem needs gives self-confidence to people and prepares them to take up leadership positions, guiding others and appraising the performance of people. The highest and the final level in the need hierarchy is the self actualisation need. This is described as achieving the meaning and purpose in life through personal and professional growth. This is expressed by achieving higher performance in a role, be it a worker, or a supervisor or a manager in an organisation. This is the spirit of excellence found in all societies and organisations: We have examples of high performers in all walks of life all over the world. Self actualised people search for meaning and purpose in all their endeavours and contribute their energies for the development of the organisation. According to Maslow, this need arises only when all the needs lower to it, viz., physiological, security, social and esteem, are fulfilled.

13.5 CONDITIONS FOR NEED FULFILMENT

An organisation's culture, history, policies, procedures, environment and its ability to attract, develop and retain people play an important role in the need fulfilment of its members. We come across excellent organisations which believe in people. We also witness organisations which hardly think about human factor, i.e., about its members. Organisations, which believe in people and their ability to perform, provide for the fulfilment of the needs of their members. Organisations which are not people oriented, make it difficult for the members to fulfil their needs. Such organisations will face negative consequences of non-fulfilment of needs of their members. This would atleast be the case in the long run. Conversely, people without a work ethic, self control and performance orientation become negative forces in an organisation. They cannot fulfil their higher order needs like esteem and self-actualisation. Need fulfilment in an organisation requires self control, goal orientation and work ethic from the organisation as well as from its members.

iv) How does Need Hierarchy operate?

13.7 MCGREGOR'S THEORY 'X' : A TRADITIONAL VIEW OF MANAGEMENT

Douglas McGregor is a behaviouralist and social psychologist of repute. He is a strong believer in the potentialities of human beings in contributing to organisational performance. His work, "The Human Side of Enterprise" (1960) opened new vistas in organisation and management theory by providing answers to some of the intriguing questions. Later he published another book "The Professional Manager" (1964). His focus is on utilising human potential in organisations and getting the best out of people by creating a conducive and harmonious environment. He felt that the theoretical assumptions about controlling men determine the character of the enterprise. According to McGregor, the failure to bring the best out of human beings in organisations can be attributed to our conventional view of organisation and man. He calls this view as 'Theory X'. According to 'Theory X' oriented thinking, management is viewed as the master of an enterprise in directing economic activity and allocation of resources. Management, to them, is getting work done through other people and hence a manager needs to control the behaviour of other people in the organisation. They feel that the organisation can suitably intervene in the process of direction, controlling and motivating people to accomplish the purpose of the organisation. Behind these views there are a few assumptions about human nature and human behaviour. These assumptions are so pervasive that one can see them in most of the literature on organisation and management. The assumptions are :

- 1) "The average human being has an inherent dislike of work and will avoid it if he can";
- 2) "Because of this human characteristic of dislike of work, most people must be coerced, controlled, directed, threatened with punishment to get them put forth adequate effort towards the achievement of organisational objectives", and
- 3) "The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition and wants security above all."

'Theory X' assumes human beings as lazy, lacking in ambition, resisting change, non-creative, capable of being deceived easily, etc. In such a case management has two strategies to adopt, viz., hard and soft. Hard strategy implies the use of techniques like close supervision, tight control, coercion and threat. Soft strategy, on the other hand, is more permissive, meets the demands and attempts to harmonise the demands for organisation and that of employees. But both these strategies have problems. For example, if the management is hard, it may lead to militant unionism, sabotage, and antagonism. On the other hand soft management in its anxiety to purchase harmony may abdicate itself. McGregor notes that his conventional management approach is inadequate as it creates more problems than it solves. He emphasised the need to study the motivational factors to understand the organisational behaviour. For, he believes, deprivation of needs has behavioural consequences at all levels. Hostility and passivity among employees are not inherent in human nature. They are only symptoms of deprivation of human needs. 'Theory X' explains the consequences of management strategy and it does not explain human nature. The assumptions on human nature under 'theory X' are unnecessarily limiting. Such assumptions prevent the management from seeing possibilities in other strategies. Even when we use techniques like decentralisation and consultative supervision, their implementation would be based on inadequate assumptions of human nature. Finally McGregor emphasises that the assumptions of 'Theory X' would not discover human potentialities in their entirety.

'Theory X' which represents classical administrative theory, as you know, lays stress on

efficiency and economy. As the human being tries to avoid work, this inherent human tendency should be counteracted by the management. Therefore, 'Theory X' emphasises on direction and control.

'Theory X' only explains the management strategy. It does not explain as to which factors motivate the employee. This also lays emphasis on manager and makes his job more difficult and complex. He cannot expect cooperation from his employees if he continually distrusts them. Manager also has to spend a great part of his time on direction and control. This leaves very little time for policy making and planning. McGregor felt that this traditional view is helpful neither to achieve the goals nor to motivate the employees to accomplish the goals.

You have studied in unit-10 how Elton Mayo has shown that analysis of human factor and informal organisation are important to fully understand the organisations. In unit-12 you have studied that according to Simon values of individuals influence the decision-making process in administration. But unfortunately 'Theory X' assumptions do not explain human behaviour in its totality. McGregor, therefore, proposed an alternative theory called 'Theory Y'

13.8 'THEORY Y' : A NEW THEORY OF MANAGEMENT

McGregor holds the opinion that 'Theory X' assumptions about organisation, management and man are obstacles to performance, and productivity. They are inadequate to realise all the human potentialities. Therefore, in place of 'Theory X' McGregor proposed a new theory broadly known as 'Theory Y'. This new theory gives a new look to the relationships between human being and management. According to this theory the management is responsible for coordinating the activities in an organisation and for accomplishing its purposes.

In this new theory McGregor replaces direction and control by integration. The assumptions about human nature under 'Theory Y' are :

- 1) The expenditure of physical and mental effort in work is as natural as play or rest. The average human being does not inherently dislike work. Depending upon controllable conditions, work may be a source of satisfaction (and will be voluntarily performed) or a source of punishment (and will be avoided if possible).
- 2) External control and the threat of punishment are not the only means for bringing about effort towards organisational objectives. Man will exercise self-direction and self-control in the service of objectives to which he is committed.
- 3) Commitment to objectives is a function of the rewards associated with their achievement. The most significant of such rewards, e.g., the satisfaction of ego and self-actualisation needs, can be direct products of efforts directed towards organisational objectives.
- 4) The average human being learns, under proper conditions, not only to accept but to seek responsibility. Avoidance of responsibility, lack of ambition, and emphasis on security are generally consequences of experience, not inherent human characteristics.
- 5) The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organisational problems is widely, not narrowly, distributed in the population.
- 6) Under the conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilised.

McGregor suggests that there is a need for a new management strategy which is more dynamic than static. This strategy should provide for human growth and development. It should discover the human resources who have substantial potentialities to contribute to the organisations. 'Theory Y' underlines the importance of maintaining an organisation where people feel confident and motivated. It emphasises developing and improving performance orientation of the people working in the organisations. It involves lot of leadership skills on the part of the managers to achieve these objectives. The cornerstone of McGregor's framework is self-restraint, self-direction, goal orientation and human values in the organisation.

McGregor says that 'Theory Y' is an invitation to innovation. The innovative ideas

consistent with 'Theory Y' assumptions are delegation and decentralisation of authority; responsibility; making jobs more and more appealing by job redesign; participative systems of involving more and more people in decision-making process; and developing appropriate performance appraisal systems.

McGregor's 'Theory Y' emphasises integration. To him integration means, "creation of conditions such that, the members of organisation can achieve their own goals best by directing their efforts towards the success of the enterprise". In this, both organisational needs and individual needs are identified and integrated. It implies both management and employees working together. This approach is also known as management by integration and self control. The major steps involved in this process are :

Determining job requirements

The manager has to understand the purpose and productivity indicators of his job, so that he can guide his associates towards the achievement of key result areas.

Goal setting

Once the manager knows the purpose of his job, he has to formulate goals with reference to quantity, quality, and time. This is normally done in consultation with one's associates and supervisors. Once there is an agreement on desired and committed goals, it will be easier to evaluate objectively at any point of time in the future.

In between period

In between the period of goal setting and its final evaluation in performance appraisal, a manager has to use his self-control and direction to develop his associates. This requires leadership skills on the part of managers.

Self appraisal

A manager has to evaluate his own performance against the goals set and agreed. While doing this analysis he has to measure each of the performance indicators as against the agreed targets. This gives an objective picture of targets and achievements of the manager with reference to quality, quantity and time. It also provides an opportunity to analyse the set-backs and short-comings and helps in goal setting in the future. The importance of this step is that it enhances the understanding between the organisation and the individual.

13.9 'THEORY X' AND 'THEORY Y' : AN EVALUATION

McGregor's 'X' and 'Y' theories are based on diametrically opposed assumptions of human nature. The latter theory holds that man is positive with potentiality to development. This has implications for management. McGregor observes that if employees are lazy, indifferent, unwilling to take responsibility, stubborn, noncreative and noncooperative, the cause lies with management's methods of control. Theories 'X' and 'Y' should not be taken as neat categories of human relationships. They are only analytical tools through which behaviour can be analysed, predicted and corrected. After McGregor, many scholars have gone beyond Theory Y in analysing the human nature and its implications to organisation. This, however does not reduce the importance of McGregor's contributions.

Check Your Progress 2

1. Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

What is theory 'X'?

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What are the assumptions of human nature under 'Theory Y'?

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13.10 LET US SUM UP

To sum up Maslow and McGregor are believers in the human side of organisation. Maslow's theory of need hierarchy has the distinction of demarcating between the self-internalisation need and all other needs which satisfy some deficiency. McGregor's views and the framework he propounded opened new vistas in management thought. The social-psychological theorists provided a new technology to understand the age old question of understanding human beings in organisations.

13.11 KEY WORDS

Decentralisation: Dispersal or distribution of authority throughout all levels of management
Esteem : Think highly of
Hierarchy: Presence of number of tiers or levels, one above the other in the organisation with authority flowing from higher to lower levels.
Motivate: Stimulate interest
Need: Want, requirement
Performance Appraisal: Assessment of how an employee is doing his/her job
Supervision: Act of overseeing or guiding the activities of subordinates by superiors
Strategy: Plan of action

13.12 SOME USEFUL BOOKS

Chandan J.S., 1987. *Management Theory & Practice*; Vikas Publishing House Pvt. Ltd. : New-Delhi.
Dwivedi R.S., 1979. *Human Relations and Organisational Behaviour*; Oxford & IBH Publishing Co. : New Delhi.
Hersey Paul and Blanchard Kenneth, 1980. *Management of Organisational Behaviour: Utilising Human Resources*; Prentice Hall of India: New Delhi.
Luthans-Fred, 1977. *Organisational Behaviour*; McGraw Hill Book Co.: New York.
Mathur B.S., 1977. *Principles of Management*; National Publishing House: New Delhi.
McGregor Douglas, 1971. *The Human Side of Enterprises*; Tata McGraw Hill: New Delhi.
Prasad Ravindra D. et. al., (Eds), 1989. *Administrative Thinkers*; Sterling Publishers: New Delhi.
Vroom Victor H., 1980. *Work and Motivation*; Wiley Eastern: New Delhi.

13.13 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- i) See Section 13.1
- ii) See Section 13.2
- iii) See Section 13.3
- iv) See Section 13.4

Check Your Progress 2

- i) See Section 13.7

UNIT 14 ECOLOGICAL APPROACH— FRED W. RIGGS

Structure

- 4.0 Objectives
- 4.1 Introduction
- 4.2 Meaning of Ecological Approach
- 4.3 Fred W. Riggs' Views
- 4.4 Ideal Models
 - 14.4.1 Fused Model
 - 14.4.2 Diffracted Model
 - 14.4.3 Prismatic Model
- 4.5 Prismatic Society : Characteristics
 - 14.5.1 Heterogeneity
 - 14.5.2 Formalism
 - 14.5.3 Overlapping
- 4.6 Sala Model
- 4.7 Bazaar-Canteen Model
- 4.8 Theory of Prismatic Society: Reformulated
- 4.9 Criticism
- 4.10 Let us sum up
- 4.11 Key Words
- 4.12 Some Useful Books
- 4.13 Answers to Check Your Progress Exercises

4.0 OBJECTIVES

In this unit, we shall discuss the meaning and importance of ecological approach and the views of Fred W. Riggs on the influence of environmental factors on administrative system with particular reference to transitional or developing societies.

After going through this unit, you would be able to:

- describe the meaning and importance of ecological approach to the understanding of administrative system
- explain the environmental influences—social, economic and political—on the administrative system with particular reference to transitional societies; and
- explain the views of Riggs on administrative system of transitional societies like India.

4.1 INTRODUCTION

In recent years modern Governments have experienced a great change in their functions and responsibilities. In the changed context, the role of **Public Administration** has become all the more crucial in fulfilling the goals of the government. Consequently, administrative theories and models have become all the more important to the understanding of it. The ecological approach to the study of administration has been suggested when Western organisation theories have been found inadequate for the study of the problems of **Administration in the Third World Countries**.

After the Second World War many countries in Asia, Africa and Latin America were liberated from colonial rule. They were faced with the task of nation-building and socio-economic transformation to fulfil their people's aspirations. The Western scholars, who acted as consultants to many of these countries found that western organisational models failed to explain the reality in Third World Societies. This realisation resulted in the development of new concepts and approaches including the ecological one. In this unit we shall discuss the views of Fred W. Riggs on ecological approach to the study of **Public Administration**. It would be helpful to you if you read again Unit 5 on Comparative Public Administration before reading this unit. In Unit 5 we have examined briefly the ecological approach.

14.2 MEANING OF ECOLOGICAL APPROACH

Administration does not function in isolation from its environment. It influences it and is influenced by it. The understanding of the dynamics of this process of interaction between the two is necessary for the understanding of the administration. The approach adopted is known as the ecological approach. Ecology is a term borrowed from Biology. It is concerned with the science dealing with the inter-relationship of organisms and their environment. It is a study of the interplay of living organisms and their physical and social environment. It is concerned with the question of how a balance involving organisms and environment is achieved for survival. In Biology, it is established that a particular plant requires for its growth a particular climate, soil, humidity, temperature, etc. A plant that can grow well in a particular climate cannot do so under a different climate. Likewise the growth or development of each society is conditioned by its own history, economic structure, values, political system, etc. The characteristics of its social system and its physical environment shape the ideas and institutions. Just as a plant cannot grow in a different environment, so also an institution cannot thrive in a different social setting. Thus to understand the ecology of Public Administration, i.e. the interaction of administration and its environment, it is necessary to have an understanding of the society and the various factors affecting its functioning.

Check Your Progress I

- Note: (i) Use the space provided for your answers.
(ii) Check your answer with those given at the end of the unit.

1. What do you understand by the ecological approach?

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14.3 FRED W. RIGGS' VIEWS

The ecological approach to the study of Public Administration was initiated by J.M. Gaus, Robert A. Dahl and Robert A. Merton long before Fred W. Riggs. But it was Riggs who made a significant contribution to this approach. Fred W. Riggs, a distinguished American scholar and consultant to many developing countries, developed the ecological concept based on his studies in Thailand, Philippines and India. In his study of the administrative systems of developing societies Riggs analysed the relationship between the administration and the economic, social, technological, political and communication factors from a wide perspective. He has explained with illustrations how environmental conditions influence administrative systems on the basis of his studies in Thailand and Philippines.

Riggs raised the basic questions about the relevance of Western organisation theories to the developing countries. He pointed out that each society has certain unique characteristics which influence the working of its sub-systems. He found that most of the Western theories look "inside" the system. The "outside" refers to the general socio-economic environment. As you are aware the socio-economic environment in Western developed countries is not the same as that in the Third World Countries. That is why, as observed by Riggs, the theories or models developed for the former seem inapplicable to the latter. The findings of Riggs, therefore, are considered a significant contribution to the understanding of administrative systems in the Third World Countries. Based on them he has broadened the analytical frame for the examination of the administrative systems in Third World Countries.

14.4 IDEAL MODELS

The concept of ecological approach adopts a systems approach to the understanding of the phenomena. The systems approach refers to the method of treating the phenomena as an

integrated whole consisting of interdependent parts. In spite of concentrating on one aspect of the society, the ecological approach takes the wholistic view of the organisation. This is the reason why Riggs has categorised the broad systems at the macro level and attempted to apply those categories to the micro-sub-systems such as administration. He took the global systems as a frame of reference for his categorisation and developed three ideal models viz., **Fused, Prismatic and Diffracted** to explain the change in the transitional societies. The ideal models of Riggs are hypothetical assumptions aimed at analysing pre-historic, developing and developed societies.

The process of transition of a ray through a prism is taken symbolically to explain the process of transformation of a society. The starting point of the ray is taken as fused, the process of vibration of the ray within the prism is called prismatic and finally the process where by the ray comes out of the prism to project a rainbow is called diffraction. Likewise, various social systems in the early stages of the process of development would be fused; prismatic in the transitional stage and finally diffracted at the end, as explained by Riggs.

Riggs created models on the basis of structural and functional approaches. Accordingly, in a fused society a single structure carries out various functions. In contrast, in a diffracted society separate structures are created to carry out specific functions. But between these two there exist a number of societies in which the characteristics of both fused and diffracted societies are found side by side. Such societies are called prismatic societies. However, Riggs emphasises that no society can be exclusively called either fused or diffracted, all societies are generally prismatic in nature. The character of a society be it fused or diffracted depends on the nature of its various structures and the functions carried out by them.

4.4.1 Fused Model

Riggs selected Imperial China and the pre-revolutionary Siamese Thailand as examples of his concept of fused society. These societies had no classification of functions and a single structure carried out a number of functions. These societies heavily depended upon agriculture, knowing no industrialisation or modernisation. Their economic system was based on the law of exchange and barter system which was called a 'redistributive model' by Riggs.

The Royal family played a very important role in the administration of the country. The King and the officials nominated by him carried out all administrative, economic and other activities by themselves. No separate structures existed to manage the economic and administrative affairs. The relation between the government and the people were generally at low ebb. People showed respect to the King by offering their services and presenting material goods to him without expecting anything in return. The government was not responsible and accountable to the people though the public had an obligation to obey the dictates of the government.

The family played a prominent role in the Siamese Kingdom. It used to carry out a variety of economic, political and social functions. Apart from providing the base to the social structure, it stood at the apex of the administration. As a result, the administration in these societies strove to protect the special interests of the family and certain sects rather than aim at universal happiness and development. Indeed, the administrative system was based on the structure of the family and special sects and helped to preserve the system. Generally, these societies tended to be static with no developed communication systems. People would have no demands and never raised any issue with the government. The King and his nominees enjoyed absolute power which they generally used to protect their own personal interests. These societies did not differentiate between formal and informal set-ups, governmental and non-governmental activities.

Descriptive values played a predominant role in the society, and the behaviour of the people was highly traditional. Age-old customs, beliefs, faith and traditional ways of living enabled the people to live together and control their behaviour.

4.4.2 Diffracted Model

These societies are based on universalistic principles with no differentiation in treatment. There is a high degree of specialisation and each structure carries out a specialised function. Descriptive values cease to exist, giving way to the attainment values in the society. The society would be highly dynamic and diffracted. There exists in these societies open class structures represented by various associations which play a prominent role in achieving traditional results in the society. All organisations and structures in the society are created and based on scientific rationale.

The economic system is based on market mechanism. The influence of market has both direct and indirect effects on the other facets of the society. Riggs called it 'marketised society'. Various associations discharge various functions. Communications and technology are highly developed and governments give top priority to the maintenance of cordial public relations. Governments would be responsive to the needs of the people and protect human rights. People would bring pressure on the government to get their things done and control its behaviour to a great extent. Government officers have no coercive and absolute powers. The public pays attention and gives respect to the laws of the nation on their own. This facilitates the implementation of the laws and the discharge of its responsibilities by the government without any difficulty. There would be a general consensus among the people on all basic aspects of social life.

14.4.3 Prismatic Model

Riggs focused on the prismatic model—the focal point of his models. According to Riggs, the prismatic society is one which has achieved a certain level of differentiation; the specialisation of roles necessary for dealing with modern technology, but has failed to integrate these roles. The prismatic society shares the value-patterns of both fused and diffracted societies.

Check Your Progress 2

- Note:
- i) Use the space below for your answers.
 - ii) Check your answers with those given at the end of the unit.

i) How did Riggs develop his ideal models?

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ii) Describe the features of a 'Fused Model'?

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iii) How does the diffracted model differ from the fused model?

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14.5 PRISMATIC SOCIETY : CHARACTERISTICS

The intermediate society between two extremes, i.e., fused and diffracted, is called prismatic society. In his analysis Riggs used fused and diffracted models as tools to explain the prismatic phenomena of developing countries. According to Riggs, the prismatic society has three important characteristic features, viz., a) heterogeneity, b) formalism, and c) overlapping

14.5.1 Heterogeneity

The existence of a high degree of heterogeneity is the main characteristic feature of a prismatic society. Heterogeneity refers to 'the simultaneous presence, side by side, of quite different kinds of systems, practices and view-points'. Owing to the parallel co-existence of diametrically opposite view-points and practices, the social change in a prismatic society would be inconsistent, incomplete and unresponsive. The heterogeneity also influences the administrative system.

There are in a prismatic society urban areas with a 'sophisticated', intellectual class, western style offices and modern gadgets of administration. There also exist a well developed communications system, sky-scrapers, airconditioners, the existence of specialised agencies to discharge various social, political, economic and technical services. On the other hand, in the rural areas, people lead a highly traditional life with no facilities for modern living like telephones, refrigerators, etc. The village 'elders' combine various political, administrative, social, economic and religious roles. Heterogeneity exists in a prismatic society in all walks of life presenting a paradoxical picture. In the field of education, society pays a great emphasis on the western type of education while upholding traditional Gurukulas. Hospitals with all modern facilities giving allopathic treatment co-exist with Ayurvedic, Unani, Homeopathic and Naturopathic centres. Such a co-existence of contrasting systems pulling the society in different directions makes it difficult to make generalisations.

In the prismatic societies political and administrative offices enjoy enormous influence, power and prestige and help in making money. Although equal opportunities exist for all, only some people are privileged enough and hope to get the jobs in higher echelons. Those who fail to get jobs would waste no time in forming 'pressure groups' against the government and start agitations on some pretext or other. Though elected through democratic processes, the government would not be in a position to control the people. The people in power tend to make all efforts to protect their interests and stick to power. Thus, there could always be misunderstanding and misrepresentation of facts giving rise to tensions and instability in the society.

The problem becomes much complicated in a **poly-communal** society where different communities try to pull the society in different directions in furtherance of their own sectional interests. This is evident in almost all the developing countries of Asia, Africa and Latin America. Lack of integration thus forms the basic feature of a prismatic society.

All these disparities, differentiations in almost all aspects of life not only influence the working of the administrative system and condition its behaviour but also create a number of problems for the administration. The ruling class would normally try to protect the interests of 'haves' and ignore the interests of 'have nots', which, according to Riggs, would create conditions conducive to the outbreak of a revolution in society.

14.5.2 Formalism

Formalism refers to 'the extent to which a discrepancy exists between the prescriptive and the descriptive, between formal and effective power, between the impression given by the Constitution, laws and regulations, organisation charts and statistics and the actual practices and facts of government and society'. In other words, it means the degree of difference between the formally prescribed and effectively practised norms and realities and the existence of gap between the 'stated objectives' and 'real performance'. The greater the difference between the formal and the actual, the more will the formalism be in a system. The fused and diffracted societies have relatively a high degree of realism in comparison with a prismatic society where there is a high degree of formalism.

Though the laws, rules and regulations prescribe the style of functioning for the government officials, there are wide deviations in their actual behaviour. The officers sometimes stick to the rules and sometimes overlook and even violate them. This formalistic behaviour is caused by the lack of pressure on the government towards the programme objectives, the weakness of the social power to influence the bureaucratic performance and a great degree of permissiveness for arbitrary administration. Thus, the behaviour of the government officials and bureaucrats would be highly unpredictable, inconsistent and depends on the situational variables. The reason for such a type of behaviour may be ascribed either to the natural inclination of the employees towards collecting easy money or to the existence of chances for maladministration. Thus, generally formalism in administration paves the way for corruption in society.

Formalism exists in all aspects of social life. Generally, the laws relating to social and cultural aspects of life are not respected and adhered to. They exist only in the record rooms of the government, and the government also is not serious about their implementation. To quote a few instances in India, prohibition laws are respected more in breach than in observance thereof. The town planning regulations are more violated than observed. Such hypocrisy in social life is, generally, found to be the rule rather than an exception in almost all the developing countries.

While explaining the dimensions of formalism Riggs also considered Constitutional formalism. Constitutional formalism refers to the gap between the Constitutional provisions and their actual implementation. This can be found in India. For instance, according to the Constitutional practice, the Chief Ministers are to be elected by the members of the majority party in the State Assembly. The Council of Ministers are to be chosen by the Chief Minister. But in practice, in most cases the central party leadership plays a decisive role in their selection. The Constitution legally vests the governance in the hands of the elected representatives of the people but in practice the real governmental power and influence may be wielded by some individuals or groups of people outside the Parliament.

The Constitution entrusts law making responsibility to legislators but in reality they spend only a little time on law making. They may be engaged more in power politics than in the discharging of their legislative responsibility. This helps the bureaucracy, in the prismatic societies, to play a major role in law-making. The bureaucrats may even form groups or align themselves with various political leaders owing to the presence of factions within the ruling party or the Council of Ministers. Thus formalism exists in all aspects of social life in a prismatic society.

14.5.3 Overlapping

'Overlapping' refers to 'the extent to which formally differentiated structures of a diffracted society co-exist with undifferentiated structures of a fused type'. In administrative systems administrative behaviour tends to be influenced by non-administrative criteria, i.e., by political, social, religious or other considerations. In a fused society, traditional structures perform almost all kinds of functions and the problem of overlapping does not arise, because in such a society whatever is formal is also effective. However, in a prismatic society, although 'new or modern' social structures are created, in essence the old or undifferentiated structures continue to dominate the social system. Though formal recognition is given to new norms and values which are generally associated with a diffracted structure, in reality they are paid only lip-sympathy and are overlooked widely in favour of traditional values associated with undiffracted societies. Thus, in a prismatic society, the Parliament, the Government offices, market, schools, etc., perform various administrative, political, and economic functions. In reality, their behaviour is influenced by certain traditional organisations like family, religion, caste, etc.

Check Your Progress 3

- Note: i) Use the space below for your answer.
ii) Check your answer with those given at the end of the unit.

- i) Does the Indian social reality represent the characteristics of prismatic society? Explain with illustrations.

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4.6 SALA MODEL

Prismatic society is characterised by various economic, social, political and administrative sub-systems. Riggs called the administrative sub-system 'Sala Model'

In a diffracted society its counterpart is called 'Bureau' or 'Office' and in a fused society 'Chamber'. Each of them has distinctive features of its own.

The Spanish word, 'Sala', has a variety of meanings like a government office, religious conference, a room, a pavilion, etc. The word, 'Sala', is also generally used in East Asian countries more or less with the same meaning. Sala has certain features of both the diffracted 'bureau' and the fused 'chamber'. However, the 'bureau' features of Sala do not well represent its basic character. The heterogeneous value system and the traditional and modern methods of the prismatic society are reflected in its administrative rationality and efficiency found in the Bureau is absent in Sala.

In a prismatic society, family welfare, nepotism and favouritism play a significant role in the making of appointments to various administrative positions and in the performing of certain administrative functions. In a diffracted society, the considerations of kinship are kept out of the administrative behaviour and the exercise of governmental power. In a fused society the politico-administrative system has a patrimonial character, and therefore, attaches importance to kinship or family. In a prismatic society, on the other hand, apart from the super-imposition of new formal structures on family and kinship, it disregards the universalisation of laws. Though patrimonialism is officially prescribed, in reality it is widely practised and it is reflected in all administrative practices. The 'Sala' officer gives priority to personal increase in power and wealth rather than social welfare. His behaviour and performance are influenced by parochialism, and as a result, the rules and regulations are not made universally applicable. A few people get more benefits from the governmental programmes than the others, resulting in the ignoring of the interests of a large number of people.

Further, the poly-communalism also creates certain administrative problems. Theoretically speaking, the government officers have to implement the laws impartially. But a government official may be found to be more loyal to the members of his own community than to the government. As a result, a dominant minority community may gain a high proportion of representation in the matter of recruitment etc., thereby creating dissatisfaction among the larger numbers of people. To present such a situation and to protect the interests of other minorities, the 'quota' or 'reservation' system may be adopted to provide some sort of proportional representation to all communities in the administration. However, such an arrangement might lead to compartmentalisation and mutual hostility among various communities, which might further aggravate the tensions prevailing among the different communities working in various governmental agencies. This situation, however, is not peculiar to developing countries alone. The 'Whiteman-Negro' relations in Southern America, for instance, illustrates it.

Though family, community and caste play decisive roles in a prismatic society, there is a simultaneous growth of new groups in the society. Riggs called them 'cleets'. A 'Clect' is a typical prismatic group, 'which makes use of modern, associational methods of organisation, but retains diffuse and particularistic goals of a transitional type'. Thus the clect combines the features of 'sect' of the fused society and 'club' of the diffracted society. 'Clects' represent exclusively the people of a particular community or group, and government officials belonging to that category serve only the members of their respective 'cleets' effectively by ignoring others. Sometimes the sala or one of its agencies develop close relations with particular clects or starts functioning like a clect.

As a result, the clect maintains close links with a particular group and functions primarily in its interest, and pays lip-service to achievement and universalistic norms.

In a prismatic society the traditional behaviour pattern coexists with 'new' sets of norms. As a result of overlapping of the 'formal' and the 'effective' standard of conduct, the prismatic society's social interactions are characterised by a lack of consensus on the norms of behaviour.

Officials may enter service by virtue of higher educational qualifications or by their success in competitive examinations but in respect of their promotion and career

development, they depend largely on ascriptive ties, and also on the basis of seniority or on the influence of senior officers. These officers may claim to be guided by modern norms in their behaviour, while actually being indifferent or rejecting all inconvenient norms in their day-to-day functioning. The public also follows the example of Sala officials in respect of observance of rules and regulations. But when their personal issues are involved they would either try to break the rules or plead for exemption in their favour.

While referring to overlapping in the power structure of a prismatic society, Riggs observes that it consists of a 'highly centralised and concentrated authority structure overlapping control system that is highly localised and dispersed. There exists a separation of 'authority' (officially sanctioned or legitimate power) from 'control' (real, but unofficially permitted or illegitimate power). In practice, the de jure 'authority' succumbs to the de facto 'controls'. The authority of the Sala overlaps the society's control structures which are based on poly-communalism, clects and poly-normativism. A number of structures at times behave in a peculiar fashion and many a time even act against the very purpose for which they have been created. Sometimes, structures lacking primary orientation towards administration carry out administrative functions along with other concrete structures responsible for it. Such overlapping influences the relationship between politicians and administration.

Riggs has termed the prismatic society an 'unbalanced polity' in which bureaucrats dominate the politico-administrative system, despite the political leaders' Constitutional powers. As a result, the Sala officials play a more dominant role in decision-making processes in a prismatic society than the officials in a diffracted society. Owing to such a concentration of powers in the hands of bureaucrats, there would be lack of response to the people's needs and wishes. In such a situation the strengthening of the Public Administration in developing societies is likely to impede political development. He has further pointed out that such a weak political system marked by leadership failure to control the bureaucracy would lead the rendering of the legislature, political parties, voluntary associations and public opinion ineffective.

The strength and weakness of any political leader in power varies with his ability to reward and punish the administrators. A weak political leader may fail to recognise the services of an efficient official and reward him suitably for achieving the organisational goals, and at the same time an inefficient official may escape punishment for his failures. As a result, a talented Sala official tends to spend most of his time for increasing his power and for the promotion of personal interests and in the process inefficient officials may go scot free. Since the performance of the government depends on the level of output of the Sala official, Riggs says, there is a close link between bureaucratic behaviour and administrative output; the more powerful a bureaucrat is the less effective he is as an administrator. As a result, the Sala is characterised by nepotism in recruitment, institutionalised corruption and inefficiency in the administration of laws on account of its being governed by the motives of gaining power for protecting its own interest.

Check Your Progress 4

Note: i) Use the space below for your answer.

ii) Check your answer with those given at the end of the unit.

i) Summarise the features of sala model of administration.

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14.7 THE BAZAAR CANTEEN MODEL

Riggs called the economic sub-system of prismatic economy—'Bazaar Canteen Model'. In a diffracted society the economic system operates depending on market factors of supply and demand and economic considerations alone govern the market. In a fused society, religious, social or familiar factors guide the economy, a kind of barter exchange system exists in such economies and question of price very rarely arises. The prismatic society has the characteristics of both market economy and traditional economy. Under such circumstances, it is not possible to determine common price for a commodity or service.

In the bazaar canteen model, a small section of people enjoy all benefits with control over economic institutions and exploit a large number of people. Bargaining, rebates and bribes etc. are common features of this model. There is discrimination and favouritism at all levels, price of the services is determined by the relationship between public official and people, price varies from place to place, time to time and person to person. The price of any commodity or service depends on family contacts, kinship, individual relationship, bargaining power and politics. Such a state of affairs encourages black marketing, hoarding, adulteration, inflation etc. 'Market factors' in prismatic society are developed without proportionate increase in the capital, the businessmen try to extend their influence to political and administrative spheres to achieve their personal ends. Exploitation, poverty and social injustice, therefore, become the major features of the bazaar canteen model.

14.8 THEORY OF PRISMATIC SOCIETY: REFORMULATED

Riggs, realising the limitations of 'one dimensional approach' of his models reformulated them in his later work 'Prismatic Society Revisited (1975). As mentioned earlier, his models of fused, prismatic and diffracted were built on the variations in the levels of differentiation. In his new formulations, Riggs has introduced the second dimension of levels of integration among the societies that are characterised as differentiated and prismatic.

Riggs by introducing two dimensional approach of differentiation and integration arranged the societies on the scale of integration and mal-integration. The diffracted and prismatic models are further subdivided on the basis of degrees of integration. Accordingly, diffracted societies are reconceptualised as eo-diffracted, artho-diffracted and neo-diffracted. Prismatic societies also are reconceptualised as eo-prismatic, artho-prismatic and neo-prismatic.

The new formulation of two dimensional approach means that a diffracted model refers to a society that is differentiated and integrated and prismatic model refers to a society that is differentiated but mal-integrated. The prefixes attached to both models suggest different relationships between differentiation and integration.

Riggs used the reformulated models to explain the social tensions in developed societies like America. In his opinion the social tensions in developed nations like urban crisis, racial violence, student uprising are a result of maladjustments in the differentiation and integration. More stable and peaceful conditions in underdeveloped countries may be an indication of less gap in the differentiation and integration in prismatic societies. These reformulations of Riggs are more useful to understand the specificities of developing and developed societies.

14.9 CRITICISM

You would find many criticisms on the ecological approach of Riggs. Mainly the criticisms are on the grounds of:

- Difficulties in using the language;
- Lack of change orientation;
- Absence of quantitative indicators;
- Negative orientation of the concepts; and
- Ethnocentrism

We shall discuss these criticisms in some detail.

Difficulties in using the language: Riggs liberally coined new words to explain his concepts. In addition, he also gave different meanings to a number of words already in use. There is no harm in coining new words when the existing vocabulary fails to convey the meaning and clarify the concepts. There is also nothing wrong if one interprets a term in his own way for the effective expression of his views. But a free use of new words, and of words already having different meanings may create confusion instead of clarifying the concepts. Riggs in his enthusiasm to give a scientific character to his models, borrowed most of his terminology from Physical Sciences. But the use of certain new words borrowed from Physical Sciences to analyse administration cannot make it a science.

Lack of change orientation: Hahn-Been Lee doubts the utility of the prismatic and Sala models in view of the development administration's focus on social change. Lee feels that Riggs' models are not helpful to the analysis of the process of social change and development. He says that the models would help in preserving the system but not in introducing any change in the system. Lee thus concludes that the models of Riggs are not useful when the objective of the administration is to change the system rather than maintain it.

Absence of quantitative indicators: In applying Riggs's models to particular societies, the problem of measurement arises. In the absence of a measuring scale, the identification of prismatic or diffracted societies becomes very difficult. The reader, following Riggs's analysis, may tend to associate prismatic conditions with every situation he knows. Similarly, when the fused and diffracted societies are imaginary, Daya Krishna says, all the societies are to be classified as prismatic at various levels—low, middle or high. But when scales to measure the levels of 'prismaticism' are lacking, such a classification will have no relevance. The fact is that Riggs's models are mostly based on certain assumptions. In the absence of any empirical evidence the validity of such a system, the validity of such a classification is doubtful.

Negative Orientation of Concepts: Riggs did not give as much importance to the positive character of a prismatic society as to its negative character. He projected formalism as a negative aspect and highlighted its bad effects only. But it is also true that sometimes the people might stand to gain if the rules and regulations are not strictly followed. For instance, administration may move fast if certain rules are not strictly observed. In countries like India, if there is proper leadership, formalism becomes dysfunctional in most or in all circumstances and represents a 'non-ecological' view point. To counter-balance the Riggsian concept of negative formalism, Valsion has presented a new concept of positive formalism.

It is undeniable that formalism is bound to be present in any situation where an attempt is made to achieve a higher level of performance. This can be interpreted as the desire of the people to reach a new higher level of performance. All institutions and individuals can improve their performance when the goals set and when the norms fixed are of a higher order: Instead of considering formalism as a gap between good intentions and the struggle to achieve it, it is described as a negative characteristic.

Ethnocentricism: The categorisation of the societies into fused, prismatic and diffracted ones is based on the values inherent in a capitalist system. The characteristics of the diffracted model are entirely those of a capitalist system. Riggs's analysis clearly establishes the superiority of the diffracted model over the other models. To that extent, this approach suffers from ethnocentricism.

Check Your Progress 5

- Note:
- i) Use the space below for your answer.
 - ii) Check your answer with those given at the end of the unit.
- i) "Riggs' ecological approach is non-ecological" Discuss.

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14.10 LET US SUM UP

Classical organisational theories mainly emphasise organisational structures and principles, and behavioural theories concentrate on human behaviour in the organisation. But ecological theories emphasise the interaction of administration with its environment. In the context of integrated analysis, Riggs's ecological approach provides a more holistic and integrated approach to the administrative system. His approach and models help us in examining the administrative process in developing countries. Although in practice his administrative models are difficult to find, they help us in appreciating the realities. The Sala model provides an opportunity to analyse and understand the administrative system in developing countries. It also facilitates to further such studies that are based on empirical and ecological approaches.

14.11 KEY WORDS

Ascriptive values: Values derived by birth.

Attainment values: Values derived by one's own efforts.

Barter exchange: It is a characteristic feature of traditional economy. In such an economy there is an exchange of goods and services without the use of money.

Bureau: Bureau or office refers to administrative sub system in a diffracted society.

Chamber: Refers to administrative sub-system in a fused society.

Differentiation: Existence of a situation in which every function has a corresponding specialised structure for its performance.

Formal: The official norm, the theory, what ought to be done, as expressed in constitutions, laws, rules and regulations.

Integration: A process to tie together, to coordinate the various kinds of specialised roles in a society.

Market Exchange: It is the buying and selling of goods and services at a money price according to law of supply and demand.

Nepotism: Favouritism shown to relatives in conferring offices.

Poly-communalism: It is the name given by Riggs to plural society where we find the simultaneous existence of several ethnic, religious and racial groups.

Poly-normativism: Displacement of traditional values by new ones, it leads to increase in opposed values in a society.

Patrimonialism: Patrimonial political system comprise of specialised political elites such as kings, subchiefs and specialised officialdom, all offices are located in ruler's household.

Refracted: Refracted society is one where there is high level of structural differentiation and functional specialisation.

Structure: Observable regular activities which make up the political system.

14.12 SOME USEFUL BOOKS

Arora, Ramesh K. 1972. *Comparative Public Administration: An Ecological Approach*, Associate Publishing House: New Delhi.

Bhattacharya, Mohit, 1987. *Public Administration*; The World Press Private Ltd: Calcutta.

Prasad, Ravindra D., et al. (Eds.) 1989. *Administrative Thinkers*; Sterling Publishers: New Delhi.

Riggs, Fred W., 1964. *Administration in Developing Countries. The Theory of Prismatic Society*; Houghton Mifflin: Boston.

Riggs, Fred W., 1961. *The Ecology of Public Administration*; Asia Publishing House: New Delhi.

Varma, S.P. and Sharma, S.K. (Eds.) 1983. *Development Administration*; IIPA: New Delhi.



Public Administration UGPA - 01
Elective Course I:
Administrative Theory

Block

3

BUREAUCRACY

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BLOCK 3 BUREAUCRACY

In Block 2 we have discussed the approaches to the study of Public Administration. In this Block 3 we will concentrate exclusively on Bureaucracy. This Block is divided into five units.

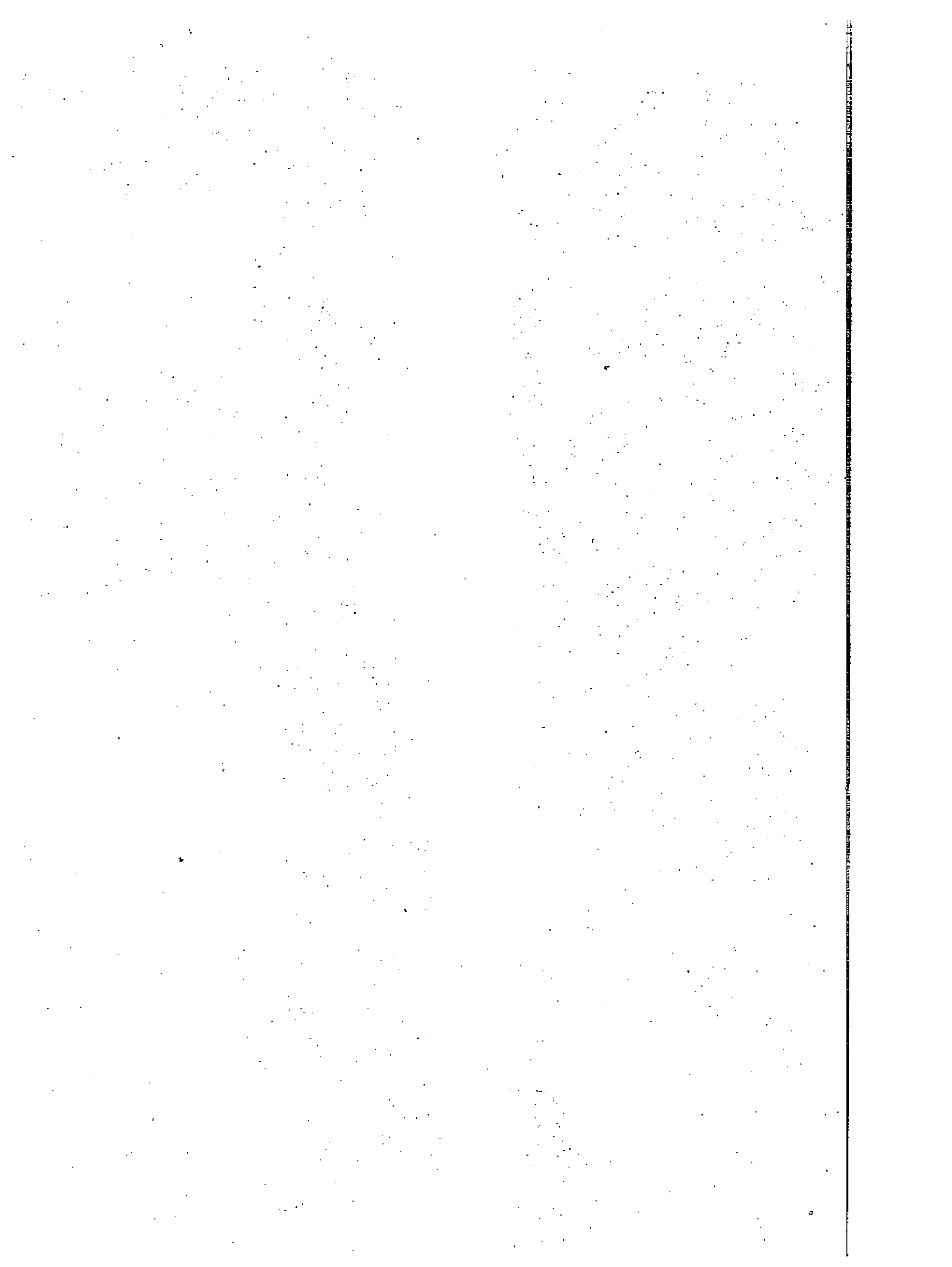
UNIT 15 MEANING OF BUREAUCRACY : In this Unit we will discuss different meanings of the term bureaucracy. We will also discuss different types of bureaucracy and finally explain the maladies of bureaucracy.

UNIT 16 MAX WEBER : In this Unit Max Weber's contribution to the theory of bureaucracy is explained. In particular we will discuss Weber's theory of domination and characteristics of bureaucracy. We will also discuss the causes and consequences of bureaucracy.

UNIT 17 KARL MARX : In this Unit Karl Marx's analysis of bureaucracy is discussed. The rise and role of bureaucracy, characteristics of bureaucracy as analysed by Marx, and bureaucracy in a socialist society are also examined.

UNIT 18 REPRESENTATIVE BUREAUCRACY : This Unit is devoted to a discussion on representative bureaucracy. In particular we discuss the meaning of representative bureaucracy, the need for it in political democracies and the situation in U.K., U.S.A., and India. We will also discuss the constraints in achieving the ideal of representative bureaucracy in reality.

UNIT 19 ISSUES IN BUREAUCRACY : This Unit is devoted to a discussion of some of the important issues plaguing the bureaucracy in all societies. We will discuss the problems like generalists and specialists, anonymity and commitment.



UNIT 15 MEANING OF BUREAUCRACY

Structure

- 15.0 Objectives
- 15.1 Introduction
- 15.2 Origin of the Term
- 15.3 Meaning of Bureaucracy
 - 15.3.1 Bureaucratic Policy
 - 15.3.2 Bureaucrats in Power
 - 15.3.3 Office Holders.
 - 15.3.4 Bureaucracy as an Ideal Construct
 - 15.3.5 Bureaucracy as Organisation
 - 15.3.6 Bureaucracy as Society
 - 15.3.7 Bureaucracy and Rationality
 - 15.3.8 Dictionary meaning of Bureaucracy
 - 15.3.9 Critics' view of Bureaucracy
- 15.4 Types of Bureaucracy
 - 15.4.1 Guardian Bureaucracy
 - 15.4.2 Caste Bureaucracy
 - 15.4.3 Patronage Bureaucracy
 - 15.4.4 Merit Bureaucracy
- 15.5 Maladies of Bureaucracy
- 15.6 Let Us Sum Up
- 15.7 Key Words
- 15.8 Some Useful Books
- 15.9 Answers to Check Your Progress Exercises

15.0 OBJECTIVES

After studying this Unit, you should be able to :

- explain the origin of the term bureaucracy
- describe different meanings with which bureaucracy is being used
- point out different types of bureaucracy, and
- explain the maladies of bureaucracy.

15.1 INTRODUCTION

As a student of Public Administration you must be familiar with the term 'bureaucracy'. It is a term with strong emotional overtones and elusive implications. Bureaucracy is also a much researched area by Public Administrationists, Political Scientists, Sociologists and many others. As a result, there is no terminological accuracy about the concept of bureaucracy. To some, it is efficiency and to others, it is inefficiency. To some it is a term synonymous with civil service and to others it refers to a body of officials. It is this that has made one scholar to comment that 'bureaucracy is a notorious word of our age'. It is, therefore, necessary to know what is the origin of the term and what are its different meanings. It would enable you to gain familiarity about the different meanings. In this Unit you would study its meaning, types of bureaucracy and maladies of bureaucracy;

15.2 ORIGIN OF THE TERM

The term bureaucracy is derived from the Latin term 'bureau'. Bureau means a writing table or desk. In French 'La Bure' means a cloth used on tables of public authorities. From table cloth, the table covered by cloth got the name 'bureau'. Later 'bureau' began to be used for the office room where table is kept. Thus by 18th century the term began to be used to refer to a place where officials work. The suffix 'cracy' in Greek means 'rule'. Thus bureaucracy refers to rule of officials. During 18th and 19th centuries, the term was used consistently. It meant power of officials in Public Administration. It was also referred to the authority or power which the government departments claim to themselves.

It was a Frenchman De'Gournay who first coined the term bureaucracy in the middle of the eighteenth century. He used the term to complain against the bureaucracy. He said that 'we have an illness in France which plays havoc with us, this illness is called bureau-mania'. This means de'Gournay used the term in a complaining tone. This is evident when he said that 'officials are not appointed to perform public interests, but public interest is established so that offices might exist'. Thus de'Gournay has identified a new group of rulers and methods of governing wherein the governing became an end in itself. There were some who believe that the term originated in Germany and was later popularised in France. This was mainly because German newspapers used the term while reporting about the French Revolution. Ever since its origin, it rapidly became part of the international vocabulary of Political Science and Public Administration. In France, the term was first popularised by the novelist Balzac. Later the French bureaukratie became the German bureaukaratie, the Italian Burocrazia and the English bureaucracy. Twenty five conceptualisations, however, took place at the hands of Mosca, Michels and Max Weber.

15.3 MEANING OF BUREAUCRACY

The term 'bureaucracy' is being used with different meanings to signify different things. This made Fred Riggs to comment that the term 'can now be used without much sense of strain for about forty marginally differentiated senses, falling under ten headings'. It is, therefore, necessary for us to understand what these different meanings are.

After the term bureaucracy was coined by de'Gournay, it has attracted attention from a number of scholars from different disciplines. It has its admirers as well as opponents. Max Weber, the Sociologist had almost "internalised" this concept; whereas writers like Warren Bennis condemned the behavioural aspects of bureaucracy and even predicted its demise. There are also other writers who took a balanced view of the concept. Bureaucracy, however, was originally conceived as a negative or perverse concept. It was Max Weber, a German sociologist, who gave it a respectable and positive implication. Bureaucracy, in its simplest form, can be seen as "officials in power" or "a class of officials" or "bureaucrats exercising their power to carry on their constitutional duties and obligations". The need to use it as an equivalent to the term "officials" or "administrators", has forced the writers to point out its negative connotations. Perhaps, no other term is as appealing as bureaucracy to describe officials or officialdom. In what follows, you would study the different meanings of the term bureaucracy.

15.3.1 Bureaucratic Policy

At the time of its genesis, when de'Gournay coined it, bureaucracy was linked to a type of political system, in the way, terms like "aristocracy", "monarchy", and "democracy" were linked up with different political systems. J.S. Mill used the term bureaucracy to denote the professional governors of the government in a society. Harold Laski also used it in a similar sense. To him bureaucracy is rule of the officials in a system of government. But, Laski added that the "rule is so complete, that it jeopardises the liberties of ordinary citizens". Herman Finer, a political scientist also described bureaucracy as rule by government officials. Lasswell and Kaplan viewed it as a government where the elite are officials. However, in course of time bureaucracy in this form, has lost this connotation.

15.3.2 Bureaucrats in Power

A number of writers and scholars described the term bureaucrats to denote power managers in a system of government. J.S. Mill, for example, denoted bureaucracy as a ruling class of officials. Mosca described bureaucracy as one class of ruling elites whose rule is absolute. Michels, has expanded the concept of bureaucracy to include salaried professionals in government and non-governmental agencies such as political parties. Writers like Ramsay Muir viewed bureaucracy as permanent officials and professional administrators. The growing power and influence of bureaucracy was also recognised by later writers.

15.3.3 Office Holders

Bureaucracy is also used synonymously with office holders with or without power. J.S. Mill, for example, hinted at the possibility of a non-dominant bureaucracy. It is used in an administrative context to complain about its inefficiency rather than its abuse of power. Max Weber referred bureaucracy as a positive, non-dominant body, when he said, 'no exercise of authority can be purely bureaucratic'. That is how a simplistic notion of bureaucracy developed and it is seen in the writings of Taylor Cole and Joseph Lapalambora. The latter used the term to encompass all public servants.

15.3.4 Bureaucracy as an Ideal Construct

Max Weber's conception of an ideal type bureaucracy is a theoretical form which in its true form may or may not be found in the real world. Idealist conceptions have at least a degree of difference from their real world entities. Max Weber, one of the earliest to conceptualise, in his ideal type bureaucracy attributed the following features to the bureaucracy: impersonality, hierarchy, specified duties, contracts, professional qualifications, salary, full-time careers, separation of office from ownership; and centralised power. However, all the characteristics of the ideal bureaucracy are not accepted by the followers of Weber. For instance, Robert C. Stone described bureaucracy, as a type of organisation characterised by "rationality in decision making, impersonality in social relations, rationalisation of tasks and centralisation of authority". By this description, Stone offered a second definition of bureaucracy.

15.3.5 Bureaucracy as Organisation

Sociologists used 'organisation' in a micro and limited sense, synonymously with the term 'bureaucracy'. Thus, in their view, bureaucracy is an apparatus (as used in Physical Science). The word organisation is mostly used by the sociologists and next by the business administration writers. They use it in a total or holistic sense, which covers the organisation and its members as one and the same and are inseparable. Thus organisation and bureaucracy have become synonymous terms as used by many writers including Talcot Parsons, Hyneman, and Caplow. It is used to mean not just a class of office holders but rather the organisation in which they work. Thus the term is used to denote both the organisation as well as its members. In the same sense bureaucracy is identified with government at macro levels, where the entire system of government is referred to as bureaucracy.

15.3.6 Bureaucracy as Society

Some writers have extended the scope of this term under reference to societies, hence the usage of the term bureaucratic society. Perhaps this is in tune with the expressions such as communism, capitalism and socialism, which denotes a kind of social system; as well as a political and economic structure. The idea is that in a society where bureaucracy plays a dominant role, it can be referred as a bureaucratic society. More clearly in such a society, social relationships are influenced by the bureaucratic behaviour. Mention of such societies can be found in the writings of Karl Wittfogel and James Burnham. Wittfogel argues that the ruling officialdom in pre-industrial societies dominate the peasant masters and hence the term 'bureaucratic society' is appropriate to describe the social phenomenon. Burnham's view is that in a nuclear society managers as a class dominate the polity and society. A look at the business war games, and corporate battles in today's U.S.A., Japan and other nations would explain the case. Presthus, on the other hand, holds an altogether different view from Wittfogel and Burnham, when it comes to the interpretation of the term bureaucratic society. According to Presthus, a large organisation

is a symbol of the society in which it is an integral part, in terms of life styles of its members. In countries like the USA we can see real life examples of large organisations carrying on the essential features of the society at large. Based on this, Albrow, concludes that it is not out of place to think of bureaucracy as a type of society. Perhaps we can see such societies in other industrial nations as well.

15.3.7 Bureaucracy and Rationality

The Weberian concept of rational legal bureaucracy has led to an unending debate. There is hardly any opposition to his idea of legality linked to bureaucracy. What is questioned is his concept of rationality of bureaucracy. Perhaps, in administration, rationality means cost-effectiveness, productivity and purpose. Peter Blau, believes that bureaucracy as an organisation maximises efficiency in administration. G.R. Francis and R.C. Stone endorsed the same opinion when they said that bureaucracy maintains stability and efficiency in organisations that are large and complex. Peter Leonard also holds similar view when he says that bureaucracy refers to rational and clear cut activities that are directed towards fulfilling the purposes of the organisation. In other words, today's concern with productivity of the government and officialdom, managerial and organisational productivity have their origins in the term 'bureau-rationality'.

15.3.8 Dictionary Meaning of Bureaucracy

Apart from Weber's ideal type definition and subsequent definitions by his followers, some dictionary meanings of bureaucracy are available. Webster's Third International Cambridge Dictionary defines bureaucracy as 'systematic administration characterised by specialisation of functions, objective qualifications for office, action according to fixed rules and a hierarchy of authority. In the Encyclopaedia of Social Sciences, Laski maintains that the term is used for a system of government the control of which is so completely in the hands of officials that their power jeopardises the liberties of ordinary citizens. Robert C. Stone in the Dictionary of Social Sciences uses bureaucracy as a type of organisation characterised by rationality in decision-making, impersonality in social relations, routinisation of tasks and concentration of authority. Thus bureaucracy is characterised in the dictionaries and encyclopaedias possessing both negative and positive features.

15.3.9 Critics' View of Bureaucracy

Critics of bureaucratic behaviour (i.e., negative behaviour) have attributed a number of characteristic features to the term. One of Robert C. Stone's definition includes-red tape, rigid rules and procedural emphasis, as features of bureaucratic organisations. Reinhard Benedix, has mentioned some of the negative characteristics of bureaucracy, such as (1) failure to allocate clear cut responsibilities; (2) rigid rules and routines; (3) blundering officials; (4) slow operation and buck-passing; (5) conflicting directives; (6) empire building; and (7) concentration of control in the hands of a few. Webster's Dictionary enlisted several negative characteristics of the term. They are (1) constant striving for invested functions and power; (2) lack of initiative and flexibility; (3) indifference to human needs and public opinion; (4) tendency to refer decisions to the superiors; and (5) block action through red tape. Though, social scientists in general have not used the negative connotations of the term frequently, somehow the negative connotations and meanings have become popular.

Check Your Progress 1

- Note : i) Use the space below for your answers.
- ii) Check your answers with those given at the end of the unit.

1 Explain the origin of the term bureaucracy.

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2 Explain the different meanings of the term bureaucracy.

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5.4 TYPES OF BUREAUCRACY

Bureaucracy is shaped by environmental influences including social, cultural, economic and political factors. At different points of time in history, the bureaucracy has taken different shapes and forms based upon the socio-political influences. Broadly, the bureaucracy is categorised into four types by Morstein Marx viz., Guardian Bureaucracy, Caste Bureaucracy, Patronage Bureaucracy, and Merit Bureaucracy. We shall now discuss each of these types briefly.

5.4.1 Guardian Bureaucracy

Plato's guardians have the capacity to personify in their actions, the essence of public interest. They were considered the custodians of justice and welfare of the community. These guardians were selected on the basis of their education. Such bureaucracy existed in China before 960 A.D. and in Russia between 640-1740 A.D. Chinese government which conducted its business based upon Confucious' teachings of righteousness is supposed to be a platonic blue print. Duty of officials is to demonstrate-exemplary life and they were selected on the basis of their scholastic achievements and trained in right conduct according to classics. These guardians were expected to develop a moral fortitude and they can exert influence upon the exercise of power subject to righteousness.

The guardian bureaucracy is apt to idealise absolute practices and thus become traditionalistic and conservative. They are also likely to become aloof from the affairs of the community and political problems of the day. They become authoritarian & unresponsive to public opinion.

5.4.2 Caste Bureaucracy

Caste bureaucracy is the result of class connections of those in power. In this recruitment is made only from one class. This means persons belonging to higher classes or castes are only drawn to the civil services. For example, in ancient India, only Brahmins and Kshatriyas could become higher officials. F.M. Marx notes that the caste bureaucracy manifests in another form, i.e., linking the qualifications in the higher posts with hereditary inheritances that amount to class preferences. In England, for example, aristocratic families were preferred to the civil service positions, Appleby commenting on the Indian Civil Service, observes that the personnel are arranged self-consciously in two firm classes - one in two forms and too many special services with barriers between classes and services, high There is too much and too constant consciousness of rank, class, title, and

service membership, too little consciousness of membership in the public services. Higher the intellectual resources of the bureaucracy, greater the likelihood of class or caste aspects. Social lines will be drawn between service groups. It could even be observed that mobility of civil servants, will not act as an anti-dote to caste mentality. Instead, the climber is expected to conform to the mentality of the higher group. The civil services during the early Roman Empire, Japanese Civil Services under Majie Constitution, French Civil Services in 1950's are a few examples of the caste bureaucracy.

15.4.3 Patronage Bureaucracy

This type of bureaucracy is also called spoils system. Patronage in this is seen as a means of political control. Under this system, the proteges of the ministers or the elected functionaries are nominated to the civil service. The public jobs are distributed as personal or political favours to their supporters. In Britain, before 19th century, the system served the aristocracy to gain entry into the civil services. In United States, which is the traditional home of patronage bureaucracy, it was considered that no one has any more right to official status than the others and that was how the patronage was distributed. But the system of patronage bureaucracy was condemned as an anachronism for its lack of competence, for its careless discipline, its concealed greediness, its irregular ways, its partisanship and for its absence of spirit of service.

15.4.4 Merit Bureaucracy

Merit bureaucracy is a response to the maladies of other types of bureaucracies which we have discussed earlier. In this bureaucracy, recruitment is based on qualifications and is governed by objective standards. After entry, status and stability are ensured. In modern times, merit bureaucracy puts strong emphasis on political control over the administrative system which was not the case in other forms of bureaucracy. This bureaucracy has a distinguished advantage over others due to its sense of rationality in administrative behaviour.

15.5 MALADIES OF BUREAUCRACY

Bureaucracy, we have discussed earlier, has both positive and negative connotations. The critics argue that bureaucracy is an ailment of organisation. It gives rise to certain tendencies which may pervert its very performance. For example, hierarchy discourages initiative. It divides organisation into layers and leads to red-tapism and inefficiency. It is often criticised as having a detrimental influence upon the performance and behaviour of the civil servants. Thus, bureaucracy apart from being considered as an aspect of modern administration and rational structure, also has certain negative features. Some of these criticisms are that it is unresponsive to popular demands and desires, undue formalism, self-aggrandisement, empire building, conservatism, etc. Other maladies attributed are arrogance, self-satisfaction, obsession with rules and routine, rigidity, indifference to democratic processes and ignoring the human element in administrative behaviour.

Check Your Progress 2

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit

1. What is guardian bureaucracy?

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15.6 LET US SUM UP

In this Unit we have discussed origin of the term bureaucracy and its varied meanings. It is used to signify a polity, as an organisation, as a society, as office holders, as inefficiency, as rational organisation, as an ideal construct and as an exercise of power by a body of officials. We have distinguished between four types of bureaucracy viz., guardian, patronage, caste and merit. We have also seen that bureaucracy suffers from many maladies like unresponsiveness, inflexibility, obsession for precedents and emphasis on rules and regulations to the neglect of societal demands.

15.7 KEY WORDS

- Elusive** : Difficult to catch
Encompass : Surround or contain
Genesis : Origin or mode of formation or generation
Maladies : Ailments
Perverse : Deliberately deviating from what is regarded as normal
Protege : A person to whom another is protector or patron
Self-aggrandisement : Increasing one's power, rank or wealth

15.8 SOME USEFUL BOOKS

- Albrow, Martin, 1970. *Bureaucracy*; Macmillan: London.
Avasthi, A. and Maheshwari, S.R., 1980. *Public Administration*; Laxmi Narayan Aggarwal: Agra.
Bhattacharya, Mohit, 1987. *Public Administration*; World Press: Calcutta.
Encyclopaedia of Social Sciences, Vol. III.

- 5 *International Encyclopaedia of Social Sciences*, Vol. I.
- 6 Marx, F.M., 1957, *The Administrative State*; University of Chicago Press: Chicago.
- 7 Weber, Max, 1947, *The Theory of Social and Economic Organisation*; Free Press: Glencoe.

15.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 15.2
- 2 See Sec. 15.3

Check Your Progress 2

- 1 See Sub-sec. 15.4.1
- 2 See Sub-sec. 15.4.3
- 3 See Sec. 15.5

UNIT 16 MAX WEBER

Structure

- 16.0 Objectives
- 16.1 Introduction
- 16.2 Theory of Domination
 - 16.2.1 Traditional Domination
 - 16.2.2 Charismatic Domination
 - 16.2.3 Legal Domination
- 16.3 Characteristics of Bureaucracy
 - 16.3.1 Division of Labour
 - 16.3.2 Hierarchy
 - 16.3.3 Written Documents
 - 16.3.4 Expertise
 - 16.3.5 Career System
 - 16.3.6 Money Salaries
 - 16.3.7 Rules
 - 16.3.8 Impersonality
 - 16.3.9 Efficiency
- 16.4 Causes of Development of Bureaucracy
- 16.5 Consequences of Bureaucracy
- 16.6 A Critical Evaluation
 - 16.6.1 An Authoritarian Theory
 - 16.6.2 Dysfunctions of Bureaucracy
 - 16.6.3 Domination of Bureaucracy
 - 16.6.4 The Function of Control
 - 16.6.5 Bureaucratic Neutrality
 - 16.6.6 Weber's Dilemma
- 16.7 Let Us Sum Up
- 16.8 Key Words
- 16.9 Some Useful Books
- 16.10 Answers to Check Your Progress Exercises

16.0 OBJECTIVES

In the previous Unit we have discussed the meaning of the term bureaucracy as well as its types. You would have noticed that this term is used to signify different things to different people. Max Weber is one of the first and foremost social scientists who have systematically analysed the concept of bureaucracy. In this Unit we would discuss his contributions.

After studying this Unit you should be able to:

- explain Weber's concept and types of domination
- explain the causes, characteristics and consequences of bureaucracy, and
- make a critical evaluation of Weber's contributions.

16.1 INTRODUCTION

Max Weber is considered to be one of the foremost social scientists of modern times. He has made valuable contribution to several disciplines, particularly Sociology, Economics, History and Political Science. He is specially known for his theories about the rise of capitalism in Western Europe, and bureaucracy.

Max Weber's name, however, became synonymous with bureaucracy. Weber's influence on the modern thinkers on administration is enormous. Most of the studies on bureaucracy are considered "as either different versions of Weberian model or attempts at contradicting it". Weber's bureaucratic model, theories on legitimacy and domination formed the basis for a number of further studies. In this Unit, therefore, we will study Weber's contribution to the theory of bureaucracy.

16.2 THEORY OF DOMINATION

Weber's theory of bureaucracy is a part of his theory of domination. Domination means the authoritarian power of command. In other words, he raised the question as to how one person exercises power over others. His answer was that the exercise of power becomes acceptable if it is justified or legitimised, in some way. Legitimation in one way leads to one type of domination; legitimisation in another way leads to another type. He thus laid down three types of domination: (i) traditional domination, (ii) charismatic domination and (iii) legal domination. Bureaucracy falls in the third category. However, we shall examine other types of domination before coming to the third one: this will help us to make the nature of bureaucracy through comparison and contrast.

16.2.1 Traditional Domination

Traditional domination is based on the belief that what is customary is right. It is exemplified by the rule of kings in olden days. If it was customary that only persons of a certain high caste should be appointed to high positions, this principle was accepted as just. In other words, the merit of an individual was given less importance than the caste to which he belonged. All employees had to be personally loyal to the king; if an employee was competent but not loyal to the king, he would be removed. These principles of administration were based upon the general belief system in the society. Thus in India, status in the society as a whole, and not only within the administration, was determined on the basis of caste. Since caste is based upon the accident of birth, and not upon individual achievement, the competence of a person of high caste can be low. Hence the efficiency of administration in a traditional society is likely to be low.

16.2.2 Charismatic Domination

Charismatic domination is found where people accept somebody as a leader due to a belief that he has superhuman or extraordinary qualities. Thus a person who is considered to be a prophet, *mahatma*, or *guru* may come to have a number of disciples or followers. The leader, then, exercises power over his followers: they are willing to carry out his wishes. Since administration in such a system also is not based upon any rational principles, but upon the fancies and caprices of the leader, it is likely to lack efficiency.

16.2.3 Legal Domination

Law is another name for a rational principle. Hence legal domination is based upon belief in the desirability of rational principles. The application of reason leads to efficiency, hence a system of legal domination is the most efficient. Legal domination is best exemplified by bureaucracy.

16.3 CHARACTERISTICS OF BUREAUCRACY

The term bureaucracy refers to the employees of a modern large-scale organisation, such as a government, a joint stock company or an armed force. While the objectives of organisations may be different, their bureaucracies have certain common features. We shall discuss these features, as mentioned by Weber, one by one.

16.3.1 Division of Labour

The work of the organisation is divided among the employees in such a way that each employee has only a certain part of the work to perform. In this way he repeatedly performs a certain job and becomes efficient at it. Since every employee similarly

becomes efficient at his particular job, the productivity and efficiency of the organisation as a whole are high.

In an office we find that when a case has to be dealt with, a certain employee has the duty to find out precedents (earlier cases of the same kind), another has the duty to examine the rules, a third one has to take a decision, and so on. Thus each case is dealt with by several persons instead of being dealt with by one person only. Such fragmentation, or division, of work makes for efficiency.

16.3.2 Hierarchy

In every bureaucracy there is a chain of command, or hierarchy, so that officials at lower levels are supervised by those at higher levels. Officials at a higher level have a broader mental horizon; they can take into account the problems at various levels. Since orders of superiors have to be followed by subordinates, difficulties are avoided. In other words, hierarchy makes for vertical coordination. Such coordination makes for efficiency.

16.3.3 Written Documents

The management of the modern office is based upon written documents, or files. The executive office is separated from the private affairs of the ruler, the entrepreneur and the employees. Since nothing concerning the office is private, every transaction, decision and order is recorded. Files, punch cards or computer tapes, then, constitute the 'memory' of the organisation, and help in efficient decision-making in the future.

16.3.4 Expertise

Employees are selected on the basis of technical qualifications. Recruitment is made through a competitive examination, or (as in the case of doctors or engineers) is based upon examinations already passed. Officials are appointed, not elected, since election does not test technical qualifications.

16.3.5 Career System

Employment of a member of a bureaucracy constitutes a career. The employee expects to be promoted from lower position to higher position within the hierarchy of the organisation. Promotion is based upon both merit and seniority. Promotion by seniority ensures that the employee comes to consider the organisation as his own; this makes for both, security for the employee and efficiency of the organisation. Promotion by merit also ensures efficiency as employees with talents are promoted to higher levels.

16.3.6 Money Salaries

Employees are remunerated by fixed salaries in money. This is different from the payment made in kind in olden days. In addition to the salary, there is generally a provision for a pension or a provident fund to take care of the employee when he grows old and retires from service.

16.3.7 Rules

Management follows a set of rules, which are made known to all employees, and partly also to clients. Rules prevent arbitrariness, since they are equally applicable to everyone. They also make for efficiency, since they help to avoid mistakes.

16.3.8 Impersonality

Officials are expected to carry out their duties without allowing themselves to be influenced by their personal likes and dislikes. Thus an employee may like one client and dislike another; however, he must still treat them similarly, insofar as he acts on behalf of the organisation.

16.3.9 Efficiency

The bureaucratic organisation is the most efficient form of organisation. Just as a machine is more productive than any other mode of production, so a bureaucracy is more efficient. Both, the machine and the bureaucracy, have the advantage of technical superiority. Their efficiency derives from rationality. All the characteristics of bureaucracy mentioned above lead to rationality and hence efficiency.

Check Your Progress 1

Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

1 What is the difference between traditional and charismatic domination?

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2 What is legal domination?

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3 Discuss the characteristics of bureaucracy

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16.4 CAUSES OF DEVELOPMENT OF BUREAUCRACY

Bureaucracy is a modern phenomenon. It has been caused by several factors which are given below:

- Money Economy
- Increase in Organisational Size
- Nature of Administrative Tasks
- Requirement of Efficiency
- Market Economy
- Rule of Law
- Concentration of the Means of Administration
- Levelling of Social Differences
- Permanent Character of the Bureaucratic Machine

Now we shall discuss these factors one by one.

Money Economy

Weber maintains that a developed money economy is necessary before bureaucratic administration can come into being. A bureaucratic administration requires a stable system of taxation; the latter in turn requires a money economy. No proper bureaucratic administration could develop in olden days due to the prevalence of barter system and the absence of a money economy.

Increase in Organisational Size

The large size of the modern nation state, the joint stock company and the industrialised factory gave rise to bureaucratic administration. A large size necessarily requires division of labour. Technical efficiency requires expertise. Coordination requires hierarchy and rules. Hence bureaucratic administration tends to grow up in every large-scale organisation.

Nature of Administrative Tasks

The increasing complexity of civilisation and the consequent demands upon administration also led to bureaucratisation. Thus the growing wealth of the influential strata and the desire for the possession and consumption of goods and services of various kinds led to the performance of new functions requiring new expertise and widespread networks. The increased emphasis on law and order and the demand for functions of social welfare give rise to new agencies and development of old ones. Modern means of transport and communication, such as highways, railways, telegraph and telephone, facilitate the functioning of bureaucracies and help bureaucratisation.

Requirement of Efficiency

Capitalist market economy is based upon competition; and competition compels increasing efficiency among all competitors.

Since efficiency requires bureaucratisation, modern capitalist enterprises are unequalled models of strict bureaucratic organisation.

Market Economy

A market functions without regard for persons. Hence a market economy necessarily leads to impersonality, which in turn helps bureaucratisation.

Rule of Law

The emergence of the conception of the rule of law in modern times has also led to bureaucratisation. The rule of law means equality before the law, or lack of arbitrariness, which is ensured by bureaucratisation to some extent.

However, it is notable that the bureaucracy is the instrument of dictatorship as well as democracies. Also, "propertyless masses especially are not served by a formal 'equality before the law'."

Concentration of the Means of Administration

The rise of the bureaucratic structure has been associated with the concentration of the means of management in the hands of the master. Thus the bureaucratisation of the army took place after the transfer of army service from the propertied to the propertyless. Earlier, the soldier was himself the owner of his weapons, horses and dress. It was only after the chief of the company became the owner of the material means of warfare that the army took a bureaucratic form. The same applies to civil administration. Before the rise of the nation state, feudal vassals and tax farmers owned the means of administration. In the nation state these means came to be owned by the central authority resulting in bureaucratisation.

Leveling of Social Differences

Bureaucracy has mainly resulted from modern mass democracy, which has involved the leveling of economic and social differences. Mass democracy makes a clean sweep of feudal privileges in administration, and replaces these with equality before the law.

Permanent Character of the Bureaucratic Machine

Weber points out that once it is fully established, bureaucracy is among those social structures which are the hardest to destroy. It is a powerful instrument of the first order, and

hence is used to fulfil societal objectives and the objectives of those who happen to capture power.

16.5 CONSEQUENCES OF BUREAUCRACY

Weber maintains that the permanent character of the bureaucratic machine makes revolution technically more and more difficult. While the political master may be changed in a *coup d'etat*, the bureaucracy continues to rule. In developed countries, party organisations have also become bureaucratized.

Bureaucratization has "very frequently benefited the interests of capitalism". Often bureaucratization has been carried out in direct alliance with capitalist interests. However, bureaucratization may also help the interests of shopkeepers and small farmers. Bureaucratization may also support a state socialist policy that strangles opportunities for private profit.

A bureaucracy is like a precision instrument that can be used by anyone who comes to control it.

Bureaucratization interferes with democracy: while the former is ruled by appointed officials, the latter is ruled by elected representatives of the people.

A bureaucracy comes to have power of its own. The political master is an amateur, while officials are experts. Apart from expertise, the basis of bureaucratic power is secret information. The bureaucracy even prevents the parliament from obtaining information which is in its possession.

While on the one hand, concentration of power and wealth leads to bureaucratization, on the other hand, bureaucratization itself emphasises centralisation. Thus once the bureaucratic state comes into being, it begins to finance and control bodies of local self-government. The central authority exercises control over local bodies through the central bureaucracy.

More and more experts are needed in bureaucratic administration. They also enjoy a distinct social esteem as compared with the governed. Hence more and more people want to get the qualifications necessary for entry into the bureaucracy. The demand for degrees leads to proliferation of examinations. The demand for degrees indicates, not a quest for knowledge, but a hunger for bureaucratic jobs. However, since higher education is costly, the rich are more likely to get high level jobs than the talented ones.

In the past, the end sought by education was the 'generalist' rather than the 'specialist'. Since bureaucratization leads to an increasing demand for specialists, expert and specialised knowledge tends to gain in importance.

According to Weber more and more bureaucratization is likely in the future. This would be so both in a market economy and a centrally planned economy. The increasing division of labour and the use of special skills would lead to "dictatorship of the bureaucrats" rather than "dictatorship of the proletariat".

Weber expresses the fear that increasing bureaucratization is likely to interfere with the autonomy of the individual. More and more people are likely to take up jobs in large-scale organisations and thus get reduced to an automata.

16.6 A CRITICAL EVALUATION

Weber's theory of bureaucracy may be said to be classical. It has come to be widely accepted. In particular it has come to be adopted by bureaucrats in justification of their behaviour. However, it has been subjected to much criticism also. We deal with some of the criticisms below:

16.6.1 An Authoritarian Theory

Weber fails to take into account the social context or informal organization which

creates motivation to produce and cooperate with the management for fulfilling the objectives of the organisation. This criticism has been levelled mainly by the 'Human Relations' school. Weber maintains that efficiency results from rationality deriving from features such as hierarchy, division of labour, rules and impersonality. He fails to refer to the creative urge and fellow feeling of human beings, which are also important factors in any group enterprise. Weber's overemphasis on the formal aspect gives an authoritarian tinge to his theory. Now-a-days, much importance is attached to the self-actualisation of workers and to their participation in decision-making. Both morale and productivity are likely to rise with these new emphasis. Weber has ignored these factors.

6.6.2 Dysfunctions of Bureaucracy

Weber maintains that the bureaucratic organisation is more efficient than those of other types. However, he fails to notice that it also suffers from certain handicaps. Marx had pointed out earlier that every exploitative relationship leads to alienation of both, the exploited and the exploiter, resulting in the loss of their freedom, creativity, humanity and morality. After Weber had enunciated his theory, he was criticised by Merton, Gouldner and Selznick for overlooking what are called the dysfunctions of bureaucracy. In other words, the very elements which lead to efficiency in general produce inefficiency in specific instances. Thus, according to Merton, the rigorous discipline of bureaucracy induces fear, conservatism, and technicism in the bureaucratic personality. According to Gouldner, work rules increase knowledge about minimum acceptable behaviour, thus reducing performance to the minimum level. According to Selznick, the demand for control by the top hierarchy leads to increased delegation of authority to sub-units, resulting in more emphasis on sub-unit goals than on the total organisational programme.

6.6.3 Domination of Bureaucracy

According to Weber, the efficiency of bureaucracy is derived mainly from the specialised knowledge of officials. Hence he expected that the expert would supersede the generalist at high levels. However, his prediction has not been fulfilled: the generalist official continues to dominate over specialists in almost all large-scale organisations.

6.6.4 The Function of Control

For Weber, all the employees of an organisation, including both managers and productive workers, constitute its bureaucracy. He talked of the division of labour and yet failed to notice its most important aspect, namely the distinction between productive work and the exercise of control over it. When we note that the function of administration consists mainly in the exercise of control over specialists and productive workers, we also come to understand the reason for the pre-eminent position of generalists in the organisation. In short, then, Weber failed to distinguish bureaucrats proper from other employees.

6.6.5 Bureaucratic Neutrality?

Weber's theory suggests that the bureaucracy is a neutral instrument which can be used by anyone who comes to gain control over it. However, experience has shown that the bureaucracy tends to function in the interests of the ruling classes. Weber notes that the bureaucracy comes to have a lot of power of its own, and that recruitment to the bureaucracy is often made from among the rich, since it is only the rich who can afford the necessary higher education. All this leads to the inference that the upper levels of the bureaucracy belong to the upper classes and tend to function in their interest; the bureaucracy cannot be said to be neutral.

6.6.6 Weber's Dilemma

On the one hand, Weber maintains that the bureaucracy is an efficient instrument of development, on the other hand he fears that increasing bureaucratisation will interfere with individual autonomy. He is unable to resolve the dilemma, nor is he able to offer a solution to the problems likely to be caused by bureaucratisation.

Check Your Progress 2

1. Use the space below for your answers.
- i) Use the space below for your answers.
 - ii) Check your answers with those given at the end of the unit.

1 What are the causes for the growth of bureaucracy?

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2 How does growth of bureaucracy effect democracy ?

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3 What are the dysfunctions of bureaucracy?

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4 Discuss the concept of bureaucratic neutrality

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16.7 LET US SUM UP

In this Unit we have discussed Max Weber's conceptualisation of bureaucracy. He distinguishes between three types of domination. They are traditional, charismatic and

legal. Weber identifies bureaucracy with the third type of domination i.e., legal. We have also discussed the characteristics of bureaucracy as explained by Weber. Finally we have made a critical evaluation of Weber's contribution.

16.8 KEY WORDS

Arbitrary : Despotism or dictatorial

Automata : Machine

Caprice : Whimsical or unaccountable change of mind or conduct

Entrepreneur : The owner or manager of a business enterprise who by risk and initiative, attempts to make profits.

Feudalism : The legal and social system that evolved in Western Europe in the 8th and 9th centuries in which vassals were protected and maintained by their lords, usually through granting of property, and were required to serve under them in war.

Market/Money Economy : Economy where exchange of goods and services takes place with the use of money.

Precedent : An example or instance used to justify later similar occurrences

16.9 SOME USEFUL BOOKS

Albrow, Martin. 1970. *Bureaucracy*; Macmillan: London.

1. Merton, Robert K., et al., (eds), 1952, *Readings in Bureaucracy*; Free Press: Glencoe.

2. Prasad, Ravindra D., et al., 1989, *Administrative Thinkers*; Sterling Publishers: New Delhi.

3. Weber, Max, 1969, *The Theory of Social and Economic Organisation*, ed. Talcott Parsons; Free Press: New York.

16.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1. See Sub-sections 16.2.1 and 16.2.2.

2. See Sub-section 16.2.3.

3. See Section 16.3.

Check Your Progress 2

1. See Section 16.4.

2. See Section 16.5.

3. See Sub-section 16.6.2.

4. See Sub-section 16.6.5.

UNIT 17 KARL MARX

Structure

- 17.0 Objectives
- 17.1 Introduction
- 17.2 Rise of Bureaucracy
- 17.3 Role of Bureaucracy
- 17.4 Bureaucratic Power and Military Dictatorship
- 17.5 Characteristics of Bureaucracy
 - 17.5.1 Division of Labour
 - 17.5.2 Hierarchy
 - 17.5.3 Training
 - 17.5.4 Rules
 - 17.5.5 Alienation
- 17.6 Sharpening of Conflict between Capitalists and Workers
- 17.7 Administration in Marx's Socialist Society
- 17.8 Critical Appraisal
- 17.9 Let Us Sum Up
- 17.10 Key Words
- 17.11 Some Useful Books
- 17.12 Answers to Check Your Progress Exercises

17.0 OBJECTIVES

After going through this Unit you should be able to:

- understand the significance of Marx's views on bureaucracy
- explain the characteristics of bureaucracy identified by Karl Marx, and
- discuss the criticism of Marx's views on bureaucracy.

17.1 INTRODUCTION

Karl Marx was a great social revolutionary as well as a social scientist. His influence continues to be felt not only in social sciences, philosophy and literature, but also through revolutions in countries like Russia, China and Vietnam. His thought is being interpreted and re-interpreted in different ways by several schools, such as the Frankfurt school, the existentialists, the structuralists, Russian communists, Chinese communists, Trotskyists, and so on. The combination of revolutionary thought and action in Marx's work is of special significance for underdeveloped countries where revolutionary movements are growing.

Marx was born in Germany in 1818. He did his Ph.D. in Ancient Greek philosophy. His revolutionary views prevented his appointment as a university teacher, and led to his exile from country after country. He wrote voluminously but always remained poor, which resulted in much suffering for his family. He participated in the revolutionary movement in France which led to the short-lived Paris Commune in 1870. He died in 1883, leaving most of his works unfinished.

Marx's ideas on administration are spread over his numerous works. He has dealt with the rise of bureaucracy, its role in developed and developing countries, its dysfunctions, its destruction in the course of the socialist revolution, and its supersession in the new non-exploitative society. In this Unit, we shall describe Marx's views on Bureaucracy and examine the criticism on his views.

17.2 RISE OF BUREAUCRACY

Marx points out that, bureaucracy, arose with capitalism and the nation state in Western Europe around the sixteenth century. The concentration of wealth and power in the hands of merchant capitalists and absolute monarchs led to the need of an instrument for the management of wealth and the exercise of power. This instrument was the bureaucracy. With its help capitalists competed against other capitalists and monarch curbed feudal orders.

In medieval society trade was local, that is, within the village or between nearby villages. The invention of steamships made it possible to trade with distant places. The merchant adventurers, who had to go to these distant places, were however, insecure. Their security could be ensured only through a state which exercised sway over a large area. This need of far-flung trade gave rise to the nation state. It is notable that in earlier times there were neither city states or empires. Nation states arose for the first time around the sixteenth century. However the king could not administer such a large area except through a large number of officials, controlled from the centre. These officials constitute the bureaucracy. Hence the bureaucracy is associated with capitalism and the nation state. This also suggests that if capitalism and the nation state could be superseded, bureaucracy would also become obsolete.

17.3 ROLE OF BUREAUCRACY

Feudalism continued in part for about two centuries even after the coming into being of the nation state. In France, the Revolution of 1789 did away with some of the relics of feudalism; however, it was only the Revolution of 1830 that led to the transfer of power from the landlords to the capitalists. Similar changes took place in other countries.

The dissolution of feudalism and the rise of capitalism meant that more and more people were now taking up jobs in factories owned by capitalists. Since handicrafts could not compete with industry, artisans like weavers, shoemakers, blacksmiths, carpenters, and so on, were thrown out of employment, and had to seek jobs in industry. The introduction of newer and newer technology has always maintained some unemployment. Due to unemployment and poverty, workers in a capitalist society can be forced to perform back-breaking labour, for long hours, at low wages. Marx has described in detail how even children were exploited in the factories of England in the nineteenth century. While working conditions in Western countries improved due to the wealth they obtained from the colonies, and also due to unionisation of labour, capitalist exploitation can now be seen in underdeveloped countries like India.

According to Marx, all value is produced by human labour. However workers receive only a portion of the value produced by them in the form of wages. The other portion, which is retained by the capitalist, constitutes their exploitation. Hence exploitation, which can be measured in this way, is always present in capitalist relations of production.

The huge profits of capitalists are derived from the exploitation of a large number of workers. A capitalist cannot manage so many workers all alone. He has to employ managers for this purpose. These managers, and officials associated with them, constitute the bureaucracy. Hence, according to Marx, bureaucracy consists of officials who control the workers on behalf of the owners or rulers. Its function is to get work out of the workers under the exploitative conditions of capitalism.

The governmental bureaucracy has a similar function in regard to workers employed by the government. There are large number of workers in government owned railways, roadways, power stations, and other undertakings. Large number of workers are employed by the government in non-industrial occupations also, such as postmen, nurses, teachers, mechanics, and so on. Some of the workers have a higher status than others; thus engineers, doctors, architects and scientists are also involved in productive activity, and hence are workers with a high status. All these workers have to be kept under check. For this purpose, control is exercised over them by the bureaucracy. Bureaucracy consists of administrators and managers who do not perform the productive activity themselves, but

only control workers. Thus members of the Indian Administrative Service, and also those of State Administrative Services advise ministers, and in consultation with them, direct, supervise and control the workers involved in productive activity. In recent days in India, doctors, engineers, teachers, nurses and other workers demonstrated for better working conditions and even went on strikes. Some of them were punished: the punishments were administered by administrative officers, such as a Director or a Secretary to the concerned government. On behalf of the government, if necessary, negotiations with the workers were also conducted by administrative officers. These administrative officers, then, constitute the bureaucracy: their function is to control the workers on behalf of the government.

Another function of the governmental bureaucracy is to help in maintaining capitalist relations of production in the wider society. Thus, if workers in a private firm go on a strike, the capitalist can get the help of the police for keeping them under check. The government provides protection and assistance to private industry and trade in many ways. Thus it protects domestic industrialists from competition by foreign industrialists through the imposition of import duties. It manages the economy through fiscal and monetary policies so as to maintain effective demand for goods produced by industry. It provides means of transport and communication, electric power at cheap rates, and key goods for industry and agriculture. All these services to the private sector are channelised through governmental bureaucracy. The governmental bureaucracy implements labour laws so as to keep the wheels of industry moving and maintain the profits of the capitalists. Thus the governmental bureaucracy performs the important function of maintaining and developing capitalism.

According to Marx, the path to socialism lies, mostly, through capitalism. Hence, while on the one hand the development of capitalism accentuates exploitation, on the other hand it prepares the way to socialism.

17.4 BUREAUCRATIC POWER AND MILITARY DICTATORSHIP

In the course of functioning as the instrument of maintenance and development of capitalism, the bureaucracy acquires power of its own. The basis of its power is detailed information, particularly secret information. That is why it jealously guards secret information, not only from the people in general, but also from legislators and even from ministers. Ministers are busy with political affairs and have to depend upon the bureaucracy for information and advice. Thus, the bureaucracy comes to have an important role in policy formulation also. If unions and associations of the people, and political parties are weak, they are unable to communicate the needs and grievances of the people to the government. In this situation of political underdevelopment, the bureaucracy becomes the main channel of communication between the government and the people. Since the bureaucracy is better informed about the problems which the people face, than even the so-called representatives of the people, dependence upon it increases, thus giving it more and more power. Hence, in normal times also, the bureaucracy is quite powerful due to the possession of secret information; its power is greater in underdeveloped countries due to the weakness of unions of the people and of political parties. Added to these is the factor of the power hunger of the bureaucracy. Marx says that, "The bureaucracy takes itself to be the ultimate purpose of the state.... it comes into conflict everywhere with 'real' objectives." In other words, it attaches more importance to serving its own interests than those of people and so becomes a "parasitic body".

There are certain special situations in which the bureaucracy itself comes to rule. This is the situation of a military dictatorship. The military is also a bureaucracy. Now-a-days there are military dictatorships in many underdeveloped countries, such as Nigeria and Brazil. Marx provides an explanation for such rule by the military and civil bureaucracy. He suggests that when two powerful classes with conflicting interests become equally balanced in power, they let the bureaucracy rule to avoid continuous warfare between themselves.

Check Your Progress I

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

i) Identify the causes for the rise of bureaucracy as identified by Karl Marx.

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ii) Explain the role of bureaucracy.

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iii) What is the basis of bureaucratic power?

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17.5 CHARACTERISTICS OF BUREAUCRACY

We shall briefly discuss some of the features that characterise the bureaucracy as described by Karl Marx.

17.5.1 Division of Labour

Marx agrees that the division of labour makes the organisation of capitalist society highly productive. However, he points out that the basic division of labour, which we tend to overlook, is between “intellectual and material activity”. While the workers perform the productive activity, the capitalists and bureaucrats perform only intellectual activity. Hence all the hard work falls on the workers in the name of the division of labour. Further, the gains of higher productivity go mostly to the capitalists, who share these to some extent with the bureaucracy, as indicated by the bureaucracy’s high salaries. So far the workers are concerned, higher productivity tends to lead to higher unemployment among them, as it

happens when high technology is introduced. Increased unemployment leads to lower wages also. Hence, increased productivity, due to heightened division of labour may lead to little gain for the workers.

17.5.2 Hierarchy

Marx notes that hierarchy is one of the characteristics of bureaucracy. He says that while Hegel maintains that hierarchy prevents "arbitrary domination" by bureaucrats, the fact is the very opposite. In his view, it leads to "inevitable" sins. Thus if an official does some wrong to citizens, the tendency of his superiors is to protect him. However, if an official stands up against a wrong being committed by his superiors, he gets punished.

Marx makes another interesting criticism of hierarchy. He says, "The top entrusts the understanding of detail to the lower levels, while the lower levels credit the top with understanding of the general, and so all are mutually deceived". Thus the complaint of top administrators often is that a good policy has been badly implemented; on the other hand, officials at lower levels often complain about the faultiness of the policy itself. This is what has happened in regard to land reforms in India: the policy makers and those responsible for implementation have been blaming each other for their failure.

17.5.3 Training

Marx notes that it is said, for example by Hegel, that liberal education humanises civil servants. He, however, maintains that the mechanical character of his work and the compulsions of office lead to the dehumanisation of the civil servant.

Marx is also critical of the recruitment of members of the bureaucracy through competitive examinations. He says that members of a bureaucracy need statesmanship which cannot be tested through an examination: "One does not hear that the Greek or Roman statesmen passed examinations".

Marx's class analysis would indicate that the main function of examinations is to ensure that only persons of the upper class who can afford the costly higher education are able to enter the bureaucracy. Apart from being costly, higher education inculcates values and attitudes which are supportive of capitalism. Higher education tends to create social distance between the rich and the poor: highly educated people generally think that they are a class apart from the uneducated poor. Hence if a highly educated person is appointed as a manager, the exploitation of workers does not hurt him.

17.5.4 Rules

Marx points out that bureaucratic minds are so bound in subordination and passive obedience that they come to think that adherence to rules is an end in itself, and not merely a means to an end. They come to attach more importance to rules than to human beings: "Actual knowledge seems devoid of content, just as actual life seems dead".

17.5.5 Alienation

The concept of alienation is one of Marx's important contributions to social science, and particularly to administrative theory. It refers to the consequences of exploitation for man. Since exploitation is inherent in the administration of large-scale organisations in capitalist society, they suffer from alienation in an acute form. Alienation has four main aspects: loss of freedom, loss of creativity, loss of humanity, and loss of morality.

Loss of Freedom

According to Marx, wherever there is exploitation, the exploiter as well as the exploited suffer from alienation. Hence all the members of the organisation suffer from alienation. Thus workers are under compulsion to take up jobs: they can no longer function as independent artisans. Once they have accepted the jobs, they are under the authoritarian command of the management. They are coerced, controlled and threatened with punishment. The managers also suffer from alienation because they are themselves employees. The capitalist also loses his freedom. Marx points out that the capitalist is not free to eat, drink, buy books, or to go to the theatre or dance hall, or even to think, love, theorise, sing, paint etc., as he wishes. He is constrained by the nature of his business. To increase his capital he must save; he cannot spend as he likes.

Loss of Creativity

The characteristics of bureaucracy interfere with the creativity of workers. Such interference is sometimes called a dysfunction. Thus division of labour interferes with creativity. Because of division of labour, no worker produces the whole product. Hence the worker has lost the creative satisfaction of an artisan or an artist. Hierarchy has the result that no worker can say that he independently produced anything. The worker himself becomes a mere tool. Rules ensure that workers are all the time under detailed control. The administrator also loses his creativity. Thus the administrator in public administration is anonymous. Even policy making has to be done jointly; even if an administrator is responsible for drawing up a certain policy, he cannot take credit for it. The capitalist loses his creativity because of the big risks involved in a large-scale organisation.

Loss of Humanity

In modern large-scale organisations, workers tend to function like machines, thereby losing their humanity. Due to division of labour most workers have no part in deciding the objectives, or how these are to be fulfilled. The office is also structured like a big machine. The workers, whether they are in a factory or an office, function like automata. They have to repeatedly, and monotonously, perform a job without taking into account its significance, or lack of it, for human beings. The managers are in a similar situation too; or, they are also part of a machine-like structure. The capitalist, or political ruler, also finds himself manipulated by impersonal market or political forces, and responds to these without fully taking into account human values.

Loss of Morality

According to Marx, the loss of freedom, creativity and humanity necessarily leads to loss of morality. Thus, it is immoral to take away the freedom of workers and convert them into near animals. Loss of creativity also leads to immorality; if engineers or doctors are more interested in making money than in building safe bridges or in curing patients, they become immoral. Loss of humanity, in the sense of being insensitive to the suffering of others, is certainly immoral.

Capitalism is based upon competition between nation states, business firms, political parties, and so on. Since competition endangers survival, resort to all means, including immoral ones, is often made for ensuring survival in capitalist society. Hence, according to Marx, immorality is inherent in capitalism.

7.6 SHARPENING OF CONFLICT BETWEEN CAPITALISTS AND WORKERS

According to Marx the "class struggle" has been going on between the exploiting and exploited classes throughout human history. In capitalist society also, the interests of the capitalist class and the working class conflict with each other, and so their struggle goes on. Marx maintains that while on the one hand, bureaucratisation helps the development of capitalism, on the other hand it also prepares for the latter's overthrow. The formation of large-scale organisations brings workers together. Their concentration in industrial concentrations helps them to organise. The development of the means of transport and communication helps them to expand their organisation. Their unions thus become countrywide and powerful. After struggling through demonstrations and strikes, their struggle begins to bring fruit such as higher wages and the shortening of the working day. Finally, the organised strength of the workers is able to overthrow the exploitative capitalist system through a revolution. With capitalism goes bureaucracy also, for the main function of bureaucracy, namely controlling workers, no longer needs to be performed. Capitalism, which really was the dictatorship of the capitalist class, is now replaced by the dictatorship of the proletariat. The dictatorship of the proletariat is a short-lived period for ushering in of the new socialist society. The new society is classless, and so has no need for the state, since the function of the state is the maintenance of the domination of one class over another. Hence the state gradually withers away.

17.7 ADMINISTRATION IN MARX'S SOCIALIST SOCIETY

Marx did not try to describe in detail the nature of the future socialist society, since that would be utopian: It will be what we make it to be. Instead of speculating, Marx examined the nature of the Paris Commune which had been set up after a revolution. The administration of the Paris Commune can give us some idea of the possible nature of the administration in the socialist society of the future, as follows:

- There would be "self-government of the producers"; in other words the new society would be wholly democratic.
- The standing army would be disbanded; the people themselves would take to arms when need arose.
- There would be communes at rural, district and national levels.
- The central government would have only a few important functions: there would be decentralisation.
- The system of election would be indirect and based upon universal suffrage; all the elected members would be subject to recall at any time.
- The commune would be both, an executive and legislative body.
- The police would be stripped of its political attributes and turned into responsible and revocable agents of the commune.
- The public service would be done at workmen's wages.
- Education would be free and accessible to all.
- Judges would be elected, responsible and revocable, so as to be free from control by the government.

17.8 CRITICAL APPRAISAL

Marx has been criticised by various writers on a number of grounds. We shall consider some of the criticisms.

It has been said that Marx's hope of ending class domination is unrealistic since domination has always been there. In response to this criticism, however, it can be said that what has not happened in the past can happen in future. Human beings are free to make their own future, despite constraints.

Another criticism is that Marx's hope that large-scale organisations like the nation state can be done away with is unjustified. And if large-scale organisations are there, bureaucracy will also be there. However, it is notable that the nation state arose only with capitalism. Capitalism makes for largeness of organisations because of competition. In a society where competition is no longer so important, largeness may be avoided. New technology also seems to be leading in the same direction. Thus the use of solar, water and wind power is likely to reduce the need for large power grids. Electronics also makes for smaller machines. Smaller machines make for smaller organisations.

It is sometimes said that equality can never be achieved in practice, since human beings are born unequal. However, the fact is that every human being has some creative potential. The reason why only some people seem to be capable of big achievement is that many people get no opportunity for the development of their potential.

It is held that competition and inequality of rewards are necessary for providing motivation. The fact, however, is that the greatest achievers like great artists and scientists of the past never competed, except with themselves. In a normal person motivation is mostly due to the creative urge; competition makes for unnecessary tension leading to diseases.

Aggression, it is sometimes held, is natural to human beings; hence wars and standing

considered to be obsolete. Now it is considered to be associated with abnormality, in an acute form.

Marx is sometimes criticised for supporting dictatorship. We have noted above, however, that Marx stood for self-government of the workers. The short-lived dictatorship of the proletariat is needed only to deal with the prevailing dictatorship of the capitalist class.

Check Your Progress 2

- Note: i) Use the space below for your answers.
- ii) Check your answers with the answer given at the end of the unit.

What, according to Marx, are the characteristics of bureaucracy?

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Describe the facets of alienation of bureaucracy as identified by Karl Marx.

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Explain the features of administration of Paris Commune.

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What are the major criticisms on Marx's analysis of bureaucracy?

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17.9 LET US SUM UP

In this Unit we have discussed about the views of Karl Marx on bureaucracy. He provides a serious criticism of Marx Weber's ideal type of bureaucracy. His explanation of bureaucracy and its characteristics provides an alternative perspective on the nature of bureaucracy.

17.10 KEY WORDS

City-State : A State consisting of a sovereign city and its dependencies.

Commune : An association whose members own everything in common, including the product of their labour.

Trotskyism : The Theory of Communism of Leon Trotsky (1879-1940), Russian revolutionary and writer, in which he called for immediate worldwide revolution by the proletariat.

Utopia : Any real or imaginary society, place, state etc., considered to be perfect or ideal.

17.11 SOME USEFUL BOOKS

- 1 Albrow, Martin, 1970. *Bureaucracy*; Macmillan: London.
- 2 Bhattacharya, Mohit, 1987. *Public Administration*; The World Press: Calcutta.
- 3 Prasad Ravindra, D., et al., (eds), 1989. *Administrative Thinkers*; Sterling Publishers: New Delhi.
- 4 Seshadri, K., 1982. *Marxist Interpretation; Administrative Change*, Vol. 9, No. 2 Jan-June, pp. 175-203.

17.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 17.2.
- 2 See Sec. 17.3.
- 3 See Sec. 17.4.

Check Your Progress 2

- 1 See Sec. 17.5.
- 2 See Sub-sec. 17.5.5.
- 3 See Sec. 17.7.

UNIT 18 REPRESENTATIVE BUREAUCRACY

Structure

- 8.0 Objectives
- 8.1 Introduction
- 8.2 Meaning of Representative Bureaucracy
- 8.3 Why Representative Bureaucracy ?
- 8.4 Situation in U.K. and U.S.A.
- 8.5 Situation in India
- 8.6 Limits to Representativeness
- 8.7 Conclusion
- 8.8 Let Us Sum Up
- 8.9 Key Words
- 8.10 Some Useful Books
- 8.11 Answers to Check Your Progress Exercises

18.0 OBJECTIVES

After studying this unit, you should be able to:

- ▶ explain the concept of Representative Bureaucracy
- ▶ explain the grounds advanced in favour of Representative Bureaucracy; and
- ▶ grasp the practical difficulties in the way of the realisation of representative bureaucracy.

18.1 INTRODUCTION

Bureaucracy is an instrument and a means of Public Administration. But because of its durable, stable nature and expertise, it becomes a repository of authority and power in the state. The political executive cannot do without the help of bureaucracy. The citizens have more contacts with it than with the members of the political executive.

Political democracy entails the attributes of responsiveness, responsibility and representativeness for the bureaucracy. The first two attributes have been realised, but the representativeness is difficult to realise. The factors in the sociological composition and economic structure of the society underline the environment for its realisation. Bureaucracy, as an organised, systematic institution of the state as a part of the democratic political structure, has come into existence first in the West and later in other polities. In this unit we shall discuss about the concept of representative bureaucracy.

18.2 MEANING OF REPRESENTATIVE BUREAUCRACY

Like government, bureaucracy in modern times is expected to be responsive, responsible and representative in relation to the people of the country. It has to be responsive to the desires of the people. The functions assigned to it by the government, (that is the executive), have to be performed by it to their satisfaction. Modern bureaucracy has to be responsible to the people through the ministers who are responsible to the people, being duly elected every five years to the parliament or legislature. These two features of modern bureaucracy have been realised in democratic political systems as in India. The feature of bureaucracy being representative of the sociological composition of the population in a country has been difficult of realisation. In Western countries like Britain and France, the

various economic strata or divisions of the population, particularly the lower classes, are not represented properly in the composition of the higher level bureaucracy or civil services.

The meaning of representative bureaucracy is not very clear. It is understood as a civil service representing proportionately every caste, class and religious groups of the population. It is also interpreted to mean that it is a bureaucracy consisting of all social, religious and racial groups of the society.

Concept of representative bureaucracy is that broad social groups should have spokesmen and representatives in administrative as well as political positions. The term representative bureaucracy was coined by Donald J. Kingsley in his book 'Representative Bureaucracy' published in 1944. He argued in his book on the need for liberalisation of social class selection for the bureaucracy in England. He argued that only representative bureaucracy would respond to changes in political currents whereas a non-representative bureaucracy would sabotage the demand of a party whose policies may be at odds with the class from which bureaucracy is drawn. Kingsley's argument is that representative bureaucracy is necessary because there must be some administrators sympathetic to the policies of the party in power. In a democracy, he felt competence itself is not enough. He also argued that public service must be representative 'if the state is to liberate rather than to enslave'. Thus the concept of representative bureaucracy was evolved to argue for a less elite oriented and less class biased bureaucracy.

The term representative is not new; it was evolved through history. For example, Max Weber suggested a typology of representation viz: (1) Appropriated Representation—it is an ancient form mostly based on hereditary rights; (2) Representation on the basis of socially independent groupings. This would be a socially privileged group asserting the right to bind others; (3) Instructional Representations; and (4) Free Representation. The first three forms of representation are fairly known in early times and the fourth i.e., the free representation is unique and is on the rise in modern times.

18.3 WHY REPRESENTATIVE BUREAUCRACY?

The plea for representative bureaucracy is advanced on several grounds. Firstly bureaucracy is an instrument or organ of government. A genuine democracy ought to have a representative legislature or parliament, a representative executive, that is ministry, and also a representative bureaucracy i.e., civil service. Without the bureaucracy being representative, the country's political system would not be entirely democratic, because all the laws and rules and policies of the government are finally put into action by the bureaucracy or civil service.

The second ground for bureaucracy to be representative is that the welfare and development functions meant for the poorer or disadvantaged sections of the society would not be fulfilled to the satisfaction of these sections of the society unless the elements belonging to the poorer section handle those functions. This is the same ground on which a modern legislature or a modern executive is constituted to be essentially representative of the entire adult population in the country.

Another ground for representative bureaucracy, advanced in Britain, during the inter-war and post-second World War years and in India after independence, is based on the need for a harmonious or at least congenial, relationship between the political elements including ministers and the higher level civil servants. The ministers and legislators in a democracy tend to come from lower economic or social strata. Larger numbers progressively at successive elections to parliament or legislature or local governments. Further, their advice to the political executive would be narrow in range. A crisis of understanding arising out of lack of identity of views and outlook might develop between the political executive (and also representatives) and the civil servants. The possibility of disloyalty of the higher civil servants to the political executive may be far away, but occasional differences of opinion, and at times of conflict, are a distinct possibility. The political and administrative literature both in Britain and India has recorded several

instances of such disharmony between the political executive and the higher civil servants.

Check Your Progress 1

- Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit:

1. What is representative bureaucracy ?

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2. Explain the need for representative bureaucracy

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18.4 SITUATION IN U.K. AND U.S.A.

Situation in U.K.

The social composition of the administrative class in Britain is elitist though the working class and lower middle class entrants to it have increased in number with the spread of higher education among them. Philosopher Bertrand Russell, therefore, wrote about the public school as the "appropriate educational instrument" of the ruling oligarchy. But the progressive diffusion effect of the Education Act of 1944 is now in evidence in the pupils of the working classes receiving university education in growing numbers. Some of these recent university graduates, from working classes, are now entering the higher civil service through open competition, besides being promoted from subordinate grades.

It is true that during the post-war years even scholars of working class origin were educated at these prized universities with the help of state scholarships. The scholars from other universities also failed to appear at the competitive examinations either because their courses did not equip them for this as well as Oxford students or they felt less confident at the interview in the competitive examination. An analysis of the applicants for appointment as administrative trainees in the 1971-75 period has shown that a fifth of all applicants but half of the successful applicants possessed Oxbridge degrees. To an extent, the Oxbridge lead in the open competition to the administrative class does imply denial of

representation to the other universities and their students in the most prestigious civil service of Great Britain. In 1966, a significant component of the total membership of the administrative class to the extent of 40% were promoted from lower ranks, compared with only 13% of the permanent secretaries and deputy secretaries. This factor of the situation has also somewhat lessened the elitist heights of the administrative class in Britain.

In Britain the representativeness of bureaucracy or higher civil service is affected or reduced by two factors : (i) Predominance in the higher civil service of the honours graduates of the universities of Oxford and Cambridge (of Oxford after the Second World War) among whom there is a large percentage of students from select public schools, to the neglect of honours graduates from other British Universities. (ii) Over representation of the upper and higher middle classes in the higher civil service in comparison with their proportion in the country's working population resulting in the under representation of the lower social strata of the population.

Situation in U.S.A.

Even in the United States of America with its more egalitarian educational system the bureaucracy is not representative. In U.S.A. jobs in Public Administration at three levels: Federal, State and Local, have not been as attractive as the jobs in the private sector. Self-employment in business, industry, shopkeeping and independent professions has also been favoured as being in keeping with the independent spirit of the Americans. Further, a unified career civil service in U.S.A. is of recent origin, and even now it engages a very small percentage of the total number of middle level jobs in Public Administration. Specialist and technical jobs in Public Administration are in majority, and officials holding these frequently move in and out. In Britain and U.S.A. there is under-representation of the manual workers in public administrative higher level services in comparison with their share in the total working population of the country.

18.5 SITUATION IN INDIA

The researches conducted on the sociological profiles of the higher civil services, particularly the Indian Administrative Service, are very few. But by and large, these studies have brought out that the higher civil services—generalist as well as specialist—contain a large representation of upper castes, higher income level families and urban dwellers. The lower castes and classes, and rural dwellers are represented in them in smaller numbers. The principal reasons are three. Firstly, the spread of higher education among the lower castes and classes is slow, although after independence it has picked up in extent and pace. Secondly, the proportions of drop-outs from primary to secondary, and from secondary to university level have still been high mainly due to economic reasons. Thirdly, the minimum educational standard for eligibility for the competitive examinations at the higher services is graduation. But the preparation for the competitive examination takes a couple of years more after the passing of the first graduation: B.A., B.Sc., B.Com., etc.

Several concessions have been given to the scheduled castes and tribes by the central and state governments. The normal age of recruitment for various services is relaxed by a few years in favour of these weaker sections. Application and examination fees are exempted for them. Migration Certificate is issued to the SC/ST persons irrespective of whether the state to which they have migrated has or has not recognised their caste as scheduled. Coaching classes have been set up by government and universities at various places in the country to prepare the candidates of these sections for appearing at the competitive examinations conducted by the union and state governments, nationalised banks and other public authorities. Scholarships are liberally granted to the candidates of these communities to enable them to avail the coaching provided at these classes. Arrangements have been made for orientation/appreciation training for their knowledge of the safeguards in regard to recruitment prescribed by various governments. Inservice training is also imparted to them for the improvement of their efficiency in service. Machinery has been set up for the redressal of their grievances in these respects. The Commission for Scheduled Castes and Scheduled Tribes set up by the Government of India in 1978 has established field officers to investigate into and report the status in this regard all over the country. These field offices have been authorised to establish contacts with the various government departments and agencies to ensure the observance of the reservation and

other safeguards, concessions and facilities by them in regard to services, social, economic and legal treatment and execution of development schemes and programmes.

8.6 LIMITS TO REPRESENTATIVENESS

Though in principle the plea for representative bureaucracy has been accepted, a number of practical difficulties stand in way of its realisation. The Generalist service personnel are selected on the basis of educational qualification, say a bachelor's degree of a university, and within an age limit preferable at a young age of twenties. For specialist services, requisite specialist, i.e., technical, professional or scientific, qualifications are necessary. In cases of senior posts, experience in respective areas, say engineering, statistics, computer programming, etc., is called for. The members of the lower classes in society are not in a position to receive university education, mostly because their parents/guardians cannot afford to send their children/wards to the colleges/universities. In some cases the drop-out of pupils belonging to backward sections is due to age-old social and cultural backwardness. In respect of specialist posts it is still more difficult for the socially and economically backward sections to compete because they have not been able to receive specialist degrees, as for example in engineering, medicine, agronomy, etc. If they could not receive specialist degrees, acquiring experience in such specialist positions is not possible for them.

The government service requires skills and training, different from those needed by the society. Chester Bernard, for example, has argued that the introduction of technological innovation requires managerial capability. Managerial functions are not routine and cannot be undertaken by anyone. It needs the ability to act under pressure, and officials must assume responsibility under conditions of risk. These skills are not developed in the society. The administrators also require greater training in the specialised functions like police or public enterprises or welfare programmes, etc. It also requires special qualities and attributes like possessing prescribed height which is a pre-requisite for police service. These skills and attributes are important to carry out the assigned tasks which put limits on the representativeness of bureaucracy. The governments may make adjustments and give relaxation in these skills and attributes, but one has to accept that limits exist in a bureaucracy and total representativeness is not possible.

In a plural society, the representative bureaucracy will have adverse consequences. Persistence on representation of different social, ethnic or geographical groups is but an invitation to parochial and narrow mindedness. The bureaucracy in such a case would represent divisive forces than becoming a homogeneous and integrated system. Again, merit bureaucracy is the result of limitations in the recruitment based on ascriptive considerations. If bureaucracy is to be representative it is an invitation to ascriptive groups which undermine rationality and logic on which the present system of merit bureaucracy is based. Bureaucracy is based on professionalism, rationality and homogeneity. Introducing representativeness is to introduce heterogeneity into the bureaucratic system. Thus representative bureaucracy, by definition, becomes a contradiction in terms.

Representative bureaucracy is a concept associated with the realisation of the political ideal of representative democracy. In both the popular democracies of the world polity, Britain which is the mother of parliamentary democracy and the United States of America which is the largest democracy in terms of geographical extent, the concept of representative bureaucracy is not fully realised. Even in the Soviet Union, marked for the extension of economic and social equality, the ideal of representative bureaucracy has not been fully realised. The realisation of economic and social equality among individuals in society in a political system would not wipe out varying intellectual abilities and mental attitudes of different persons among the aspirants for the administrative positions at various levels of government and administration. In a country like India and tribal communities are secluded from the civilised segments of the political community, resulting in their cultural, social, economic and educational backwardness.

Along with the attribute of representing the material aspirations of the society, the bureaucracy has to be efficient and effective in the performance of its varied functions

What are the constraints in achieving total representativeness in bureaucracy?

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8.8 LET US SUM UP

In the Government, bureaucracy in modern times is expected to be responsive, responsible and representative of the people of the country. Unlike the first two features of bureaucracy, the feature of representativeness in relation to the sociological composition of the population in the country has been difficult of realisation. Without the bureaucracy being representative, the country's political system would not be entirely democratic. Further, the welfare and development functions meant for the poorer or disadvantaged sections of the society would not be fulfilled to the satisfaction of these sections unless the elements belonging to the poorer sections handle these functions. Representative bureaucracy would also bring about congenial relations between the political elements and the bureaucracy.

The realisation of economic and social equality among individuals in society would not take into account the varying intellectual abilities and mental aptitudes of different individual persons. The requirement of administrative efficiency and effectiveness brings in another constraint to the realisation of representative bureaucracy. If every individual person in a political system is assured of an equal opportunity to seek and get into a post at any level, even the highest, in Public Administration, the concept of representative bureaucracy would be a rarer satisfactory realisation.

8.9 KEY WORDS

egalitarian : Upholding the doctrine of the equality of mankind
elite : The most powerful, rich or gifted members of a group, community etc.
homogeneous : Consisting of similar parts
oligarchy : Government by a small group of people
Racial Society : A society having groups of distinct ethnic origin, cultural forms, religion etc.
depository : Place where things are stored or may be found

8.10 SOME USEFUL BOOKS

Bhattacharya, Mohit, 1987. *Public Administration*; World Press: Calcutta.
 Hill, M.J., 1972. *The Sociology of Public Administration*; Weidenfeld and Nicolson: London.
 Kingsley, J. Donald, 1944. *Representative Bureaucracy*; Antioch Press: Ohio.
 Krislov, Samuel, 1974. *Representative Bureaucracy*; Prentice Hall: Englewood Cliffs, New Jersey.
 Singhi, N.K., 1977. *Bureaucracy: Positions and Persons*; Abinav: New Delhi.
 Subramaniam, V., 1971. *Social Background of India's Administrators*; Publication Division, Government of India: New Delhi.

18.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 18.2
- 2 See Sec. 18.3

Check Your Progress 2

- 1 See Sec. 18.4
- 2 See Sec. 18.5
- 3 See Sec. 18.6

UNIT 19 ISSUES IN BUREAUCRACY

Structure

- 19.0 Objectives
- 19.1 Introduction
- 19.2 Generalists and Specialists
 - 19.2.1 Relations between Generalists and Specialists
 - 19.2.2 Experience in U.K. and India
- 19.3 Anonymity
- 19.4 Commitment
- 19.5 Let Us Sum Up
- 19.6 Key Words
- 19.7 Some Useful Books
- 19.8 Answers to Check Your Progress Exercises

19.0 OBJECTIVES

After studying this unit you should be able to:

- distinguish between generalists and specialists and identify the problem areas in their relations
- explain the concept of anonymity; and
- examine the concept of commitment.

19.1 INTRODUCTION

You are aware that Public Administration, as an academic discipline, has come into existence with the important paper of Woodrow Wilson on the Study of Administration. Ever since a number of theories, approaches and concepts in administration have been developed. In recent years, administration is increasing along with the growing functions. In fact, there has been a change in the very nature of the state which is reflected in increasing functions which the governments are undertaking. Another manifestation in this change is the rapid growth of civil services. You have seen in an earlier unit how K. M. Marx has called the modern state as an administrative state thereby signifying the role the civil service or bureaucracy play in the modern state. This expansion in the role of the bureaucracy as well as increased role in the governance has thrown out several issues. The problem of relations between generalists and specialists, commitment and neutrality of civil services, anonymity, corruption, inefficiency, representative character of the bureaucracy, etc., are but a few issues. In the previous unit we have discussed about the concept of representative bureaucracy and in this unit we will examine three important issues of bureaucracy viz., relations between generalists and specialists, concept of anonymity and commitment of civil services.

19.2 GENERALISTS AND SPECIALISTS

In modern times, the functions of Public Administration are becoming varied and complex. Particularly after the First World War, the State has undertaken numerous functions like relief to the unemployed, conduct of basic industries like steel, machine building, mining, nuclear energy, air transport, care of the persons suffering from deadly diseases like cancer, etc. To look after these and other diverse functions specialists are appointed in growing numbers in Public Administration at various levels. The administrators,

particularly at higher levels, are classified as generalists and specialists. Specialists are those who have specialised in terms of their education and experience in administration in specific subjects or disciplines of study. Engineers, medical doctors, statisticians, scientists, chemical technologists, computer programmers are some of the examples of specialists.

Generalists are not specialised in the course of their education and/or further training. An entrant to the civil service might have graduated in literature or history. By virtue of his graduation he is not specialised to be posted in a particular department or job dealing with a specific subject of Public Administration like agriculture, health, social welfare. He might have graduated in Chemistry or Biology, but in his administrative career it is likely that he does not perform duties in a department or a job concerned with a sector of Public Administration mentioned above. However, if he is offered an administrative career involving supervision, control or direction per se and not connected in content with administration of a science subject of his specialisation, he would be a generalist. A district collector by his education might be a scientist, engineer or historian, linguist or social scientist. His duties are generalist in nature covering functions such as collection of land revenue, maintenance of law and order, etc.

In any administrative institution as we go higher and higher in the level of responsibility, functions become more and more generalist in nature. Even in technical departments, the heads of the department are engaged in the generalist functions of policy-making, control of the administrative machinery, direction, supervision and control of the employees, coordination within and outside the organisation in his charge, and public relations. No doubt these functions have substantial content of the subject matter of the respective departments. The issue of generalists vis-a-vis specialists has come up in recent times for discussion and debate on account of the organisation and responsibilities of their cadres or classes in public or civil services. In the first place, they are organised in separate hierarchies i.e., groups having supervisor-subordinate relations between various levels. Secondly, the tasks of policy-making, control of administrative machinery and management at highest levels are assigned largely to generalists in preference to the specialists, barring few exceptions. Thirdly, generalists are moved from one department to another, one type of job to another, a department to a public enterprise or a local government and back, without hindrance or obstacle. The specialists, on the other hand, are transferred or promoted within their respective departments. Posts of secretaries to government departments and even of heads of most executive departments are reserved for the generalists. This privileged position exercised by the generalists has a tendency to offend the self image of the specialists, and in consequence, their morale and confidence.

The idea of the generalist civil service was based on three components: one, the entrants to the civil service could occupy any post at higher levels of any of the executive (field) departments and the secretariat of the government headquarters with distinction without inservice training. Two, they would advise the government in policy-making, formulating decisions—the basis of government's executive orders—operating the administrative machinery, and putting the executive orders into effect. Three, the actual expert, technical advice in subjects like agriculture, health and medicine, forestry and so on, would be given by the subject matter technical officers and scientists (the agricultural scientists, doctors, forest officers, engineers, etc.) in the functional departments (agriculture, health and medicine, etc.). Such expert technical advice could be grasped and absorbed into policy making and decision-making processes by the generalist civil servants. Unlike in other countries such as France, in Britain and India the Secretariat departments in at the government headquarters are headed by the generalist secretaries which are separate from the executive departments like industry, transport, home, agriculture, health and medicine, education, industries, cooperatives, mostly headed by technical officers (but in few cases by the generalists).

19.2.1 Relations between Generalists and Specialists

The issues relating to the relationship between the generalists and the specialists need to be dealt with in slightly greater detail.

Two arguments are advanced with regard to the generalists being elevated to highest positions of the administration, important from the points of view of rendering advice in policy-making by the ministers and direct control of the executive machinery. Firstly the liberal education enables the graduates who are selected on merit by an independent and impartial Public Service Commission, to have broad outlook, intelligent mind and flexibility of approach in regard to administrative problems and issues irrespective of their subject matter content. The second ground relates to the mobility of the generalist entrants

to another, their ability to adjust to and assimilate different experiences—functional, public and political—increases and their qualification to hold higher positions in any department and post is strengthened.

Arguments in favour of the generalists are put in various statements, but they are essentially based on one or the other of the above grounds. The generalists perform the role of a mediator, a referee between the expert and the politician, the people and the government, the pressure groups and the public interest represented by the parliament and the executive, with conflicting points of view. The generalists are close to the "Minister's mind". They act as an antidote to the rule by the technocrats ("the technocracy"). The two roles of the technocrat who has a function or an aspect to plead for, and the generalist who is a mediator, coordinator and integrator can never be fused into one administration or a single hierarchy. The specialists are also not sufficiently cost-conscious, they identify too closely with the clientele of their own department.

The specialist's case for being placed on an equal footing with the generalist in the matter of appointment to highest positions in administration is advanced on the grounds of default of the generalists who have occupied highest positions in different departments and of the special merit of the specialists for occupying highest positions in their own functional specialities.

During the nineteenth century the specialised knowledge required in Public Administration was not clear. The generalist discharged the role of a night-watchman over the limited functions of law and order of the state of the nineteenth century. The generalists, due to the absence of the necessary education or post-service entry training, have not developed the essential professionalism, nor the adequate knowledge in depth in any one aspect of department's work and "frequently not even in the general area of activity". These deficiencies have led to improper policy-making and has prevented a fundamental evaluation of the policies framed by them. The result is also visible in the ineffective methods adopted to execute policies. The generalists have not acquired the necessary knowledge for changing policies or charting altogether new policies. The generalists are engaged mostly in planning and are away from execution. This results in unrealistic policy decisions. Staff and line functions can be segregated in Britain, but not so much in India. Generalists have not received post-entry training to make them suitable for specific functional or positional responsibilities. Generalists "misunderstand (technical) advice or do not obtain it at all". The generalists cannot undertake forward planning firstly because they are not equipped with necessary knowledge of the developments in particular subjects like engineering, agriculture, education, health, medicine, forestry, industry, etc., and secondly they move from one department to another and at times even out of a department to a public enterprise or to a semi-government institution like university.

It is actively canvassed on behalf of the specialists that, on the one hand the generalists become better qualified to hold higher positions in administration in different departments at all levels because they themselves have fashioned the system in their own favour, and on the other the specialists in spite of they being better equipped are deprived from occupying high, nay highest, positions like secretaryship in their own departments. Scientific training inculcates an objective spirit in the specialists which lessens the alleged functional bias with them. The generalists are neither completely free from (personal) bias in the course of the administration. Similarly, the criticisms of the specialists not being cost-conscious and identifying too closely with the clientele of own department, may be shared by the generalists. Education per se has nothing to do with the administrative ability. A case for broadening the technical and professional courses can be made independently. Such broadening would stand in better stead in the service career of the candidates at the civil services competitive examination qualified in these courses. The dual hierarchical structures, comprising the generalists and the specialists respectively, not only mar administrative efficiency but also breed discontent among the specialists. The gains from the abolition of these dual structures would be various. Frustration among the specialists would be avoided. This would result in easier and more effective communication between the two groups—the generalists and the specialists. Better expert advice would come forth from the specialists. Administrative work handled by them would be simplified and speeded up and wastage would be avoided.

The 'intelligent amateur' theory prevalent in Britain during the nineteenth century does not seem to be applicable to the recent times, particularly after the Second World War. Beyond drafting, more knowledge and other skills would be called for in the civil servant. A welfare state came into existence in Britain after the Second World War, and in free India, a democratic socialist state based on the concept of planned development is in the

process of realisation. The functions and responsibilities of the administrator have not merely increased but also grown in complexity. Progress of science and technology has affected the content as well as methods of Public Administration. The introduction of the computer has changed the nature of administration in respect of not only information storage, retrieval and communication, but also the nature and pace of decision-making and the relations between the citizens and the administration. The individual state is no longer isolated but is a part of wider network of the international community. The selection process of the generalists in Britain was biased in favour of the graduates of Oxford and Cambridge Universities doing injustice to those of other universities.

Career planning is necessary both for the generalists and the specialists in the interest of the development of both and the greater efficiency and effectiveness of the public administrative system. Both have to be trained in the managerial functions and the managerial techniques such as qualitative methods and economic analysis and common body of knowledge needs to be taught to both in the course of the post-entry training. Communication and cooperation between these two components of Public Administration have to be encouraged and built within the administrative system and in the interstices of the network of administrative relations.

19.2.2 Experience in U.K. and India

Different countries have approached the problem differently keeping in view the administrative and political environment within which they operate. In the context of the growing public criticism of the inadequacies of the civil service structure in Britain dominated by the generalists at the top, the British government appointed in 1966 an inquiry committee chaired by Lord Fulton. The Fulton Committee proposed that the scientists, engineers, economists, etc., with requisite competence should be absorbed in a senior management group, from which higher positions in the administration should be filled in.

In India the generalist and specialist controversy was dealt with by the Administrative Reform Commission's study team on Personnel Administration. It recommended eight professional groups viz., (i) Personnel and Manpower; (ii) Economic Administration (including planning); (iii) Financial Administration; (iv) Agricultural Administration; (v) Industrial Administration; (vi) Social and Educational Administration; (vii) Internal Security and Defence, and (viii) General Administration. These groups would form the basis for the selection from the different services of the personnel for (cases) 'consideration' as well as 'policy formulation' levels. The implication of the eight-fold classification drawn up by the Administrative Reforms Commission's study team on Personnel Administration was spelled out by the Administrative Reforms Commission. It was that the Indian Administrative Services shall no more be a generalist but shall have purely functional role of Revenue Administration [Administrative Reforms Commission Report on Personnel Administration (April 1969), page 24]. The Administrative Reforms Commission was right in asserting that the constituents of these new professionalised groups would be contributed by different services including the Indian Administrative Services and the specialist services. This professionalism could be developed only through appropriate schemes of recruitment, training and career planning.

Similarly other countries like France, West Germany, Sweden, U.S.A., etc., which have distinctive political systems, social conditions and civil service systems of their own have formulated mechanisms to deal with this problem.

Check Your Progress 1

- Note: i) Use the space given below for your answers.
- ii) Check your answers with those given at the end of the unit.

1. What are the major issues in 'bureaucracy'?

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2 Why is the modern state called 'administrative state'?

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Explain the relation between generalists and specialists in Administration

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19.3 ANONYMITY

The rule or norm of anonymity of the civil service is the counterpart or the other side of the coin of ministerial responsibility. The principle of collective responsibility in the United Kingdom ensures the responsibility and accountability of the executive, that is cabinet, to the parliament, to be precise to the House of Commons. The minister's individual responsibility makes sure that for every act or wrong act or oversight in his department a minister has to answer to the parliament. The rule of anonymity requires that for the official's actions or inactions their minister alone has to answer before parliament. The official concerned, who cannot defend himself in parliament, is thus protected from criticism of parliament. This does not mean that the official guilty of criminal acts or excesses under law or abuse of authority and power for personal ends cannot be held guilty under the law.

The following are different situations calling for different actions by the minister in relation to the official:

- 1) A minister is to protect a civil servant who has executed his definite order.
- 2) A minister has to support a civil servant who has acted correctly in keeping with the policy of the minister.

- 3) The minister accepts the responsibility for an action of the official when the issue is not an important matter of policy and in which individual rights are not involved. The minister in these situations offers to take corrective action in his department.
- 4) A civil servant's action is disapproved by the minister who does not know about it, the action being worthy of blame. The minister in such case does not support the wrong action of the official or defend the official's error. The minister in this case is responsible to parliament for the wrong action of the official. The minister, however, retains his power to control and discipline his civil servants.

The above situations explain the principle of ministerial responsibility or the norm of anonymity of the civil servant. The ministers are not in a position to excuse the failure of their policies by pointing to experts or civil servants who have given the advice or to the officials they have employed.

The principle of anonymity is to be distinguished from the rule of neutrality and that of impersonality. The rule of neutrality expects the civil servant to be politically neutral. He has to give loyalty to the minister irrespective of the political party to which his government belongs. The doctrine of impersonality expects the civil servant to follow the prescribed laws, rules and regulations irrespective of his own person in case he has taken up the charge of his particular post from another civil servant or irrespective of the person to whom the case pertains.

The rule of anonymity operates in the case of legal and proper acts of the civil servants. They are not required to come out in public or face parliament in case of such acts; it is the minister who then faces the people of the parliament. For illegal personal acts both the civil servants and the ministers can be held guilty.

The civil servants in Britain are often given the simile of the fountains in the Trafalgar Square (London) who are silent observers of the political events in the cabinet and the parliament whose sites are located nearby. Similar norms are applicable to the relationship in India between the ministers and the civil servants. The Indian Constitution does not spell out the terms and conditions of this relationship, this is left to the conventions to be evolved since the inauguration of the Constitution. The Indian Constitution gives security of tenure to the service of the members of the Indian Administrative Service, other All-India and Central and State Civil Services and those holding civil posts under the union or a state, except for reasons of criminal charge, reasonable practicability or security of the state (Article 311). The relevant rules issued by the executive define the terms 'civil servant' and 'civil post' in terms of the master-servant relationship marked by the method of employment and the mode of removal from service. The normal relationship between the minister and a civil servant is based on mutual satisfaction of obligations to each other. Civil servants are to render advice to the minister in respect of policies, plans and programmes as well as laws and rules to put these into action, on the basis of their expertise. They are not to act in these respects to suit their advice to the personal or partisan ends of the minister. Once the advice is given, the civil servant's function in this behalf is over. He has then to implement the policies and programmes and the laws and rules as framed by the executive whether his advice has been accepted by it or not. The minister in turn is not expected to interfere in the execution of the government's policies, plans, programmes, laws and rules. The All India Services (Conduct) Rules, 1968 prescribe that the civil servants have to avoid occasions of self-publicity, entertainment, association with a political party or its activities, etc., so that their anonymity is preserved.

19.4 COMMITMENT

The term 'committed bureaucracy' appears in public and political debate from time to time. To the extent the debate indicates a stir in thinking among the vocal, articulate world of politicians and the intelligentsia, it is a healthy sign of an alive public opinion ready to rise to the occasion, when certain new programmes of development and a new social and economic order have faltered in execution and need to be given a big push.

What does 'commitment' mean? It means engagement on the part of a human being that restricts his freedom of action. If I, for example, engage to be honest, then such an engagement would restrict my freedom to be dishonest. 'Commitment' when so defined might appear as an individual phenomenon. However, commitment on the part of an

Individual is a product of the value system of a given society in time and place. Of course, no society is so uniform and so homogeneous as to be informed and motivated by a single and unique value system. But there is always a dominant value system. Some sections of a society might wish to conform or agree with it; others might revolt against it.

Another fact about the value system and the commitment related to it might be noted. At no stage of the evolution of human society from the most simple and primitive to the most complex, would one find its members free from the constraint of a value system and its concomitant commitments whether accepted because of social compulsions or because of attainment of higher consciousness of rights, obligations, prohibitions and inhibitions. While commitment is thus inextricably bound up with the value system in a society, the origin of a value system itself and changes within it are intimately connected with the socio-economic and political structure of that society.

The question is whether civil services ought to be committed or not? The answer to the question is that the civil services are in fact committed. They are committed, first of all, to themselves and their nuclear family. It is the nature of their commitment which requires examination both in its origins and in its evolution.

These concepts need to be examined in a larger perspective of the provisions of the Constitution, the framework of the political system contained in the Constitution, and the long term effects on the morale and efficiency of the elements involved, in this case the civil servants and the judges. We are here concerned with 'committed bureaucracy'.

The Indian Constitution embodies the values of democracy, secularism and socialism which are to be realised keeping intact the fabric of national integrity. The ideals of liberty, equality and brotherhood have also to be given actual shape in the lives of the people. The Preamble, the Directive Principles of State Policy and the Fundamental Rights, in the Constitution, have to be kept in view in understanding the meaning, connotation of the term 'committed bureaucracy'. Moreover, the frame of parliamentary democracy and the federal structure of the country provide the mechanism in which the concept is to be realised.

'Committed bureaucracy', obviously, is not a bureaucracy loyal to a particular political party. The Constitution envisages free and fair periodic elections to the Lok Sabha and the State Legislative Assemblies. At the union and in the states under the democratic regime since the making of the constitution different political parties have come to power in the last three and half decades. The federal structure laid down by the Constitution provides for a contingency of political parties of different colours with different political ideologies and programmes coming to power at union and in states. In different states, different political parties—national and regional—or their coalitions, may be installed in power. The bureaucracy has therefore to serve under varying political parties' regime. Their loyalty cannot be to a specific political party.

'Committed bureaucracy' also would not connote civil servants owing loyalty to particular individual political person or leader. The frame of parliamentary democracy prescribed by the Constitution involves the possibility of election of different persons as Prime Minister at the centre and as Chief Ministers during a term of the Lok Sabha and State Legislative Assemblies and also from one term to another. 'Committed bureaucracy' therefore would not imply its loyalty to particular persons, but to whosoever is elected as the leader of Lok Sabha or Vidan Sabha. The civil servants have to give advice to ministers as secretaries in making policies, and execute these policies in the field. Sir Warren Fisher, a noted civil servant in Britain, delineated the minister civil service relationship, in the following words. "Determination of policy is the function of ministers and once a policy is determined it is the unquestioned and unquestionable business of the civil servant to strive to carry out that policy with precisely the same energy and precisely the same good will whether he agrees with it or not. That is axiomatic and will never be in dispute. At the same time it is the traditional duty of civil servants while decisions are being formulated to make available to their political chief all the information and experience at their disposal, and to do this without fear or favour, irrespective of whether the advice thus tendered may accord or not with the minister's initial view. The preservation of integrity, fearlessness, and the independence of thought and utterance in their private commission with ministers or the experienced officials, selected to fill the top posts in the service is an essential principle in enlightened government".

'Committed bureaucracy' would therefore connote bureaucracy committed to the objectives, ideals, institutions and modalities contained in the constitution; the policies and programmes of the government; and the laws, regulations and rules issued by the executive. The civil servants have to carry out the development and anti-poverty

programmes in right earnest; if they fall short in this they would be shifted to regulatory departments to which they may be attuned.

Check Your Progress 2

Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

1 Explain the concept of anonymity.
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2 Distinguish between anonymity and neutrality.
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3 Write a note on committed bureaucracy.
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19.5 LET US SUM UP

In this Unit we have examined three important issues in administration viz., generalists specialists, controversy and concepts of anonymity and commitment. We have examined the nature of generalists and specialists, arguments in favour of generalists and specialists and the nature of their relations. The concept of anonymity is examined in the context of minister-civil servant relations in general and in India in particular. We have also discussed the need for commitment on the part of civil servants to implement the welfare programmes efficiently, and to realise the values of democracy, secularism and socialism.

19.6 KEY WORDS

Cadre: A basic unit or structure

Executive Department: Department responsible for carrying plans, orders, laws into effect.

Morale: Degree of mental or moral confidence of individual or group.

Secretariat Department: Department responsible for making/framing or policies etc.

19.7 SOME USEFUL BOOKS

- 1 Avasthi A. and Maheshwari, S.R., 1980. *Public Administration*; Lakshmi Narayan Aggarwal: Agra.
- 2 Administrative Reforms Commission, 1969. *Report on Personnel Administration*; Government of India Press, New Delhi.
- 3 Muttalib, M.A., 1980. *Democracy, Bureaucracy and Technocracy*; Concept Publishing Co.: New Delhi.
- 4 Sharma, P.D., "Generalists and Specialists in Administration" in Ramesh K. Arora (ed.) *Administrative Change in India*; Aalekh Publishers: Jaipur.

Journals

- 5 Chaturvedi, M.K., "Commitment in Civil Service", *The Indian Journal of Public Administration*, Vol. XVII, No. 1, pp 40-46.
 - 6 Dubashi, P.R., "Committed Bureaucracy", *The Indian Journal of Public Administration*, Vol. XVII, No. 1.
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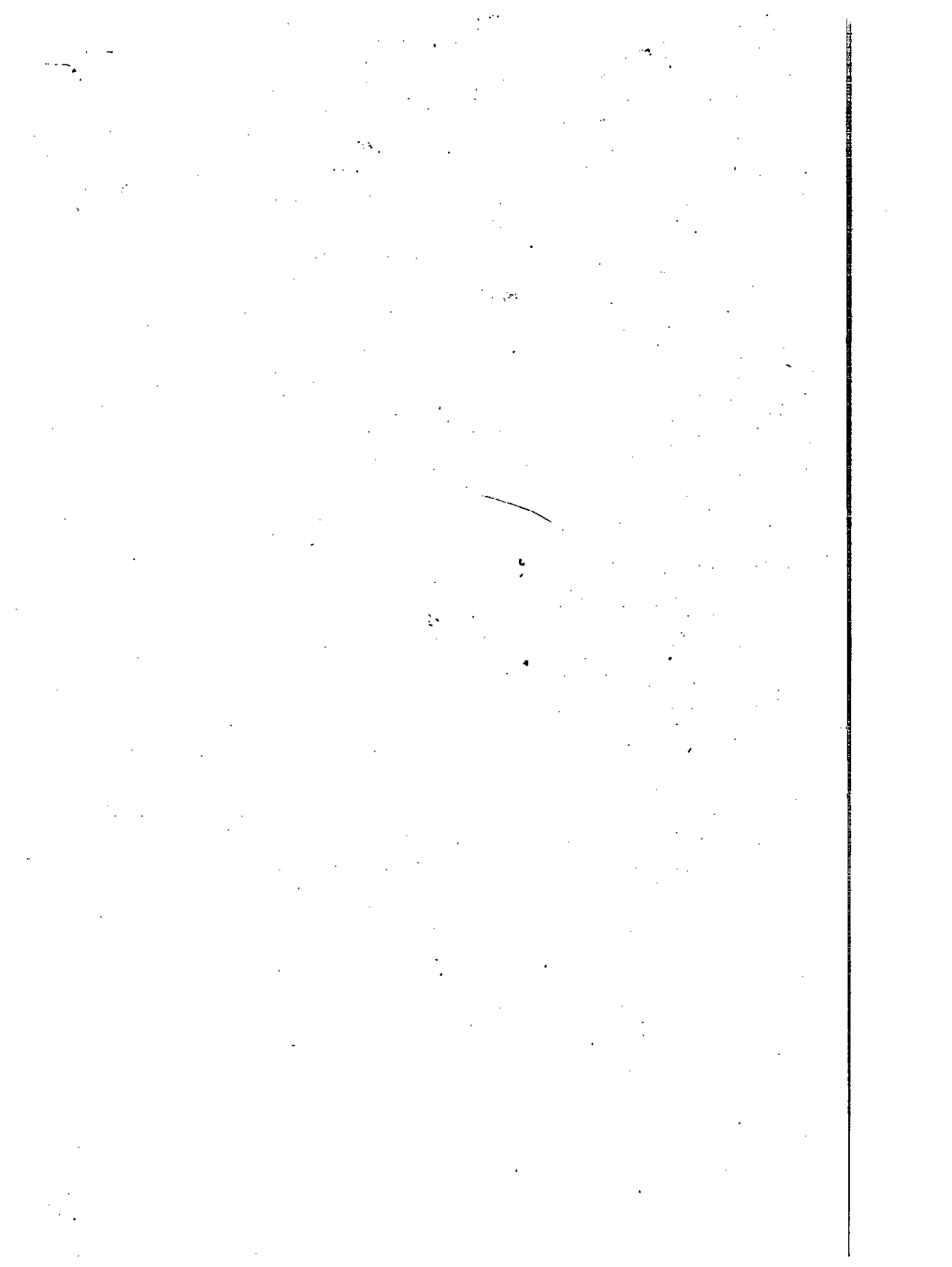
19.8 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 19.1
- 2 See Sec. 19.1
- 3 See Sec. 19.2

Check Your Progress 2

- 1 See Sec. 19.3
- 2 See Sec. 19.3
- 3 See Sec. 19.4





UGPA - 01
Public Administration
Elective Course-1
Administrative Theory

Block

4

CONCEPTS IN ORGANISATION – I

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Formal and Informal Organisations 5

UNIT 21

Division of Work and Coordination 15

UNIT 22

Hierarchy 25

UNIT 23

Span of Control 32

UNIT 24

Unity of Command 40

UNIT 25

Centralisation and Decentralisation 47

BLOCK IV CONCEPTS IN ORGANISATION – I

This block has six units dealing with various concepts of organisation.

Unit 20: Formal and Informal Organisations : It describes the functions, characteristics and inter-relationships of formal and informal organisations.

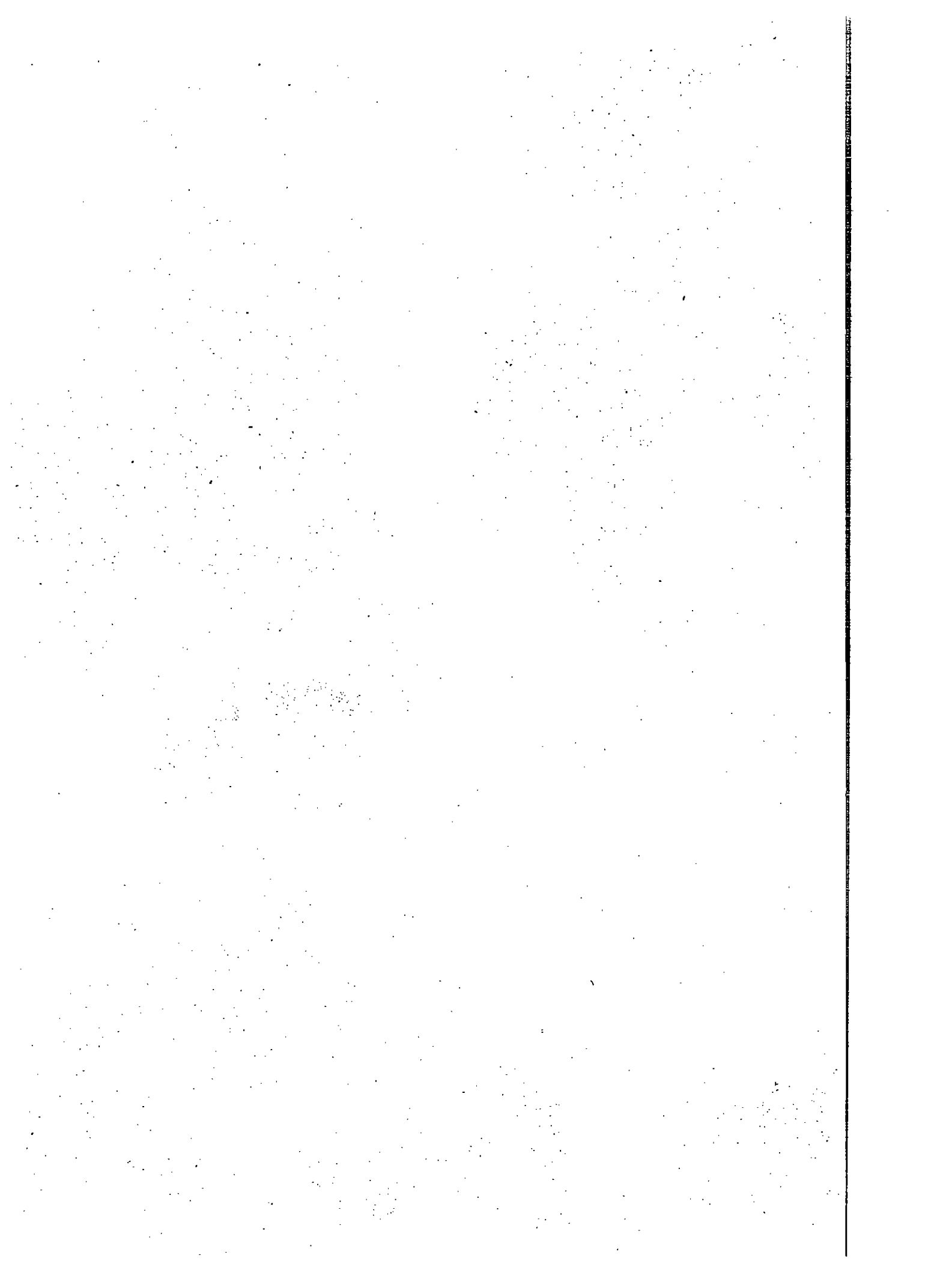
Unit 21: Division of Work and Coordination : It describes the importance of division of work in organisations various bases for dividing work and advantages and problems in the division of work. It also deals with the need, importance and techniques of coordination as well as problems in achieving the coordination in organisations.

Unit 22: Hierarchy : It deals with the meaning and importance of hierarchy in administrative organisations, its basic features, need and relevance of level jumping and problems involved in structuring the organisations hierarchically.

Unit 23: Span of Control : It discusses the meaning and importance of span of control in organisations, factors effecting the span of control of executives and Graicunas' formula. The recent developments in the subject are also discussed.

Unit 24: Unity of Command : It deals with the concept of unity of command, factors affecting unity of command, exceptions to the principle and arguments for and against unity of command in organisations.

Unit 25: Centralisation and Decentralisation : It discusses the concept of centralisation and decentralisation, types of decentralisation, factors affecting centralisation and decentralisation as well as merits and demerits of each of them.



UNIT 20 FORMAL AND INFORMAL ORGANISATIONS

Structure

- 20.0 Objectives
- 20.1 Introduction
- 20.2 Organisation: Meaning and Definition
- 20.3 Formal Organisation
- 20.4 Characteristics of Formal Organisation
- 20.5 Functions of Formal Organisation
- 20.6 Informal Organisation
- 20.7 Why Informal Organisation?
- 20.8 Characteristics of Informal Organisation
- 20.9 Dysfunctions of Informal Organisation
- 20.10 Interdependence of Formal and Informal Organisation
- 20.11 Let Us Sum Up
- 20.12 Key Words
- 20.13 Some Useful Books
- 20.14 Answers to Check Your Progress Exercises

20.0 OBJECTIVES

After you have read this unit, you should be able to:

- ▶ comprehend the meaning of organisation
- ▶ identify types of organisation, their functions and characteristics
- ▶ distinguish between formal and informal organisation, and
- ▶ explain relations between the formal and informal organisations.

20.1 INTRODUCTION

Organisation is the framework. It facilitates proper utilisation of men, material and money for the achievement of the goals. You will come across organisations in the pursuit of every day activities. The post office, the municipality, the bank, the office of the agricultural extension officer, the panchayat office, the railway station, etc., are examples of organisations which serve the community. When certain goals have to be achieved and when individuals have to come together and share the work and act with understanding over a period of time, an organisation is formed. In this unit, we will examine the nature and importance of organisation, formal and informal organisations and their characteristics and the relationships between the two types of organisations for effective delivery of services.

20.2 ORGANISATION: MEANING AND DEFINITION

The earliest form of organisation was the family and over the period of time other forms of organisations also came up. The industrial revolution ushered in the era of mass production of goods. Machines replaced men and factories became centres of production ushering in an era of big organisations.

The term organisation is viewed differently by different authors depending upon the emphasis the author would like to lay upon. When you read a few definitions you will come to know the significance attached by different authors. Morstein Marx defines organisation as structure developed for carrying out the tasks entrusted to the chief executive and his administrative subordinates in the government. The emphasis in this definition is on structure. J.D. Mooney on the other hand, defines organisation as the form of human association for the attainment of common purpose. The family, the mahila mandals, the youth welfare associations, etc., can be cited as examples. In this particular definition, the author lays stress upon the cooperative endeavour of human beings. According to L.D. White, organisation is the arrangement of personnel for facilitating the accomplishment of some concrete purpose through the allocation of functions and responsibilities. The working of a public transport system can be cited as an example. The maintenance staff are entrusted with the responsibility of the upkeep of the vehicles. The movement of vehicles is the sole responsibility of the running crew and the support services are provided by the auxiliary staff consisting of the clerical, stores, personnel, finance, etc. It would be evident that different units are assigned specific responsibilities and are held accountable for the purpose of specific task. Gladden defines organisation as the pattern of relationship between persons in an enterprise so arranged as to fulfil the enterprise's function. The functioning of an organisation depends upon the formulation of policy, preparation of plans in accordance with the policy and their implementation. In an organisation the top management is responsible for policy formulation, the middle management for programming and planning and the rank and file for implementation. The principle of hierarchy ensures that the rank and file is accountable to middle management and middle management is accountable to the top management. Thus the superior subordinate relationship made possible through hierarchy ensures the tasks are assigned and responsibilities are fixed for different levels that facilitates the smooth achievement of goals.

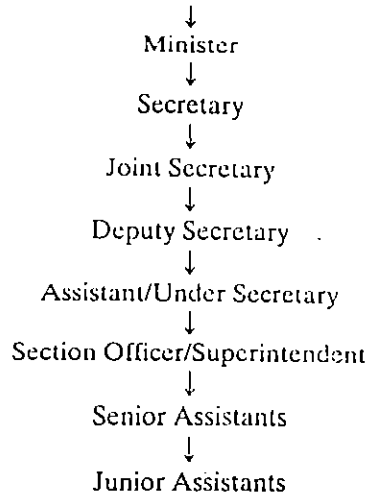
It would be clear from these definitions that organisation consists of structure, working arrangement between the people who work in the organisation and the relationships between them. In today's world one's life is inextricably interwoven with organisations whether it be governmental, church, army, school, club, public or private. It is in fact very difficult to think of organisations without persons and vice versa. People in fact work in organisations, derive benefits from organisation and are influenced by them. Some times, the organisations may even produce frustrations and oppression.

We have noticed that organisations have been in existence from time immemorial. The nature of organisation has undergone modifications and with the passage of time, we find that there are different types of organisations. Based on the number of people working in an organisation, they are classified as small or big. A school, with a single teacher, can be cited as an example of a small organisation. On the other hand, the Indian Railways which employs over twenty lakhs of personnel is a good example of a large organisation. Based upon the nature of relationship, organisations are also categorised as simple or complex. The family, where the nature of relationship is direct and the activities are few is good example of a simple organisation. On the other hand, the defence ministry, which is responsible for safeguarding the sovereign interest of the nation, renders a wide spectrum of services traversing land, sea and air covering different sectors both public and private is a good example of a complex organisation. Organisations are also classified as formal and informal based upon the significance attached to the structure or the human side of the enterprise.

For a proper understanding of working of the organisation, it is imperative to understand the characteristics and the functions of formal and informal organisations.

20.3 FORMAL ORGANISATION

One of the areas in the field of organisation theory that has engaged the attention of scholars is the role of formal and informal organisations. Formal organisation is one which is deliberately planned and designed and duly sanctioned by the competent authority. It is the organisation as shown on the organisation chart or as described by manuals and rules. It is an organisation as it appears to the observers from outside. It is customary for any organisation to prepare a chart forming the structure. The following chart would serve as an illustration.



According to Chester Barnard formal organisation is a system of consciously coordinated activities or forces of two or more persons. Barnard explains that individuals agree to work in an organisation because they are prepared to contribute their services and receive in return certain benefits. The working of the postal department can be given as a good example. The delivery of mail depends upon certain inter-related activities like sorting of the letters, distribution of mail to the concerned postmen and delivery at the door step of the individuals concerned. Louis Allen defines formal organisation as "a system of well defined jobs, each bearing a definite measure of authority, responsibility and accountability, the whole consciously designed to enable the people of the enterprise to work most effectively together in accomplishing their objectives".

Thus formal organisation enables designing of an organisation, identification of various levels for decision-making, allocation of duties and responsibilities and ensuring smooth performance.

20.4 CHARACTERISTICS OF FORMAL ORGANISATION

Formal organisation is the frame through which organised effort is directed for achieving the goals. It has certain distinct characteristics. They are:

- ▶ Legal Status
- ▶ Division of work
- ▶ Primacy of structure
- ▶ Permanence
- ▶ Rules and Regulations

A study of these characteristics would enable you to understand the nature of formal organisations.

Legal Status

A distinctive feature of formal organisation is that it is backed by legal sanctions. The establishment of any organisation at the government level requires the enactment by parliament or legislature. The Income Tax Department owes its existence to the Income Tax Act. The Municipal Corporations of Bombay, Delhi or Hyderabad have come into existence on the basis of legislation enacted by the respective state legislatures. Public sector organisations like Life Insurance Corporation, Food Corporation, etc., were established on the basis of enactments by the union parliament.

The law which enables the organisation to come into existence also confers authority. The personnel working in the various departments in the discharge of their official work are backed by the authority of law. For instance, various enforcement agencies which regulate the activities of either individuals or organisations do so only through the exercise of authority vested in them. Legal status, is an important feature of formal organisation.

Division of work

Division of work, which is the very basis for organisation to come into existence, is made possible through formal organisation. Formal organisation which indicates the levels of management, the designation of officers and their area of operation makes it very convenient for the division of work. This enables, as we would see in a later unit, the organisation to specialise in certain tasks or activities and realise the goals effectively. For example, the managing director of an organisation is responsible for the achievement of the overall objectives of the organisation. However, it would be impossible for him to accomplish the task without dividing the work amongst his colleagues. When there is division of work, there is also specialisation because each unit concentrates on the specific task and the officials acquire expertise.

Primacy of Structure

In formal organisation, the emphasis is laid on the design and structure. As Urwick has noted that "absence of structure is illogical, cruel, wasteful and inefficient". The structure is clearly defined and the roles of individuals working in organisations is clearly spelled out. The structure also describes the communication flows and the relationships between members.

Permanence

Formal organisations are relatively permanent than others. Though they adopt to environmental conditions and change the structure and even objectives, they are generally created to last a long time. The formal organisations not only last long, but they also grow over time.

Rules and Regulations

Another important feature of a formal organisation is that it functions in accordance with well-formulated rules and regulations. Officials working in formal organisations cannot act as per their likes and dislikes but should function within the framework of the stipulated rules and regulations. For instance, if the bank has to sanction a loan to an entrepreneur, the rules and regulations regarding the sanction of the loan should be followed and the entrepreneur has to fulfil every condition laid down. The officer incharge of sanctioning loans strictly follows these rules and regulations. Rules and regulations limit the discretion of the officials who exercise authority and ensure objectivity.

20.5 FUNCTIONS OF FORMAL ORGANISATION

Formal organisation undertakes several functions. In the first place, it facilitates determination of goals and objectives in the absence of which it would be difficult to direct skills of men and women to accomplish the stated goals. For instance, the objective of the postal department is to ensure speedy and efficient delivery of mail to the citizens. The objective of the defence ministry is to protect the sovereignty and integrity of the country against any form of external aggression.

Formal organisation spells out the nature and scope of the activities of different units within the organisation. In the case of the defence ministry, the army, navy and air force are assigned specific roles to guard the land, sea and air.

Formal organisation also facilitates the fulfilment of another important function, namely, coordination. For instance, the sub-inspector of a police station coordinates the activities of several head constables. The circle inspectors coordinate the activities of several police stations each under the control of a sub-inspector. Every higher-level functionary coordinates the activities of the officers immediately below him.

According to Allen, formal organisation sets up boundaries, sign posts and pathways which must be followed. It provides basic structure through which government or any other enterprise functions. The distinctive feature of formal organisation is the impersonal relationship. Impersonal relation contributes to objectivity and dispassionate examination of issues involved so that the decisions can be taken on the merits of the case. For example, in a court of law, judgements are delivered on the basis

of evidence presented before the judge rather than on any other extraneous consideration. In financial matters, an auditor who is examining the financial transactions should be guided by the financial rules, receipts and vouchers and documentary evidences.

Check Your Progress 1

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

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2 Define a formal organisation.

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3 Explain the characteristics of a formal organisation.

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4 Describe the functions of a formal organisation.

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20.6 INFORMAL ORGANISATION

To obtain a total picture of any organisation, we must also consider the informal structure. This is found in those aspects of structure which, while not prescribed by formal authority, supplement or modify the formal structure. As in case of formal organisation, Chester Barnard also highlights the significance of informal organisation. According to him, informal organisation is the aggregate of personal contacts and interactions and the associated grouping of people. Informal organisation is also defined as the pattern of actual behaviour of people working in an organisation. While the formal organisation emphasises on the structure, informal organisation emphasises on personality and human emotions. The superior-subordinate relations between important officers may be influenced by the commanding personality or the powerful connections of the subordinates.

Most of the administrators are fully aware of the inevitability of the informal structure. Administrators at all levels normally associate themselves with one or more informal groups "buddies" from inside or outside the organisations. Presidents and Prime Ministers have kitchen cabinets to aid and assist them. Members of this group may be more influential than the more visible and formally established cabinets and their committees. In any organisation, in addition to the formal channels of communication, the executives also rely upon informal communication lines. The 'grapevine' provides very important information to the administrators about what the official actually feels about the tasks and responsibilities and vice-versa.

Thus informal organisations are often viewed as shadow organisations and as silhouette of formal organisations. They are ill-defined and difficult to determine. They do not have definite organisational goals. The relations between members, therefore, are not specific. Spontaneous, unofficial and unstructured relations lead to favourable sentiments which in turn increase the interactions and strengthen the bonds of identification. Because of informal nature, absence of goals and unstructured relationships, the formal system of controls do not operate in informal organisations.

20.7 WHY INFORMAL ORGANISATION?

We have discussed in Block 2 that the individuals have needs and requirements which they wish to satisfy. The formal organisations do not satisfy all the needs of individual members. Therefore, the members try to seek satisfaction of their needs through other sources. This results in the formation of informal organisations.

Hicks and Gullett identified several factors that cause the emergence of informal organisations. We will now discuss some of these factors. Firstly, the individuals join an informal organisation to satisfy their social needs. As we have discussed in Unit 13 individuals desire affiliation, relationships and desire companionship. If these needs are not satisfied, he feels isolated and gets dissatisfied. Similarly we have seen in Unit 10 how Mayo explained that individuals when working in groups derive greater satisfaction. Thus, informal organisation comes into existence to fulfil social needs of individuals.

Secondly, as Chester Barnard has noted, individual derives personal comfort in social relations which is called solidarity, social integration or social security. Through social contact, individual satisfies a need for identification and belonging. Informal organisations provide greater opportunities for the individuals to prove their capabilities which the formal organisations cannot provide.

Thirdly, every individual experiences tensions and frustrations in the organisations while performing their jobs. To overcome this, they seek compassion and understanding. These are provided by the informal organisations. They serve as 'release valves' and in them individuals find sympathetic friends who had similar experience.

Fourthly, informal organisations enable the members to get assistance in meeting their organisational objectives. As a student gets assistance of his fellow students, members of organisations get the assistance and guidance from their colleagues and co-workers to fulfil their organisational objectives.

Fifthly, informal organisations provide opportunities to individuals to release their creative talents. Spontaneity is encouraged and even protected by the informal organisations.

Sixthly, every organisation has certain values, preservation of which is dearer to the group. These values have to be developed and perpetuated. In a formal system this is not possible as the values of the individual may not be in consonance with the values of the organisation. But informal organisation provides such opportunities.

Finally, members of an organisation always want to know what is going on in their organisations. The formal channels of communication are always slow, sometimes the information is poorly transmitted and even blocked. The informal organisations develop systems or channels of communication which travel very fast. This has the advantage of enabling the members of the organisation to know about the forthcoming events and adjust themselves to the requirements.

20.8 CHARACTERISTICS OF INFORMAL ORGANISATION

Informal organisation has several unique characteristics. Firstly, in these organisations, members think and act alike. Their continuous association leads to shared values. Any violation of these shared values results in group pressure and even ostracism. Thus, informal organisations, standards of behaviour are enforced.

Secondly, informal organisation brings pressure on the members to conform to the standards of behaviour accepted by the group. Since members of the group desire satisfaction from their association, they tend to conform to the group pressures. As we have noted earlier any deviation from the accepted standards of behaviour results in punishment and even ostracism.

Finally, in informal organisations, one finds a different style of leadership. In formal systems, members follow the leader because of their formal position or exercise of authority. But in informal organisations members follow the leader because of his influence. As Mary Parker Follett has noted that leaders emerge out of situations and they lead as long as situation warrants. But in informal organisation, leader must live up to the expectations of the group. If he fails he is thrown out which is not possible in formal systems.

20.9 DYSFUNCTIONS OF INFORMAL ORGANISATION

Informal organisation no doubt, helps the formal organisation in many ways. It contributes the missing elements to the members of the formal organisations. But it has a few problems and dysfunctions as well.

We have seen earlier that the informal organisation provides much faster modes of communications. This is no doubt a more constructive role. This communication system, which is often called grape vine, is vulnerable for spreading inaccurate, incomplete and distorted information. Spreading of such rumours creates confusion and consequently several problems to the organisation.

Secondly, we have seen that informal organisations come into existence to perpetuate certain values, which in other words may mean perpetuation of status quo. It is generally believed that formal organisation always resists change. In the guise of custom and convention in formal organisation quite often measures which are in the interest of the organisation are resisted. Thirdly insistence of conformity to group standards has its own dysfunctionalities. Quite often, this may lead to pressure on the individuals to restrict their productivity. Taylor called this 'systematic soldering'. This dysfunctionality is not in the interest of the organisations.

20.10 INTERDEPENDENCE OF FORMAL AND INFORMAL ORGANISATION

For a proper understanding of the working of organisations, a thorough knowledge of formal and informal organisations, their inter-relationships and the supportive roles need to be properly understood and appreciated. Formal organisation and informal organisation are two opposite sides of the same coin. A society is structured by formal organisations and they are vitalised and conditioned by informal organisation. What is asserted is that there cannot be one without the other. No organisation can be fully understood by the study of its formal structure only. A meaningful insight into the personalities of its key men and the roles they play are equally necessary to understand the dynamics of a working organisation. Management in future must be able to understand the goals and aspirations of individuals, group dynamics, informal roles, etc. The informal communication or the grapevine provides important leads to the chief executive in any organisation which may enable him to take appropriate decision as the situation warrants. Any result-oriented administrative system should be able to achieve a proper blend of both formal and informal aspects of organisation so as to perform effectively.

Check Your Progress 2

- Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

1 What is an informal organisation?

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2 Why Informal organisations are created?

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3 What are the characteristics of an informal organisation?

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4. What are the dysfunctions of an informal organisation?

5. How do formal and informal organisations supplement each other?

20.11 LET US SUM UP

Organisations come into existence to undertake certain functions to realise certain objectives. They may be small or big, simple or complex or formal and informal. Formal organisations are characterised by legal status, primacy of structure, division of work, permanence and rules and regulations. They facilitate determination of goals, nature of activities and ensure coordination. Informal organisations, on the other hand, satisfy social needs of its members, act as a 'release valve' and provide opportunity for the release of creative talents. In Informal organisations there is identity of views and type of leadership which is different from formal organisations.

20.12 KEY WORDS

Auxiliary: Additional

Coordination: Bringing about cooperation and team work among employees of an organisation by removing conflicts and overlapping from administration.

Extraneous: External

Grapevine : Beside formal communication channels, every organisation has an informal communication channel which is referred to as grapevine.

Ostracism: To exclude or banish from a particular group or society.

Release valve: Outlet

Silhouette: The outline of a solid figure as cast by its shadow.

20.13 SOME USEFUL BOOKS

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20.14 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 20.2
- 2 See Sec. 20.3
- 3 See Sec. 20.4
- 4 See Sec. 20.5

Check Your Progress 2

- 1 See Sec. 20.6
- 2 See Sec. 20.7
- 3 See Sec. 20.8
- 4 See Sec. 20.9
- 5 See Sec. 20.10

UNIT 21 DIVISION OF WORK AND COORDINATION

Structure

- 21.0 Objectives
- 21.1 Introduction
- 21.2 Why Divide Work?
- 21.3 Bases of Work Division
 - 21.3.1 Organisation By Purpose
 - 21.3.2 Organisation By Process
 - 21.3.3 Organisation By Persons
 - 21.3.4 Organisation By Place
- 21.4 Advantages of Division of Work
- 21.5 Limitations of Division of Work
- 21.6 Meaning and Definition of Coordination
- 21.7 Why is Coordination Necessary?
 - 21.7.1 To Eliminate Conflict
 - 21.7.2 To Eliminate Unhealthy Competition
 - 21.7.3 To Ensure Economy and Efficiency
 - 21.7.4 To Achieve Goals
- 21.8 Techniques of Coordination
 - 21.8.1 Planning
 - 21.8.2 Consultation
 - 21.8.3 Conferences and Committees
 - 21.8.4 Standardisation of Procedures
 - 21.8.5 Written Instructions
- 21.9 Hindrances to Coordination
- 21.10 Let Us Sum Up
- 21.11 Key Words
- 21.12 Some Useful Books
- 21.13 Answers to Check Your Progress Exercises

21.0 OBJECTIVES

After the study of the Unit, you should be able to:

- explain the need and bases of division of work
- describe the importance of coordination in public organisations, and
- discuss the techniques of coordination and limitations in achieving coordination.

21.1 INTRODUCTION

In modern times, you find the emergence of organisations — both large and small — where multitude of men and women work together to realise the goals for which the organisations were created. In these organisations, you would also find division of work and specialisation. Division of work becomes inevitable in any group activity. In fact, this can be considered as an indispensable foundation of group effort. Division of work is the only way for transforming a mob of people into a cohesive, constructive and purposeful group. Only then, improved performance becomes possible. Therefore, division of work is a basic characteristic of Public Administration. Luther Gulick said that 'work division is the foundation of organisation; indeed, the reason for organisation'. Though, the importance of division of labour was emphasised by Adam Smith in his 'Wealth of Nations', this has been a neglected aspect of administration and management.

If division of work is necessary and inevitable for the performance of functions efficiently, their integration and coordination become mandatory. Only through coordination, integration and synchronisation of efforts become possible so that, objectives of the organisations can be realised. Only through coordination, conflicts

can be removed, differences ironed out and goals realised. Because of the importance of coordination in organisations, James Mooney called it 'the first principle of organisation'. Thus, in modern organisations, you find division of work and coordination of divided work. In this unit, you will study the need, importance and the process of division of work and importance, methods and problems of achieving coordination in modern organisations.

21.2 WHY DIVIDE WORK?

Division of work has become inevitable because of the limitations of both physical and mental capabilities of individuals. The earliest division of work was witnessed in the family where the man went out in search of food and provided security and the women cooked food and looked after the children. With the passage of time, the nature of production underwent modifications. The onset of industrial revolution and introduction of machinery accentuated the need for division of work.

Division of work becomes necessary because of several reasons. In the first place men differ in their capacity and skills. No two individuals are similar in capacity either physical or mental. Some individuals are endowed with immense physical strength and they are capable of undertaking the work requiring physical stamina. The miner working in the cold mines, the unskilled labour working on the construction site, and the armed jawan guarding the frontier require considerable amount of physical capacity. On the otherhand, policy makers, scholars in pursuit of basic research, scientists working in research laboratories require mental abilities of a very high order. That way different types of tasks require different types of skills either physical or mental. Hence in an organisation, division of work in accordance with the capacity of the individuals becomes necessary.

Division of work also becomes necessary because the same man cannot be at two places at the same time. An individual is not in a position to manage different activities alone. A petty shop keeper could attend to all the tasks like that of the manager, the cashier and the store keeper. However, in large scale organisations there is need for deployment of people at different places. The example of the Commissioner of Police in a city can be cited as an illustration. The Commissioner of City Police has jurisdiction over a large area covering say 100 square miles and also population running into millions. The commissioner provides broad guidelines. Deputy commissioners, assistant commissioners, circle inspectors and the constabulary implement his decisions operating from different police stations. Thus the policy decisions of the state governments are taken by the cabinet and the council of ministers, but they are implemented by thousands of officers who are posted in different offices of the state governments at the district, taluq and village level.

One man cannot do two things at the same time. Every individual is endowed with certain mental capacity which enables him to concentrate on one aspect of work at a given point of time. You know that a stenographer can take dictation first and then only will be able to type. He cannot do both the things simultaneously. A telephone operator manning the board can attend to one call at a time and not several calls.

The range of knowledge and skills are expanding very fast. No individual can gain mastery over all facets of knowledge. The field of medicine, for example, is so vast that it is not possible for the doctors to gain mastery over all branches of medicine. Consequently, they concentrate on a specific aspect like surgery or pathology, or biochemistry. Within surgery itself they concentrate on neuro surgery, cardiac surgery, etc.

21.3 BASES OF WORK DIVISION

Approaches to the division of work is a much debated subject, but no theories or clear-cut solutions have emerged. As a result, a wide variety of methods are adopted for the division of work. They only provide broad guidelines rather than exact techniques to help the executive. Broadly, while dividing work, consistent methods

have to be kept in mind. Several authors have explained various ways of dividing the work. For example, Luther Gulick suggested the '4 Ps' bases of departmentalisation, whereas, Newman suggested products, location, customers, processes and functions as the bases for dividing the work. More or less, following Gulick's bases, Millet proposed purpose, process, products, persons and places as the bases of departmentalisation.

As there is no accepted method of work division, needs of organisation and situations determine the bases to be followed and work to be divided. Similarly, each of the bases will have its advantages and disadvantages and keeping in view the advantages, the work should be divided. In Public Administration, the most important problem is how to divide the governmental work so that, the functions of government can be carried out efficiently, effectively and economically. Though there is no accepted bases, Gulick's '4 Ps' bases, namely, purpose, process, people and place have generally been accepted by all writers. In what follows, we would study the four bases of departmental organisation.

1.3.1 Organisation by Purpose

One of the well accepted bases for division of work is purpose or function. A function can be defined as a large block of inter-related activities fulfilling a certain major objective by the Government. The Department of Defence can be cited as an example. The major purpose of the defence department is to ensure the protection of the country against the external aggression and defend the country's frontiers. All the inter-related activities connected with the achievement of this major purpose are located within this particular organisation.

There are a few advantages in division of work or establishing organisations on the basis of purpose. It makes possible for the satisfactory accomplishment of the given objectives since all the inter-related aspects of the activity are under the immediate control of the head of the organisation. It enables the people also to understand the working of different departments of the government. It also encourages the full-time attention being paid to achieve the results. However, there are certain disadvantages also.

It is not possible to eliminate overlapping of functions because the work of one department may also be found in another department. For example, the functions of education overlaps with the health and vice-versa. It may also result in centralisation of authority and each department trying to emphasise its own function leading to unnecessary conflict. This approach also may not encourage the updating of skills because the department concentrates only on the major purpose.

1.3.2 Organisation by Process

Organisation can be established on the basis of skills needed or the process. For example, typing is a skill and in several organisations there is a centralised pool of typists. The nursing department in a hospital is based on professional expertise in nursing profession. The department of civil engineering in the government is connected with the planning, design, construction, maintenance and other phases of civil engineering work.

In an era of professionalisation, organisation on the basis of process ensures not only the training of skills but also maximises utilisation of technical skills. Process also encourages use of labour saving devices and contributes to an increase in production. The concentration of talent in a single agency also enables the tackling of problems in a sustained manner. Organisation by process, facilitates career planning and development. But this approach may lead to over emphasis being laid on specialisation getting the needs and requirements of the general public. It is also possible that organisations built around a profession or skill show resentment in accepting bureaucratic control.

1.3.3 Organisation by Persons

A major goal of Public Administration is to serve the community. Organisations can be established on the basis of persons to be served. The Directorate of Child and Women Welfare, the Commissioner for Scheduled Castes and Scheduled Tribes; the Directorate of Tribal Welfare are a few examples of this principle.

Creation of departments on the basis of persons to be served contributes enormously to the improvement of the conditions of such people. The basis ensures proper appreciation and full time attention on the problems of the target groups like scheduled castes, scheduled tribes and the handicapped, which otherwise would not have received the much needed attention. But this basis of organisation does not encourage specialisation. Secondly, there may be considerable amount of duplication and conflict in this agency. It is also possible that the pressure groups may become over active and favour seeking and finally try to influence the government.

21.3.4 Organisation by Place

Finally, the organisations can also be established on the basis of area to be served. The zonal railways, the areal divisions within the ministry of external affairs, the Damodar Valley Authority, etc., are good examples of agencies established on the basis of area to be covered.

The major strength of organising departments on the basis of area is that immediate attention can be bestowed on the problems of a particular area. Areal approach encourages decentralisation and flexibility. On the other hand, the weakness of this particular mode of organisation is that the uniformity may have to be sacrificed and integrated approach would be difficult to achieve.

21.4 ADVANTAGES OF DIVISION OF WORK

Division of work in any organisation results in certain advantages. In the first place, the efficiency of the organisation will improve because the work is divided on the basis of their capacity, aptitudes and skills. It is customary for the chief executive of any organisation to distribute the work on the basis of the aptitude of different individuals. It is possible that Mr. A may be very good in dealing with confidential matters and is entrusted the task of handling delicate security matters. Another individual may be very communicative, articulate and has a capacity to listen and that individual may be made use of in the public relations department. A third individual may show an aptitude for doing analytical work and his services can be utilised in the research department. In the ultimate analysis division of work results in the deployment of individuals on the basis of their aptitudes.

Division of work also leads to increase in production. The adoption of assembling line technique in an automobile factory can be cited as an example. The production of various components of an automobile are taken up in different units in a factory, the components are assembled together and the car rolls out of the factory. Since each unit concentrates only on the manufacture of a particular component, efficiency is likely to increase and speedy output made possible. Division of work within reasonable limits also ensures economy as it would encourage the optimum utilisation of the time, resources and skills.

21.5 LIMITATIONS OF DIVISION OF WORK

Even though division of work is inevitable in any organisation, it cannot be practised beyond certain logical limits. Certain norms are to be followed in the division of labour. One of the important requirements is that the division of work should be confined to such a level so as to require the full time attention of a single individual. Any further division may lead to dispersal of energy and effort. Division of work is also influenced by the level of skills, volume of work, time, space and technology, peculiar to a particular branch of activity. If division of work is inevitable, it is equally necessary to ensure integration of the efforts of different individuals. This is achieved through coordination.

Division of work is an important managerial tool. This is fundamental to modern Public Administration. In fact with the growth of knowledge and professions, there will be greater need for specialisation and much more specialisation in work division. As work division increases the need for coordination also increases. Therefore, in the remaining part of this unit, we will discuss about coordination.

Check Your Progress 1

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

1 What are the reasons for division of work?

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2 What are the bases of division of work?

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3 What are the advantages and limitations of division of work?

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1.6 MEANING AND DEFINITION OF COORDINATION

Coordination has both positive and negative connotations. In the negative sense, coordination aims at removing conflict or ironing out differences of opinion in relation to particular goals to be achieved.

In any organisation, where work is divided among different groups of people, the outcome will depend upon cooperation extended. For instance, in any factory, the personnel division should ensure the availability of skilled manpower, the stores division should be able to supply the raw material and the finance division should be able to provide funds. Each unit should be able to cooperate with other and ensure the timely availability of the various inputs, so that production does not suffer. Thus, coordination involves removal of obstacles as well as instilling a sense of team spirit.

Coordination is the integration of the efforts of different individuals or units to achieve the performance of the undertaking". The classical example of a musical orchestra would indicate the meaning of this definition. In an orchestra, different instruments are played by different artists. However, the synchronisation efforts of each musical instruments to produce pleasant music depends upon the coordination ensured through a music director or the conductor.

Coordination has been defined by Seckler Hudson as "an important duty of interrelating the various parts of the work." The General Manager of Zonal Railway presides over a network involving different types of activities. The maintenance of the locomotives and the rolling stock is the work of the Mechanical Engineering staff. The maintenance of track is the work of the Chief Inspector of Permanent Ways. The movement of different trains is controlled by the Traffic Controller. The Station Superintendent and his staff ensure the proper arrival and departure of trains as well as looking after the requirements of passengers. The stores department provides supply of raw material, the finance department looks after finance inputs, the personnel department looks after the work force. The General Manager, after dividing the work among different groups also has to integrate the different parts in such a manner that the timely movement of trains is ensured.

21.7 WHY IS COORDINATION NECESSARY?

In any enterprise wherein more than one individual is working, coordination becomes necessary. Administration is essentially a group activity involving hundreds of officials discharging different types of activities. Differences may arise because of the different perceptions about a problem or the emphasis that is being laid upon by different sectors.

Within the organisation, the importance attached to timely disposal of business differ between the head of the organisation and the rank and file. While the head of the organisation may give great emphasis on quick disposal of files, the officials who are dealing with the files may complain that quick disposal becomes difficult for want of concerned data, related papers and cooperation from other sections.

While the afore-mentioned aspects are generalisations, coordination in an organisation becomes necessary for the following reasons.

21.7.1 To Eliminate Conflict

You may wonder as to how conflicts arise in the course of day-to-day administration. In a welfare state, administration caters to the multiple needs of different sections of society. The classic example of rational use of land in a growing metropolis highlights the conflict of interests. The Town Planning Department and Urban Development Authorities may have zonal plans. However, the real estate operators, builders, industrialists and the traders have their own priorities which may run counter to zonal plans.

The use of water flowing through rivers is also a matter of conflict between different states. The governments of Maharashtra, Andhra Pradesh and Karnataka have their own view points regarding the use of the water to be used by each of them from the river Krishna. These conflicts have to be resolved.

The location of a nuclear power plant can become an issue. Objections may emanate from the Department of Environment, Society for the Protection of Environment, the people who would be affected by the decision because they have to sell land.

21.7.2 To Eliminate Unhealthy Competition

Competition within limits ensures better performance among the participants. But if the competition becomes unhealthy, leading to deadlock, it would result in delay in the execution of work. There is an usual tendency in the government departments that they should spend more money than the previous year; and their budget estimate should be more than any other sister departments. The classic example of the department of food asking money for importing foodgrains and the department of agriculture requesting massive investment to boost agricultural production in the same year speaks about competition between the two agencies within the single Ministry. The competition between different district health officers to achieve the target of family planning some times, results in sterilisations being conducted on old people and even children. The unhealthy competition between different airlines to offer attractive tour package may result in losses to certain companies. There should not be unhealthy competition between railways and road transport and the more important objective should be transportation of goods and services.

21.7.3 To Ensure Economy and Efficiency

An important aspect of efficient management is that the goals of an organisation are to be achieved within stipulated time and cost. Any delay results in the upward revision of cost. This can be achieved only if there is direction from the top to ensure timely progress of work with men, material and money being available at the right place and at the correct time. The erection of machinery in the Bharat Heavy Electricals Limited at Bhopal can be cited as a classic example of the lack of coordination resulting in the delay and increased cost. The factory was coming up at Bhopal and heavy machinery was imported from the continent. From Bombay Port, it had to be moved to Bhopal by train. When the machinery arrived at Bombay, it was realised that the available wagons could not transport the same over the Western Ghats. Hence, the ship was diverted from Bombay to Calcutta Port. This meant extra expenditure, as well as delay. Since the South Eastern Railway did not have adequate wagons of the stipulated size, the ships had to wait for another four weeks resulting in the payment of demurrage charges. Anticipating the arrival of the machinery, labour was employed and they could not be sent back because of the delay in the arrival of the machinery. With the result, not only was there time lag but also extra expenditure. This can be attributed to bad planning and lack of coordination.

21.7.4 To Achieve Goals

In any enterprise, achievement of goals is conditioned by coordination. The example of a general hospital would illustrate the necessity for coordination to achieve the objective of providing timely health and medical attention to the patients. The hospital administration is essentially an example of team work of surgeons, doctors, nurses, pathologists, bio-chemists, lab technicians, class IV employees, administrators, pharmacists, etc. The team needs to be provided direction and coordination by the superintendent of the hospital so that services are available to the needy patients.

21.8 TECHNIQUES OF COORDINATION

By now, you should have understood the importance of coordination in group effort. While coordination is inevitable it is important to know that various techniques are allowed to achieve coordination in administration. The following are the various techniques of coordination.

1.8.1 Planning

Planning is considered to be an important technique to ensure coordination. Planning can be defined as "advance preparation for future action wherein different aspects of work are identified, scheduled for orderly implementation". The importance of planning is to ensure optimum returns from the available resources within the stipulated time frame. The construction of a gigantic thermal plant to generate electricity can be cited as an example. Once the decision is taken to construct a thermal plant, planning exercises begin. In this process, different phases of work are identified like acquisition of sites, construction of building, fabrication of indigenous components, importing of machinery, erection of the plant, appointment of technical personnel and the commissioning of the plant. The work has to proceed in this particular sequence wherein different units complete the task assigned. If there is proper planning, the chances of delay are minimised.

1.8.2 Consultation

Consultation is yet another device to ensure coordination. If a decision taken by the department would infringe upon the working of any other department, it is always better to consult in advance and ensure proper decision. Since most of the administrative decisions have financial implications, it is customary for any department to refer to the finance department any file involving extra expenditure (since additional money is required) to get advance clearance. The absence of consultation also can be illustrated when the roads are laid where very often the roads are dug up either by water supply department, electricity department or telephone department. The laying of the roads could have been postponed or taken up after the concerned department completed the work.

21.8.3 Conferences and Committees

Conferences, committees and inter-departmental committees are constitutional devices to facilitate coordination. The annual conference of Health Ministers provide a forum of exchange of opinion of the Ministers from the states and the Union Government, and it facilitates a common programme of action. The conference of the General Managers of Railways and the Members of the Railway Board serves as a forum for the discussion of mutual problems of providing fast transportation. Another important device to ensure coordination is the inter-departmental committee to facilitate smooth flow of business. The enforcement of traffic regulations is reviewed by an inter-departmental committee consisting of representatives of Police Department, Department of Roads and Buildings, representatives of Municipal Corporations and the Department of Municipal Administration. The Cabinet Secretariat, the General Administration Department, the National Development Council can be cited as examples that ensure coordination at the Government of India level and the state government level. The National Development Council facilitates coordination between the Central and the State Governments in respect of planning. The Zonal Council presided over by the Home Minister and attended by the Chief Ministers of the respective regions is yet another example of an institution that ensures coordination.

21.8.4 Standardisation of Procedures

Standardisation of procedures and methods facilitates coordination. Standardisation of procedures stipulate the common course of action to be followed by different agencies. The procedure for purchase of various requirements for all the ministries are stipulated by the Director General of Supplies and Disposal. The standardised procedure eliminates confusion and ensures conformity in respect of purchase by different departments. Centralised house-keeping activity also promotes coordination. Centralised printing, auditing and maintenance of equipment and building can be cited as examples. The advantage of centralised house-keeping is that it avoids duplication of efforts and ensures timely availability of inputs.

21.8.5 Written Instructions

In an organisation, if clear instructions are issued from the headquarters, the work goes on smoothly. For instance, the district collectors are given clear instructions as to the measures they have to follow in case of floods and famines, etc. The district administration initiates remedial measures without delay.

21.9 HINDRANCES TO COORDINATION

While the importance of coordination has been made clear, unfortunately, it is difficult to ensure effective coordination. Coordination in any organisation may suffer because of uncertainty about the future, lack of knowledge and experience, poor planning, the size of the organisation and the number of variables that need to be integrated. To sum up, the success or failure of an organisation depends upon the effective measures initiated to ensure coordination, for coordination is the cementing force that binds the individuals together to reach the goals effectively.

Check Your Progress 2

- Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

1. What is coordination and why is it necessary?

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2 Explain the techniques of coordination.

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3 What are the hindrances to coordination?

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21.10 LET US SUM UP

Division of work is necessitated since individuals are endowed with varying degrees of physical and mental capabilities. Changes in the modes of production necessitated division of work resulting in specialisation. While division of work is essential, an equally important principle of organisation is coordination. Coordination enables the synchronisation of efforts of individuals and institutions to achieve the goals with economy and efficiency.

21.11 KEY WORDS

- Accentuate:** Emphasise
- Connotation:** Implication
- Emanate:** Originate
- Synchronisation:** Operating simultaneously and at the same rate

21.12 SOME USEFUL BOOKS

Avasthi A. and Mañeshwari, S.R., 1985. *Public Administration* (14th rev. Ed); Lakshmi Narain Agarwal: Agra.

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21.13 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 21.2
- 2 See Sec. 21.3
- 3 See Sec. 21.5

Check Your Progress 2

- 1 See Sec. 21.6 & 21.7
- 2 See Sec. 21.8
- 3 See Sec. 21.9

UNIT 22 HIERARCHY

Structure

- 22.0 Objectives
- 22.1 Introduction
- 22.2 Meaning and Definition
- 22.3 Importance
- 22.4 Basic Features
- 22.5 Level Jumping
- 22.6 Advantages
- 22.7 Disadvantages
- 22.8 Practical Usage
- 22.9 Let Us Sum Up
- 22.10 Key Words
- 22.11 Some Useful Books
- 22.12 Answers to Check Your Progress Exercises

22.0 OBJECTIVES

After studying this unit, you should be able to:

- explain the meaning of the concept of hierarchy
- understand the importance of hierarchy
- describe the basic features of hierarchy; and
- discuss its advantages and disadvantages.

22.1 INTRODUCTION

In this unit, we shall be discussing one of the important principles of organisation i.e., hierarchy. The hierarchy integrates the various units of an organisation, which are divided on the bases of specialisation, through an interlocking system of superior and subordinate relationship from top to bottom. The meaning, definition, basic features and advantages and disadvantages of hierarchy are discussed in this unit.

22.2 MEANING AND DEFINITION

Literally, the term 'hierarchy' means the rule or control of the higher over the lower. In administration, hierarchy means a graded organisation of several successive steps or levels which are interlinked with each other. It is a method where the efforts of various individuals in an organisation are integrated with each other. In every large-scale organisation, there are a few who command and there are others who are commanded. This leads to the creation of superior-subordinate relationship through a number of levels of responsibility reaching from the top down to the bottom of an organisation. A pyramidal type of structure is built up in an organisation which Mooney and Reiley call the 'Scalar Process'. In organisation, scalar means the grading of duties according to degrees of authority and corresponding responsibility. According to Mooney, this scale or scalar chain is a universal phenomena. Wherever we find an organisation of people related as superior and subordinate, we have the scalar principle.

Various people have defined hierarchy in different ways. L.D. White says: "Hierarchy consists of the universal application of the superior-subordinate relationship through a number of levels of responsibility reaching from the top to the bottom of the structure". In other words, hierarchy means control of the higher over the lower. In administration, hierarchy means a graded organisation of several successive steps or levels. It is also known as the 'Scalar Principle'. This is derived from the word 'Scale' which means ladder. Just as there are steps in a ladder there are successive levels in hierarchy.

Mooney and Reiley have, therefore, called it as "The Scalar Process". Earl Latham has defined hierarchy as "an ordered structure of inferior and superior beings in an ascending scale. The good chief dwells at the apex from which, with his terrible eye, he can search out the hearts of his lowest subordinates and mould their deed to his command". Hierarchy means the grouping of units into a large unit for direction and control of activities. It is the method whereby the efforts of various individuals are geared together to achieve a goal through a system of inter-locking superior-subordinate relationship from top to bottom. J. D. Millet defined hierarchy as a method whereby efforts of different individuals are geared together"

Every organisation has a purpose. In order to achieve that purpose, it divides its jobs into various functions or units. These units are further divided into sub-units until one reaches the base. In an organisation, which is arranged hierarchically, authority descends from the top to the bottom step by step or level by level. In hierarchy, one has to go up or down step by step. There are several levels of authority and responsibility. Every employee has to obey the orders of his superior and issue orders to his subordinates. Thus, hierarchy becomes a means of communication and a chain of command among various levels of authority. The principle of hierarchy demands that no intermediate level be skipped over or jumped while dealing with higher or lower levels. This is known as functioning 'through the proper channel'. Hence, all communication should come from the immediate superior or the immediate subordinate whichever is relevant. Every officer retains the necessary authority with him and delegates the rest to his subordinates. Hierarchy, thus, gives rise to different levels of decision-making. Because of hierarchical set-up the chief executive can issue orders to any level in the organisation and allocate responsibility.

22.3 IMPORTANCE

It is difficult to think of an organisation without hierarchy. Organisation is essentially the division of functions among a given number of persons. The distribution of functions and responsibilities is both horizontal and vertical. An organisation structure grows both vertically and horizontally. When more and more levels are added in an organisation, it is called vertical growth. But when more functions or more positions are added without increasing the number of levels, it is called horizontal growth. Vertical distribution creates levels like top management, middle management, supervisors and the level of specific performance. Strictly speaking, these levels do not denote inherent superiority or inferiority. However, due to the difference in the nature of responsibility of various levels, the difference in the salary scales and the difference in the qualification and qualities of the personnel working at various levels, superior subordinate relationship does emerge in the organisation.

- The need for the scalar system is realised because of two reasons, viz.,
- i) The division of work into its most economic parts with a view to pursuing the ideal of task specialisation so essential to managerial philosophy.
 - ii) The patterns of integrating the voluminous behaviours and actions of the specialisations into one combined effort.

Check Your Progress 1

- Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

- 1 What is the meaning of hierarchy?
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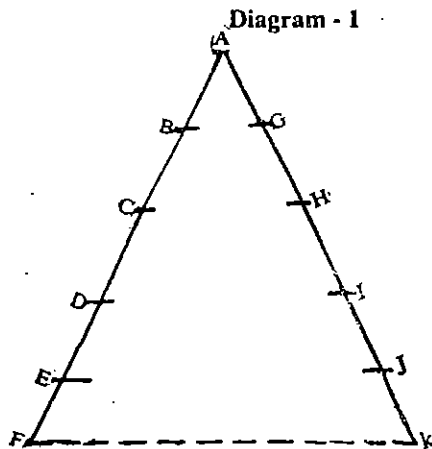
- 2 Explain the importance of hierarchy as a principle of organisation.
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22.4 BASIC FEATURES

The following are some of the important features of hierarchy:

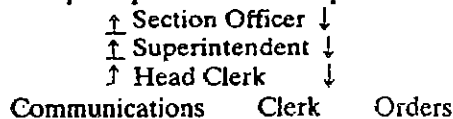
- The entire administrative function is divided into units and sub-units.
- These units are organised in the form of a pyramid one below the other.
- Authority is distributed to various levels.
- Hierarchical organisation observes the principle of 'through proper channel'.
- All commands and communications should come through proper channel. No intermediate level can be ignored.
- A person receives orders only from one superior officer and not from anybody else. This means the principle of unity of command is observed.
- Authority and responsibility are adequately combined. Authority without responsibility is dangerous, while responsibility without authority is meaningless.

The principle of hierarchy can be illustrated as follows:



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

This principle also can be explained through the following example:



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

22.5 LEVEL JUMPING

In actual practice, short cuts are found to avoid delay without violating the essential principle of hierarchy. There are two ways of doing it. Henry Fayol suggests that a bridge can be thrown across the formal lines of authority of the hierarchy so that subordinate officers in one department may contact their opposite members in other

departments directly. F and K in the above diagram may deal with each other directly without following the rule of through proper channel. It is shown in the dotted lines. Before short circuiting the procedure, they should obtain the permission of other superiors to do so. Or, in order to expedite the work, they can also contact each other without the prior permission of their superiors. But, they should keep their superiors duly informed of what transpired between them.

Secondly, one or more intermediate levels may be jumped to establish direct contact between officers and quicken the pace of work. This is known as 'level jumping'. A can deal directly with C if C tells B what was discussed by him with A. A few years back, the government of India started what is known as 'file-jumping experiment' to skip over the intermediate levels in the hierarchy and make the files reach directly to the decision-making authority.

Hence, with proper confidence and loyalty between superiors and subordinates at each level, the delay of the hierarchical organisation can be very much reduced, if not altogether eliminated. Both the short-cuts discussed above play a significant part in reducing delay. As Urwick rightly observes, "Every organisation must have its scalar chain just as every house must have its drain but it is unnecessary to use this channel frequently as the sole means of communication, as it is unnecessary to pass one's time in the drain".

Check Your Progress 2

- Note: i) Use the space below for your answers.
- ii) Check your answers with those given at the end of the unit.

1 What are the basic features of hierarchy?

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2 What is level jumping?

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22.6 ADVANTAGES

The following are some of the advantages of application of hierarchical principle in organisation:

- 1 Every large-scale organisation should have a unity of purpose, which can be achieved only through hierarchical system.
- 2 Hierarchy integrates various units of an organisation into an unified whole. As observed by M.P. Sharma, "It is an instrument of organisational integration and coherence. It is to the organisational structure what mortar or cement is to building structure".

- 3 It serves as a channel of communication, both upwards and downwards in an organisation. It makes clear to every official as to with whom he is to deal with.
- 4 It enables us to fix responsibility at each level and at each post in the organisation. Every employee knows what his position and responsibility are in the organisation and to whom he is accountable.
- 5 The scale of 'through proper channel' created by the principle of hierarchy ensures strict adherence to procedure and avoids short-circuiting or ignoring of the intermediate links.
- 6 Hierarchy lessens, the burden of work at the highest level and decentralises decision-making. It establishes a number of subordinate levels below the top executive. Each subordinate level acts as a centre of decision for specified matters delegated to it. Every employee of the organisation is trained to take decisions and guide his subordinates. At the same time, it relieves the chief executive from the burden of work and promotes a sense of belonging among the subordinates.
- 7 It simplifies the procedure of movement of files because of strict adherence to the rule of 'through proper channel' and makes it easy to know where a particular file is.

22.7 DISADVANTAGES

The following are some of the disadvantages of application of principle of hierarchy in organisation:

- 1 In the hierarchical system, directions flow from above to down below. Those down below are expected to carry out mechanically the instructions of their superiors without any initiative and drive.
- 2 It brings about rigidity in administrative organisation and is not proper for the development of dynamic human relationships among its members.
- 3 The success or failure of this system very much depends on the personal likings of the head of the organisation. If he can bring life and personal touch in the organisation, it is bound to be a success. Otherwise, it is bound to be a failure.
- 4 The most serious disadvantage of the hierarchical organisation is that it causes inordinate delay in the disposal of work. In the above diagram, we saw how according to the strict rule of through proper channel, a communication from F to K must travel through E, D, C, B, A, G, H, I, K and back again, in all 20 steps. This may mean inordinate delay.

22.8 PRACTICAL USAGE

It is necessary to examine whether authority is exercised through the principle of hierarchy or not in day-to-day matters of administration. According to some critics like Earl Latham, it is wrong to think that superior officers exercise authority over the subordinates indiscriminately. It may be said that subordinates obey the orders of their superiors because the latter possess superior knowledge due to their rich experience. It is true that the subordinates possess more information due to their handling of the problems than their superiors. It is exactly because of this reason, the decisions of the subordinates would be accepted by their superiors.

It may be stated that in practice an organisation does not work only on the formal principle of hierarchy. As you have already studied in Unit 20 informal relationships exist in each and every organisation. In the words of Nigro: "An organisation is more than its structure and its official relationships as spelled out in its organisation charts and manuals. Organisation is also a social system in which its members develop patterns of behaviour which actually may deviate from official directives. This is called the informal organisation and an appreciation of its interdependence is vital understanding of any agency".

Check Your Progress 3

- Note: i) Use the space below for your answers
 ii) Check your answers with those given at the end of the unit.

1 What are the advantages of hierarchy?

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2 What are the disadvantages of hierarchy?

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3 Can you suggest some measures to overcome the disadvantages of hierarchy?

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22.9 LET US SUM UP

Hierarchy is a universally accepted principle of organisation. It emphasises the need for organic relationship between superiors and subordinates. The rule of 'through proper channel' is the essence of hierarchy. It is a pyramidal type of organisation with an apex at the top and base at the bottom and in between there are several successive levels which are both vertical and horizontal. In other words, it is a ladder of authority with various steps. Communications and orders should go up or come down from each step. Any violation would result in confusion and distrust. As a principle of organisation, it serves as a channel of communication both upwards and downwards, ensures adherence to procedures, decentralises decision-making and lessens the burden of the chief executive. Delay is the most serious disadvantage of this principle. But, two short-cuts have been devised to reduce delay viz. 'throwing of bridges across the formal lines of authority and 'level jumping' in urgent matters. The advantages of hierarchy outweigh the disadvantages associated with it. By and large, organisations do not function only on formal lines. Informal relationships exist in each and every organisation. The superiors and the subordinates work together in an atmosphere of harmony and comradeship because of informal relationship between them and not because of only formal ties. Hierarchy is a built-in device to achieve consensus and realise the goals for which an organisation is established.

22.10 KEY WORDS

- Adherence:** Sticking to
Communication: Flow of information upwards, downwards and sideways in an organisation
Consensus: General agreement
Expedite: To facilitate speed up the progress

22.11 SOME USEFUL BOOKS

Avasthi A and Maheshwari, S.R., 1985. *Public Administration* (14th rev. Ed); Lakshmi Narain Agarwal : Agra.

Bhattacharya, Mohit, 1974. *Public Administration*; The World Press Private Ltd: Calcutta.

Dimock, Marshal Edward and Dimock, Gladys Ogden, 1975. *Public Administration* (Third Ed); Oxford & IBH Publishing Co: New Delhi.

Gulick Luther & Urwick L, 1937. *Papers on the Science of Administration* (Eds); Public Administration Service: New York.

Mooney J.D., 1957. *Principles of Organisation*; Harper: New York.

Mooney J.D., 1970. *The Scalar Principle in William Lexton (Ed) Organisation Theories*; Charles Marrel Co. Columbus, Ohio.

Simon, Herbert, 1957. *Administrative Behaviour: A Study of Decision Making Process in Administrative Organisation*; The Free Press: New York.

Sharma, M.P., 1983. *Public Administration in Theory & Practice* 14th ed; Kitab Mahal: Allahabad.

Fyagi, A.R., 1981. *Public Administration: Principles & Practice* (6th rev. ed). Atma Ram & Sons: Delhi.

22.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 22.2 and 22.3
- 2 See Sec. 22.2

Check Your Progress 2

- 1 See Sec. 22.4
- 2 See Sec. 22.5

Check Your Progress 3

- 1 See Sec. 22.6
- 2 See Sec. 22.7
- 3 See Sec. 22.8

UNIT 23 SPAN OF CONTROL

Structure

- 23.0 Objectives
- 23.1 Introduction
- 23.2 Meaning
- 23.3 Importance of Span of Control
- 23.4 Relationship Between Span of Control and Hierarchy
- 23.5 Factors Affecting Span of Control
- 23.6 Graicunas' Formula
- 23.7 Span of Control Under Revision
- 23.8 Let Us Sum Up
- 23.9 Key Words
- 23.10 Some Useful Books
- 23.11 Answers to Check Your Progress Exercises

23.0 OBJECTIVES

After studying this unit, you would be able to:

- explain the meaning and importance of the concept of span of control
- discuss how the concept works in practice; and
- describe the factors influencing span of control.

23.1 INTRODUCTION

We have seen in the previous unit that a hierarchical system of organisation involves a number of tiers or levels one above the others. The question is how many successive tiers or levels should there be in an organisation? Each superior in a hierarchical set-up is supposed to supervise the work of his subordinates. The answer to the question posed above depends upon the total number of employees at the lower level to be effectively supervised by the superior officer. In other words, what is the span of attention of a normal human being? In Public Administration, what is the span of control of a superior officer i.e., how many subordinates can be effectively supervised by him? We shall now try to understand and evaluate the implications of the theory and practice of the principle of span of control in this unit.

As you have studied in Unit 22 (Hierarchy), hierarchy means control of the higher over the lower. It is a graded organisation of several successive steps or levels headed by the chief executive. Every employee obeys the orders of his superior and issues orders to his subordinates. But how many subordinates can be efficiently and effectively supervised by a superior officer? This is an important question which we shall try to answer in this unit. Your knowledge and familiarity of this topic will also enable you to understand the next Unit 24 (Unity of Command) where it is stressed that the commands or orders should come from only one source. For each employee, there should be only one boss whose orders he is expected to obey. While span of control limits the number of subordinates to be supervised by a superior officer, unity of command restricts the number of superiors for each employee to only one to avoid confusion and misunderstanding.

23.2 MEANING

Literally, the word 'span' means distance between the tip of a person's thumb and the little finger when stretched out, while the word 'control' means power or authority to direct, order or restrain. In Public Administration, span of control refers to the number of subordinates whom an officer can effectively control. It also means the number of subordinates an officer can direct. It may be also said, that the span of control means, simply, the number of subordinates or the units of work that an administrator can

personally direct. In the works of Dimock, "The span of control is the number of range of direct, habitual communication contacts between the chief executive of an enterprise and his principal fellow-officers". This concept is related to the principle of 'Span of Attention', described by V. A. Graicunas, in psychology.

Span of control is dependent upon span of attention. None of us can attend to more than a certain number of things at a time. Psychologists have conducted many experiments in the field of 'Attention' and have come to the conclusion that normally a person can attend to only a certain number of things at a time and not beyond a particular limit. Since span of control in Public Administration is related to span of attention in psychology, it follows that there is a limit to the number of persons which a superior officer can control effectively. It is harmful for the organisation if the number of subordinates to be supervised by a superior officer is increased beyond that limit.

There are limits to human capacity both physical and mental. So, it is universally believed that no supervisor, however competent he may be, can supervise the work of unlimited number of persons. There is no agreement among the writers of Public Administration about the exact limit of the span of control. Sir Ian Hamilton put the limit at 3 to 4. Haldane and Graham Wallace felt that a supervisor could supervise 10 to 12 subordinates. Urwick drew a difference in regard to span of control between higher and lower levels. According to him, a supervisor cannot supervise directly more than 5 to 6 subordinates at the higher level, whereas at the lower levels, where the work is simple and routine in nature, the span of control varies from 8 to 12. According to a survey conducted by Wallace in 1937, the span of control of a chief executive differed from country to country. A chief executive in Japan had 13 departments under him, in Canada, Germany and Italy 14, in France 17, in Russia 19 or 20, in England 25 and in U.S.A. about 60. Though the number was not uniform, nowhere did the administration breakdown.

According to some writers, the span of control in governmental organisations of America is large because of the following reasons (1) there is a tendency towards a large number of departments because the 'empire builder' type of department head wants to be answerable only to the chief executive or governing body, (2) each pressure group desires its own pet administrative activity to be set up in an independent department, and (3) every functional chief desires access to the seat of authority without going through intervening hierarchical steps. The Hoover Commission in 1949 criticised the huge span of control exercised by the President of the United States. The Communication listed 65 departments or agencies (excluding the independent regulatory commissions) falling within the span of control exercised by the President.

However, there has been general agreement among all the writers that the shorter the span, the greater will be the contact and consequently, more effective control. On the other hand, as Seckler-Hudson says "There are dangers inherent in excessively limited span of control, such as, the risk of detailed supervision of the few reporting, the resultant failure to stimulate subordinates or to fully use the capacities of them. It is possible also that short spans of control mean long chains of commands". Hence, various writers have, by and large, felt that the span of control can be between 3 to 15. Though attempts have been made by the writers to search for the 'ideal number' of persons a supervisor can supervise, they have not succeeded in doing so because of many factors which are discussed later.

23.3 IMPORTANCE OF SPAN OF CONTROL

The problem of span of control is a natural extension of the principle of hierarchy or scalar system. As we know earlier, hierarchical organisation involves a number of tiers or steps one above the other in an organisation, each step being headed by a single person. How many such levels an organisation should have depends upon the total number of employees at the bottom to be supervised and the number of subordinates each superior officer can effectively supervise. This shows that there is a close relationship between hierarchy and span of control. Hence, the levels or tiers in hierarchy should be established after taking into account the span of control of a superior officer. If a superior officer is expected to control a large number of persons than he can actually control, the result is delay and inefficiency. The quality of the work of an organisation depends upon effective control and supervision. Hence, there is a

strong need for the principle of span of control. No organisation can ignore it. If the span exceeds the capacity of an individual, it results in the breakdown of the organisation.

Check Your Progress I

- Note: i) Use the space below for your answers.
- ii) Check your answers with those given at the end of the unit.

1 Explain the meaning of span of control.

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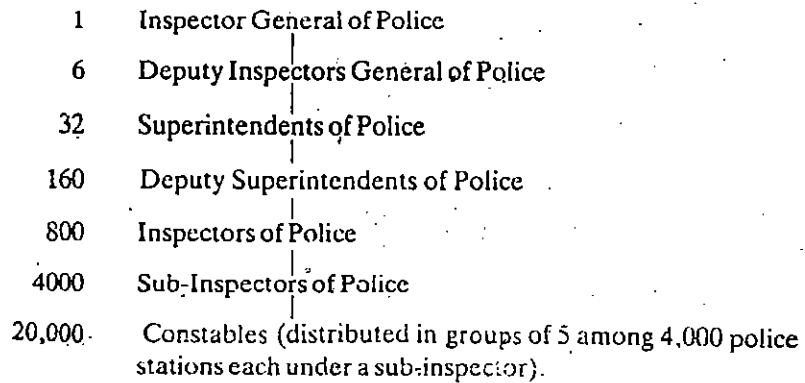
2 Discuss the importance of span of control.

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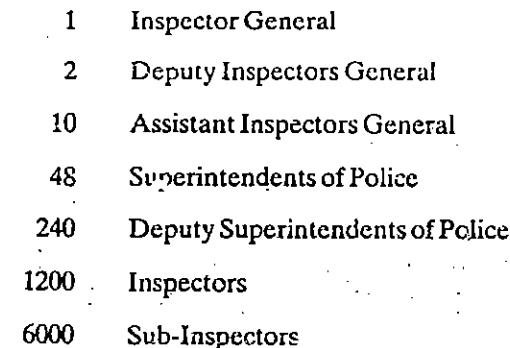
23.4 RELATIONSHIP BETWEEN SPAN OF CONTROL AND HIERARCHY

As we have already discussed the levels of an organisation should be decided keeping in view the span of control. To take an illustration, suppose that the number of police constables in a State like Madhya Pradesh is 20,000 and one superior officer can effectively supervise the work of 5 subordinates. The number of levels or steps required in the case would be 7 as shown below:



Here 20,000 constables divided by 5 give 4,000 sub-inspectors at the next level. The latter divided by 5 again require 800 inspectors to supervise them who similarly require 160 supervisory officers called Deputy Superintendents of Police. These have to be placed, on the same basis, under 32 Superintendents of Police and they in turn under 6 Deputy Inspectors General. Finally, the 6 Deputy Inspectors General have to be placed under one Inspector General as their immediate superior, whose quota of immediate subordinates is a little more than the standard one i.e. 6 instead of 5.

If the number of constables is increased to 30,000 and the number which could be effectively supervised by any one officer were still 5, the number of levels would increase to 8 as shown below:



Here we see that a new level of Assistant Inspectors General had to be introduced because the number of total personnel to be supervised at the bottom is larger and supervisory capacity of each officer is limited to 5 as in the previous illustration. If each person could supervise 6 subordinates instead of 5, the number of levels required would be 7 again.

In the same way, if the number of employees is 1,000 and the span of control is 10, the number of levels would be 4 as shown below:

Chief Executive		
	10	Supervisors
	100	Supervisors
	1000	Workers

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

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

Like the principle of hierarchy, span of control is also an universally accepted principle of organisation. The number of subordinates one should have under him is questionable, but not the principle itself.

There are two opinions on the number of levels an organisation should have. If the number of levels is more, the span control will be less and supervision will be more. But, the number of supervisors will increase resulting in an increase in the expenditure. It also increases the distance between the chief executive and the work-place. Since communications have to pass through many levels, they may undergo change in form and content and thereby make the decision-making process difficult.

On the other hand, if the levels of an organisation are less, the work may be expedited. The number of supervisors will decrease resulting in saving of expenditure and the delegation of authority will be more. The morale of the employees also increases and they may work with more interest. They also get trained in shouldering responsibility. However, coordination becomes a problem. Hence, in many organisations, the span of control is kept at a minimum and the levels are increased.

23.5 FACTORS AFFECTING SPAN OF CONTROL

It is not possible either for administrative theory or practice to lay down the ideal number constituting the span of control. There are, however, certain general points of agreement regarding this problem which you have to note. Firstly, it is agreed that a span of control does exist at each level of supervision and it cannot be exceeded without the danger of a breakdown. In this connection, L. Urwick quoting V.A. Graicunas points out that if a superior adds a sixth to his five subordinates, the additional assistance he can obtain is only 23% but increase in the supervision may amount to 100%. The reason is what has to be supervised is not only the individual subordinates, but also the numerous permutations and combinations of their mutual relationships. So, span of control universally exists and it cannot be exceeded without the danger of a breakdown. You may be interested to know that sometimes back the University Grants Commission in India studied the problem of span of control and attention in the college class-rooms. It came to the conclusion that a teacher can teach and supervise only 10 to 12 students in a class-room most effectively and not beyond that limit.

Secondly, it is recognised that span of control depends on certain factors. It varies with some factors viz., i) Function, ii) Time, iii) Space, iv) Personality of supervisor and of the subordinates; v) delegation of authority, and vi) techniques of supervision. We shall discuss about each of these factors.

Function refers to the nature of the work to be supervised. Where the nature of work is of a routine, repetitive, measurable and identical character, the span of control is more than when the work is of different character. For example, it is easier to supervise a large number of typists because of the measurable nature of their work but this will not be so if doctors, engineers and typists etc., have to be supervised simultaneously.

Time refers to the age of the organisation. In old and established organisations, practices become perfect and things get stabilized. Such organisations run themselves well through rapid supervision and greater span of control. But in newer organisations, precedents will be few and new problems constantly demand reference to the superiors. Hence, subordinates depend heavily upon their superiors and the span of control will be less.

Space refers to the place of work. If the subordinates are under the same roof along with the supervisor, supervision becomes easier and quicker. If they work at different places, supervision becomes difficult as they escape his personal attention. In this context, it is worth noting the distinction drawn by Urwick between 'direct supervision' and 'access' to the boss. It means that while an officer can directly supervise only a limited number of persons, he can introduce flexibility in the organisation by permitting large number of subordinates to have 'access' to him.

Personality is 'The sum total of all the traits of human behaviour'. It includes physical and intellectual qualities of a person. If the supervisor is competent, energetic and intelligent, he can supervise the work of a large number of subordinates. Otherwise, he can supervise only a less number of subordinates. Similarly, it is easier to supervise the work of a large number of subordinates if they are competent, energetic and intelligent. Otherwise, only less number of subordinates can be supervised by a supervisor.

Delegation of authority also influences span of control. Some supervisors keep only a few functions for themselves and delegate the rest to their subordinates. By doing so they can supervise a large number of subordinates. There are some supervisors who keep all the functions for themselves and do not delegate them at all. Such supervisors cannot control a large number of subordinates.

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

23.6 GRAICUNAS' FORMULA

V.A. Graicunas gave a mathematical formula to explain the complexity of span of control if more subordinates are added to the executive. Every executive always measures the burden of his responsibility to control the subordinates in terms of single relationship between himself and his subordinates. Graicunas feels that in any group the relations between executive and his subordinates cannot just be calculated based on single relationship alone. According to him, there also exists cross relationships which increase in mathematical proportion. The direct single relationship always increase in the same proportion as the number of subordinates. In such a case each addition to the group would only create a single direct relationship. But according to Graicunas there also exists direct group and cross relationships which increase very rapidly than the increase in the number of subordinates. This is mainly because the addition of each individual results in many cross and direct group relationships as there are persons already in the group. Therefore, the number of relationships increases in exponential proportion. Based upon his studies; Graicunas develops a formula to calculate the number of relationships to enable the executives to examine the complexity of span of control. This is given in the following table.

Table: Direct and Cross Relationships

Sl. No.	Relationship	Formulae
1	direct single	$a = n$
2	cross	$b = n(n-1)$
3	direct group	$c = \frac{n(2^n - 1)}{2}$

Note: 'n' stands for the number of subordinates.

According to these formulae, in any organisation if there are three subordinates direct single relationships would be three, cross relationships six and direct group relationships nine. But if one more member is added there would not be any change in the direct single relationships which would be four, but the cross relationships would increase to 12 and direct group relationships, however, rise exponentially to 28. This explains that addition of each member to the group under the control of the executive would increase the number of direct group relationships to such an extent that direct control becomes difficult, in some cases even impossible. Graicunas also added that for four subordinates it is quite easy to grasp and remember every combination of groups. But from five on, it is not possible to remember because the relationships become more of confusion.

Whether the principle enunciated by Graicunas is valid or not, whether the formulae has empirical validity or not, the problem that any increase in the number of subordinates would lead to complexity in the relationships between the individual and groups has aptly been brought out by Graicunas. It is this factor that needs to be carefully considered in any discussion on how many subordinates an executive can effectively control.

23.7 SPAN OF CONTROL UNDER REVISION

The whole idea of span of control has come under revision during recent years. The increasing use of automation in administration, the information revolution and the growing role of the specialists are chiefly responsible for such a change. Automation and mechanical processes have resulted in simplification and expediting of communications. Thus, delay in paper work has been considerably solved due to the conquest of time and distance. Moreover, mechanisation has been made use of in tabulating, accounting, purchasing, sorting and computation work. Automation has improved inventory, record keeping, billing and pay role book-keeping activities. We are in the age of computers and other electronic devices which supply plenty of information and accurate data to the administrators at a very fast rate which would have normally required the operations of large number of persons. Thus, the length of span of control has considerably increased and it has become possible for the supervisor to control more subordinates.

Check Your Progress 2

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

i Do you think that the principle of span of control is an extension of the principle of hierarchy? Explain their relationship.

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2 Explain the factors that effect the span of control.

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3 "Span of Control is an exclusive concept". Explain.

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4 Explain Graicunas' formula.

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23.8 LET US SUM UP

The principle of span of control is good as a general guiding principle in administrative organisation. It means the number of subordinates an officer can effectively control. It is related to the span of attention of a superior officer. There is no doubt that the quality and efficiency of work in an organisation improve considerably if the superior officers exercise effective control over their subordinates. But control can be exercised only over a limited number of subordinates as span of human attention is limited. Hence, it cannot be rigidly applied in practice. There is no 'ideal' number of persons a supervisor can supervise. Span of control varies with factors like function, time, space, personality of the superior and subordinates, delegation of authority and techniques of supervision.

The number of levels in the organisation depends on number of employees at the lowest level. As the number of employees at the lowest level increases, the number of levels in the organisation has to be increased.

Because of rapid scientific and technological developments, time and distance are no longer causing any problem. The evergrowing number of specialists is also posing a challenge to the old administrative set-up and well-known concept of superior subordinate relationship. Hence, the whole idea of span of control is under revision.

23.9 KEY WORDS

Exponential: Explanation

Combination: An arrangement of numbers of a set into specified groups without regard to order in the group.

Permutation: An ordered arrangement of the numbers of a set into specified groups.

Span of attention: A superior cannot effectively pay attention on a large number of subordinates as there are limits to human capacity.

23.10 SOME USEFUL BOOKS

Avasthi, A. and Maheshwari, S.R., 1985. *Public Administration*, 14th rev.ed; Lakshmi Narain Agarwal: Agra.

Bhambri, C.P. 1972. *Public Administration (Theory and Practice)* 5th ed; Jain Prakash Nath & Co: Meerut.

Bhattacharya, Mohit, 1974. *Public Administration*; The World Press Private Ltd., Calcutta.

Dimock, M.E., and Dimock, G.O, 1975. *Public Administration*; Oxford & IBH Publishing Co: N. Delhi.

Sharma, M.P. 1983. *Public Administration in Theory and Practice*, 14th ed; Kitab Mahal: Allahabad.

John M. Pfiffner and Frank M. Sherwood, 1968. *Administrative Organisation*; Prentice-Hall of India Pvt. Ltd. New Delhi.

23.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 23.1 and 23.2
- 2 See Sec. 23.3

Check Your Progress 2

- 1 See Sec. 23.4
- 2 See Sec. 23.5
- 3 See Sec. 23.4 and 23.5
- 4 See Sec. 23.6

UNIT 24 UNITY OF COMMAND

Structure

- 24.0 Objectives
- 24.1 Introduction
- 24.2 Meaning
- 24.3 Importance
- 24.4 Unity of Command in Practice
- 24.5 Factors Effecting Unity of Command
- 24.6 Exceptions to the Principle
- 24.7 Arguments in Favour of Unity of Command
- 24.8 Arguments Against Unity of Command
- 24.9 Let Us Sum Up
- 24.10 Key Words
- 24.11 Some Useful Books
- 24.12 Answers to Check Your Progress Exercises

24.0 OBJECTIVES

After studying this unit you should be able to:

- explain the meaning and importance of the principle of the Unity of Command,
- understand how the principle works in practice as well as the exceptions to the principle; and
- discuss the merits and demerits of the principle.

24.1 INTRODUCTION

In earlier units you have studied two important concepts of organisation viz., hierarchy and span of control. In this unit you would study an equally important concept — unity of command. You have seen earlier that organisations are structured hierarchically and the relationship between superiors and subordinates are clearly laid down. In such organisations one finds vertical differentiation of work. It is axiomatic that in such organisations the subordinates receive orders from their immediate superiors. Unity of command which is complementary to hierarchy emphasises this. But as the modern organisations are very complex and due to reasons of specialisation it would be very difficult to receive both technical and general orders and supervision only from one immediate superior. But any violation of this basic norm goes against the concept of unity of command. In this Unit you would study the meaning and importance of the concept, exceptions in practice and the problems in its operation.

24.2 MEANING

One of the important problems of Public Administration is to secure cooperation and team work so that people in organisation do not work at cross purposes. This is ensured through unity of command wherein authority for decision making and to issue instructions is clearly located in the organisational hierarchy at different levels. Unity of command implies that in organisations, employees should receive orders only from one superior. According to Henri Fayol, an ardent advocate of this principle, it means that 'an employee should receive orders from one superior only'. Similarly Pfiffner and Presthus observed that the concept requires 'that any member of an organisation should report to one and only one leader'. This will protect the employee from the evils of contradictory commands. If a person receives orders from more than one superior officer in an organisation, there is a possibility of conflicting orders. This creates confusion in the employees' mind about what to follow and whom to follow. With the result an employee becomes ineffective. Role clarity and goal clarity are necessary for

employees to be effective in an organisation. Duality and/or multiplicity of command leads to lack of role clarity and goal clarity. Therefore, unity of command is very important for the employees to be effective in organisations.

24.3 IMPORTANCE

Let us see how unity of command is important in an organisation. If an employee receives orders from more than one superior officer, there is scope for confusion and conflict rather than clarity of purpose. In such a situation, an employee finds it difficult to perform his job with a clarity of purpose. As we have seen earlier duality and/or multiplicity of command keeps an employee in a dilemma about 'whom' to follow and 'what' to follow. This is one possible deficiency, when there is no unity of command in an organisation. Another possibility is that an employee with manipulative skills may avoid his work by using one superior against the other. In this process such an employee plays with his superiors and thus undermines the purpose of an organisation. Absence of unity of command leads to either confusion or gives room for manipulation in organisations. Receiving two contradictory commands may result in inefficiency and may even lead to organisational paralysis. Both these things are not in the interest of an organisation. The concept of unity of command is, thus, important to avoid these pitfalls and problems in organisations.

24.4 UNITY OF COMMAND IN PRACTICE

The next question is whether unity of command is practical in real organisational life. Let us examine this point with illustrations.

A district collector is the head of all departments and functional activities like agriculture, animal husbandry, cooperation, law and order, education, medical and health services and a host of other departments at district level. If district administration is taken as an organisation, all the employees in a galaxy of departments have to take their orders directly from the district collector only. But in practice, they take their orders from their departmental heads and also from the district collector. The heads of the departments take their orders from their superior in the state administration and also from the district collector. Hence, the unity of command is difficult in practice.

Similarly in industrial organisations, there are practical difficulties for a single person to give orders directly to all those below him in the hierarchy. Because, employees work with and take orders from general as well as technical superiors at different levels in the organisation.

Thus, either in the case of district administration or in an industrial organisation, an employee receives orders from more than one superior. As long as there is no conflict in the orders the employees do not face any problem. What is more important is the unity part than the command part. The unity part refers to homogeneity in an organisation's purpose. The command part refers to superiors or generalists and technical experts giving orders to an employee. As long as there is no conflict with the unity part of an organisation's purpose, the number of people giving commands or orders becomes secondary. In case there is confusion or conflict in the orders, an employee has to bring it to the notice of the superiors and resolve the conflict.

24.5 FACTORS EFFECTING UNITY OF COMMAND

As you are aware the organisations are increasing both in terms of size and complexity. With the result the staff and auxiliary agencies manned by specialists are increasing in number and their power and influence is growing substantially. These agencies have started giving instructions of different types, viz., administrative, technical, legal, etc., directly to the officials of the executive agencies. This is seriously undermining the principle of unity of command. An employee is placed in a dilemma as to whom to follow, what to follow and when to follow. This is quite a baffling situation. Conversely,

this gives rise to a situation where an employee enjoys more discretion and powers with more and more people issuing him orders. A person with manipulative skills can play with the purpose of an organisation. How to check such tendencies? Though, an employee receives commands from different superiors, his work is evaluated by a single superior in the organisation. Hence, the command lies in the superior officer, who evaluates his subordinates' performance. Thus the superior with powers of performance appraisal holds the key to unity of command.

24.6 EXCEPTIONS TO THE PRINCIPLES

Theoretically the principle of unity of command appears unassailable. But in practice there are many exceptions in view of the growth and complexity of modern organisations. There are situations where the employees are under the technical control of one superior officer and administrative control of another superior officer. This is true of all technical departments like medical and health, agriculture, etc. In such cases, it is almost impossible to avoid receiving orders from more than one superior.

F. W. Taylor, the father of scientific management movement, rejected the principle of unity of command. In its place he substituted functional direction and supervision which is popularly termed as "functional foremanship". In the ultimate analysis the real unity of command lies in the person who evaluates the performance of an individual/ individuals in an organisation. Thus the power to evaluate one's performance is the single largest factor effecting unity of command in our organisation. For example in an industrial organisation an employee works with a project team or a group of people with different technical functions, but, his work evaluation is done by the personnel manager. Similarly, in state administration, an employee, say, in commercial taxes department receives orders from the local body regarding collection of entertainment tax. But his work evaluation is done by the commercial taxes department. This is based on the assumption that a worker can benefit if he gets specialised supervision on each of his functions from the experts. Accordingly, Taylor had recommended eight supervisors or foremen for each worker. Each one of the eight supervisors give special directions to the workers in their functional area. Thus the eight supervisors are (1) Gang Boss; (2) Speed Boss; (3) Inspector; (4) Repair Boss; (5) Order of work and route clerk; (6) Instruction card clerk; (7) Time and cost clerk; and (8) Shop floor disciplinarian. The first four of these supervisors work in the factory and issue directions and commands in their particular functional area. The latter four are planning bosses issuing instructions. Taylor believed that multiplicity of command ensures division of labour and facilitates specialisation. As no individual can be an expert in all the specialised fields, multiplicity of commands contributes to expert supervision.

This innovative idea of Taylor was adopted in Public Administration. Thus, we have different technical experts side by side with the general administrators in present day Public Administration. They both exercise supervision over the subordinates. But Millet has noted that there is need for reconciliation between the two. Technical supervision should be concerned with professional competence in the performance of a job and the administrative supervision with efficient utilisation of the human, material and other resources.

Check Your Progress 1

Note: i) Use the space below for your answers

ii) Check your answers with those given at the end of the unit.

1. What do you understand by unity of command?

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2 What is the importance of unity of command in Public Administration?

3 What are the exceptions to the principle of unity of command?

4 What is functional supervision? How does it violate unity of command?

24.7 ARGUMENTS IN FAVOUR OF UNITY OF COMMAND

The advocates of the concept argue that this concept exists and it works too. According to them, though more than one superior issues orders to an employee, there is a unity in the direction of these commands. According to Seckler-Hudson, "from one he may receive policy orders, from another personnel, from a third budget, from a fourth supplies and equipments". As long as there is no conflict in these commands and orders, the principle of unity of command stands good.

Another important feature is that the technical experts who issue orders are only suggesters and helpers to an employee. An employee has to ultimately follow the orders of the immediate superior, in case there are conflicting orders. This again supports the view that there is unity of command that exists in organisations. In certain organisations like the armed forces and intelligent agencies there is more unity of command when compared to other organisations. That means unity of command is a necessary feature in certain kinds of organisations.

Dimock and Dimock have noted that in organisations someone must be a boss, multiple direction is a confused direction, and clear lines of relationships and authority are essential for proper cooperation. Otherwise, they argue, that the signals are not clear, wires get crossed, a proper flow of communication throughout the programme is lacking and all elements necessary for the performance of a unified task remain scattered. Explaining the importance of this concept Gulick observes that any rigid adherence to the principle of unity of command may have its absurdities. But they are unimportant in comparison to the certainty of confusion, inefficiency and irresponsibility which arise from the violation of the principle. Thus the significance of the principle lies in building a structure of coordination in organisations. The other advantages of unity of command are: absence of conflict in instructions; exercise of effective supervision over the employees; and clear fixation of responsibility. Henri Fayol warned against the dangers if the principle is violated in practice. He wrote that "should it be violated, authority is undermined, discipline is in jeopardy, order disturbed and stability threatened". If two persons exercise authority over the same person, he further observed, uneasiness makes itself felt and disorder increases.

24.8 ARGUMENTS AGAINST UNITY OF COMMAND

The principle of unity of command implies that an employee should receive orders and instructions from only one superior. But it poses several difficulties in actual implementation in real administrative situations.

The principle is criticised by many, Seckler Hudson, for example, observed that in a complex governmental situations the concept of one single boss for each person is seldom relevant in practice. According to the author many interrelationships exist outside the straight line of command which require working with and reporting to many persons for purposes of effective and orderly performance. Seckler Hudson argues that the administration in government has many bosses and he can neglect none of them.

Unity of command, like other principles, is more a theoretical proposition than a practical idea in organisations. This principle hardly has any relevance to committees, commissions and autonomous organisations. Moreover, in organisations like research laboratories, this principle will be counter productive. In a fast changing society, with technological innovations and change such concepts have hardly any relevance. In Development Administration, one has to work with different technical as well as generalist functionaries by taking orders and instructions from both. Hence, concepts like one man, one boss leads to administrative resistance in development administration. As John D. Millet observes: the concept of unity of command needs to be reconciled with a recognition that supervision of any activity may be dual — technical and also administrative. The two types of supervision may be exercised by different individuals. One type may be concerned with professional competence in the performance of a job, while the other is chiefly interested in the efficient utilisation of the resources — men and materials — available for the job. Even a classicist like Luther Gulick recognised that any rigid adherence to the principle of unity of command would lead to absurdities.

Check Your Progress 2

- Note: i) Use the space below for your answers.
 ii) Check your answers with those given at the end of the unit.

1 What factors affect unity of command?

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24.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 24.2
- 2 See Sec. 24.3
- 3 See Sec. 24.5
- 4 See Sec. 24.6

Check Your Progress 2

- 1 See Sec. 24.6
- 2 See Sec. 24.7
- 3 See Sec. 24.8

UNIT 25 CENTRALISATION AND DECENTRALISATION

Structure

- 25.0 Objectives
- 25.1 Introduction
- 25.2 Meaning of Centralisation
- 25.3 Meaning of Decentralisation
- 25.4 Types of Decentralisation
- 25.5 Factors Affecting Centralisation and Decentralisation
- 25.6 Merits and Demerits of Centralisation
- 25.7 Merits and Demerits of Decentralisation
- 25.8 Let Us Sum Up
- 25.9 Key Words
- 25.10 Some Useful Books
- 25.11 Answers to Check Your Progress Exercises

25.0 OBJECTIVES

After studying this unit, you should be able to:

- explain the concepts of centralisation and decentralisation and the relationship between the two
- analyse the factors that lead to the adoption of either of the two concepts or a combination of both in an organisation; and
- discuss the merits and demerits of centralisation and decentralisation.

5.1 INTRODUCTION

Centralisation and decentralisation are very important concepts of organisation. They explain the manner in which the decision making authority is distributed or delegated among various levels of the organisation. In this unit, we shall discuss the meaning, importance and factors affecting centralisation and decentralisation in organisations. The merits and demerits of centralisation and decentralisation are also examined.

5.2 MEANING OF CENTRALISATION

Centralisation means the concentration of formal authority at the top levels of an organisation. It is a tendency aimed at centralised performance. Hence, it is the opposite of dispersal and delegation of authority. It has an important bearing on the processes of policy formulation and decision-making. These two major areas of management or administration are the reserves of the top management in a centralised organisation. The lower levels of the organisational hierarchy always look upwards for direction, advice, clarification, interpretation, etc. Even the field units or agencies of the parent organisation do not enjoy any authority of decision-making and hence are fully dependent on the central authority. The field units are required to implement the decisions in accordance with the pre-determined guidelines as handed down to them by the headquarters operating as the central authority. Centralisation acquires its acute form when an organisation operates from a single location i.e., when it does not have any field agencies. In the words of Harold Koontz, "Centralisation has been used to describe tendencies other than the dispersal of authority..... It often refers to departmental activities; service divisions, centralised similar or specialised activities in a single department. But when centralisation is discussed as an aspect of management, it refers to delegating or withholding authority and the authority dispersal or concentration in decision-making". Therefore, centralisation can be regarded as

concentration of physical facilities and/or decision making authority. Limited and restrictive use of delegation is, in other words, centralisation. Henri Fayol, while talking of decentralisation and centralisation, observes, "everything that goes to increase the importance of subordinate's role is decentralisation, everything which goes to decrease it is centralisation"

25.3 MEANING OF DECENTRALISATION

The term decentralisation is understood differently by different individuals or groups. Louis A. Allen refers to it as one of the most confused and confusing of the administrative techniques that characterises the art and science of professional management. To quote Pfiffner and Sherwood, "In some respects decentralisation has come to be a 'gospel' of management. Firstly it is regarded as a way of life to be adopted as least partially on faith; secondly, it is an idealistic concept, with ethical roots in democracy, thirdly, it is in the beginning a more difficult way of life because it involves a change in behaviour running counter to historically-rooted culture patterns of mankind. That is why the new literature of decentralisation dwells on how to bring about change in organisation behaviour. Men find it difficult to delegate, to think in terms of the abstractions required by long-term planning, to listen rather than to give orders, to evaluate other men and their work in terms of overall results instead of irritations and tensions of the moment. Yet this is the very key to the behaviour required of leaders in a decentralised organisation". It is amply clear that decentralisation is not only a device for the delegation or dispersal of administrative authority, but it is also a democratic method of devolution of political authority. Further, in a decentralised organisation it is also essential to adopt the democratic norms. Such norms help the various levels of the administrative organisation to develop a reasonable capability for the exercise of authority to reach the most desired decisions. Moreover, they help to assimilate in them the virtues of greater interactions not only among the various organisational levels but also between the organisation and the clientele among the general public.

It has been opined that decentralisation refers to the physical location of facilities and the extent of dispersal of authority throughout an organisation. Hence, it is an arrangement by which the ultimate authority to command and the ultimate responsibility for results is localised in units located in different parts of the country. It is argued that assigning of functions and responsibility, for their efficient and effective performance, to the subordinates or sub-divisions is the essence of decentralisation. We may say that in a decentralised organisation lower levels are allowed to decide many matters and a few cases involving major policies or interpretations are referred to the higher levels of the organisation. However, in common phraseology the term decentralisation is interchangeably used with terms like deconcentration, devolution and delegation, though they have different connotations. Devolution has political and legal authority ramifications, deconcentration and delegation refer only to administrative authority. Decentralisation covers the political, legal and administrative spheres of authority.

25.4 TYPES OF DECENTRALISATION

Four different types of decentralisation can be identified viz., administrative, functional, political and geographical. Administrative decentralisation refers to decentralisation of authority to the lower officials in the administrative hierarchy of organisations. It may also mean decentralising powers or functions to the subordinate units. Functional decentralisation implies that the functions are decentralised to the specialised units or departments like education or health. Political decentralisation involves that the political powers and functions concentrated in the hands of higher level political organs are decentralised to lower level political organs. You are all aware that panchayati raj agencies are units of decentralisation wherein political powers of decision making are decentralised from state government to panchayats, samitis and zila parishads. Finally, in geographical decentralisation, the powers and functions of headquarters are decentralised to the field offices for effective performance for

example, most of the powers of the heads of departments of the state government are decentralised to their field officers at the regional and district levels. This facilitates quick decision making keeping in view the local requirements.

25.5 FACTORS AFFECTING CENTRALISATION AND DECENTRALISATION

Centralisation and decentralisation, being the two extremes of operations of authority, are relative terms. We, today, cannot think of an organisation which is completely centralised or decentralised as in between the operations of the two there is always a continuum of authority. They need to be viewed as complementary to each other as a fair combination of the two results in stability, accountability, efficiency and effectiveness. Their applications in a democratic setup would depend upon the objectives of the organisation, its life and size, nature of service, etc. It has been said that in order to ensure its existence, an organisation has to perform certain functions which are basically centralising in nature and effect. Moreover, their performance has to be from a central point of authority. Two such major functions are initiation and decision-making in relation to basic management functions like planning, organising, motivating, coordinating and controlling the work of the subordinates as also of the field units. Thus, the higher levels by performing the functions of initiation and decision-making tend to reserve the real authority at the central points of the organisation. On the other hand, Earnest Dale points out that the degree of decentralisation is greater in the following situations:

- i) The greater the number of decisions made at lower level of management hierarchy, the greater the degree of decentralisation.
- ii) The more important the decisions made at lower level of management, the greater the degree of decentralisation. For example, when the head of the field unit enjoys the authority of sanctioning financial investments or expenditure without consulting any one else.
- iii) In a decentralised authority structure, more decisions are taken at lower levels which affect most of the functions of the organisation as a whole. Thus, the organisations which permit only operational decisions to be made at separate branch units are less decentralised than those which also permit financial and personnel decisions at branch units.
- iv) When less checking is required on the decision. Decentralisation is greater when no check at all is made; it is less when superiors have to be informed of the decision after it has been made; still less if superiors have to be consulted before the decision is made. When fewer are consulted and if they are at a lower level in the organisation's hierarchy, the degree of decentralisation is more.

It is, therefore, clear that the application of the two concepts is greatly influenced by factors more than one. In modern times when we have a multiplicity of administrative and political organisations, there is a need to use the centralised and decentralised patterns of authority for the maximum benefit of the people. That is a pre-requisite of a welfare or service state. There has been a growing public opinion in favour of decentralisation but at the same time some political forces and the bureaucracy do not favour a decentralised system for obvious reasons. Pfiffner and Sherwood comment, that "Decentralisation will always experience a certain amount of epidemic conflict between those whose purpose is to coordinate and those who resist coordination. What is needed is to learn a way of life in which the coordinating process will be least restrictive, in which people can pursue their individual goals to the maximum and yet work in harmony toward group goals with others who look upon things differently"

As already pointed out, decentralisation has political and administrative elements. However, in management or for administrative organisations it is seen as an administrative device of locating the authority of decision-making in a dispersed manner. To the contrary, centralisation is viewed as concentration of authority in the top management. Examining the two concepts in terms of physical facilities — plant, personnel and equipments and authority; Mervin Kohn opines that a typical organisation exhibits characteristics of both. He has framed four possible combinations and calls them as centralisation-decentralisation matrix which is reproduced below.

	CENTRALISED (concentrated)	DECENTRALISED (dispersed)
Plant, Personnel, Equipment (Facilities)	Product, services and business functions concentrated in one building or in several buildings within a localised area.	Products, services and business functions scattered in many areas; multi-plant operation; each sub-unit is a separate entity; may be autonomous self-sufficient entity performing most major business functions.
Authority (Decision-making)	High degree of concentration and retention of decision-making at upper levels of management; subordinates highly dependent.	High degree of delegation and dispersion of decision making horizontally or vertically downward to lower levels of management; subordinates relatively independent; "Profit Centre" concept.

The above figure gives us four possible combinations and the extent of centralisation and decentralisation differs in all of them. Now we explain these combinations as under:

- 1 The first combination indicates a high degree of concentration of facilities as also of authority in the top levels of the organisation hierarchy. These levels also perform all the management functions of decision-making and directing their effective implementation. Such an organisation may exist under the government especially dealing with sensitive subjects like defence or some aspects of defence production and also in some situations in the ministry of foreign affairs. It is a case of minimal or no delegation of authority. In private industry it resembles the units operating under single or family ownership whose area of operation is small or well manageable by the owners.
- 2 The second combination results in an organisation whose physical facilities are centralised at one place. In other words, the products and services are centralised but the decision-making authority is delegated horizontally and vertically. The level to which the authority of decision-making is delegated remains accountable to the higher levels for effective management as its decisions must be in conformity with the overall policy of the top management. Such type of situation may be found in service agencies like the State Trading Corporation or the agencies concerned with food grain procurement and engaged in the public distribution system like the PUNSUP in the state of Punjab.
- 3 Thirdly, we may come across an organisation in which physical facilities are dispersed among various units located in various parts of the country or a region but the major decision-making authority is centralised in the top levels of management. The units may be vested with only small authority like sanctioning of leave, overtime, etc. Thus authority to perform a limited number of management functions, which are consequential of the major policies, is delegated so as to enable them to implement the minor aspects of the major policies. Significant and major policy matters are reserved to the top management and are located at the central office or the headquarters. Various road transport organisations both in the public and private sectors, largely fall in this category.
- 4 Lastly, a situation in which both the physical facilities and the decision-making authority is dispersed or decentralised between various levels and the units, we get an organisation based on administrative decentralisation or deconcentration. Such an organisation performs wide ranging functions and the units are allowed significant functional autonomy. The Hindustan Machine Tools Ltd., falls to a great extent, in this category. Mervin Kohn also refers to the 'profit centre' concept as part of this model of organisation. It may be mentioned that this concept can only be applied to private business which is largely run on profit motive. However, in government organisations profit is seen in terms of productivity or social and economic gains that are advantageous to the nation as a whole or to a section of the people for whom a particular service is specifically intended.

We may say that the adoption of one or a mix of both would depend upon the organisation and its objectives, the nature of functions, the products or services, long term plans and the overall strategy of production and marketing. Hence, the equilibrium between centralisation and decentralisation would vary with the internal and external forces in operation. "Internal forces emanate from the requirement of the principle of hierarchy based on the superior-subordinate relationships, on the one hand, and the nature of services, on the other. External forces are based on the relationship with the clientele, on the one hand, and the environment in which the organisation functions, on the other". Much would depend on the maturity of the people and levels of development in a country. In the words of Muttalib, "... the operation of the principle of hierarchy may not exhibit much authoritarianism when members of the organisations and the clientele are drawn from a society that value greatly the egalitarian concept". For the success of political and administrative decentralisation, Pfiffner and Sherwood suggest that decentralisation needs very careful treatment for achieving the desired benefits. Moreover, it requires maturity and character, not only on the part of the individual members of the organisation but also in the culture of the larger society as well as the subculture of the organisation itself.

Check Your Progress 1

- Note:** i) Use the space below for your answers.
 ii) Check your answers with those given at the end of the unit.

1 What is centralisation? In what way does it differ from decentralisation?

2 What factors contribute to greater decentralisation?

3 Explain Mervin Kohn's centralisation-decentralisation matrix.

5.6 MERITS AND DEMERITS OF CENTRALISATION

Now we shall analyse the merits and demerits of the concepts of centralisation and decentralisation. Organisations based on the principle of centralisation provide central direction both in the formulation and the execution of policies and programmes. In the words of Louis A. Allen, such an organisation facilitates the introduction of dynamism in the organisation through the active role of personal leadership; helps in integrated

approach for carrying out organisational operations which result in uniformity of action. Moreover, this concept is quite handy in emergencies and for dealing with unanticipated matters.

Merits of Centralisation

- a) It is easier to develop uniform policies and practices in a centralised organisation. Moreover, it can effectively achieve conformity to the prescribed procedures and can bring about better coordination among the various units and levels of the organisation.
- b) Such a system further adds to the prestige and influence of the top executives. Authority being concentrated at the top level, it is easier to identify the key person/ persons who exercise the real authority. This is helpful in creating a suitable climate for fulfilling the aspirations of those executives or leaders who prefer to combine prestige with real organisational operations.
- c) If process of centralisation is strengthened, duplication in an administrative organisation can be avoided.
- d) It has been claimed by Mervin Kohn that a centralised organisation develops a corporate personality by enabling the full utilisation of the personnel and the equipment in organisation.

It may be said that the merits of centralisation are very much limited and can largely be obtained in small sized organisations. However, in bigger organisations it becomes an obstacle for effective policy formulation and its implementation.

Demerits of Centralisation

- a) A centralised organisation does not allow the development of second line of executives as all the lower levels are more dependent on the orders and directions of the top executives. The emergent situations require immediate decisions for reaching the desired solutions. In a centralised organisation, if emergencies arise at the unit level, their solutions becomes difficult by the unity itself as they do not enjoy any decision making authority.
- b) The concept of centralisation works against the possible diversification or expansion of the organisation. The local needs of the organisation cannot be understood in the right perspective by the centralised executive.
- c) There is a minimum use of the concept of delegation of authority because real authority always lies in the top levels of the organisation. Thus for a decision on every matter, the top executive has to be approached. Therefore, such an organisation concentrates all decisional authority in a few persons and makes majority of the personnel only as implementers of orders received from above.
- d) As the subordinates have to approach the superiors for taking even minor decisions, the work in the organisation suffers and unnecessary delay is caused.

25.7 MERITS AND DEMERITS OF DECENTRALISATION

It has been observed by many scholars that in a decentralised organisation lower level management hierarchy enjoys considerable decision making authority and the number of decisions made at the lower levels is quite large as compared to the decisions taken at the top levels of the organisation.

Merits of Decentralisation

- a) A decentralised organisation is more responsive to the needs and demands of the local area and the people. It can understand and assess the real problems and can take decisions for their effective solutions. The local government institutions in Britain enjoy a substantial authority for dealing with local problems. In the Indian context, the local government institutions have been given some limited authority for taking decisions at the local level.

- b) Delegation of authority is an essential aspect of a decentralised organisation. The higher level organisations share their authority with the lower level organisations. In the process the top levels deal with very important matters, whereas, the lower levels are left free to tackle less important issues. Hence unnecessary burden on top management is avoided.
- c) A decentralised organisation encourages innovations as it welcomes creative ideas and new techniques recommended by the lower level organisations. Moreover, this system of decentralisation encourages interaction among the personnel working in the organisation. It leads to more interaction among the personnel. Further, a decentralised system encourages the expansion of the organisation and permits desirable diversification.

Points A: Advantages of decentralisation help to:

- i) ease the burden on top executives or on those who operate from the central points
- ii) facilitate diversification
- iii) make decisions at the scene of action for effective and fruitful delivery of goods and services
- iv) encourage development of meaningful talents
- v) improve motivation of people within the organisation

Apart from various advantages of decentralisation there are many drawbacks of this system too. Some scholars feel that decentralisation may lead to disintegration and may considerably weaken the top levels of an organisation.

Demerits of Decentralisation

- a) In a decentralised organisation communication among various levels becomes difficult. At times the message communicated from top becomes blurred and changes its contents and meaning when it reaches the concerned individual in the organisation. Moreover, geographical distances also create problems in the way of effective communication and control systems.
- b) It is very difficult to introduce effective system of coordination both at policy making and policy implementation levels.
- c) It leads to overlapping and duplication of efforts in most of the organisations as they fail to clearly identify and define the activities and responsibilities in precise terms. Duplication in the performance of staff functions is a rule rather than an exception in a decentralised organisation.
- d) It may become difficult to maintain desired uniformity in the standards in decision making due to comparatively less control of the higher levels of the organisation.
- e) The decentralised system necessarily results in higher costs of its operational activities. For such a situation there can be many factors but one easily identifiable factor is the underutilisation of the available talent in the organisation.

Check Your Progress 2

- Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

- 1 Discuss the merits and demerits of centralisation.

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2. What are the major advantages of decentralisation?

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25.8 LET US SUM UP

Centralisation and decentralisation are important principles for the formation of an organisation. They deal with authority distribution within an organisation. Under a centralised system authority is concentrated at the top levels. The lower levels always depend on the top levels for direction, guidance and advice. Under this system field agencies or the area units are only implementation agencies guidelines for which are given to them by the central authority. On the other hand, decentralisation refers to the democratic method of devolution of administrative and political authority. It also refers to the physical location of facilities like plant and personnel and the extent of dispersal of authority throughout the organisation. We may say that under decentralisation lower levels are allowed to decide many matters and only a few cases are referred to the higher levels. However, in common phraseology, the term decentralisation is interchangeably used with terms like deconcentration, devolution and delegation, though they have different connotations. Devolution has political and legal authority ramifications. Deconcentration and delegation refer only to administrative authority. Decentralisation covers the political, legal and administrative spheres of authority.

Degree of decentralisation is greater when more decisions are taken at the lower levels both in routine and important matters. In other words greater the freedom allowed to the subordinate levels the more decentralised organisational structure will be. Under this system there is less control and supervision of the higher levels over the subordinate units. Mervin Kohn opines that depending upon the location of facilities (plant, personnel, etc.) and decision-making authority, we get four models of an organisation where authority concentration or its dispersal gives us a centralised or decentralised organisation. Both these principles have their relative merits and demerits. We can use either or both depending upon the nature, objectives and the area of operation of the organisation.

25.9 KEY WORDS

- Amplify:** Extensively
- Assimilate:** Absorb

Profit Centre Approach: Under this the Company establishes self-sufficient, self-contained and semi-autonomous units which are responsible for their own profit or loss. In such units profits become a direct concern of individuals, it means each unit becomes a "profit centre". This helps in stimulating personal efforts.

Ramification: Forming sub-divisions.

25.10 SOME USEFUL BOOKS

Avasthi A and Maheshwari S.R., 1985. *Public Administration* (14th rev. ed); Lakshmi Narain Agarwal: Agra.

Mathur B.S., 1987. *Principles of Management*; National: New Delhi.

Pfiffner John M and Sherwood, Frank M, 1968. *Administrative Organisation*; Prentice-Hall of India Pvt. Ltd.: New Delhi.

Special Number on Decentralisation — Indian Journal of Public Administration, July-September, 1978.

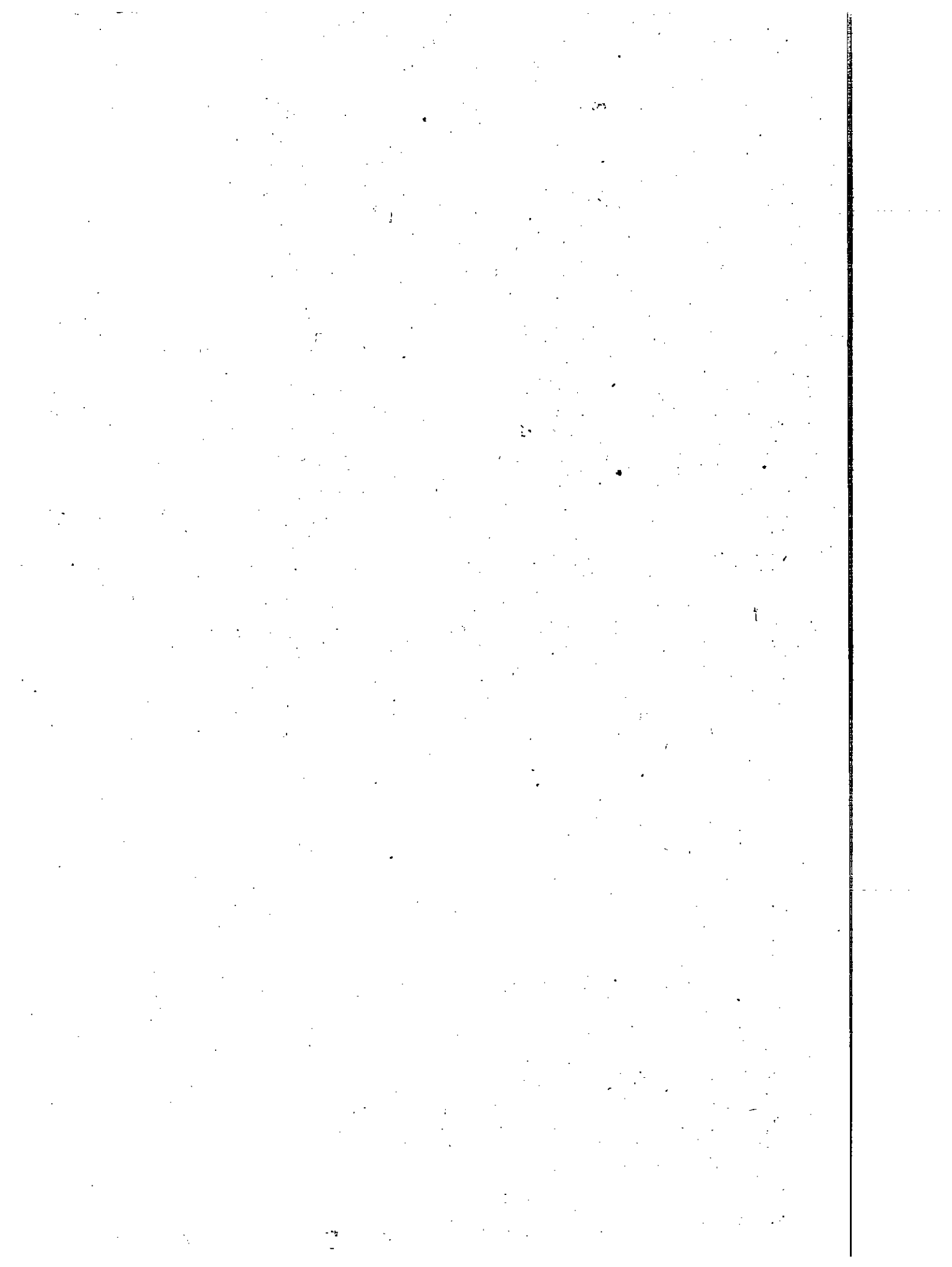
25.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

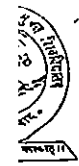
Check Your Progress 1

- 1 See Sec. 25.2
- 2 Sec Sec. 25.3

Check Your Progress 2

- 1 See Sec. 25.6
- 2 Sec Sec. 25.7





UTTAR PRADESH
RAJARSHI TANDON OPEN UNIVERSITY

UGPA - 01
Public Administration
Elective Course I:
Administrative Theory

Block

5

CONCEPTS IN ORGANISATION — II

UNIT 26

Delegation

5

UNIT 27

Supervision

15

UNIT 28

Communication

25

UNIT 29

Administrative Planning

35

UNIT 30

Authority and Responsibility

45

UNIT 31

Leadership

56

BLOCK V CONCEPTS IN ORGANISATION — II

Block IV you have studied the concepts of organisation like hierarchy, span of control, unity of command, etc. In this Block, which is divided into six units, you will study a few new concepts.

Unit 26 Delegation: It describes the meaning and need for delegation, its types and characteristics. It also discusses the principles, hindrances and limits to delegation.

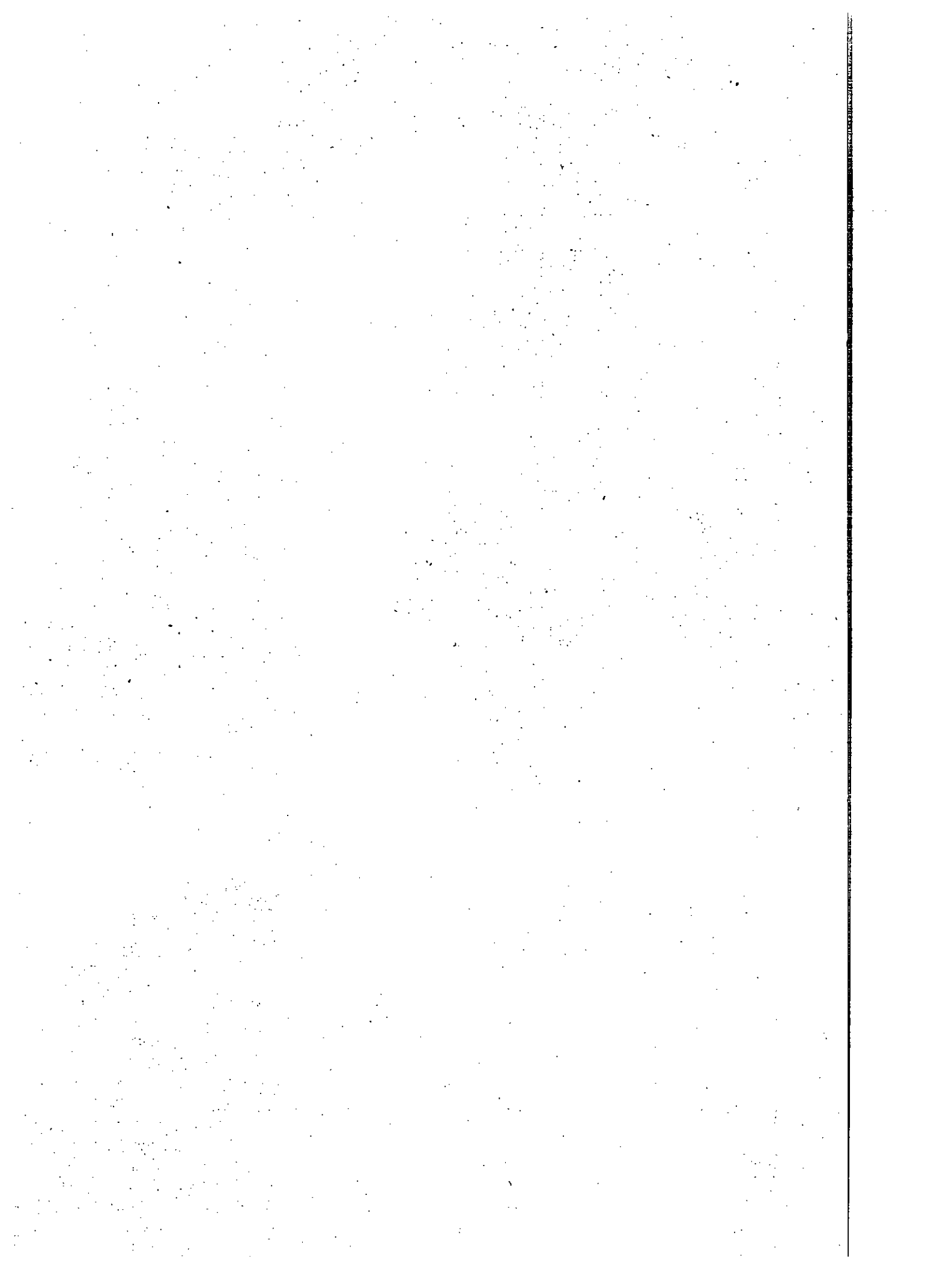
Unit 27 Supervision : It deals with the meaning, importance and types of supervision. It also discusses the techniques of supervision, duties and qualities needed for a good supervisor, and the need for training the supervisors.

Unit 28 Communication : It describes the essentials and elements of communication system in organisations, types and media of communication, and the factors inhibiting communication process.

Unit 29 Administrative Planning : This unit discusses the meaning and significance of planning, nature and types, processes and techniques, as well as problems of planning in administrative organisations.

Unit 30 Authority and Responsibility : It defines authority, power and responsibility and explains the approaches to the study of authority, sources of authority and limits to authority. It also describes different types of responsibility and the relation between authority and responsibility.

Unit 31 Leadership : In this unit you will discuss the nature of leadership, different theories and styles of leadership, qualifications of a leader, techniques as well as hazards of leadership.



JNIT 26 DELEGATION

Structure

- 5.0 Objectives
- 5.1 Introduction
- 5.2 Meaning of Delegation
- 5.3 Characteristics of Delegation
- 5.4 Need for Delegation
- 5.5 Types of Delegation
- 5.6 Principles of Delegation
- 5.7 Hindrances to Delegation
 - 26.7.1 Organisational Hindrances
 - 26.7.2 Personal Hindrances
- 5.8 Limits to Delegation
- 5.9 Let Us Sum Up
- 5.10 Key Words
- 5.11 Some Useful Books
- 5.12 Answers to Check Your Progress Exercises

6.0 OBJECTIVES

After studying this unit, you should be able to:

- explain the meaning and significance of the delegation
- describe the different types of delegation
- analyse the various principles of delegation
- discuss the main hindrances and limitations to delegation.

6.1 INTRODUCTION

This is an era of large scale organisations. As the number of large scale organisations is increasing day by day the need of delegation has tremendously increased. In a small scale organisation, the head may be able to run the organisation effectively by keeping all the powers with himself, but this is not possible in the case of a large scale organisation. In a large scale organisation the head may formally keep with himself all the powers relating to the operation of the organisation but keeping in view the need for efficiency, he is required to delegate his authority to his subordinates. Moreover all organisations are organised on the basis of the principle of hierarchy which binds different levels and units of the organisation with a continuous chain of authority. The need of delegation is greatly felt with the growth of an organisation. In the words of L.D White, "Circumstances of magnitude and volume, however, require some delegation of authority and the settlement of much business at the point where it arises". In this unit, we shall discuss the importance, characteristics, types and limitations to delegation in administrative organisations.

6.2 MEANING OF DELEGATION

Delegation means grant or conferment of authority by a superior to a subordinate for the accomplishment of a particular assignment. According to Mooney delegation means transferring of specified authority by a higher to lower authority. It is devolution of authority by a person to his agent or subordinate, subject to his right of supervision and control. It implies that legally delegated authority still belongs to the Delegator or the person who delegates, but in practice its exercise is allowed to the subordinate or the agent. Albert K. Wickersberg, too, in the same spirit observes: "The act or process of

delegation is the assigning to subordinates of specified tasks of the organisation and the granting to one or more persons the authority necessary for directing satisfactorily the activities and duties so assigned." However, writers like George R. Terry do not agree with this interpretation of delegation. They hold that delegation is not essentially a devolution of authority from higher to a lower authority or from superior to a subordinate. In the words of Terry, "Delegation means conferring authority from one executive or organisation unit to another." It implies that delegation is not only devolution from higher to lower level and it can be from lower to a higher authority or between equal authorities. Delegation, thus can be downward, upward or sideward. According to Terry, Delegation may be classified as (a) Downward: when a higher authority delegates to the lower authority as a sales manager delegates to a salesman (b) Upward: when a lower authority delegates to a higher authority as the shareholders delegate their authority to the Board of Directors, and (c) 'Sideward' when delegation is at an equal level as in a case of a person delegating to his peers in the organisation. Therefore, delegation can be defined as the entrustment of a part of work or responsibility and authority to another and the creation of accountability for performance.

26.3 CHARACTERISTICS OF DELEGATION

Delegation being a process of devolution of authority has the following characteristics:

- 1) Delegation is the authorisation to a subordinate or another organisational unit to act in a certain way independently. The delegatee has to act within the limits prescribed by the delegator. Within these limits the delegatee (subordinate) is not free to act arbitrarily but subject to the policy, rules and regulations framed by the delegating authority.
- 2) Delegation has a dual character. A superior or delegator delegates the authority to the subordinate but at the same time retains the authority. It has been rightly observed by Terry. "It is something like imparting knowledge you share with others who then possess the knowledge, but you still retain the knowledge too."
- 3) Delegation implies partial delegation of authority. The delegator does not delegate his entire authority to his subordinates for in case, he delegates all his authority, he cannot exercise the power to supervise and control. Therefore, delegation is subject to specific or limited terms.
- 4) Authority once delegated is subject to variance. It can be enhanced, reduced or withdrawn. It all depends upon the requirement of the time and accomplishment of the task.

26.4 NEED FOR DELEGATION

Delegation is a universal phenomenon. No organisation can work without devolution of authority as it brings not only efficiency and economy, but also makes the administration smooth. Delegation can be justified on the following grounds:

i) Volume of Work

Increasing volume of work requires that there should be some sort of delegation. It becomes difficult for the head of an organisation to keep all the workload to himself. If he does like this, the work is sure to suffer. There will be neither efficiency nor economy. According to Albert K. Wickesberg: "as the demand for output increase, as volume goes up, there is a need for additional people to assist in doing the work for which the organisation was formed. With greater number of people involved, there is a division of the operative tasks, the actual production and selling of group services, and their related needs. There is a division of labour, often accompanied by increased speculation. There is an identification of tasks which can be performed satisfactorily by others and the assignment of those tasks to new employees... Consequently, there are many pressures, which are volume related and which give rise to delegation, redelegation and redefinition of duties and assignments."

ii) Complexity

The operational procedures of the organisations are becoming more and more complex.

complexities of rules and techniques has further added to the problem. Consequently the need of specialists is greatly felt. The line agencies, being compelled by the complexities delegate the work of deliberation, thinking and formulation of plans to staff specialists, though the ultimate power to approve the plans lies with the line agencies.

i) Saves Time for Policy Formulation and Planning

The executive head always needs more and more time for planning and policy formulation. If he remains busy with minor details, he would not be able to devote much time to planning and decision making. The superior who delegates effectively, is free to do more supervisory work and overall planning. This, in turn, usually results in a smoother running and more productive organisation. Thus delegation helps the Chief Executive to devote his time and energy to decision making, policy formulation and planning and relieves him off from much of the unimportant load of work which can be easily done through his subordinates.

ii) Educative Value

Delegation has an educative value. As one of the major duties of the manager is to train his subordinates in the art of sharing responsibility and making decisions, delegation plays a phenomenal role in this direction. It provides an opportunity to the subordinates to get training in the field of sharing responsibility. The subordinates feel encouraged and develop greater loyalty and a sense of belonging to the organisation. It raises their morale and they feel pride in identifying themselves with the organisation.

iii) Management Development

The process of delegation is not only educative in nature but is also productive. It provides managerial development training and helps in the creation of a managerial class of subordinates. The executives at different levels can take decisions and action on any vital issues on their own. They develop a sense of taking initiative and face the challenges. In this way delegation provides an ample scope for self advancement and self expression. Delegation is, thus, the cardinal step in management development.

iv) To bring Flexibility in Organisation

Rigidity in an organisation is always harmful. It proves as an obstacle in the way of increasing the output and efficiency in work. To bring flexibility in the organisation, delegation is an essentiality. Delegation removes rigidity and helps in acting in accordance with the changes in the situation.

v) Geographical Dispersions

Large organisations have geographical dispersions. They have a net work of branches, multiple units spread over a wide area. Delegation and decentralisation of authority helps manage effectively the diversified and dispersed business. The branches and units of a large organisation being away from the head office need delegation of authority. Delegation helps them to run efficiently and promptly.

vi) Economy and Efficiency

Delegation of authority helps in the division of labour, essential for the discharge of duties efficiently and expeditiously. Delegation minimises delays and makes the organisation to work more efficiently and economically. Due to clear demarcation of authority at various levels of administration, delegation is also conducive to an effective control over different branches or levels of organisation.

vii) Helps in Succession

There is a great relation between delegation and succession. An administrator, by

delegation can prepare the way for his successor. It means when an administrator quits, another should be able to succeed him. In the words of Schell, "Delegation is one of the most effective tools available to an executive in preparing the way for his successor. Indeed, it is the most important tool for selection and training successors." Delegation helps in succession or continuance of ideas also. Every enterprise is based on certain ideal and those ideals continue to exist even after the exit of the administrator.

By referring to American Administration, White has summed up the reasons of delegation in these words: "Circumstances of magnitude and volume, however, require some delegation of authority and the settlement of much business at the point where it arises. The convenience of citizens alone compels most matters to be handled outside Washington. The avoidance of delay in administrative bottlenecks requires decisions at a hundred or a thousand field offices rather than a single headquarters establishment. In some cases, proper adjustment of policy and programme to local conditions requires discretionary field decisions. Certainly, the delegation of authority means greater energy, a higher sense of responsibility and better morale among field agents. They are not content to be mere messengers and reporters of their Washington Superiors.

Check Your Progress i

Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

1) Define delegation.

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2) Give three characteristics of delegation.

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3) List four needs of delegation.

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26.5 TYPES OF DELEGATION

Delegation can be of several types viz., permanent or temporary, full or partially, conditional or unconditional, formal or informal, and direct or indirect. We shall discuss these different types in some detail.

Permanent and Temporary Delegation

Delegation may be of permanent or temporary nature. In case of permanent delegation the powers are delegated forever subject to normal conditions. Only in extraordinary

circumstances this kind of delegation might be revoked. Temporary delegation implies delegation of powers for a short period for the accomplishment of some end. When the end is achieved the delegation also ends. According to Erwin Haskell Schell, "The extent and area of delegation may vary depending upon circumstances. You may for example wish to delegate responsibilities for a temporary period, pending the return of one who has his responsibility as a regular assignment."

Full and Partial Delegation

Delegation is full when no conditions are attached to the delegation and the person, whom powers are delegated, has the full authority to make decision and take action. It is partial when the decision taken by him is to be approved by the delegation authority. For example when a diplomat is sent abroad with full powers to negotiate, it is full delegation but when he is required to get advice or approval before making the final negotiation, it is partial delegation.

Conditional and Unconditional

Delegation can be conditional and unconditional. Delegation is conditional when some conditions are imposed on the person, on whom the delegation is conferred. It is unconditional when the subordinate is free to act without any reservation. For example when the decision of the subordinate is subject to confirmation and revision by the superior it is conditional delegation but when he is authorised to act in his discretion the delegation is unconditional.

Formal and Informal

Delegation is formal when embodied in written rules, by-laws or orders; on the other hand it is informal when based on customs, conventions and understanding.

Direct and Indirect

Delegation is direct when no intermediary is involved. But when a third person or party is involved, it may be called indirect delegation.

26.6 PRINCIPLES OF DELEGATION

Delegation is always governed by certain principles. Unless these principles are observed, delegation can not be made effective. The following principles are generally observed at the time of delegation of authority:

- i) Delegation should be done in a clear manner: There should be no ambiguity about the authority that has been delegated. Policies regulations and procedures should be well defined as to give no misunderstanding to the subordinates using discretionary powers.
- ii) The delegatee must know exactly how much authority has been delegated: The orders of delegation should be issued in written form, so that the persons whom powers have been delegated, should be clear about the limits to delegation.
- iii) The authority is delegated to get certain results by performing particular activities: The authority delegated to a subordinate should be adequate to assure his ability to accomplish the task assigned to him. The delegatee should be given the authority to use his discretion and the delegatee should not expect him to act according to his own wishes. The subordinates should be granted all the authority and responsibility they can handle.
- iv) Authority and responsibility should go as co-equal: Authority entrusts a subordinate the right of taking and enforcing decision to achieve the assigned activities while responsibility places the obligation upon him to perform these activities by using this authority. Authority without responsibility lacks an ultimate purpose, and likewise, responsibility without authority to carry on assigned activities has a hollow ring. Hence authority and responsibility should go together on the basis of parity.
- v) Total responsibility of the superior: As total responsibility can not be delegated the superior can not avoid his responsibility for the overall activities assigned to him merely by delegating his authority to his subordinates. The subordinates is always

responsible to the superior for the activities assigned to him. No superior can avoid his overall responsibility.

- vi) Delegation is based on the principle of unity of command: This implies that a subordinate should be responsible to a single superior and should get the authority from him. The direct relationship between the superior and subordinate eliminates confusion and ambiguity. Responsibility to a single superior lessens the problem of conflict in instructions and creates a feeling of greater responsibility for results. Contrary to this, responsibility can not be fixed accurately and the authority of the superior is undermined.
- vii) "Keeping the communication open": These words emphasise that even after getting delegated assignment, the subordinates should be allowed to meet and consult the administrator whenever he feels the need for the same. The administrator should always be ready to guide the subordinate. He should not grumble when a subordinate commits a mistake in connection with the delegated job but should rather come to his rescue by providing necessary help and guidance.
- viii) Delegation should be succeeded by appraisal: When a delegated assignment is completed it should be followed by an appraisal of the subordinates performance. As authority is pushed downward, top management must exercise a restraining hand, so as to be sure that the interests of the programme are not jeopardised by conflicting policies. For this purpose systematic reporting system should be introduced. It will provide an opportunity to the superiors to review the progress of subordinates.
- ix) Delegation should be properly planned and be systematic: Authority and responsibility for each position in the management of an organisation should be spelt out and delegation should be made to a position rather than an individual.

In spite of the above mentioned principles of delegation, it can be said that delegation is a difficult process, which is not based on any precise principle. The above narrated principles are simply for guidance of the administrators, and they are not prescriptions for all situations.

26.7 HINDRANCES TO DELEGATION

No doubt delegation is of great significance for all organisation, still, it is often seen that the superior officers hesitate to delegate authority. In fact, there are several hindrances to delegation which can be grouped as, (a) Organisational and (b) Personal.

26.7.1 Organisational Hindrances

They are as follows:

- i) **Lack of established methods and procedures:** For making delegation a success it is essential that definite procedures for delegating the authority should be laid down. Delegation becomes easier if procedures and rules are well established.
- ii) **Lack of co-ordination and communication:** Co-ordination is the cardinal principle of organisation. Without co-ordination no organisation can work. But co-ordination requires close communication between the different units of an organisation. Without communication there can not be any delegation and co-ordination.
- iii) **Unstable and non-repetitive nature of work:** Stability is a must for delegation. Stable and repetitive work affords a greater degree of delegation.
- iv) **Size and location of an organisation:** Size and location of the units of an organisation sometimes hinder the delegation of authority. The larger the organisation and broader its geographic coverage, the greater are the chances for delegation.
- v) **Lack of properly spelled out positions and unspecific terms of delegation of duties and authority** cause confusion and adversely affects the delegation of authority.

26.7.2 Personal Hindrances

Personal factors, too, stand in the way of delegation. These factors can be egoism tendency to have credit for everything, fear of disloyalty on the part of the subordinates, lack of confidence in the capacity and competence of the subordinates; lack of emotional maturity,

on the part of the delegating authority or person; lack of knowledge of what to delegate and how; fear of accountability to the higher ups or the legislature or the people.

According to Pfiffner the following human causes hinder the process of delegation of authority to the authorities:

- 1) Persons who rise to position of hierarchical leadership have more than normal egotism.
- 2) They are afraid that others will not make the proper decision or carry them out in the desired manner.
- 3) They fear that disloyal or subversive powers will develop among strong subordinates.
- 4) Strong, vigorous, and highly motivated persons become impatient with the slower pace and indecisiveness of subordinates.
- 5) In Public Administration, political considerations often make delegation difficult.
- 6) The cultural heritage of man has been one of authoritarian, patriarchal leadership; thus the practice of delegation is partly dependent on cultural change.
- 7) The act of delegation requires an emotional maturity which apparently is rare, even among successful persons.
- 8) The symbols of leadership (those personal qualities and traits which attract the attention of others) are inconsistent with the philosophy of delegation. Those striving to succeed must make themselves prominent.
- 9) Persons who desire to delegate do not know how to do it.
- 10) They do not know how far they should delegate at least for two reasons (i) the science of organisation and management is immature; and (ii) their work experience has not taught them to neglect because most organisations fail to practice delegation."

In addition to these hindrance the non-acceptance of delegation on the part of the subordinates too has a great bearing. The main reasons for non-acceptance can be summed up as (i) fear of criticism (ii) lack of needed information and resources to do a good job (iii) lack of confidence to exercise delegated authority and make correct decisions (iv) lack of initiative and drive and (v) more work than one's capacity.

No doubt the above mentioned hindrances stand in the way of delegation but the significance of delegation in an organisation set up can not be denied. No organisation can work without delegation and devolution. As delegation is a must, the only way to meet these challenges is to remove the bottlenecks as far as possible. For removing the organisational factors proper procedures and methods should be established and all concerned should follow them at the time of delegating the authority and performing the assigned responsibilities. The organisations should develop a system in which the duties and responsibilities of the incumbents holding different positions in organisational hierarchy should be clearly defined. The organisation must possess a proper system of co-ordination and communication at different levels of administration.

Pfiffner has described the following techniques to make the delegation effective:

- v) Select subordinates capable of shouldering responsibility.
- i) Define such responsibility.
- ii) Train them to carry it.
- v) Establish general policies and disseminate them throughout the organisation.
- v) Strive towards maximum standardisation of both functional and house keeping procedures.
- i) Carry on perpetual management planning consisting of job analysis, organisation study, budget planning, work flow study and simplification of system and procedure.
- ii) Establish external checks which automatically show danger signals.
- iii) Assure the flow of information up, down and across the hierarchy.

6.8 LIMITS TO DELEGATION

No doubt delegation is a must in all the organisations, but no chief or superior officer can be allowed to delegate all his authority. The delegation of complete authority makes the executive superfluous. Though, the extent of delegation vary from case to case depending

upon the nature of the case, circumstances and organisational structure, there are some well recognized limits to delegation. According to M.P. Shama the following powers cannot be delegated:

- i) The supervision of work of the first line or immediate subordinates.
- ii) General financial supervision and the power to sanction expenditure above a specified amount.
- iii) Power to sanction new policies and plans and departures from established policy or precedent.
- iv) Rule making power where it is vested in the delegating officer.
- v) Making specified higher appointments.
- vi) Hearing of appeals from the decisions of at least the immediate subordinates.

Without retaining these powers the chief executive can not control the organisation effectively. It may reduce him to be an ineffective entity.

Check Your Progress 2

Note: i) Use the space below for your answers.

ii) Check your answer with those given at the end of the unit.

1) Distinguish between different types of delegation.

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2) Explain any three principles of delegation.

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3). What are the hindrances to delegation?

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Discuss the limits of delegation.

Dotted lines for writing.

26.9 LET US SUM UP

Delegation is the most important problem of management. No organisation can work without the provision of delegation. Delegation in simple words implies conferring specified authority by a higher to a lower authority. In other words, it means assigning of authority and duties to others for the attainment of desired ends. Delegation, however, is not the final and authority can be taken back by the person who delegates authority. Delegation can be of several types. It can be permanent and temporary, full and partial, conditional and unconditional, formal and informal and direct and indirect.

The need of delegation is evident, for all organisations. It helps in division of work and reduction of complexity in the working of organisational procedures. It helps in saving more time for policy formulation and planning. It has an educative value and provides an opportunity to the subordinates to shoulder more responsibilities with courage and efficiency. It brings flexibility in the working of an organisation. It makes the administration of an organisation efficient by raising the morale of its employees.

Delegation is governed by certain principles without which it is not possible to delegate authority effectively and efficiently. It should be written and specific. Authority and responsibility for each position in the organisation should be clearly spelled out. It should be confined to the position and not to the individual. Delegation should be planned and systematic. As complete delegation is not possible, only that much authority should be delegated as it is within the competence of subordinates to exercise with caution. There should be a provision of reporting and appraisal. Policies, regulations and procedures should be clearly defined so that there may not remain any ambiguity regarding the powers delegated by a superior to the subordinates.

Delegation is subject to both organisational and personal hindrances. Lack of methods and procedures, lack of means of coordination and communication, size and location of organisation and personal factors like egoism, tendency to concentrate power, emotional immaturity and the reluctance to delegate powers stand in the way of delegation.

As complete delegation is neither essential nor practicable nor in the interest of the chief executive and the organisation, it is subject to some limits. Powers pertaining to finance, appraisal, formulation of policy and planning, power of appeal against unjust decisions, etc. cannot be delegated.

26.10 KEY WORDS

- Cardinal: Fundamental.
Disseminate: Scatter.
Egoism: Self interest as moral basis of behaviour.

Job analysis: Systematic examination, determination of nature, characteristics, functions, activities of a job and knowledge, skills, experience necessary to perform it.

Work flow study: Study of procedures of the job of the employees at work.

26.11 SOME USEFUL BOOKS

Mooney, James D. 1957. *Principles of Organisation*; Harper and Brothers: New York.

Pfiffner John M. and Sherwood, Frank P. 1968. *Administrative Organisation*; Prentice Hall of India: New Delhi.

Terry, George R. 1964. *Principles of Management*; Homewood: Illinois.

White L.D., 1958. *Introduction to Public Administration*; Eurasia Publishing House (P) Ltd. : New Delhi.

26.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 26.2
- 2) See Section 26.3
- 3) See Section 26.4

Check Your Progress 2

- 1) See Section 26.5
- 2) See Section 26.6
- 3) See Section 26.7
- 4) See Section 26.8

UNIT 27 SUPERVISION

Structure

- 27.0 Objectives
- 27.1 Introduction
- 27.2 Meaning and Definition
- 27.3 Different Aspects of Supervision
 - 27.3.1 Singular and Plural Supervision
- 27.4 Techniques of Supervision
- 27.5 Qualities of a Good Supervisor
- 27.6 Duties of a Supervisor
- 27.7 Training of Supervisors
- 27.8 Let Us Sum Up
- 27.9 Key Words
- 27.10 Some Useful Books
- 27.11 Answers to Check Your Progress Exercises

27.0 OBJECTIVES

After studying this unit you should be able to:

- describe the meaning and significance of supervision
- discuss the different aspects and techniques of supervision and
- explain the qualities of a good supervisor.

27.1 INTRODUCTION

Supervision is the most important task of management. In every organisation, public or private, there is a provision for supervision at every level of administration. The scalar system provides that each level in the hierarchical organisation is subject to the supervision of the one immediately above it and that each employee is subject to the control of his immediate superior. According to John M. Pfiffner, "From one point of view Supervision runs up the hierarchy to its highest levels—bureau chiefs supervise division heads, who in turn supervise section heads, who supervise the rank and file." Therefore in every organisation supervision can be found at all levels and this top to bottom chain relationship provides coherence in the organisation. In this unit we shall study the importance, techniques of supervision and the role of supervisor in administrative organisation.

27.2 MEANING AND DEFINITION

The word supervision is made of two words "Super" and "Vision" which means oversee or superintend. In simple words it implies the superior's power of supervising the work of others. It is an act of overseeing and guiding the activities of subordinates by their superiors. Negatively it means directing, investigating and supervising the activities of the personnel working in an organisation. Positively it implies to guide and advise the subordinates with an objective to achieve the required target. In the words of Terry and Franklin, Supervision means, "guiding and directing efforts of employees and other resources to accomplish stated work outputs." By stressing on humanistic nature of supervision, Williamson 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." Thus supervision is a two way process; on the one side, it is a guiding process while on the other hand, it aims at

superintending the work of others. In fact, it has many ingredients. Halsey has rightly remarked, supervision 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 is 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."

27.3 DIFFERENT ASPECTS OF SUPERVISION

Supervision is a broad term and its nature and scope varies with the kind of work and the people to be supervised, the extent of supervisory responsibility and the level of supervision. For example the nature of supervision of work and people working in the factories is quite different from the kind of supervision of the work of the employees working in an office. The nature of supervision of skilled or professional employees is quite different from that of unskilled workers as their work, conditions of working and problems are quite different. Similarly, the supervision at higher level is less close and detailed than at the lower level and also requires higher ability, experience and tact. Thus supervision has a wide meaning and the supervisor is expected to perform different kinds of functions. In the words of F.M. Marx, "The supervisor is the person who knows both the work to be done and the policies and procedures set down by the management; and who can motivate the work group to perform its tasks within the framework of these policies and procedures. His job may thus be described as (i) substantive or technical relating to the work to be done (ii) Institutional or objective relating to the policies and procedures according to which the work must be done; and (iii) personal relating to the handling of workers." Thus there are three principal aspects of supervisor's working: i) substantive or technical, ii) institutional, and iii) personal. We shall discuss about each of them in some detail.

Substantive Aspect

A supervisor must know the technique and the know-how of his work because he has to plan his work, assign duties to others and set standards of performance.

Institutional Aspect

A supervisor has to run the agency or unit under his charge according to established rules and procedures and within the framework of policy. He should ensure that the work is rightly done and finished in time. He is responsible for assignment of duties, for attendance, personality and personal conduct of the personnel working under his charge. He is also responsible for proper conservation of equipment and supplies.

Personal Aspect

This is the most important aspect of the supervisor's job. No doubt the supervisor has the authority to get work from the employees. But authority also is not sufficient to get the work out of others. To get the work done the supervisor has to create interest and enthusiasm among the workers in the work. Authority in fact, flows from within. As Mary Parker Follet has remarked, "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." In order to let authority arise from within the organisation, a supervisor must be human, sympathetic and considerate in nature and possess the art of human relationship.

27.3.1 Singular and Plural Supervision

In an organisation all persons who exercise control over the work of others can be regarded as supervisors irrespective of their position or status in the chain of hierarchy. But the question arises whether the authority to supervise should be singular or plural.

According to principles of unity of command and hierarchy, each member of an

organisation should be subject to the authority of one supervisor. In other words, he should be supervised only by one supervisor. It implies that supervising authority must be singular. But in practice the case is different as a single supervisor may not be familiar with the different aspects of work done by numerous subordinates working under him. The process of functional specialisation has made the work of supervision more difficult. Keeping in view, this aspect, F.W. Taylor, the father of Scientific Management Movement, advocated plural or multiple supervision in industry. According to him there should be a team of eight functional or specialist foremen to supervise each different aspect of worker's work. No doubt the modern theory of management does not accept Taylor's concept of plural supervision and favours the principle of unity of command, but in practice plural supervision, has become a matter of fact. We have in the modern organisation functional supervision by various specialists running side by side with administrative supervision. This multiplicity is sought to be explained away by the functions of staff which is said to be advisory and suggestive rather than authoritative in nature. Therefore, it can be said that there are two kinds of supervisors i.e., line and staff. Line supervisors control the subordinates in the line of command while staff or functional supervisors control the technical aspect of the job. Thus, both exist simultaneously though the line is more authoritative than the staff.

27.4 TECHNIQUES OF SUPERVISION

According to John D. Miller, there are following six techniques of supervision:

- i) Prior approval of individual projects before initiation by an operating agency
- ii) The promulgation of service standards
- iii) Budgetary limitations upon the magnitude of operations
- iv) Approval of key subordinate personnel
- v) A reporting system on work progress
- vi) Inspection of results

All the above techniques are essential from the point of view of supervision. We shall discuss about each technique.

i) **Prior Approval:** It is the most common technique of supervision. It implies that before taking initiative to do some work or make some policy, the subordinate must get the approval of the superior authority. This is a common practice in all the countries. In most of the government activities before the work is started, the prior sanction of large projects and schemes by the superior authority is essential.

In this way, the supervisor becomes aware of the policies and plans of the organisation in advance which provides him an opportunity to have full control over the project. While giving sanction, he keeps in mind the objectives of his organisation and can suggest some improvements and changes in the scheme of the project. The supervisor will have a chance to know about the kind of work that is to be done by his unit. He will also get a chance to know before hand the difficulties he will have to face and find out solutions to those difficulties. Some misunderstandings if any, can also be solved and errors rectified. In this way, the approving level is able to get 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 the actual work begins. If the general plans are inadequate to meet particular situations, modification can be affected by approving the individual project.

This is also an effective way to developing policies and programmes in the new fields where the agency has no experience or definite policy. This system is followed at all levels of administration in India in all the public organisations.

No doubt this is a very useful method for the top management for exercising effective supervision of the organisation but it suffers from certain drawbacks. Often this technique leads to delay in the execution of huge projects and policies, increases red-tape and creates tension between the staff and the supervisors. Sometimes unnecessary delay makes the work static and the organisation fails in the achievement of its objectives and has to undergo heavy losses. In addition to this, technique may sometimes lead to clashes and loss of confidence between the management and the operating functionaries. Therefore, in this case the sanctioning authorities must act judiciously and liberally. They should not

waste time in keeping the proposals unnecessarily and if possible try to decentralise their authority of granting approval to the possible level of administrative hierarchy.

ii) **Service Standards:** The second technique of supervision is laying down of some standards by the top management for the operating agencies. Service standards serve as norms of determining how efficiently the operating units perform their tasks assigned to them. It gives a measuring rod to the supervisor to measure the output of his subordinates and provides him opportunity to take disciplinary action against those who do not reach expected norms. This technique is used in all the countries. According to Millet, "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 routine which becomes more important than rendering service. Only if a constant standard is set up for the performance of the work itself can the inclination to procrastination and delay be overcome." Although standards add to the efficiency and makes the supervision effective but the standard so fixed should be fair, concrete and objective. But it is a difficult process to fix up service standards in administrative activities, where the standards are to be qualitative rather than quantitative.

iii) **Work Budget:** Budgetary provision is another significant technique of supervision. Budget is an effective measure to exercise control over administration. The performance budget allocations fix the magnitude of the work to be done by an operating agency during a fixed period. It makes the control of the top management effective as the operating agencies are restricted to spend the money and they do not have the free hand to spend as and when they feel like doing so. 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.

This is a good method as it encourages local initiative without effecting the system of central control. This method is commonly used in the large scale industrial and commercial units. Even the public sector undertakings and the executive departments, have started making good use of this technique for exercising control over the operating agencies.

iv) **Approval of Personnel:** Another technique of supervision which is quite common among the government agencies is the right to approve the selection and appointments of personnel. This enables the top management to have an effective control over the organisation. In reality no government agency is given complete independence in the matter of making recruitment of personnel. The operating agencies are permitted to make recruitment of subordinate staff. Generally, recruitment to public agencies is made through a central personnel agency commonly known as Public Service Commission. The central personnel agency retains the right to approve the appointments made by the subordinate operating agencies.

v) **Reporting:** It is an important technique of supervision. The top management gets report from different operating units. On the basis of these reports, the top management or the supervisor can analyse and evaluate the actual performance of the operating units. These reports can be sent daily, weekly, fortnightly, monthly, quarterly, half yearly or yearly, according to the requirements. 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 emphasise achievement or deficiencies in performance. After analysing the reports received from the units, the supervisor or controlling agency can point out the deficiencies to the concerned and motivates them to remove those deficiencies in future. In some case, the supervisor may reprimand his subordinates and give them new instructions.

vi) **Inspection:** Inspection is also a significant technique of supervision. The main purpose of inspection is to observe that the field agencies are working according to established norms, rules and procedures and whether their performance is upto the expectation of the central office. Through inspection, the supervisor can get the needed information and can pass it onward to the higher authorities. But this does not mean that inspection is only a fault finding process. On the other hand it seeks "to acquire information". It helps to clarify management's purpose and intentions. It helps to acquaint top management with the operating problems facing subordinate levels of management. It helps to build

personal relationship of mutual acquaintance and confidence. Leonard D. White, while elaborating the word 'inspection' has observed that, it involves, (i) a standard fixed by law or by administrative rule or order; (ii) an obligation on the part of individuals to observe the standard, with penalties for non-observance (iii) and obligations to submit to inspection; (iv) the actual viewing of the premises to determine compliance or non-compliance, (v) an order to make such alterations as may be required to secure compliance, (vi) usually an opportunity for an administrative appeal against the others; (vii) an eventual opportunity for court review.

Check Your Progress 1

- Note: i) Use the space given below for your answers.
- ii) Check your answers with those given at the end of the unit.

1) Define supervision.

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Explain substantive and institutional aspects of supervision.

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Distinguish between singular and plural supervision.

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Explain service standards as a technique of supervision.

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Explain the significance of inspection as a technique of supervision.

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27.5 QUALITIES OF A GOOD SUPERVISOR

Supervision requires good supervisors. Some believe that supervisors are born not made. Such people emphasise the inborn qualities of supervisors. But these qualities confine to personal qualities like attractive personality, good health, high intelligence, persuasiveness and loyalty to the organisation. But in addition to these personal traits there are certain qualities which a person must acquire to become a good supervisor. Thus a good supervisor can have both personal and acquired traits. Pf. Pfiffner has mentioned the following main qualities of a good supervisor:

- i) Command of job content i.e., expert knowledge of the work to be supervised;
- ii) Personal qualifications, like integrity, honesty, ability to cooperate, ability to attract, motivate, enthuse and unite others to work;
- iii) Teaching ability i.e., ability to communicate with the workers and make them understand the view point of the management;
- iv) General outlook i.e., the supervisor should like his job and be absorbed in it and inspire those who work under him;
- v) Courage and fortitude i.e., ability to take decisions and assume responsibilities;
- vi) Ethical and moral considerations i.e., freedom from vices;
- vii) Administrative technology i.e., ability to manage, organise and coordinate; and
- viii) Curiosity and intellectual ability i.e., intellectual alertness, and receptivity to new ideas and practices.

According to Halsey a good supervisor must develop the following qualities:

- 1) **Thoroughness:** A supervisor should collect all the information relevant to the issue and take care of every necessary detail.
- 2) **Fairness:** It includes a sense of justice, consideration and truthfulness towards workers.
- 3) **Initiative:** It is a combination of three qualities of courage, self confidence and decisiveness.
- 4) **Tact:** It is the ability to win the loyalty and support of others by saying and doing those things 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 implies not the elimination of emotions but rather to control and channel them in right direction.

But the most important quality essential for a supervisor is the human relations aspect of supervision. Today the place of command has been taken by persuasion and the success of a supervisor depends more on his personal relations with his subordinates. It has been rightly observed. "The pattern of leadership desirable in supervisory position is based upon behaviour that emphasises cooperation, participation, consultation, and satisfaction for the egos of the rank and the file, through strong leader may have to subdue his natural desire for self assertion and self display." Thus a supervisor must keep the human element in mind and try to win over the confidence of his subordinates by treating them in a cordial and persuasive manner. He should have faith in participative management and adopt a helpful and encouraging attitude towards his subordinates.

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) What factors make communication effective?

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8.5 TYPES OF COMMUNICATION

There are three types viz., downward, upward and lateral, based on the direction of communication flow. It would be worthwhile for us to briefly discuss these types. These formal types are also supplemented by informal types like the 'grapevine'.

Downward Communication

Downward communication refers to the instructions and other official messages originating with the top personnel of an organisation. These are transmitted from top to down through hierarchical set up and reach the lowest ranking official in the chain. The top level for downward communication makes use of devices, such as, directives, written verbal orders or instructions, manuals, staff conferences, budget sanctions, other authorisations to inform the lower rungs about its attitude and ideas as well as to direct, guide and advise. 'In large organisations, downward communication is difficult enough to begin with, because orders must descend through numerous intermediate levels before the point of execution is reached. Misunderstandings can easily occur when instructions pass through so many people. If little upward communication exists, the difficulties are multiplied, because the orders themselves are apt to be unrealistic and are likely to meet with worker's resistance.'

Upward Communication

In upward communication, messages are passed by the lower levels in the hierarchy up to those heading the organisation. This includes whatever information is passed up through methods, such as written and verbal reports pertaining to performance and progress, statistical and accounting reports related to work, written and verbal requests for seeking guidance suggestion and discussions. The upward reporting system is often of very limited use or value in finding fault in the agency's operation because some times the head of the agency may appear to be unbelievably blind as to what is really going on in his agency; not based on the reports he gets everything is fine: these reports simply do not present him with all the facts.

Lateral Communication

Lateral communication may take place among officials of the same level in the hierarchy among the officials who are out of superior-subordinate relationship. We may call it

across communication. The methods viz., written or verbal information and reports, formal and informal as well as personal contacts, staff meetings and coordination committees, are used in this type of communication. This type is helpful in bringing together the related but different parts of the organisation. Assuring coordination of organisational objectives, the officials of the organisation should communicate their plans and interactions to one another clearly.

Informal Communication

The rigidity of formal channels gives rise to informal channels of communication. They supplement formal ones. Such channels of communication, often called 'grapevine' are branded as dangerous and mischievous to organisational functioning. They damage the organisational interests by carrying gossip and false information. But often they play a very constructive role. For example, take the case of a person in an organisation who is worried over a particular matter, but has no access to such information which will relieve him of his tension. In such circumstances, the informal channels which have an access to that information will help the employees by furnishing the information or by informing to higher ups about his genuine concern over the matter.

Informal communication flows through friendship circles and other small groups in the organisation. They may even be unorthodox channels like espionage networks. One positive feature of these channels is that it removes some of the problems in upward communication. They also facilitate downward and lateral communication.

The greatest danger of informal channels is that they can distort the information. If the administrators know what type of informal channels are working in the organisation and what sort of information is circulated, it helps them in coordinating the affairs. Excessive dependence of the employees on informal channels is an indicator of weak coordination in the organisation. Some times informal channels work to sabotage the organisational purpose. To counter this danger, organisations have to develop openness in information sharing and socialisation practices.

28.6 MEDIA OF COMMUNICATION

It would be possible to classify the communication media into three main groups: Audial, Visual and Audio-Visual.

Audial communication media is adopted through conferences, the interviews, the inspection trips, public meetings, broadcasts, telephone calls, etc.

Visual communication media includes written communications viz., circulars, manuals, reports, bulletins and hand books and pictorial forms namely pictures, photographs, posters, cartoons, slides, flags, insignia, etc.

Audio-visual media comprises sound motion pictures, television and personal demonstrations.

Each of these media has its advantages and disadvantages but it is up to the management decide what media will be used for which purpose.

The conference as method of communication has gained momentum in attaining market popularity. This method helps in avoiding delays, minimising correspondence and reduce red-tapism. The main uses of the conference method, according to Millett, are: (1) to gain awareness of a problem; (2) to help in problem solving; (3) to gain acceptance and execution of decision; (4) to help/promote a sense of unity among the officials of the organisation; (5) to help in appraising personnel; and (6) to help in encouraging an exchange of information and informal relationship among administrative personnel. Conferences aid individuals to discharge their present responsibilities more effectively, coordinate their working relationship, and enable them to profit from others experience broaden their view point and formalise organisational communication.

The conference method possesses the advantage of creating a high degree of interest, fit and equal participation by group members, satisfaction through mutual achievement, acceptance of results by participants inculcating habit of analysis and integration of thought, developing group morale and possessing an informality.

There are some limitations of conference method in the views of the Estimate Committee of Government of India. Its 9th report states: "The conferences have become so many and are sometimes so unwieldy that it is impossible for officers participation in them to do full justice to the subject matter of the discussions and, in practice, instead of the meetings, short discussions, notings, etc.... they sometimes lead to protracted correspondence, in as much as different view points which are expressed have to be recorded, corrected and reconciled and delay occurs in framing agreed minutes and sometimes further conferences become necessary as a result of incomplete discussions, sometimes, the same officer has to attend more than one conference the same day and cannot obviously be fully prepared for each conference, consequently, he does not contribute fully to the discussions. In short, the conference system is proving more elaborate than the original procedure of noting on files."

Conferences should be carefully managed so as to make them most useful. A conference must follow or observe preliminary planning, expert services, rules and provide for adequate organisation for effective working. Persons responsible for preliminary planning must be given adequate or sufficient time and the qualified persons should be assigned tasks well in advance. The conference room should be well equipped with the provision of aids like black-boards, slides and projectors, recording, seating arrangement, timing, etc. The personality of the Chairman and the procedure adopted may help in making the conference successful.

28.7 FACTORS INHIBITING COMMUNICATION

There are certain factors which come in the way of smooth flow of communication process. With the result, the communication becomes ineffective. They are described below.

Rigidity

In a conversation, the meaning attached to various words and expressions vary from person to person. Some people hold stray views on various matters. They hardly listen to other persons, in view of their rigid stand on certain matters. This leads to ineffective communication. People have to develop the skill of listening to others. They must have patience to accommodate the view points of others. This leads to effective communication.

Generalisations

Another factor which leads to ineffective communication is generalisation. If an aged person has had a bad experience with some youth, he considers all youth as unruly. Similarly, if a person had read an unimpressive poem written by a poet, he considers all that is written by that poet as unworthy. Such feelings about persons and things in day to day life act as stereotype ideas on one's personality. This leads to ineffective communication.

Extreme Opinions

Some people brand everything in this world as either good or bad. In their day to day life they show rigidity. But, in real life it is difficult to view things in two simplified compartments. There are so many grey areas which exist. People with extreme opinions have in such a way, that if a person is good in one area, they consider him good in every aspect of life. This happens in the other way also. This leads to ineffective communication.

There is need to overcome some of these limiting factors and make the communications effective. The following suggestions are given for the purpose:

Communication should express the total needs of the organisation.

Communication is effective in a climate of mutual trust and confidence.

Communication should be treated as a continuing programme. It should not be equated with a brief campaign.

The purpose of communication and the person to whom directed should be very clear.

- e) Communication should be both ways i.e., upward and downward.
- f) The language and line of communication should be very clear.
- g) Communication should reflect the policies, programmes and practices of management.

More important than the above is the need for mutual understanding and respect and confidence and trust between communicators. Only this will enable communication of personal feelings and real problems.

Check Your Progress 2

- Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.
- 1) Explain the role of informal communications in an organisation.

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Teal Ordway, 1951. *The Art of Administration*; McGraw-Hill Book Company: New York.

28.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 28.2
- 2) See Section 28.3
- 3) See Section 28.4

Check Your Progress 2

- 1) See Section 28.5
- 2) See Section 28.6
- 3) See Section 28.7
- 4) See Section 28.7

UNIT 29 ADMINISTRATIVE PLANNING

Structure -

- 29.0 Objectives
- 29.1 Introduction
- 29.2 Meaning and Significance
- 29.3 Nature of Planning
- 29.4 Types of Planning
 - 29.4.1 Policy and Programme Planning
 - 29.4.2 Activity Planning and Central Planning
- 29.5 Planning Process
- 29.6 Planning Techniques
- 29.7 Location of Planning Activities
- 29.8 Problems of Planning
- 29.9 Let Us Sum Up
- 29.10 Key Words
- 29.11 Some Useful Books
- 29.12 Answers to Check Your Progress Exercises

29.0 OBJECTIVES

After studying this unit you should be able:

- to explain the meaning and significance of planning in administration
- to distinguish between policy planning and programme planning and activity planning and central planning
- to describe the process and techniques of planning; and
- to analyse the problems of planning.

29.1 INTRODUCTION

Administration has generally been defined as an art and science of getting things done. In the management of public affairs, 'administration' is conscious action to ensure that the policies of government are implemented faithfully in order to achieve intended results. For instance, if the government policy is to distribute crop loans to small and marginal farmers to improve their economic status via better production, administrative planning would involve a series of actions starting from proper identification of the beneficiaries to actual disbursement of loan funds for the intended purposes. Administrative planning would thus embrace a number of action plans such as target group identification, determination of standards for quantum of loan funds, timely disbursement of loan, monitoring of utilisation of loan funds, finding out the quantum of actual output, and ensuring timely repayment of loan funds. Thus, administrative planning is crucial for the achievement of results of public sponsored programmes. In this unit, we shall study the significance, techniques and process of administrative planning.

29.2 MEANING AND SIGNIFICANCE

Administration involves planning, organising, leading and evaluating people and programmes, so as to achieve specific goals of the government. Thus, planning is the first and foremost activity to achieve results in the administrative process. It involves determining goals and committing the necessary resources in advance. In simple, it is to decide on what to do, how to do and who is to do, with reference to an activity in the process of administration. Several definitions are available on planning and the most

widely quoted definitions are discussed here. Simon and his associates define planning as the activity that concerns itself with proposals for the future, with the evaluation of alternative proposals, and with the methods by which these proposals may be achieved. Planning is rational, adaptive thought applied to the future and to matters over which the planners, or the administrative organisation with which they are associated, have some degree of control. According to Peter Drucker, "Planning is the continuous process of making present risk taking decisions systematically and with the best possible knowledge of their futurity, organising systematically the efforts needed to carry out these decisions, and measuring the results of these decisions against the expectations through organized systematic feedback." Millet describes planning as the process of determining objectives of administrative efforts and of devising the means calculated to achieve them. Planning is a conscious activity of rationalising the decision making processes in an organisation. It is, according to Dimock and Dimock, 'an organised attempt to anticipate and to make rational arrangements for dealing with future problems by projecting trends.' Planning is indispensable to administrative process as decisions to realise the goals limit the range of choices available to the administration owing to limited resources.

Despite its obvious importance, administrative planning is rarely discussed and followed in administration. We are more familiar with economic planning or financial planning, but we know very little about the nature and methods of administrative planning. Yet every administrator who has earned some reputation in the profession does follow some sort of a planned approach to his job. It is understood more as personal skill than some kind of transferable knowledge.

The general tradition has been that the government departments function with very little formal planning. There are many reasons for this state of affairs. As John Garrett, who was a member of the consultancy group employed by the Fulton Committee in England (1968), pointed out: "There has been a body of opinion in the higher Civil Service, though it is now diminishing, that systematic research and planning has little relevance to its work. Concentration upon the awareness of ministerial responsibility tends to put a low valuation on systematic research-based planning and a high one on rapid reaction to the topic of the day."

Predominance of politics, job security, absence of price signals or profit motive are some of the major reasons for lack of sustained planning effort in government. Also planning awareness has been low in government often because of the absence of clear objectives and standards against which achievement could be measured with a degree of precision.

In spite of this deficiency in government operations, the need for planning has been widely acknowledged, and various methods and techniques are now being proposed to make planning a reality in government. The socio-economic and political environment of government is never static, and governments everywhere are struggling hard to cope with changes both at home and abroad. Again, resources are always scarce and they have to be allocated among competing alternatives to maximise production and achieve all-round social satisfaction.

All these reasons are compelling enough to accept planning as an essential first step in governmental operations. Planning, be it economic or financial, is forward-thinking. It involves a methodical mental exercise about achievement of results by means of advance preparation of activities-scheduling. Thus, planning essentially involves 'simulation' of activities-sequences. The real aim in planning is to achieve intended results which may be anything like increased agricultural productivity, reducing infant mortality, removing illiteracy, etc. With more and more cost consciousness in government now and because of increasing result-orientation in Public Administration in recent times, administrative planning has assumed critical importance in government all over the globe. In a developing country such as ours, rapid socio-economic reconstruction depends almost exclusively on large-scale and varied public programmes and projects. In this context, administrative planning has a crucial role to play. It is now universally acknowledged that administrative planning is the key to planned development and achievement of intended results. In the developing countries, there is urgency about time-bound fulfilment of targets and achievements. For instance, in India every five-year plan sets down targets for each sector such as agriculture, irrigation, electricity etc. In this context, administrative planning becomes a critical input in target fulfilment.

29.3 NATURE OF PLANNING

Planning follows policy making. These two activities are distinct but interrelated. Policies lay down the fundamental principles of governmental action. They provide the framework within which planning has to take place. They set the terms of reference within which plans are formulated.

Planning is a process, while a plan is a product. As a process, planning involves deciding in advance what is to be done and how. Decision-making and planning are obviously closely related. Planning is also decision-making; yet it is more than decision-making. A plan is oriented towards the future and has an action implication. It is projective and involves a vision and a perspective. A decision fundamentally involves selection of an alternative among various choices. Concern for the future and for a chain of activities need not necessarily be its hallmark. At all the different stages of planning, decisions, however, are of paramount importance.

29.4 TYPES OF PLANNING

Planning is of many types. Based on time it is categorised as short term and long term planning. There is micro and macro level planning. The former concentrates attention on a specific area and the latter refers to the entire area of the organisation. There is also physical planning which deals with spatial aspects. Dimock and Dimock identify three types of planning: (1) national economic planning dealing with the whole of economy or a part of it; (2) top level administrative planning for the government as a whole or for its principal departments or agencies; and (3) operational planning which is primarily concerned with carrying out the objectives. As students of Public Administration we will study different aspects of administrative planning, particularly policy and programme planning and activity and central planning.

29.4 Policy Planning and Programme Planning

Policy planning is concerned with preparation of broad policy guidelines of the government in power. It normally involves a new enactment or amendments to an existing legislation. Programme planning involves operationalisation of policy into specific objectives. This is done by identifying specific purposes, allocation of resources, identification of specific departments and agencies to handle different purposes; and fixing responsibility for results. Administrative agencies participate in both types of planning. In policy planning they assist the policy makers in government; while in programme planning they clarify their role and direction. Policy planning involves more legislative action and a large number of actors in the policy making process. As such it is more complex when compared to programme planning. On the other hand, programme planning involves more administrative and professional context to work out the details. Thus policy planning sets the broad goals for administrative action. It is more a matter of value considerations of political actors in the government. Once the policy is decided, the administrative agencies of the government have to implement it. This is subject to periodical review and feedback. Programme planning is a continuous process within the public policy. However, the administrative agencies cannot be totally delinked from policy formulation process. The political power is distributed among the legislative, executive and judicial branches. Administrative organisations work under the varying influences of these branches. Departmental heads participate in policy formulation exercise by sending proposals, information and data required by the executive and the legislature. Sometimes the administrative agencies determine crucial issues of public policy by interpreting the policy directives. Higher level civil servants such as the secretaries of the government departments and the chief executives of public enterprises are part of the decision-making exercise in the government.

Administrative agencies have relatively more involvement and participation in programme planning. However, their actions are subject to the review and supervision of legislature and its committees. This is more so at the time of legislative debates on the budget and actions for various departments and agencies.

Though planning is essentially an administrative functions. It cannot be separated from public policy and decision-making. In other words, planning is a good example of political and administrative coordination.

29.4.2 Activity Planning and Central Planning

Planning at different departmental levels and below is concerned with specific activities. These activities are part of a programme. For instance, the welfare programmes for children can be divided into activities such as nutrition, education, health facilities, etc. Detailed plans have to be formulated to facilitate implementation of each activity. Accordingly the quantity (how much), quality (how best), and time (by what date) limits are set and the personnel responsible for achieving the results are identified. This is known as activity planning or operational planning.

While making activity plans, the administrators have to maintain the clarity of purpose. The boundaries of each activity is to be clearly demarcated and defined. It helps in measuring the performance of each activity plan against its objectives.

Central planning is concerned with monitoring and appraisal of various activity plans at a departmental level. This appraisal has three objectives. Firstly, it goes into the preparation of plans, data base, assumptions, reasonableness of the targets and resources, reasonableness of the time targets, and the adequacy of the administrative machinery to accomplish the targets. Secondly, it goes into the interrelationships among several activities with reference to linkages. Finally, the review and appraisal concentrates on the scope of the work to be accomplished under each activity, with reference to budgetary provisions and the government's priorities. Thus, central planning keeps a watch on activity planning.

Check Your Progress 1

- Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

1) What is planning?

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2) Why is planning important in developing countries?

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3) Explain the nature of planning.

4) Distinguish between policy planning and programme planning.

5) What is activity planning?

29.5 PLANNING PROCESS

i) Goal Clarification and Determination of Objectives

The first step in the planning process is concerned with goal clarification and determination of objectives. No doubt this is an exceedingly difficult task in government. A hard search is necessary to find out the basic purpose and the major objectives of government programmes. Action has to take place within the framework of purpose and objectives. For instance, a slogan like 'garibi hatao' is not very helpful in administrative parlance. It has to be operationalised into clearly achievable concrete action plans.

ii) Forecast the Future

The inevitable next step is to forecast the future and try to see through the darkness of the coming years as clearly as possible. The time-horizon of planning may be vary. Understanding of the future probabilities starts with an adequate knowledge of existing

conditions. Detailed knowledge of the present position is helpful in making future projections. It might be necessary to phase out an action plan and watch performance at each specific phase.

iii) Outlining Alternative Courses of Action

Alternative courses of action in terms of programmes and projects are set forth at the next stage. The planner outlines the alternative for the benefit of the decision makers who are to finally make choices out of them. This exercise is necessary from the point of view of minimisation of costs and maximisation of benefits.

iv) Mobilisation of Resources

The next step will involve mobilisation of resources to back up the actual course of action. Finance, manpower and materials have to be quantified and properly assessed at this stage.

v) Organisational Planning

Another step in the planning process involves organisational planning including planning of methods and procedures. The existing organisation may have to be modified marginally or changed substantially. New procedures may have to be adopted to facilitate the pursuit of planned action. The plan procedure invariably contains a built-in arrangement for reporting and feedback in order that the results of action can be measured and corrective steps taken in case of malfunctioning. Administrative planning subsumes financial planning, personnel planning, resource planning and organisational planning. The whole exercise is directed toward the manipulation of critical organisational resources to bring about planned changes.

29.6 PLANNING TECHNIQUES

Various techniques have been evolved to facilitate governmental planning and make it more and more precise and scientific. Planning, Programming and Budgeting System (PPBS), Programme Evaluation Review Technique (PERT), and Critical Path Method (CPM), Management Information System, Cost Benefit Analysis, Organisational Planning are but a few techniques very much use in government today. We shall now briefly discuss about each of them.

The Planning-Programming-Budgeting System (PPBS) has been widely used in the U.S. Government. It has also been put to limited use in the Government of India. This technique grew out of Robert McNamara's quest for economic rationality in defence expenditure, when he was the U.S. Defence Secretary. Very briefly, the steps involved in PPBS are as follows:

- 1) The department's objectives have to be defined clearly and the programmes needed to accomplish the objectives have to be outlined.
- 2) The output of each programme has to be carefully calculated in relation to the objectives.
- 3) Total costs of the programme have to be worked out as clearly as possible.
- 4) Within a long range and perspective view of the future, programme planning has to be undertaken on multi-year basis.
- 5) The programme objectives have to be rigorously reviewed and their outputs and costs examined carefully. Ultimately, one has to arrive at the most effective means of producing a desired output at the lowest cost; and
- 6) The last step would be to integrate PPB into the budgetary process as it rolls on from year to years.

One of the most widely used network techniques is Programme Evaluation and Review Technique and Critical Path Method. In PERT/CPM, the activities to be accomplished in completing a project are identified. It involves steps ranging from the start to the completion of a large project. All these steps involved are written in a diagram, showing

the sequence of events in an orderly manner. The time required to complete each activity, personnel required, resources, and expenditure on each activity are estimated. The network diagram undergoes modifications, until a harmonious combination of time, resources and costs is reached. Responsibility for completion of each activity is allotted to a position holder in the administration. The network is used to monitor and review the progress of work. Time and cost over runs are identified in advance and appropriate action is initiated.

Administrative planning has to take care of organisational planning as well. Specific government departments are involved in the performance of allotted activities. It is necessary to bring about a close fit between organisation and intended activities.

Administrative planning, since it charts out future courses of action, has to depend on reliable data and information. Proper systems of data storage and retrieval become relevant in this context. What is known as Management Information System has now been accepted as an indispensable aid to planning and decision-making. After all, administrative planning is meant to bring about desired changes within the governmental organisation or in some specific sectors or aspects of society. Hence, planning has to rely on the techniques of projection and forecasting.

29.7 LOCATION OF PLANNING ACTIVITIES

The task of administrative planning can be undertaken at various levels of an organisation. But the total task of an organisation can be visualised only from the top level. Hence organisation-wide planning is the job of top management. In doing such an exercise, the lower levels need to be consulted and their participation sought. The (MBO) Management by Objective type technique is often adopted by progressive managers to enlist the support of lower level functionaries in planning and to execute the tasks at their level. Such a segregated approach to task performance does, of, presuppose a conception of the total task of the organisation.

In management parlance, planning is normally considered as an activity which belongs to the 'staff' segment of an organisation. By contrast the 'line' segment is conventionally treated as the implementing agency. While this distinction is broadly true, it needs to be emphasised that the 'line' segment also gets involved in 'planning' activity when it comes to executing the jobs entrusted to it. What actually happens is that the 'staff' agencies that are placed closest to top management engage in 'macro' planning or organisation-wide planning, while the 'line' agencies undertake their respective planning functions at the 'micro' or specific operational levels.

29.8 PROBLEMS IN PLANNING

Policies and plans, unless implemented have no meaning. In implementation they encounter many a problem both structural and value-oriented. We shall now discuss a few such problems of planning.

Means and ends

It is difficult to control the behaviour of people to the full extent. Human beings can only be partially controlled. A person can weaken a systematically prepared plan. In such circumstances, the objectives will be lost. For example, government comes with a plan to improve the financial position of a local body so that it is possible to implement some welfare programmes. But, a tax consultant can help people in avoiding payment of taxes or at least avoid paying the correct amount of taxes. A planner has to keep this problem in mind while preparing plans. He has to see that there is large scale acceptance of the plans by the citizens. He also has to be careful with the means by which he is going to implement the plan. Sometimes the ends of a plan may be really genuine. But, if the means are not up to the acceptance levels of the community, such plans are bound to fail.

Government structure

Plans may fail if the government structure which is entrusted with the responsibility for

their implementation is deficient. For example if the government structure is not given enough resources in terms of men and materials to implement a plan, it is doubtful whether the plan succeeds. A plan to improve literacy levels in villages will not succeed if it is not provided with a structure which allots resources and monitors the utilisation of such resources. Another aspect is that a politician who has a part in implementation of a plan is concerned about the next election, whereas an administrator has a long term view of such a plan and its success. But, both are part of the planning process. When the politician takes a short term view and the administrator takes a long term view of the same problem, it faces difficulties.

Values of people

One of the most important factors influencing implementation of a plan is the values and ethics of administrators. The success of a plan depends on them. If an administrator is not having the right values, he may either defeat the very purpose of a plan or use the plan for his personal ends. For example, the mid-day meal scheme for school children planned by Andhra government could not be successful because of lack of right values on the part of people administering the plan.

Check Your Progress 2

Note: 1) Use the space below for your answers.

2) Check your answers with those given at the end of the unit.

1) Explain the steps involved in planning process.

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2) What are the steps in PPBS?

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3) Explain the problems of planning?

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9.9 LET US SUM UP

The planning process is central to all functions of administration. It is accepted as an integral part of governmental functioning. Planning can be categorised into policy planning and programme planning. Programme plans are more detailed than policy plans. Central planning is a function of reviewing and monitoring activity plans. A wide variety of techniques are adopted to monitor and control the performance of planning. PPBS, Programme Evaluation Review Technique/Critical Path Method and Management Information System are some of the most popularly used methods in planning. Planning involves several problems both in terms of structures and values which need to be tackled properly.

9.10 KEY WORDS

Jaribi Hatao: Slogan given for eradication of poverty from India by former P.M. Mrs. Gandhi in 1970's.

Infant Mortality: Number of infants dying under 1 year of age in a year.

Methodical: Characterised by method.

Orance: Way of speaking.

Precision: Accuracy.

Retrieval: Gathering back.

Simulation: Imitation.

Cost Benefit Analysis: The systematic method and process of studying and evaluating whether the expenditure for products, materials or services are justified by the benefits they may provide.

Planning, Programming and Budgeting System (PPBS): Used in the executive branch of the U.S. Federal Government. Also put to limited use in some Ministries in India. The budget clearly reflects the Department's objectives and programmes in fulfilment of these. The output of each programme has to be calculated in relation to the objectives and total costs.

Programme Evaluation Review Technique (PERT): A relatively new, planning and control system. It is designed to help top management with planning, research, problem-solving, decision-making and control of organisational processes.

Critical Path Method (CPM): An aspect of PERT; this is a method of network analysis that, by means of diagrams of the order in which jobs are to be accomplished or completed, is used for planning, estimating, scheduling, and controlling, engineering, construction or related projects.

Management Information System (MIS): Collective term referring to any advanced organisational (electronic mechanical, modular, evolutionary etc.), Communication device, process, network or system that is capable to generate, record, store and make available information and data as required by management for planning, organizing, decision making and control.

29.11 SOME USEFUL BOOKS

- Bhattacharya, Mohit, 1987. *Public Administration*. The World Press: Calcutta.
- Dimock, Edward Marshall & Dimock, Gladys Ogden, 1975. *Public Administration*. Oxford & IBH Publishing Co.: New Delhi.
- Gortner, Harold F, 1977. *Administration in the Public Sector*. John Wiley: New York.
- Hardwick, C.T and Landuyt B.F, 1970. *Administrative Strategy and Decision Making*. Taraporevala & Sons: Bombay.
- Millett, John D, 1954. *Management in the Public Services*. Mcgraw-Hill Book Company: New York.
- Simon, Herbert A. et al, 1950. *Public Administration*. Alfred A. Knopf: New York.

29.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 29.2
- 2) See Section 29.2
- 3) See Section 29.3
- 4) See Sub Section 29.4.1
- 5) See Sub Section 29.4.2

Check Your Progress 2

- 1) See Section 29.5
- 2) See Section 29.6
- 3) See Section 29.8

UNIT 30 AUTHORITY AND RESPONSIBILITY

Structure

- 0.0 Objectives
- 0.1 Introduction
- 0.2 Authority : Meaning and Definition
- 0.3 Authority and Power
- 0.4 Approaches to the Study of Authority
- 0.5 Sources of Authority
- 0.6 Pre-requisites and Adequacy of Authority
- 0.7 Limits to Authority
- 0.8 Responsibility
- 0.9 Types of Responsibility
 - 30.9.1 Political Responsibility
 - 30.9.2 Institutional Responsibility
 - 30.9.3 Professional Responsibility
- 0.10 Authority and Responsibility
- 0.11 Let Us Sum Up
- 0.12 Key Words
- 0.13 Some Useful Books
- 0.14 Answers to Check Your Progress Exercises

0.0 OBJECTIVES

After studying this unit, you should be able to:

- explain the meaning of the concepts of authority and responsibility
- differentiate between power and authority
- explain the pre-requisites for the acceptance of authority in organisations
- describe the sources of authority
- discuss the limits to authority
- describe different forms of responsibility; and
- deliniate the relationship between authority and responsibility.

0.1 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 opportunities 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 an 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 modern 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 help 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.

30.2 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 groups 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.

30.3 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 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.

30.4 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.

10.5 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 develop norms, codes and work habits. These norms and codes speak about the obedience given to different authorities in different situations. For example, in 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

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, some times 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.

30.6 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 Barnard, 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 instructions 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, Barnard 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 modern 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 can not 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 counter productive to the cause of successful administration. State legislatures and parliament have to keep these matters in view while making enactments.

30.7 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 LOK AYUKTA, 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.

Check Your Progress 1

- Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

1) What is authority?

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2) Distinguish between authority and power.

3) What are the sources of authority?

4) Explain the pre-requisites of authority.

5) Are there any limits to authority?

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30.8 RESPONSIBILITY

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, while 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.

30.9 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.

30.9.1 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

achinery 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 the minister fruitful and purposeful, the official machinery has to operate with his policies and programmes, which are actually the policies and programmes of the government of the day.

1.9.2 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 the public interest, it has to be responsible and work in public interest. We have examples of the 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 political masters and to society in general to initiate action through organisational changes to bring out order in the work of public organisations.

1.9.3 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.

1.10 AUTHORITY AND RESPONSIBILITY

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 executive 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 by Urwick is noteworthy. He said that "to hold a group or individual accountable for activities of any kind without assigning to him or them the necessary authority to discharge responsibility is manifestly both unsatisfactory and inequitable. It is of great importance to smooth working that at all levels authority and responsibility should be commensurate and coequal". But equally important is the need for a steady increase of functional authority from the top downwards in the organisation.

Check Your progress 2

- 1. Use the space below for your answers.
2. Check your answers with those given at the end of the unit.

What is responsibility?

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2) Distinguish between the three types of responsibility.

3) "Authority and Responsibility should be equal". Discuss.

30.11 LET US SUM UP

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 legislature, 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.

30.12 KEY WORDS

Compliance: Consenting without protest.

Contention: A point of dispute.

Judicial Pronouncements: Judicial judgment court decisions.

Polity: A form of government.

Precedents: An example or instance used to justify later similar occurrences.

30.13 SOME USEFUL BOOKS

Barnard Chester, 1938. *The Functions of the Executive*. Harvard University Press: Cambridge.

Fayol Henry, 1949. *General and Industrial Management*. Sir Issac Pitman: London.

McFarland Dalton E, 1964. *Management: Principles and Practice*. Macmillan: New York.

Millet, John D, 1954. *Management in the Public Service*. McGraw Hill: New York.

Pfiffner John M & Sherwood, Frank P. 1968. *Administrative Organisation*: Prentice Hall of India; New Delhi.

Robbins, Stephen P, 1978. *The Administrative Process*. Prentice Hall of India: New Delhi.

Rourke, Francis E, 1969. *Bureaucracy, Politics and Public Policy*. Little Brown: Boston.

Urwick Lyndali, 1948. *The Elements of Administration*. Harper and Brothers: New York.

Weber Max, 1947. *The Theory of Social and Economic Organisations* (Translation by Talcot Parsons and A.M. Henderson). Free Press: New York.

30.14 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 30.2
- 2) See Section 30.3
- 1) See Section 30.5
- 1) See Section 30.6
- 1) See Section 30.7

Check Your Progress 2

- 1) See Section 30.8
- 1) See Section 30.9
- 1) See Section 30.10

UNIT 31 LEADERSHIP

Structure

- 31.0 Objectives
- 31.1 Introduction
- 31.2 Meaning of Leadership
- 31.3 Leadership Theories
- 31.4 Leadership Qualities
- 31.5 Functions of Leaders
 - 31.5.1 Leaders as Executive
 - 31.5.2 Leaders as Teacher
- 31.6 Techniques of Leadership
- 31.7 Styles of Leadership
- 31.8 Hazards of Leadership
- 31.9 Let Us Sum Up
- 31.10 Key Words
- 31.11 Some Useful Books
- 31.12 Answers to Check Your Progress Exercises

31.0 OBJECTIVES

After studying this unit you should be able to:

- define leadership
- explain theories of leadership and styles of leaders
- describe the functions and qualifications of leaders
- discuss the techniques of leadership; and
- explain the problems and hazards of leadership.

31.1 INTRODUCTION

The most important task in the public service is to guide and direct work of the group as a whole towards desired objectives. Leadership assumes much more importance in the modern government since the size and the number of organisations continue to grow. Further, there is a need for effective participation of hundreds and thousands of individuals who are continually joining the organisation with little prior knowledge of what the organisations are striving to do. They involve in more and more complex functions of individual duties.

A combination of several factors separates the individual members more and more from a personal connection with the organisation he joins. The tie becomes impersonal cold and un-inspiring. Generally, in many Government organisations work is divided departmentally. Each will work independently. To provide link there is a need for a leader. Again, the division of labour tends to separate and isolate individual members from the central purpose. In every organisation the tendency is both for the departmental heads and for the rank and file members to see the organisation's problems in terms of primarily of their functional effort. Only competent leaders can correct the tendencies which functionalism and division of labour create. The leader alone can keep the entire group committed to the goals which could produce the best results.

Thus, the multiplication of organisations, functions, departments, and subordinate geographic units lead to the increased importance of leadership. In this connection it is necessary to mention that formerly it was thought born leaders were enough to handle the situation. Now the scene underwent a change. The demand is for effective leaders in many fields, on many fronts and at successive levels of authority. There are not enough born leaders to go round. We have to develop them.

In view of our need the idea of leadership should also change. We do not look towards a unique individual set apart with unusual personal qualities. Organisations requires people who can administer it.

In this connection it is necessary to clarify certain doubts. Generally, leadership tends to be expressed in terms of power to command or ability to dominate: Commanding by itself is not adequate as a basis for getting things done. Command is an exercise of power over people. But leadership is interested in how people can be brought to work together for a common end effectively and happily. It implies the use and creation of power with people. It is concerned about the process by which result is attained. Thus, we may conclude that in every organisation the whole man has to be appealed to and persuaded to do the job. There is a need for total involvement in the organisation. This will be ensured only by a good leader.

31.2 MEANING OF LEADERSHIP

Let us try to define leadership. Every executive whether he deals with the people directly or indirectly is potentially in a position to lead people. He has the task of bringing them into an effective working harmony. To achieve this, there is a factor known as leadership. Leadership is defined as the activity of influencing people to cooperate towards some goal which they come to find desirable. This definition may be elaborated further. There are at least four distinct factors in the definition. First, it is useful to explain the way by which people rise to leadership. Second, the process of influencing requires study. Third, the nature of goals which people will find desirable has to be analysed. And fourth, the qualities exhibited by leaders in action can be considered.

Some details, though brief, are required to explain the above mentioned factors. The executive who is also the leader, sometimes gets his chance to lead because the situation in which he finds himself is one where the best results come in terms of leading than in terms of commanding. It is the situation and not the person alone which allows the leader to function. Thus every leader is as much a product of the setting of his life and times as of his own will to power. Sometimes we find self constituted leaders who will push his way up by a combination of a strong personality with a vigorous, assertive ego and a steady determination to accomplish certain results.

The second process, is through a democratic political process where a leader is selected from the group. In this there is a understanding between the leader and the led. In this situation the leader chosen by the group has the most advantageous conditions for success. Yet in another way he is in comparatively greater difficulty because he is always being tested. However, the leader selected by a group has the best chance of winning and holding his following.

Finally, people get the chance to be leaders through a method commonly found in many organisations where boards of directors or trustees appoint top executives who in turn select the lower executives. Here the group has vested interest which brought all of them to a common platform. The problem of the leader is to show them that in serving the corporate group they are serving themselves; that in being loyal to the organisation, as a whole they are also loyal to themselves.

31.3 LEADERSHIP THEORIES

Leadership is one of the most important topics which was widely researched both by the individuals and institutions. Studies by Ronald Lippitt and Raif K. White, at the University of Iowa, Bureau of Business Research of the Ohio State University and University of Michigan have undertaken pioneering studies on leadership. The important theories of leadership are trait theory, situational theory, group theory, etc. We will now discuss some of these theories to gain a broad understanding of leadership.

Trait Theory

Studies on leadership in the beginning concentrated on the qualities of leaders. The major

question that was always asked was what qualities or traits make a person a leader. Some believed that leaders are born and are not made. This is what is popularly called the 'Greatman Theory' of Leadership. These born leaders possess certain traits and characteristics, certain natural abilities which allow them to become leaders. The trait approach is particularly concerned with identifying the personality traits of leaders. Later, behavioural studies have revealed that the leadership qualities are not totally inborn and they can be acquired through learning, training and experience. Several studies tried to identify the important traits and there was wide variation in the traits identified by the scholars. Keith Devis for example, identifies four important traits for a successful leader viz., intelligence, social maturity and breadth, inner motivation and achievement, drive and human relations attitude. We will study some of these characteristics later in this unit.

Group Theory

Group theory was also developed by social psychologists. This theory emphasises that the leader provides benefits to his followers. According to this theory, the followers depend upon those leaders who satisfy their needs. They extend support and cooperation as long as the leaders satisfy their needs and motivate them to achieve the objectives and goals of the organisation. Halander and Julion have emphasised this point when they said.

"... the person in the role of leader who fulfills expectations and achieves group goals provides rewards for others which are reciprocated in the form of status, esteem, and heightened influence. Because leadership embodies a two-way influence relationship, recipients of influence assertions may respond by asserting influence in turn The very sustenance of the relationship depends upon some yielding to influence on both sides.

Situational Theory

Both trait and group theories were found inadequate to provide an overall theory of leadership. Therefore, the scholars turned their attention to the situational aspect of leadership. They began a search for situational variables which influence leadership roles, skills and behaviour. This theory believes that leadership emerges from the situation and is influenced by the situation. As a result leadership differs from situation to situation. F.E. Fielder, who is important proponent of this theory, feels that people welcome leaders because of situational factors. He emphasises that it is not meaningful to speak of an effective leader or an ineffective leader. We can only speak of a leader who tends to be effective in one situation and ineffective in another situation'.

31.4 LEADERSHIP QUALITIES

Certain qualities are essential in any leader because they are vital to take the individual towards success. Deficiencies can be eliminated by conscious effort. Good qualities can be strengthened. But it is not possible to cultivate all the attributes since some are more innate than others. An exhaustive list is not possible. However, certain specific and easily identifiable traits are enlisted here on the basis of practical experience although several of them fall under psychological terms.

All the qualities listed however, do not necessarily appear in every leadership situation nor are they all equally required of every leader. The aim is to present a comprehensive picture of all desirable qualifications.

- i) It is generally agreed that possession of a generous and unusual endowment of physical and nervous energy is the secret of the most successful leaders. Those who rise in any marked way above the general public have more drive, more endurance, greater vigour of body and mind than the average person. Robust health and basic strength is an asset for the effectiveness of the leader. Everyone of us realise how important is the physical and nervous conditions in our working. Sluggishness, apathy, fatigue are generally considered to be the stumbling elements of good leader. The leader also must recognise that his job is more demanding than the average worker. Therefore, the leader should be careful about his health and vitality.
- ii) The second quality which is clearly predominant in every good leader is a strong sense

of a dominant purpose and direction. The leader is one who knows much better what he wants to get it done and where he wants to go. It means he possesses clarity and precision as to the objectives, purpose or aims he want to achieve.

- iii) The next quality pertains to enthusiasm. The mere presence of a sound purpose is not enough. It must be felt to be sound by all. A sound purpose must be supported by dynamic emotion, hope, will to win and a robust sense of joy in the job. Thus enthusiasm is essential. It is important because it is self sustaining. If the leader has real vigour on the physical side and definite objective on the manual horizon, then enthusiasm is an automatic offspring. Enthusiasm can be deliberately increased but it requires great energy, and deep intellectual conviction. A good leader is always conscious of this fact. He should be a known enthusiast.
- iv) Affection and friendliness are essential in a good leader. Infact, affection and friendliness are positive motivating forces over the conduct of those upon whom it is expressed. This will work in more than one direction. The tendency is for friendliness and affection to evoke a reciprocal response. However, the leader has to guard against sycophancy and other evils associated with it in the name of friendliness and affection.
- v) The followers must be able to trust their leaders. The followers want to feel a sense of solidarity, of honesty and reliability towards the leader. The people should gain the trust or confidence. In short they want the leader to possess integrity. It is not necessary being a paragon of virtue because it is not possible. But what is required is acting appropriately to the expectations of the group we may hasten to add here that where there is a divergence of views relating to the major objectives of the organisation then the leader should maintain his integrity and convince the followers. If he fails, he should quit after giving a reasonable time, making clear to the group the grounds on which he has acted. But these are extraordinary illustrations.

Integrity is demanded for another reason also. In a complex society like ours there are conflicting demands. It becomes impossible to have a competent opinion about many issues. Yet the opinion is sought and a decision is expected. In this situation, people expect the leader to possess complete integrity. This is a major problem of entire life philosophy of the individual.

To these above general qualities, Chester Barnard adds four other qualities of leader. They are (i) vitality and endurance; (ii) decisiveness; (iii) persuasiveness, and (iv) responsibility and intellectual capacity, in that order of priority. Millet identifies eight qualities which a leadership should possess. They are (i) good health; (ii) a sense of mission; (iii) interest in other people; (iv) intelligence; (v) integrity; (vi) persuasiveness; (vii) judgment and; (viii) loyalty.

Check Your Progress 1

- Note: i) Use the space below for your answers.
- ii) Check your answers with those given at the end of the unit.

) Explain the significance of leadership.

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) What is Trait Theory?

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3) Explain Situational Theory of leadership.

4) What qualities are important for a leader?

31.5 FUNCTIONS OF LEADERS

Leader has a significant role in the organisational life. The success or failure of organisations are greatly dependent upon how well the leaders performs his functions. It is necessary, therefore, to know as to what functions a leader performs. Hicks and Gullett have identified eight important functions of a leader. They are (i) arbitrating; (ii) suggesting; (iii) supplying objectives; (iv) catalysing; (v) providing security; (vi) representing; (vii) inspiring; and (viii) praising. Chester Barnard identifies three main functions of the executives. They are to maintain communications in the organisation, to secure essential services from individuals, and to formulate purposes and objectives.

The work of a leader is restricted neither to the eight functions identified by Hicks and Gullett nor to the three functions identified by Barnard. Broadly, the work of a leader, who will be an executive, includes the following:

- i) planning and defining policies and procedures.
- ii) organising the activities of all the individuals.
- iii) delegating authority and responsibility.
- iv) controlling them towards the desired results
- v) supervising the work of the group
- vi) giving general orders and guidelines
- vii) interpreting and transmitting policies

- viii) training the key subordinates to carry executive load
- ix) coordination and
- x) stimulating and vitalising all the individuals who are contributing their efforts.

A leader should support definite objectives in the organisation so that it becomes easier for the people to understand the goals of the organisation. If the objectives are sound then it is possible for the leader to become sound. The leader must be certain that he has a sound and therefore an appealing purpose before he tries to win followers. In this exercise the leader should try to interpret the experiences of his followers occasionally so that the finer points could be explained to them. It could be convincing since the experience would benefit the followers. In sum it means the leader should take the followers into confidence while supporting the objectives of the organisation.

The process of drawing out support from the followers for any aim is often a crucial one for the leader. It is possible only when the followers are convinced that the interests and the desires of them are being taken adequate care. Leadership is not a matter of hypnosis or salesmanship. It is a matter of bringing out from within the individuals, positive impulses, motives and efforts. In fact leadership is known by the personalities it enriches and not by those it dominates or captivates.

31.5.1 Leader as Executive

The most important aspect of the leaders with which we are really interested is that of executives whose primary duty is to direct some departments or its units or some enterprise. In this respect they must first be able to do the executive job. It means they should see that it is done. This requires a detailed analysis.

In every organisation there are many tasks and activities to be carried out. There is always a need for sub-division and functional distribution of duties. It requires coordination. Further, the executive at the top cannot possibly know all the details. This situation is confronted by all the top executives corporations, Government departments etc. As the size of the organisation increases the technical command of the top executive who is the leader of the organisation seems to decrease considerably. It is true that in every leadership situation the leader has to possess enough grasp of the ways and means to give wise guidance to the staff as a whole. Due to the complexities, the job of leading has its own special techniques and these are different in kind from the special techniques of directing or operating line or staff departments. In a large organisation the top executive posts require primarily a coordinative responsibility. The executive leader in such a situation should be more than a good technician. The conductor of an orchestra is the best example of coordinator. Thus, the coordinative technique means ability to formulate, transmit, interpret and supervise the working of people from top to bottom. There may be some variations in the organisations. But there are certain broad aspects which are common in many leadership positions.

The effectiveness with which the purpose is being realised depends mostly on the technical grasp of the leader. It means he should be familiar with standards of sound performance and related matters of technical importance. The leader should be in a position to make use of the available expertise shrewdly. The expert should be on tap and not on top. Now it is for the leader to take advantage of this situation. In addition, there is more and more to leadership in other directions. It is the ability to make a team out of a group of individual workers, to foster a team spirit, to bring their efforts together into a unified total action. It is in this broader sense that the real skill of leaders is being increasingly viewed. Ultimately the leader has to get results. There must be action and accomplishment. The group objectives should be realised. This is very important and also vital. It is essential that the leader should take human experience in hand and make it the way he believes it should take.

Decision-making is, psychologically, one of weighing evidence, sorting out alternatives, and making a choice by which one is willing to stand. Exercising sound judgment is essential. The leader has to understand certain very well known elements. If these are carefully followed, the results of judgments are sure to be better than if no conscious attempt is made. Let us list out those elements.

In the first instance, the leader should recognise the problem he faces. Secondly he has to gather all the facts and data relevant to the problem. The next step is its classification

and arrangement into related groupings. The fourth step is the formulation of possible solution. The fifth step will be checking of this possible solution and finding out whether it is the good solution. Thus testing is necessary to get sound results. Finally, adoption or acceptance of the trial solution as valid and useful. This kind of procedure is called inducting thinking or sometimes called scientific method. Decision made as a result of a careful adherence to these steps will be far more sound than the random selection. The procedure has certain difficulties but under the circumstances it is the best method.

The leader must be careful about announcing the decisions. We must impress upon his followers with the fact that a decision has been reached and there is no scope for functions in opinion, hesitation, delay etc. He must act and support his decision. It is his responsibility and cannot escape it. Sometimes it is at this point that many leaders reveal their weaknesses.

The capacity and the willingness to make decisions can be cultivated. Prior planning and standard routine will be useful in several decisions. There is a need for taking counsel, eliminate confusion from the followers. It is necessary to state that there is no place for stubbornness, obstinacy or inflexibility on the part of the leader. Finally, the real leader will stand ready courageously to pay the price of seeing his decision through without blaming others for his own errors.

The next important function of leader, particularly in public organisations, is the capacity to delegate authority to subordinates, to carry out their essential duties. Leadership becomes effective when others are persuaded to accept the assignments given to them and proceed to carry out their duties. In effect, leadership is dependence upon the faithful performance of one's associates and subordinates.

Some people try to do everything by themselves. They do not trust others. They dislike inter-dependence. But in every organised effort in large groups dependence upon one another becomes essential. The leader has no choice except to delegate authority to others. The essence of delegation is to confer discretion upon others to use their judgement in meeting specific problems within the framework of their duties. Management leadership must then accept the responsibility for how this discretion is exercised.

Intelligence in a personality is completely in-built than most others. In the context of organisation, the intelligence of a person is seen as the capacity to see the problem. It is also the ability to appraise situation readily and tackle it. This capacity differs from person to person. It is difficult to develop the intelligence by conscious effort. But it can be safely stated that there are many leaders who have made up the deficiency through determination, integrity and friendliness. In this connection, mention may be made regarding two other qualities as special evidences of intelligence—namely imagination and a sense of humour. The capacity for imagination can be improved by deliberate effort. Imagination is essential in more than one way. A sense of humour is important as a lubricant. It will facilitate smooth flow of communication without hurting anybody.

31.5.2 Leader as Teacher

The next important aspect of leadership is that of staff development. In this connection it is important to mention that a good leader is a good teacher. A good teacher is never a boss. He is a guide who will set up a goal, pose some problems, guide the activities and hold a person to a new way of mind and conduct. This is true of every executive in the organisation. Let us examine some of the tested principles of a good teacher which will ultimately be of immense use to the leader.

In the first place, the good teacher tries to build up a feeling in the learner that he is engaged in an activity which is very important for him. Thus a good leader like teacher has to generate a desire to learn and willingness among the learners. In the second place, learning should begin at the point of the learner's present total outlook and equipment. The new objectives should be related to what he now knows and feels. The third aspect is that learning involves the whole organism. One has to think, feel and act appropriately for the process to go on successfully. Briefly, it is said that the leader has to be sure that his followers are given a chance to go through much the same experiences as have led him to believe in his objectives. The fourth aspect in this analysis is in regard to the duty of the executive to guide the follower and provide him a chance to think and supply the

information which constitute the immediate subject matter of the learning. The leader should help to arouse interest in the objectives of the group. A good leader may sometimes win temporary support for his objectives by verbal advocacy but the real support has to come from an experience which is deeper than learning to exhortation. One can say with a sense of conviction and emotion.

One final aspect of the teaching process needs a mention here. Learning takes time. Beyond a point we cannot hurry up. The teacher and the leader alike should be aware of the capacity and competence of the learners and direct their experiences and thus lead them on to the desired changes in attitude.

In conclusion, it is clear that the learning process requires an active experience of participation for a favourable result by those being led. The leader cannot afford to be in a haste. It is a slow process. But it is essential.

31.6 TECHNIQUES OF LEADERSHIP

In any art there are definite techniques. This is true of leadership. There are certain techniques which deserve mention. Conscious cultivation of them can bring about improvement in general and leadership value in particular. Giving orders occupy the first position. Order is a functional fact. It is implicit in the tasks or duty to be performed. Every individual is expected to know, as a result of good training, what is expected of him and what are the standards of good performance. This is what scientific management teaches us, and which every executive is expected to adopt. Thus on the basis of this definite and sound method, order giving can be reduced to a minimum. But it cannot be entirely dispensed with.

There are certain exceptions to this. Emergencies and other contingencies must be attended to by the leader because the followers always look towards the leaders for the line to follow. Under these circumstances the leader must step in and take command of the situation. Problems of working method will arise. The relationships among the individual workers, or the inter-relationships of groups or of departments require special adjustments which may entail giving orders.

The leader must be clear while giving orders, remove all possible doubts and confusion. The words used must be carefully chosen and should convey the same meaning to the speaker and the listener. The order should be explicit. If the order is oral then the leader should impart the order in a natural, vigorous and firm tone of voice. It should not lead to anger or annoyance. If warranted, the order may be repeated. Any superficial behaviour is not a healthy sign of a good leader. The leader should phrase the orders courteously. Avoid terms like 'Do this' or 'Do that'. Courteous phrase may seem weak but it is the most effective method. In conclusion, good leadership implies good manners, from top to bottom in any organisation. It is very essential in every democratic society. The leader has to avoid giving too many orders at one time. This creates confusion, slowness of assimilation and bewilderment. Keep orders simple, keep them in time sequence, space them according to priorities. The orders should be positive in content. It means one has to avoid negative commands. Finally, make sure not to issue contradictory orders.

Let us look at the problem of handling followers who do not attend to their duties seriously. The process of reprimand, punishment or criticism should be based on clear facts and figures. Penalties should be definite and administered even-handed without partiality or animosity. Failures on the part of individuals have to be dealt with carefully because there may be reasons beyond their grasp. Hence, careful consideration of various factors is essential.

Another factor of tremendous importance is the assurance that good performance is being appreciated by the leader. The leader should not hesitate while giving praise for good work. The executive, however, has to follow some standard procedure. Whenever, a standard procedure and method is followed, the leader has a definite piece of information for a conclusion. Commendation can be given in public where the group will know that the merit has been recognised. The total bearing and appearance of the leader is another important factor. The leader should be straightforward in personal dealings. There is need for a proper balance between friendliness, cordiality, and undue familiarity.

A good leader has to encourage the followers to evolve new ideas. It is possible through organised group deliberations. Fostering a sense of group identity among the followers is another important element the leader is expected to develop in the organisation. This improves the morale of the group. Self disciplines in the group is another item which deserves attention by the leader. Finally the leader has a clear duty to see to it that on all important issues the followers are informed of all relevant facts about new policies as quickly and fully as practicable.

Now let us look at the factors affecting leader's influence over others? There are a number of processes through which the leader influences others. The most important of these are:

(i) suggestion; (ii) imitation; (iii) persuasive argument; (iv) publicity; (v) reliance upon the logic of events (vi) a show of affectionate devotion; (vii) the creating of a typical problem situation. It is not possible to generalise in advance as to when the leader should wisely use one method or another. Often several of them are in operation at the same time. But a conscious knowledge about how each influence works will help the leader.

Suggestion may be either direct or indirect. It is used normally to build up or maintain the prestige of the leader. It is also adopted to avoid the danger of offending the pride or disturbing the self confidence of the followers. Suggestion is also useful in getting supporters.

Imitation is not an active process for the leader. It is rather a support upon which he can frequently rely upon. It is said that nothing succeeds like success. It is because people will imitate, copy and follow along as soon as success, status and esteem are present.

Persuasive argument is important and also very essential to influence individuals for an agreement on specific issues. It is an art in which the leader has to gather all the evidences and opinions and convince the follower to adopt a desired course.

Publicity is another technique, of which all of us are fully aware in the modern times. It will build prestige, interpret facts, attitudes and conclusions to all concerned. The leader has to choose the media and methods of publicity depending on the size and character of the followers. It is necessary to differentiate between publicity and propaganda.

The leader has to be watchful to sense the trends, and tendencies at work and find out the logic of events and direct the followers accordingly.

Devotion to the leader, perhaps sometimes blind, is always a powerful weapon.

Lastly, let us consider the most efficient method of influencing others. This is explained in terms of helping to create in and around the group of followers a definite set of conditions and circumstances which the followers feel problematic or difficult. In this situation a leader recognises a difficulty and helps to give it a sharper focus and then offers a solution. A further fact not to be ignored is that people are influenced by a leader because he becomes a symbol of some higher cause.

31.7 STYLES OF LEADERSHIP

The style an executive selects greatly influences his effectiveness as a leader. Leadership style provides motivation for the achievement of organisational goals. Improper styles may cause irreparable damage as the employees may feel dissatisfied and resentful. Broadly three leadership styles are identified viz., autocratic, participative and laissez-faire. Each of the styles has both advantages and disadvantages. The leaders adopt different styles at different points of times depending upon the station. We shall now briefly discuss each of these styles.

Autocratic Style

In this, policy and decisional authority is concentrated in the hands of the leader. It is the leader who decides policies and modifies them according to his own wishes. This type of leaders expect unquestioned acceptance of the leadership by their subordinates. It is very

difficult to anticipate the behaviour of the leaders because of their autocratic style. Leader tends to be personal and remains aloof from the group. He considers himself superior and all his colleagues inferior, inexperienced and ignorant. This type of leadership has the advantage of quick decision-making. But it causes pain to the employees and results in dissatisfaction. In the process employees may become passive towards organisational goals.

Participative Style

This style is also called the democratic style of leadership. In this, leaders obtain the cooperation of the employees in achieving organisational goals. They allow the employees to participate in decision-making process. All policies and decisions are arrived at through group discussions. Leader encourages and assists his colleagues and only provides alternatives instead of dictating the final decisions or policies. The members of the group enjoy greater freedom. Leader is generally objective both in praise and criticism. Leader recognises the work of subordinates. He believes that the subordinates are capable of making decisions. Participative style leads to improved employee-employer relations, higher morale and greater job satisfaction. It also reduces the burden on the leader. A major problem in this type of leadership is dilution in the quality of decisions as every view point has to be taken into consideration in formulating policies and taking decisions. It is also time consuming because of consultative process.

Laissez-faire Style.

In this type of leadership, the organisation does not depend on the leader to provide external motivation. The employees motivate themselves. They enjoy greater freedom and the leader's participation in decision-making is minimal. No attempts are made to regulate the course of events in the functioning of the organisation. Leader only assumes the role of one of the members of the organisation. This style of leadership has advantage of giving freedom and independence to the employees. But unfortunately in the absence of a strong leader the employees may not have proper direction and control. This may lead the employees to become frustrated and may even result in organisational chaos.

31.8 HAZARDS OF LEADERSHIP

There are certain constraints on good leadership. In the first place, leaders should properly regard other people as ends in themselves, not as mere instruments to realise ends imposed by a leader. Secondly, any normal, healthy minded person will exercise power by persuasive influence rather than by coercion.

The manifestation of various causes and occasions of mental disturbance show themselves under the following:

Every leader gets an opportunity to satisfy an inner urge for enhancement of his ego. But his love of self aggrandisement can easily get out of hand. This is a dangerous tendency. This excess may take several forms. It may lead to a feeling of superiority and aloofness, vanity, pride etc. He may demand too much flattery and personal loyalty and therefore gather a set of 'yesmen' or sycophants. There are several ways through which the leader will have set right his behaviour.

In the next instance, a leader should guard himself against emotional instability. This will take the form of chronic irritability and quick temper. Another hazard in the leadership style pertains to obsessive fear complex. The leader in some cases entertains the feeling that he is not good enough for his task or is on the verge of failure. All such feelings undermine self confidence. They curb enthusiasm. They are inhibiting factors and tend to destroy the sources of personal power. The leader has to avoid such self defeating propositions.

In certain other instances, good workers just below the level of top executives seem to be well qualified to lead but are afraid to try when a chance is given. This inferiority feeling also becomes one of the powerful hazards of leadership. Another aspect which is equally dangerous is the tendency to legitimise irregular activity. Legitimation means that whatever we do we try to defend it and support it as a correct decision. This is not a healthy symptom. This will generate an attitude of self-righteousness in the leader.

This tendency will create a feeling among the followers that their leader is a hypocrite.

Finally, the leader must be vigilant about the sadism. It means any form of behaviour from which the individual derives satisfaction, which imposes suffering pain or cruelty upon others. This is the most unfortunate trait for a leader to have. One manifestation, not always thought of as sadistic, is the use of sarcasm. This is also not desirable.

In conclusion, the corrective line to be followed, is re-education in the light of full knowledge of the causes of the maladjustments. Discover and confront the realities. That is the general dictate which must be followed wherever any of the several kinds of potential hazards of leadership listed above are found to be present.

Check Your Progress 2

Note: i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

1) Explain the functions of the leader as an 'executive'.

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2) Is leader a teacher? How?

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3) How does a leader influence others?

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1.9 LET US SUM UP

In this Unit we have discussed that leadership has an important role to play in the efficient functioning of organisations. In particular we have discussed the theories of leadership, functions of leaders, qualities of a good leader, leadership styles and problems and hazards of leaders.

1.10 KEY WORDS

Styles of leadership

Autocratic Style: In this style of leadership, the leader has the absolute authority to take decisions.

Participative Style: In this style of leadership, the employees too participate in the decision-making process.

Laissez-faire Style: Here, the employees have full freedom to take decisions, leaders' participation in decision-making is minimal.

Theories of leadership

Trait Theory: According to this theory, leaders have inborn qualities.

Situational Theory: According to this theory, leadership emerges from situation and is influenced by situation.

Group Theory: According to this theory, a person is accepted as a leader as long as he/she satisfies the needs of the groups.

1.11 SOME USEFUL BOOKS

Barnard, Chester L., 1948. *Organisation and Management*; Harvard University Press: Cambridge

Lickies, Herbert G. and Gullett, C. Ray, 1975. *Organisations: Theory and Behaviour*; McGraw Hill Book Company: New York.

Luthans, Fred, 1977. *Organizational Behaviour*; McGraw Hill Book Company: New York.

Millett, J.D., 1954. *Management in the Public Service*; McGraw Hill Book Company Inc. New York.

Nigro, Felix A. and Nigro Lloyd G., 1973. *Modern Public Administration*; Harper and Row Publishers: New York.

Pfiffner, John M., and Sherwood Frank P., 1968. *Administrative Organisation*; Prentice Hall of India Private Ltd.: New Delhi.

31.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 31.1 and 31.2
- 2) See Section 31.3
- 3) See Section 31.3
- 4) See Section 31.4

Check Your Progress 2

- 1) See Sub-Section 31.5.1
- 2) See Sub-Section 31.5.2
- 3) See Section 31.6
- 4) See Section 31.7



UGPA - 01
Public Administration
Elective Course 1:
Administrative Theory

Block

6

CONCEPTS IN ORGANISATIONS - III

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BLOCK VI CONCEPTS IN ORGANISATIONS-III

In the earlier two blocks i.e. IV & V, dealing with concepts in Organisation, you have read about hierarchy, Span of Control, Centralisation and Decentralisation, Unity of Command, Delegation, Leadership etc. This is the last block of Course I, which has eight units dealing with other important concepts of Organisation apart from a Unit on 'evaluation of administrative theory'.

Unit 32 : This Unit explains the meaning of chief executive, distinction between different types of chief executives, functions of chief executives, functions of the staff and line agencies, and role of the District Collector as the chief executive in the district.

Unit 33 : This Unit deals with the meaning of line agencies, their salient features, the different types of line agencies—departments, public corporations. It also describes the features of government departments, bases of departmentalisation, need and significance of public corporations and the distinction between departments and corporations.

Unit 34 : This Unit explains the meaning, importance, salient features of staff and auxiliary agencies, functions and types of staff agencies and also the distinction between the line, staff and auxiliary agencies.

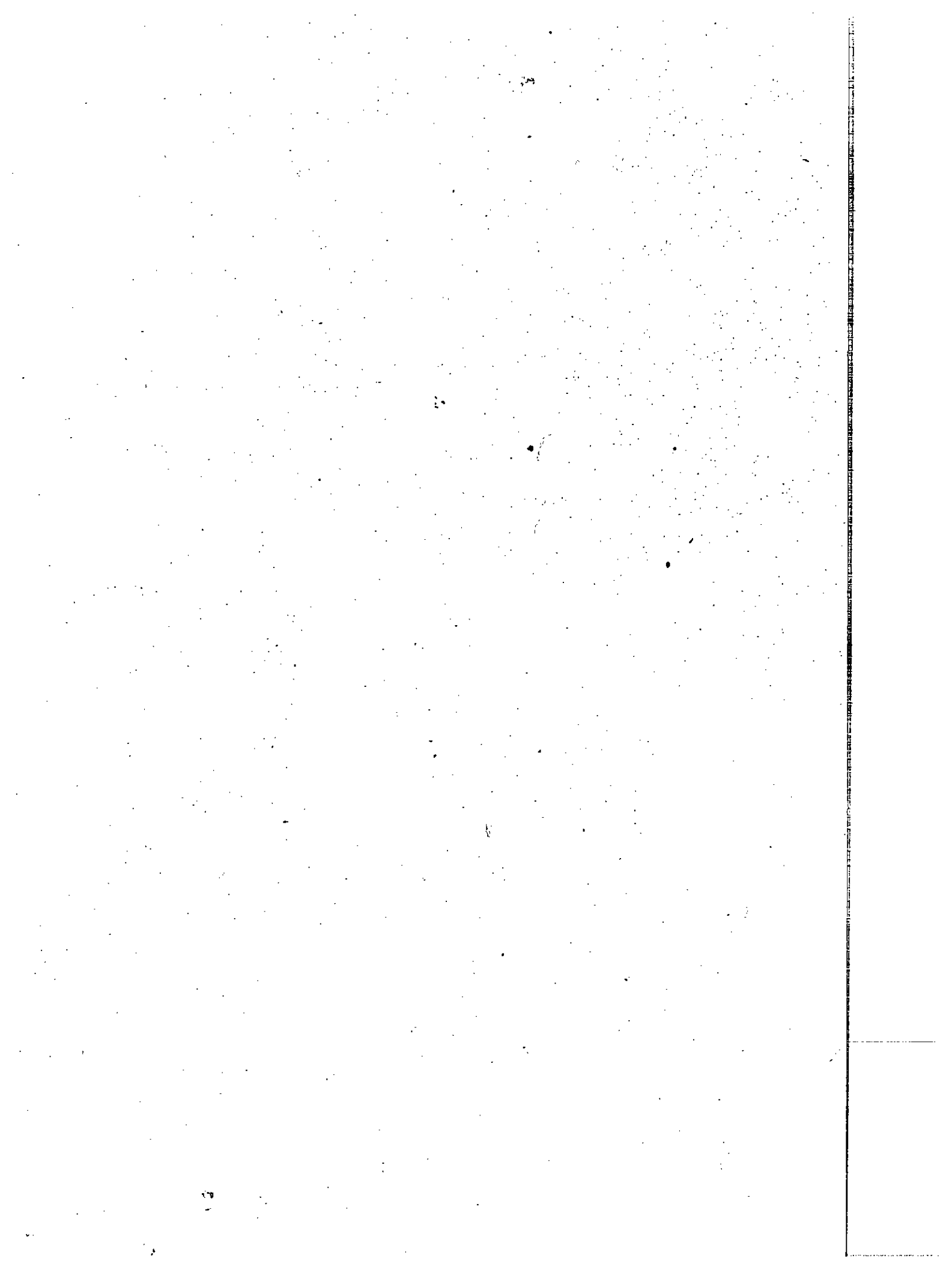
Unit 35 : It discusses the meaning of budget, principles of budget making, different stages in the preparation of the budget and its enactment. It also outlines the different types of grants, which are considered in the Parliament.

Unit 36 : This Unit explains the concept of accountability, various kinds of accountability like political and administrative. It also describes the financial accountability, judicial accountability and administrative accountability.

Unit 37 : This Unit discusses the relationship between the citizen and administration, factors responsible for citizen administration alienation, channels for redressal of citizens' grievances like Parliament and Judiciary. It also deals with the problem of corruption in administration, the Indian Ombudsman i.e. Lok Pal and Lok Ayukta. The redressal machinery functioning in Ministries/Departments is also outlined in the Unit.

Unit 38 : It explains the meaning and importance of the concept of organisational effectiveness, approaches to its study, determinants of organisational effectiveness. It also deals with the concept of organisational development, characteristic features, assumptions of organisational development effort. This also discusses the major types of interventions in organisation development.

Unit 39 : It deals with significance and characteristics of theory, significance of administrative theory, and its evolutionary perspectives. This Unit is also devoted to a critical evaluation of administrative theory.



UNIT 32 CHIEF EXECUTIVE

- 32.0 Objectives
- 32.1 Introduction
- 32.2 Meaning of Chief Executive
- 32.3 Types of Chief Executives
 - The Parliamentary and Presidential Types of the Chief Executives
 - The Titular and the Real Chief Executives
 - Single and Plural Chief Executives
 - The Collegial Executive of Switzerland
- 32.4 Various Types of Local Chief Executives
- 32.5 Functions of the Chief Executives
 - 32.5.1 Political Functions
 - 32.5.2 Administrative Functions
- 32.6 Aides to the Chief Executive
 - Staff Agencies
 - Line Agencies
- 32.7 The Indian Executive
 - The Union Executive
 - The State Executive
 - Executive at the District Level
- 32.8 The District Collector as the Chief Executive
- 32.9 Conclusion
- 32.10 Let Us Sum Up
- 32.11 Key Words
- 32.12 Some Useful Books
- 32.13 Answers to Check Your Progress Exercises

32.0 OBJECTIVES

After reading this unit you will be able to:

- clearly understand the meaning of the word chief executive
- differentiate between various types of chief executives
- analyse the functions of the chief executive
- understand the need for staff and line agencies and
- describe the role of District Collector as the chief executive.

32.1 INTRODUCTION

Governmental power is three-fold, legislative, to make laws; judicial, to interpret the laws; and executive, to carry out the laws. There is a separate organ in-charge of each function, but the separation is not rigid. A complete separation would lead to perpetual deadlocks in administration. Thus there are various points of contact between all the three organs of the government to ensure smooth functioning of governmental programmes. With expanding complexity of the activities of the modern State, the legislature is not in a position to have direct dealings with the administration and so, it is the executive branch which is becoming more and more powerful. The modern State assigns a variety of functions to the executive. Thus it has become a vital part of the government.

In this unit, we shall analyse the functions of the chief executive in the light of the differences between the real and the nominal executive. The unit will also highlight the growing strength and importance of the chief executive. We shall also discuss the need for staff and line agencies for advising the chief executive and in carrying out his policies. The unit will enable the student to understand the crucial role of chief executive in the task of administration. We will also come to know the factors and forces behind the chief executive at the Union, State and local levels.

32.2 MEANING OF CHIEF EXECUTIVE

The executive is that branch of government which is charged with the execution of laws. It consists of various administrative agencies which are involved in the implementation of the laws. According to F.A. Nigro, "the executive branch of government in Public Administration is a truly visible form". The executive branch of the government includes the chief executive and the civil servants who execute the laws made by the legislature. Thus the role of the executive is of paramount importance.

By 'chief executive' we mean the person or body of persons at the head of the administrative system of a country. The administrative hierarchy of a country resembles a pyramid, broad at the base and tapering off towards the top till it ends at a single point, the apex. The chief executive is at the apex of the administrative pyramid. He is a person or persons in whom the executive power has been authoritatively vested for performing various functions. In a political system, the person or persons in whom the constitution vests the executive power of the government is the chief executive. In public or private organisations, the person who is at the top position with the major responsibility of carrying out the work of organisations is the chief executive.

The chief executive has to perform various political and administrative functions. He occupies a central position in Public Administration. He determines the goals of the organisation, prepares plans, determines the tasks, fixes priorities, takes crucial decisions, mobilises resources, recruits personnel, coordinates the work of all the departments under him, motivates the personnel, provides leadership and supervises the implementation of plans. He sees that goals of organisation are achieved with maximum efficiency and optimum use of resources. The success or failure of an organisation, therefore, depends on the dynamic nature and character of the chief executive.

32.3 TYPES OF CHIEF EXECUTIVES

The type of executive varies with the form of government. In a dictatorship, the chief executive comes to power through a military coup and continues to be in power through army support. Modern democracies have either a Presidential or a Parliamentary/ Collegiate executive, which is chosen from, and responsible to, an elected legislature.

The Parliamentary and Presidential Types of the Chief Executives

In countries like India and the UK, with parliamentary system, the chief executive consists of the Prime Minister and other Ministers. The Prime Minister heads the cabinet in these countries. There is a close, continuous and intimate executive legislative relationship as the cabinet is accountable to parliament in the parliamentary system.

In the Presidential system like the USA, the chief executive is the President. In such a system, the President is neither a member of parliament nor accountable to it. The President of US can be impeached and removed from office by the legislature i.e. the US Congress by two-third majority. In the USA, for instance, because of the system of checks and balances, Congress, the President and the judiciary have become separate entities independent of each other.

The Titular and the Real Chief Executives

In parliamentary form of government, all executive power is vested in the titular or constitutional head in theory and all decisions are supposed to be taken in his name. It means that the head, whether it is the King or the President can exercise his powers only on the advice of the ministers and not independently. Thus, though the Constitution vests the powers with the President or the King, in practice these are not his real powers and cannot be exercised by him without the consent of ministers. The chief executive in this system remains titular or nominal.

The real executive is the Council of Ministers or the Cabinet to which the legal powers of titular executive pass. It means that legally he does not have any powers but in practice exercises all the powers vested in the titular head. In England, the Queen and

in India, the President are the titular chiefs and in both the countries the real executive is the cabinet headed by the Prime Minister.

In countries like the USA, the President is the real chief executive. as the powers legally vested in him are also exercised by him independently.

Single and Plural Chief Executives

In countries where parliamentary system of government prevails, the real chief executive is the cabinet which is a plural body. The body comprises the Prime Minister and other ministers. The Prime Minister works on the advice of his ministers. Unlike this, the chief executive in the Presidential system of government (like in the USA) is a single individual, the President. Though he functions under the system of separation of powers and checks and balances, he takes his decisions in an independent manner.

The Collegial Executive of Switzerland

The Swiss Executive belongs to neither of the two types i.e., the plural or singular, it has features of both the types. This type of executive is called the Collegial Executive. It represents a mixture of some of the basic principles of the parliamentary and the presidential types.

Just like the parliamentary type, the Swiss Executive is a plural body consisting of seven members. It is truly Collegial because in it there is nobody like the Prime Minister holding a position of primacy. All its members are equal in rank and are responsible to the legislature.

Unlike the members of the cabinet and like the US President, the Swiss Executive, (the Federal Council) is elected for a fixed term and is irremovable during the period.

Check Your Progress 1

- Note : i) Use the space below for your answers.
- ii) Check your answers with those given at the end of the unit.

1) Explain the meaning of chief executive.

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2) What is the difference between the Parliamentary and Presidential chief executives?

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- 3) U.S. chief executive is a:
 - a) Plural chief executive
 - b) Single chief executive
 - c) Parliamentary chief executive
 - d) Collegial chief executive

- 4) In which of the following countries, is the Collegial executive found?
 - a) USA
 - b) Great Britain
 - c) Switzerland
 - d) India

32.4 VARIOUS TYPES OF LOCAL CHIEF EXECUTIVES

The type of executives discussed so far are present at the Union or Central level. Besides these, there are various executives at other levels, the study of which is also important. The local executive, assumes different forms in different countries and is variously designated. It can be single or plural, political or administrative, elective or non-elective. The executive shares two types of powers and functions: political and administrative.

The local executive can be classified as single executive when political authority is vested in a single person. The American, the European and the Japanese Mayors, the Indian Chairman of Zila Parishads and of Panchayat Samitis are examples of single and strong political executives. The plural executive consists of a group of individuals, one of whom is chosen as its chairman. The plural type is illustrated by the committee system of executive under the English local bodies.

Apart from the political executives, at the other end of the spectrum are the municipal commissioners/the chief executive officers/the district development officers of Indian local authorities, the city managers of the USA and the chief executives of the U.K. They offer effective administrative leadership, sharing some executive powers which are political in character.

Thus the local executives, may be political on the one hand and non-political, official or expert on the other. The American mayor, the committees of the English local bodies and the heads of the English local bodies are political. There are executives who are primarily administrative like the American city manager and chief executive officers of local authorities in India, who are appointed by the State government.

There are local executives who are strong, others which are weak. The involvement of the executive in administration also makes it a strong executive. Its relationship with the local council is another factor which determines the position and status of the executive. It can be said that an effective local executive can be one that combines strong political leadership with professional leadership. But the Indian rural local authorities are provided with strong leadership both in politics and administration with two separate positions present i.e. politician and professional administrator.

In India, the city municipal corporations which are known for effective administrative leadership with the Municipal Commissioner as their chief administrator, suffer from ineffective political leadership as the executive authority is dispersed among various municipal authorities.

32.5 FUNCTIONS OF THE CHIEF EXECUTIVES

The chief executive is the head of the country and in that capacity has far reaching legislative, executive and judicial powers granted by the Constitution of the country. Besides him there are numerous lesser chief executives at the state and local levels who also have to perform various legislative, executive and judicial functions in their respective areas. The nature and quantity of functions keep changing at every level.

In companies or corporations the chief executive has the important task of interpreting the policy of the Board of Directors to the rest of the management and the general public. He has to ensure that policies and programmes laid down by the board of directors have been understood by all the employees. He has to devise the various procedures of organisation and determine its structure. The chief executive, at any level has a dual role to play i.e. political as well as administrative.

32.5.1 Political Functions

The source of political power under democracy is primarily the people themselves and secondarily the legislature which is the representative body of the people. The chief executive obtains his office through the votes of his people. It means that the office of the chief executive is the end-result of a political process. For executive discharge of the duties of his office and proper working of the administration, the chief executive needs

support of the legislature and the people. Therefore, he must always work for winning the support of the legislature and the electorate. The chief executive has to perform his activities by keeping in view the public interest as well as the interest of the nation. Administration cannot run smoothly unless there is interaction between the people and the administration. Thus, political management is one of the most important functions of the chief executive.

As we mentioned earlier, chief executive also exists at other levels e.g., in public organisations, private enterprises etc. At these levels too, the chief executive has an important political role to perform. In actual practice, the chief executive in a parliamentary form of government performs many functions which the head or heads of the public or private organisation (which can be a general manager, managing director or a secretary) perform. The executive in a parliamentary system is controlled by the legislature and in an organisation it is controlled by the Board of Directors. Even though the chief executive in public organisations, is not a result of political process, he has to interact with people, press etc., to run the organisation. He mobilises the efforts of the personnel to achieve organisational goals. This means that political role of a chief executive is very crucial and he cannot avoid it, whether it is at the national level, state level or local levels. His political function of galvanising the entire administration to action in pursuit of the accepted goals and objectives and winning the people's support and consent thus assumes importance.

1.5.2 Administrative Functions

The chief executive has to perform a number of administrative functions. Luther Gulick sums up these functions in the acronym POSDCORB, which has been referred to in the earlier units. Marshall Dimock summarises these functions in one sentence: "He is a trouble shooter, a supervisor and a promoter of the future programme". We will now discuss the major functions of the chief executives in some detail.

Formulation of Administrative Policy

One of the major functions of the chief executive is the determination and formulation of administrative policy. He issues a number of specific policy directions, written or oral, which enable the administrative officers to perform their duties in a proper manner. They actually serve as a guide to administration. The chief executive is consulted by the departmental heads and other administrative officers on certain important and controversial matters. His ability and personality has close bearing on administrative efficiency. The legislature only enacts laws in general terms. The executive fills them with details to make them fit for application.

Fixing the Details of Organisation

The legislature provides for the establishment of main units of organisation, like departments, commissions and corporations for the implementation of various laws. But the details of internal organisation are to be filled in by the chief executive. The chief executive can also create new administrative agencies or reorganise the existing ones. The chief executive also prescribes, how the operating personnel shall perform certain or all of their duties. Thus the chief executive authorises the structure of the organisation.

Issuing Directives, Proclamations, Orders etc.

In order to make any decision really meaningful, it is necessary to convert it into effective action, which the chief executive achieves by directing.

The chief executive issues directives, proclamations, orders etc. to make the administrative activities conform to the statutory provisions, directives, circulars etc. and to help in bringing about uniformity in the behaviour of people involved in the implementation of policies and programmes. The kind and number of directives, orders etc. issued by the chief executive sets up the tone of the administration. He has to direct the personnel to start or stop or modify an activity.

Appointment and Removal of Personnel

It is the responsibility of the chief executive to see that the heads of different departments perform their duties sincerely and efficiently. Hence he also has the power to select the officers. In almost all the countries the chief executive makes appointments

to higher offices. In India, all important appointments such as that of State Governors, Ambassadors, Chief Justice and Judges of the Supreme Court and State High Courts, the Attorney General, the Chairman and members of the Union Public Service Commission are made by the chief executive. Recruitment of administrators to other ranks is made by Public Service Commission on the basis of competitive examinations. So even where merit system of recruitment normally prevails, key appointments are made by the chief executive.

In public and private organisations, key appointments are made by the chief executive. The recruitment of personnel is done under his supervision and with his due consent.

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. Dismissals are subject to certain constitutional arrangements. In the removal of personnel of the lower cadre he is guided by the Civil Service Rules.

Coordination of Various Executive Activities

Modern administration consists of various departments, commissions, divisions and sections each performing a specialised 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. The chief executive has to bring harmony, settle conflicts and guard against overlapping and duplication in administrative activities. For this, he may create inter-departmental committees and other coordinating agencies at various levels. Thus coordination is one of the most important functions of the chief executive. It is his foremost duty to see that numerous activities undertaken by several departments in implementation of a particular policy lead to fulfilment of administrative goals.

Management of Finance

It is the duty of the chief executive to prepare the budget and submit it to the legislature for approval. He should make full report regarding past operations and present conditions, and to make a statement regarding provisions made for meeting the revenue and expenditure needs of the government in the future. When the budget gets its approval by the legislature, it is again the duty of the chief executive to look for its proper execution and implementation.

Supervise, Control and Investigate the Administrative Operation

The chief executive has to see that the public business is carried on properly. He has to supervise the work and exercise control over the functioning of various administrative activities. He has to check the reports regarding the working of different departments. He has to issue instructions, 'warn' when the work is not being done properly and 'encourage' when it is running smoothly. He can also make enquiries to investigate any administrative matter and set up investigation committees for the purpose e.g. in India we have Vigilance Commission, Central Bureau of Investigation set up by the central government. These agencies help the chief executive in his supervisory functions.

Public Relations

Since Public Administration is ultimately responsible to the public, it has always to keep the people informed about the nature and purpose of its activities. For this reason, the chief executive functions as the spokesman of the administration by enunciating public policies and keeping the public informed on important major administrative decisions and actions from time to time. It is his responsibility to defend the administration when there is conflict between administration and public. He maintains relations with the press, various interest groups, voters and the legislature.

Maintains a Proper System of Communication

The chief executive maintains a proper communication link between him and other departments of the organisation. For smooth functioning of any organisation, it is essential that information passes from superior to the subordinates and vice-versa in an understandable and clear manner. The chief executive has to facilitate effective interaction among organisation members to enforce proper communication between the personnel.

As a Leader

The chief executive provides leadership in the organisation. He should inspire the entire administrative machinery to work harmoniously for the fulfilment of organisational goals. He should motivate the personnel and try to inculcate ideas of hard work, loyalty, quality and high rate of productivity among the people engaged in implementation of goals. The leader must also carefully assess the feelings, aspirations and style of working of the personnel. His role as a leader is most crucial in administration as it affects the entire atmosphere in which administrative machinery functions. As a leader he must prevent hasty judgments and haphazard actions, facilitate control, encourage innovative thought and creativity and minimise uncertainty and cost in the organisation.

12.6 AIDES TO THE CHIEF EXECUTIVE

No Chief Executive can perform the above mentioned functions all by himself. He needs help and this help is provided by the organs attached to the office of the chief executive. According to Mooney, "Always there are too many things to think about, too many factors to consider, too diversified a knowledge required for solution for the unaided capacity of one leader to encompass". Thus it is impossible for the chief executive to work without any assistance. Hence there is the need for delegation of work and powers.

The chief executive delegates some of his powers to the organs attached to his office but keeps to himself the more important functions and overall responsibility of the delegated activities. Delegation, thus, does not interfere with his supreme responsibilities. Delegation can be of two types, the staff and the line. Staff and line agencies reduce pressure upon the chief executive. You will read about the staff and the line agencies in the next two units, but some discussion is very essential here to describe the relationship between the chief executive and these agencies. The terms line and staff are both taken from the military vocabulary. Line refers to the chain of command, extending from top-ranking officers down to the lowest rank, they implement the decisions/policies of the chief executive. The staff refers to the service rendered to the chief executive through advice and counselling. Staff agencies help the chief executive by providing him with information he needs for decision making.

Staff Agencies

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, informing and carrying out his plans". Literally, 'staff' means a stick on which you can lean for support, but which can neither initiate nor decide your movements. Staff always remains in the background. It makes preparations for executive's decisions, but does not decide itself.

According to Pfiffner, there are three kinds of staff agencies, these are general, technical and auxiliary. The general staff helps the chief in general matters by advice, collection of information and research. It acts like a filter and a funnel as it only lets the most important matters reach the chief executive keeping back the matters which can be settled elsewhere in the organisation. The technical staff advises the chief executive on technical matters. Auxiliary staff performs functions common to various administrative departments e.g. printing, accounting etc. It prevents duplication of activities.

Thus, staff agencies keep the executive duly informed and save his time by ensuring that matters reach him in a prompt and convenient manner. It supplies the chief executive with relevant data and fruitful advice and also sees that the decisions taken by the chief executive are properly implemented. Major staff agencies in India are the Planning Commission, the Cabinet Secretariat, Cabinet Committees, PM's Office etc. In U.K. the example of staff agencies are the Cabinet Committees. In U.S.A., the White House Office, National Security Council are some of the staff agencies.

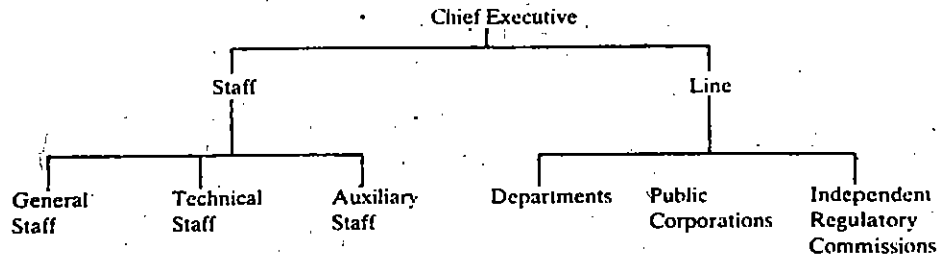
Line Agencies

It is with the line agencies that the ordinary citizen comes into contact. These agencies are concerned with the execution or fulfilment of the primary objectives and functions

of the government and deal directly with the people. They provide services to people, regulate their conduct, implement programmes sanctioned by the legislature, collect taxes etc.

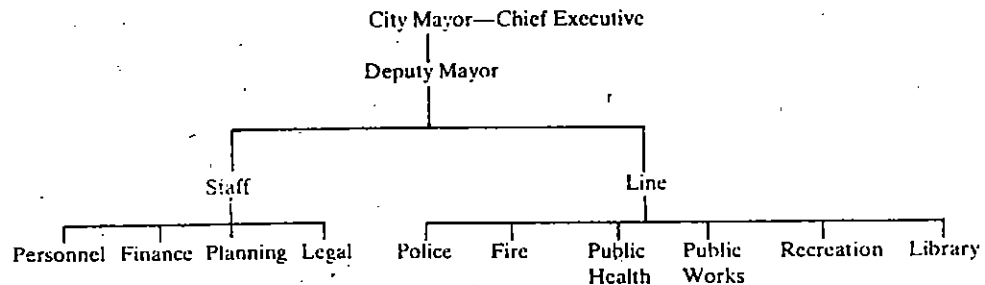
Line agencies can be of three types—the Departments, Govt. Corporations and Independent Regulatory Commissions of the U.S.A. In India, we find two types of line agencies—Departments and Public Corporations. Major line departments in the Govt. of India are those of Health, Defence, Education, Railways, Communication etc. The Damodar Valley Corporation, the Industrial Finance Corporation, the Indian Airlines Corporation and the Air India International are a few examples of Public Corporations in India. All these line agencies help the chief executive in carrying out his decisions and policies.

The relationship between the chief executive and the staff and line agencies can be diagrammatically shown as:



Even at the local levels, the staff and line agencies are there to help and advise the local executives. If we take the example of a municipal corporation, the city mayor is the chief executive who is assisted by the deputy mayor. The staff agencies perform functions with respect to personnel, finance, planning and legal assistance and help the chief executive. The line agencies help the executive by carrying out functions relating to health, police, recreation, library etc. Thus staff and line agencies perform various functions in order to assist the chief executive in executing his policies and decisions.

The functional relationship between the chief executive and staff and line agencies in a municipal corporation can be diagrammatically shown as:



Check Your Progress 2

- Note : i) Use the space below for your answers.
 ii) Check your answers with those given at the end of the unit.

1) Discuss briefly any two functions of the chief executive.

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2) How do the staff agencies help the chief executive in carrying out his functions?

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3) Which one of the following is not a staff agency?

- a) Central Secretariat
- b) Planning Commission
- c) PM's Office
- d) Cabinet Committees

4) Which one of the following is not a line agency?

- a) Departments
- b) Independent Regulatory Commission
- c) Public Corporations
- d) National Security Council

32.7 THE INDIAN EXECUTIVE

Chief Executive in India is the head of administration at respective national, state, district and local levels. At the Union level, President is the Constitutional or the nominal chief executive while the PM as the Head of the cabinet is the 'real' chief executive. Administration at this level is helped by secretaries in charge of different departments like finance, education, commerce etc. At the State level, the Governor is the constitutional chief executive and Chief Minister (CM) is the real chief executive. In States the Chief Secretary is the pivot of administration and provides major assistance to the CM. At the district level, the District Collector (District Magistrate) is the chief executive. He is the most important functionary in the district. Now we will discuss about all these executives in some detail:

The Union Executive

The Constitution says that the "executive power of the Union shall be vested in the President" (Article 53). The President of India is thus the head of the 'executive power' of the Union. The various powers that are included within the comprehensive expression 'executive power' have been classified under the following heads:

- a) Administrative power : The execution of the laws and administration of the departments of government.
- b) Military power : The command of the armed forces and the conduct of war.
- c) Legislative power : The summoning, prorogation, etc., of the legislature, initiation of and assent to legislation etc.
- d) Judicial power : granting of pardons, reprieves etc., to persons convicted of crime.

Despite all these powers, the President of India is only a nominal executive as he has to exercise his functions with the aid and advice of Council of Ministers headed by Prime Minister. The PM and his cabinet thus is the real chief executive at the national level. Though President is only a nominal head, he does have some discretionary powers e.g. ordinance making power and pardoning power. He also has certain special powers relating to 'Union Territories'. He has the power to give instructions to Governors. He has the power to appoint certain commissions for specific matters. He also has special powers in respect of the administration of Scheduled Areas and Tribes. Thus, even though he is not the real executive, he is not totally deprived of real powers.

Still it is true that the PM is the keystone of the Cabinet arch. He is the linchpin of the executive wheel. As Chairman, he presides over the meetings of the Cabinet, prepares the agenda and guides its deliberations. He allocates portfolios among the ministers. He communicates to the President about the happenings in and outside the country. He is the chief spokesman of the Cabinet in Parliament. He declares its policy. He is the chief coordinator of Ministries and Departments. He makes the major appointments in the name of the President. He represents the country at various international forums. He is the leader of the nation. He is the real chief executive and in all his work is assisted by the Council of Ministers. The Cabinet Committees, the Cabinet Secretariat and Prime Minister's Office provide staff support to the chief executive. They provide the necessary information and material for the functioning of

policies and also oversee the monitoring and implementation of the decisions of the chief executive.

At the central level, the chief executive, that is the Prime Minister, is also assisted by the Cabinet Secretary who keeps the chief executive informed about the agenda of the cabinet meetings. The work of administration is run by the Secretariat. It assists the chief executive and ministers in formulation of policies. The Secretariat helps in policy making, framing rules, exercising of financial control, guiding and directing the executive agencies in the performance of their tasks and in evaluating the work of the executive agencies. Thus a vast network of agencies both staff and line help the chief executive at the national level.

The State Executive

Our Constitution provides for a federal government having separate systems of administration for Union and its States. At the head of the executive power of a State is the Governor, who like the President of India, is a constitutional ruler. He has to act according to the advice of the Council of Ministers responsible to the state legislature.

Governor of the State has various powers relating to appointment of judges, members of State Public Service Commission etc., addressing, summoning, proroguing and dissolving the state legislature, granting pardons, remissions etc. But all these are not his real powers as he performs them with the advice of Council of Ministers headed by the Chief Minister. He also functions under the direction of the President. The Chief Minister with his Council of Ministers, thus is the real chief executive at the State level while the Governor is the nominal chief executive.

At the State level, the political head is the Chief Minister, but the administration is headed by the Chief Secretary. He is the kingpin of the State Secretariat. His control extends to all other departments of the Secretariat. He is the Chief of the Secretaries. He is the head of the civil services in the State. He is the Chief Public Relations Officer of the Government. Such an institution does not exist at the central level.

The Chief Secretary, performs the following functions:

- i) He is the principal adviser to the Chief Minister.
- ii) He is the Secretary to the Cabinet. He prepares the agenda for the Cabinet meetings, arranges these meetings, maintains records of proceedings etc.
- iii) He exercises general superintendence and control over the entire Secretariat.
- iv) He has the authority to make postings, transfers etc. of government personnel.
- v) He is the immediate executive superior to each District Collector so far as development activities are concerned. Thus the Chief Secretary acts as a staff agency to the Chief Minister.

Executive at the District Level

The role of chief executive assumes great importance in India at the district level. District is the basic unit of administration and it is placed under the charge of a District Collector. Thus District Collector is the chief executive in the district. In a way, the position of District Collector is more important than the other chief executives at the national and State levels as there is no nominal or political executive at the district level. The District Collector is the sole executive and also the real executive. He has various functions to perform, both political and administrative.

32.8 THE DISTRICT COLLECTOR AS THE CHIEF EXECUTIVE

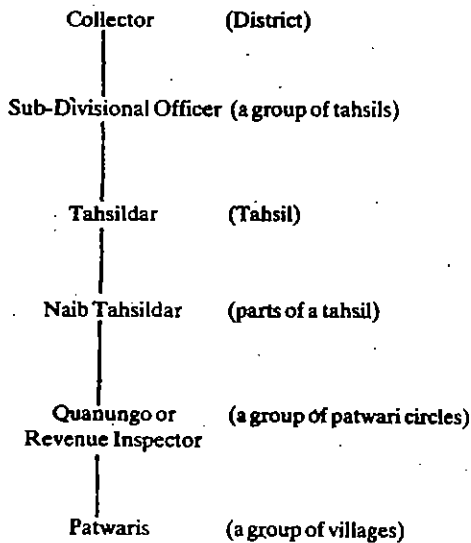
It must be clear by now that the chief executive at the district level has a very important role to play. District Collector is the kingpin of administration and all the administrative powers are vested in him. Because of the importance of the District Collector as the chief executive in the district, it is essential to discuss his role in greater details.

The functions of the Collector are so varied in nature that it is impossible to encompass them within the framework of this unit. Still some major functions of the Collector can be mentioned here:

- i) The Collector is in direct charge of the Revenue Department in the district. His revenue functions include the fixation of land revenue and its collection, maintenance of land records and decision in revenue cases.

- ii) He maintains law and order by performing the functions as a District Magistrate with the assistance of the district police, sometimes the government departments, educational institutions, representatives of the people etc.
- iii) He has to ensure an uninterrupted supply of essential commodities in the district.
- iv) He is responsible for proper implementation of various social welfare and rural development programmes.
- v) He is also designated as the District Election Officer for making necessary arrangements to complete the general election process. He is also responsible for conducting elections to the local bodies.
- vi) He has supervisory powers over some of the local bodies like the municipalities, village panchayats and block samitis etc.
- vii) The Collector has to assume charge under unforeseen situations such as natural calamities and utilise the District machinery to meet the situation.
- viii) The Collector tries to secure coordination at the district level in the working of the various State government departments. He is assisted in his work by the Sub-Divisional Officer (S.D.O.), Tehsildar, Qanungo, Patwari and Village Chowkidars.
- x) The District Officer exercises control over field offices through his visits to the blocks, inspections and meetings with his subordinates. By this he is able to monitor different programmes and also fix priorities.

Thus the Collector has rightly been called the pivot of district administration. He represents the State Government in its totality. Other officers in the district look at him for support and advice. Citizens too turn to him for redressal of their grievances. He acts as a buffer between the government and the district administration, between Public Administration and citizens as well as among citizens themselves. He is the best example of real Chief Executive in the country. The position he occupies in the district is shown below:



Check Your Progress 3

- Note : i) Use the space below for your answers.
 ii) Check your answers with those given at the end of the unit

- 1) Why is the district collector called the kingpin of administration at the district level?

- 2) Who is the real executive at the state level?

3) Who is the nominal executive at the national level?

32.9 CONCLUSION

Today, we witness a gradual and steady growth in the powers of the chief executive. As you know, the governmental power is three-fold legislative, judicial and executive. Lately, there has been a tendency for the executive to gain in power at the expense of both the legislature and the judiciary. Drafting and initiation of bills has passed into the hands of the executive and as a result the legislature confines itself to consideration of bills initiated by the executive.

The volume of legislative business has increased, Parliament has no time to examine the bills in detail, it just provides the outlines and leaves it to the Executive to fill the necessary details. The executive has thus acquired the power of delegated legislation. Executive already has supremacy over the judiciary as it has the power to appoint and transfer judges. Economic planning and the need to monitor plan implementation have also greatly strengthened the powers of the Executive.

Due to Executive's ever growing powers it is necessary that a person with administrative capability, leadership qualities, even temper, deep knowledge, intelligence, firmness of purpose, continuous interest in work, energy etc., is selected as chief executive. The entire development of the country rests on Chief Executive's shoulders. He has to perform his functions with full zeal and vigour at all the levels in the country so that the policy goals are realised in time without the wastage of resources and efforts.

32.10 LET US SUM UP

Thus we see that the chief executive is the person or persons who head the administration of a country. Whatever may be the type of chief executive — single or plural, presidential or parliamentary, nominal or real or even collegial type he has dual function to perform i.e. political as well as administrative. Chief Executive is the head of the administration at Union, State and local levels in the country. Public enterprises and private organisations also have chief executives in the form of Chairman/Managing Director as their heads. Role of the chief executive is becoming wider and complex every day. In India at the district level, his role as the District Collector is very crucial as he is both nominal and real chief at the district level and performs varied and multiple functions. Without the continuous leadership of the chief executive, administration cannot work.

32.11 KEY WORDS

Checks and Balances: This system enables each department to exercise partial control or check on the others. It was designed to bring about an overall balance and to prevent the tendency of each branch of government to become irresponsible in its particular field e.g. law making power of Congress is checked by U.S. President's veto power and Supreme Court's power of interpreting laws.

Ordinance : The law-making or law-amending power of the President/Governor when the legislature is not in session. Such an Ordinance is of temporary duration and expires within six weeks from the date of the reassembly of the Legislature unless withdrawn.

Prorogue : Discontinuing meetings of Parliament without dissolving it.

Remission : Reduction of the amount of sentence without changing its character, e.g. a sentence of imprisonment for one year may be remitted to six months.

Reprieve : A stay of execution of a sentence, e.g. pending a proceeding for pardon.

Senate : Lower House of U.S. Congress

Separation of powers : It means that three principle functions of government legislative, executive and judicial should be exercised by different persons or bodies of persons. All the three branches are independent of each other.

U.S. Congress : The Parliament in the U.S.A.

Veto Power : Power of the President to withhold his assent to the bill passed by the legislature either temporarily or permanently.

32.12 SOME USEFUL BOOKS

- Aiyar, P.R. Krishna, 1988. *Public Administration* (Chapters 3 4 and 5); Criterion Publication, New Delhi.
- Avasthi A. and Maheshwari S.R. 1987 *Public Administration* (Chapter 8); Laxmi Narain Agarwal : Agra
- Maheshwari, S.R., 1986. *Indian Administration* (Chapter 31); Orient Longman Ltd. New Delhi.
- Sachdeva, D.R. and Sogani Meena, 1980. *Public Administration* (Chapter 6) : Concepts and Application; Associated Publishing House : New Delhi.
- Sharan Parmatma, 1974. *Theory and Practice of Public Administration*; Meenakshi: Meerut.
- Sharma M.P. *Public Administration in Theory and Practice* (Chapters 5, 6 and 7); Kitab Mahal : New Delhi.

32.13 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 32.2
- 2) See Section 32.3
- 3) (b)
- 4) (c)

Check Your Progress 2

- 1) See Section 32.5.2
- 2) See Section 32.6
- 3) (a)
- 4) (d)

Check Your Progress 3

- 1) See Section 32.8
- 2) See Section 32.7
- 3) See Section 32.7

UNIT 33 LINE AGENCIES

Structure

- 33.0 Objectives
- 33.1 Introduction
- 33.2 Line Agencies—Features
- 33.3 Government Departments
- 33.4 Bases of Departmentation
- 33.5 Public Corporations
 - 33.5.1 Reasons behind the Rise of Public Corporations
 - 33.5.2 Features of Corporations
 - 33.5.3 Distinction between Departments and Corporations
- 33.6 Let Us Sum Up
- 33.7 Key Words
- 33.8 Some Useful Books
- 33.9 Answers to Check Your Progress Exercises

33.0 OBJECTIVES

After studying this unit you should be able to:

- define line agencies
- explain the structure and features of government departments
- explain the bases for the formation of departments
- describe the features of public corporations; and
- distinguish between departments and corporations.

33.1 INTRODUCTION

In Unit 32 you have learnt that the chief executive constitutes the topmost point of the administrative structure of a government and is helped by some organisations or agencies in his work. These organisations or administrative agencies are divided into three categories namely (i) line agencies, (ii) staff agencies, and (iii) auxiliary agencies, depending upon the nature of work performed by them. Those administrative agencies or units, which directly carry out the function of achieving the very purpose of the government organisation, make decisions, and direct, supervise and command are called "line agencies". Those agencies which help, advise and assist the line agencies in carrying out their work are called "staff agencies" and those which provide common, house-keeping services to all other agencies are called as 'auxiliary agencies'. You have already read in Unit 32 that the Departments of Health, Defence, Education, Railways, etc., are examples of 'line' agencies of the government of India. The Planning Commission and Union Public Service Commission are examples of 'staff' agencies.

This distinction between 'line' and 'staff' agencies was developed first in military administration. In military, right from the Commander-in-Chief to the soldier who are directly involved in the military operations are called 'line' units. But there are other units which supply food, clothing, arms and ammunition, carry on spying operations, build bridges and roads, and provide medical and nursing aids, but who do not take part in actual fighting with the enemy, are called 'staff units'. This distinction of 'line' and 'staff' has been borrowed from military administration and applied usefully in civil or Public Administration. In this unit we will study two types of the line agencies, i.e., Government Departments and Public Corporations. In the next unit we will study the 'staff' and 'auxiliary' agencies.

33.2 LINE AGENCIES—FEATURES

Before we proceed to study the departments and corporations, let us understand the meaning of line agencies or 'line units'. In the Government of India, Ministry of Railways is a major Department. Its primary function is to run the passenger or goods

trains between different points. Right from the Railway Minister to the engine driver all those who are involved in the running of trains are 'line' agencies. But to carry out this primary task, it is necessary to build railway stations, recruit the personnel, lay down and protect the railway tracks, purchase rolling stocks, keep accounts and perform a number of other activities. These activities are secondary functions and are carried out by the 'staff' units like Railway Recruitment Board, Railway Training College, Railway Police Service, Railway Construction Division, etc. Primary functions are an end in themselves whereas the secondary functions are the means to achieve the primary functions/objectives. Primary functions are carried out by 'line' agencies and secondary ones by 'staff' agencies.

In order to carry out the major primary functions of the Government a number of departments or administrative agencies are established in every administrative system. These agencies are called 'line agencies' because they are directly concerned with the execution or fulfilment of the primary objectives of the Government. In order to implement the programmes sanctioned by the legislative authorities they make all important decisions and issue orders. They are responsible for controlling, regulating, directing and commanding the administration. They come frequently into direct contact with the people, deal with the citizens and provide services to the community. They have the power and authority. The basic responsibility of carrying out the functions of the Government lies on them. These agencies are, therefore, called 'line' agencies. Department of Education and Department of Health, Indian Airlines Corporation, Life Insurance Corporation, Central Board of Customs and Excise are some examples of the line agencies of the Government of India. They are directly responsible for carrying out specific primary objectives of the Government in their own sphere.

Features of Line Agencies

We have seen that 'line agencies' are those administrative units or organisations which are directly carrying out the major/primary functions of the Government. In order to understand the concept of line units more clearly let us see what are their salient features.

Carries Out the Major or Primary Objective of Organisations

Firstly, line agencies/units are carrying out the major, primary or substantive objectives for which an organisation is established. For example imparting education through teaching is the major function for which any university is established. Teaching Departments are directly carrying out this objective and therefore, they are the 'line units' of a University. But accounts department, examination department or library are not directly teaching or imparting education and therefore they may be termed as "staff" or "auxiliary" units and not line units.

Authority to make Decisions

Secondly, line units have the power and authority to make decisions, issue orders and control, direct and command the administration under them. They are in one chain of command. For example in the Police Department right from the Inspector General of Police to the police constable all are involved directly, with the maintenance of law and order. They are all in one line of command. But the Police Training College is not a line unit because it is outside the line of command and therefore, it is a 'staff' unit of the Home Department.

Responsible for Execution of Government Programmes

Thirdly, line units are responsible for the execution of government policies and implementation of programmes sanctioned by the legislative or executive authorities. Entire policy execution is finally their responsibility. They make decisions, issue orders and command and direct the administration.

Directly in Contact with People

Fourthly, line agencies directly deal with the people, come into contact with the citizens and provide them the services e.g. a teacher teaches the students, a policeman protects citizen, a doctor looks after the health of the citizen etc. Similarly in the government, the Education Department, Health Department or Agriculture Department directly provides services to the concerned people.

Directly under the control of Chief Executive

Fifthly, line agencies are directly under the line of control and supervision of the chief executive. They are also responsible to the chief executive and to the legislature, e.g., Head of a Government Department is a Minister who is directly responsible to the Prime Minister and also to the Parliament. Similarly the Board of Directors of a Public Corporation is directly responsible to the government and Parliament.

In general, there are three types of line agencies which mainly carry out the work of administration in most countries of the world. They are Government Departments, Public Corporations and Independent Regulatory Commission (I.R.C.). The I.R.C. are mainly established in America due to its special constitutional set up and political ideology. The departments and corporations are found everywhere, in India, in U.K., in U.S.S.R. and in almost all countries of the world. In the next part of this unit you will study about the departments and public corporations.

33.3 GOVERNMENT DEPARTMENTS

Dictionary meaning of the word 'department' is 'a part or a portion of a larger whole'. In administration the whole work of a government is divided into different parts and carried out through very big units of administration which are called 'departments'. For example, there is a Department of Education, Department of Defence, Department of Health, etc. Most of the work of the Government is carried out by different departments. We can, therefore, say that the departments are the most important and primary units of the administrative system of a country. Generally the departments are very big. They work directly and immediately under the control of the chief executive.

In all the countries of the world, the major work of a Government is done through 'departments'. It is the oldest system of doing the work of a Government. In ancient and medieval times also the kings used to divide their work into departments and entrust each department to different officials e.g. a 'Senapati' in charge of the defence forces or a 'Faujdar' in charge of Police force of a "Khajanchi" in charge of 'Khajana' or Treasury or 'Bhandarpal' in charge of the 'Bhandar' (stores and supplies work). In order to effectively carry out the entire work of any government it is necessary that the work must be divided into different parts or sections. When the work is divided, then different areas of work have to be carried out by different agencies and therefore, automatically the departmental system comes into existence. In modern times the work of the government is increasing and, therefore, the departments are becoming more and more important as units of administration.

Who establishes a Department?

We have seen that the Departments are immediately below and directly responsible to the chief executive. But the organisation or reorganisation of the Departments is not always the responsibility of the chief executive. For example, in America the departments are created and established by the legislature i.e., the Congress; in Russia the establishment or reorganisation of the departments require an amendment to the Constitution. But in England and India the chief executive i.e., the Prime Minister can establish and reorganise the departments as per his/her will or convenience.

Types of Departments

All departments are equally important in administration but according to their nature of work, size and internal structure they can be divided into different types.

1) Large and Small Departments

On the basis of the size of the departments, we can say that there are some large departments and some small departments. Department of Railways, Department of Finance or Department of Defence are examples of large size departments whereas the Department of Atomic Energy is a small department.

2) Old and New Departments

In any government, some Departments are very old, that is the Departments which have been existing for a very long time like the Treasury Department of U.K. or the

Finance Department in India. But there are some new departments established due to new activities of the Government like Civil Service Department in U.K. or Human Resource Development Department in India.

3) Single-Function or Multi-Function Departments

There are some departments which are built around a single compact function like the Department of Defence or Education. There are other departments which have many sub-divisions carrying many different functions like the Department of Home Affairs or the Department of Food, Agriculture and Cooperation.

4) Operating or Coordinating Departments

Depending upon the nature of work performed, the departments which carry out actual operational duties, like Postal Department are called Operating Departments; whereas those departments which have only coordinating duties like Panchayati Raj Department or General Administration Department are called 'coordinating departments.'

Similarly there are some departments like the Finance Department which have most of their work concentrated at the headquarters only whereas there are other departments like Post and Telegraph Department which have to work through subordinate and field offices spread all over the country.

Salient Features of the Departments

Departmental system is the oldest and most important method of doing the government work. For thousands of years most of the work of the government is done by the departments only. Following are the important features of a Government Department.

- Generally, the departments are the largest units of administration.
- Departments are oldest and most traditional units of administration.
- Departments are just below the chief executive in the administrative hierarchy.
- Departments are directly responsible to the chief executive or the nearest to him.

Each department is under the direct control and supervision of the head of the department, who is in charge of the day-to-day administration of his department. In India, each department is under the control of a Minister, who is appointed by and responsible to the Prime Minister.

Departments are responsible to both the Executive and Legislature. Its day-to-day administration is controlled by a Minister and its policies are decided by the Cabinet and Parliament. Thus through the Parliament, the departmental administration is responsible and answerable to the people.

In the Departments, the head of the department is a Minister (politician) who represents the will of the people. Below him there are civil servants who are experts and experienced administrators. They have to carry out the decisions and orders. Thus in the departments politicians and civil servants jointly carry out the administration of the country. In a department there is both popular public control over administration as well as control is by trained, skilled and specialist civil servants. But these elements are very well combined in a department.

Departmental system is simple, convenient and easy to understand for the common people. It also ensure public control over administration. Therefore, most of the countries prefer departmental system of administration only.

33.4 BASES OF DEPARTMENTATION

We have seen that departments are the largest, oldest and most important units of administration through which most of the work of the government is carried out. Let us now study how a department is formed and what the bases or principles of the formation of departments are.

In order to carry out the administration efficiently it is necessary to divide the work of government. Greek philosopher Aristotle had suggested two alter for division

of work ... *usually*, according to persons or classes and according to services to be provided.

According to Luther Gulick, in the modern times we can observe that there are four principles or bases of the formation of departments about which you have read in some earlier units. They are purpose, process, persons and place. Luther Gulick calls it "4 P" formula. We will discuss about each in brief.

Purpose

In many countries a department is formed for a particular purpose or function of the government. There are many functions which the governments have to perform. These functions have to be identified and for each function a separate department is established. For example 'to defend the country', a Defence Department is established, to look after the health of the people, a separate Health Department is established and to provide education to the people' an Education Department is established. In many countries maximum number of departments are established on the basis of purpose only. It is the easiest and most common and efficient principle of the formation of departments. It avoids duplication and overlapping of work and it is simple to understand. Common citizens can easily say which work is being done by which Department if they are formed for specific purpose and for performing specific functions.

Process

Process means a technique or skill or a profession of a specialised nature. For example accounting, typing, stenography, engineering, legal advice etc. are some of the processes which are commonly needed in all government organisations. All organisations need typing and stenography, buildings, legal advice, or accounting. These processes cut across all departments and other government agencies. In some countries, therefore, separate departments are established on the basis of different processes. For example a Law Department, or a Public Works Department, or an Accounts Department is established which can serve all the other departments and fulfil their specialised needs. But there are only a few departments which are based on 'process' If the departments are established on the basis of process then, specialisation and upto date technical skill can be made available to all, there will be maximum economy and better coordination and uniformity in administration. At the same time there would be arrogance and superiority complex and narrow mindedness amongst the staff of the process-based departments. In any case there are few departments which are formed on the basis of 'process' in all countries.

Persons

In every society there are some persons or groups which have special and distinct problems and they need some special services. For example there are refugees, tribals, scheduled castes and backward classes, handicapped people or pensioners etc. In some countries a few government departments are specially established for looking after all the problems of some specific group or persons. The Rehabilitation Department, Tribal Welfare Department, Pensioner's Department or Social Welfare Department, Labour Department etc. are examples of those departments which are established on the basis of 'persons'. It becomes very easy and simple for the concerned group or persons to approach such departments and these departments can also efficiently provide all types of services to them in a systematic and coordinated way. But due to the establishment of special departments for special group of people these groups develop vested interests in them and work as a 'pressure group' in administration. In many countries a few departments are, however, created on the basis of groups or persons.

Place

In every country there is some area, territory or region which needs some special attention, some specific service from the government because there are some specific or distinct problems of each such area or place. Therefore special area or place is taken as basis of formation of a department for that particular area. The best example of such a Department before Independence was the 'Department of Indian Affairs' in the British Government. And even now there is a department dealing with Scotland, another dealing with Ireland in Britain. Foreign Affairs Department of the Government of India is one example of such departments. Many of the departments are divided into divisions which look after different geographical areas or regions. For

Example the Railway Department has several regional divisions like Western Railway, Central Railway, Southern Railway, South Central Railway etc. In India we have very few departments created for some specific area or place.

We have thus seen that there are four principles or bases namely purpose, process, persons or place, which are used for establishment of departments. Each one of the principles has some advantages and disadvantages. The natural question which arises is at which basis should be considered as the best for formation of a department? It is very difficult to give an answer to this question. In fact, the departments are not formed on any one single principle. All the four principles are used in the formation of departments. Keeping in view administrative convenience, socio-economic and political conditions, the departments are established by making use of all the four principles of departmentalisation. No one principle is the best. All the four bases are complementary to each other and all are used in all the countries for the formation of departments.

Check Your Progress I

- i) Use the space below for your answers.
- ii) Check your answers with those given at the end of the unit.

Explain the terms 'line' and 'staff'

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What are the features of line agencies?

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What are the features of departments?

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How Department is based on which of the following 4 Ps.

- Purpose
- Place
- Process
- Persons

33.5 PUBLIC CORPORATIONS

Public Corporation is the second type of line agencies. We have seen that departments are the oldest, largest and most popular units of administration throughout the world. But when the departments are not useful for the execution of many new functions of the modern governments then corporations are created. In recent years modern governments have to undertake many economic, financial and commercial functions. Departments are not suitable to carry out such new functions and, therefore, public corporations are established in many countries. Public Corporations are insitutional inventions of the 20th century. The necessities and complexities of the modern age has given birth to public corporations. Let us see why public corporations have become necessary.

33.5.1 Reasons behind the Rise of Public Corporations

Increase in Welfare Functions of the State

The modern state is welfare state. They have to look after the welfare of all the people. State has to work in all aspects of human life, political, social and economic. As a result the welfare functions of modern state have tremendously increased. All the functions cannot to carried out by the departments. New administrative institutions have to be created to carry out new functions. Therefore public corporation are established for some special purposes.

Result of Industrialisation

In modern times industrialisation and urbanisation is rapidly taking place. Even in our own country we see that new industries are coming up in places around us and cities are growing at rapid speed. In such a situation it becomes necessary for the government to regulate the industries and business. Sometimes the state has to take up some of them directly into its own hands. This is done to provide good services to the people at reasonable prices. For such business and industrial activities the Public Corporations are established. Both for the development of industries and also for running the government industries the public corporations like Industrial Finance Corporation or Industries Development Corporation etc. are established.

To provide Basic Services to the People

In all the countries governments have to provide some basic services to the people at reasonable prices. One example is that of bus service. This basic transport service is taken up by the government for the benefit of the people. This function of running a transport system requires business skill, flexibility and quick decision making. For such functions public corporations are established. We have Road Transport Corporations in all the states like Maharashtra State Road Transport Corporation or Andhra Pradesh State Road Transport Corporation etc. We also have Electricity Supply Corporations in many states.

Due to Nationalisation

If some business or industry is not working in the public interest then, government takes over its ownership. This is Nationalisation. Nationalisation is considered as a step towards socialism. Our objective is to have a socialistic pattern of society. Insurance Business, Air Services etc. were nationalised by Prime Minister Jawaharlal Nehru and the Banks were nationalised by Mrs. Indira Gandhi. In order to run these nationalised industries or business Public Corporations like Life Insurance Corporation, Air India and Indian Airlines Corporation etc. have been established.

We have seen that modern governments have to undertake new, economic, commercial or industrial functions for the welfare and service of the common people. Many times industries are nationalised and run by the government. Government departments are not suitable for carrying out these new functions. Because these functions should be run like it is run by a businessman or an industrialist. It requires business skill, quick decision making, flexibility and autonomy. These things are not possible in a departmental system. Therefore public corporations are established. Corporations can run these functions better, because they have altogether a different structure from the departments. They have more freedom in decision making and more flexibility in the day-to-day working than the departments. Let us now try to understand the origin and salient features of the public corporations.

Origin of Public Corporations

A Public Corporation is normally established when government undertakes business industries or commerce. A public corporation is owned by the government. Its management is like a private corporation. Only difference is that a private corporation is owned by private shareholders whereas public corporations are owned by the government. In fact the idea of public corporation has been borrowed by the successful working of privately owned corporations only. In private corporations money is invested by shareholders and individuals but the management is done by a Board of Directors. This Board is elected by the shareholders and it is the responsibility of the board to manage the corporation effectively, make day-to-day decisions and earn profit for the shareholders. It is ultimately responsible to the shareholders and it has to submit annual reports to them. But in the day-to-day administration of the corporation the Board has a lot of freedom. Shareholders do not interfere in the daily routine work of the Board. This is known as autonomy of the Board of Directors. In western countries the private corporations are very successful in doing the business. Therefore, this idea was taken up by the governments of western countries, when they wanted to undertake business type of functions. Public Corporations first came into existence in England and then they were established in other European countries. When government of India nationalised Life Insurance business, it established the Life Insurance Corporation. Similarly Indian Airlines Corporation, Food Corporation of India, Damodar Valley Corporation, Industrial Finance Corporation, Central Warehousing Corporation and a number of other Corporations were established. State governments have also established corporations for a number of activities like Road transport, Industrial Development, Electricity Supply, Development of tribals and backward classes and backward regions etc. For example in Maharashtra, there are as many as 27 public corporations, they are established from time to time by the state government.

3.5.2 Features of Corporations

We have seen that today there are many public corporations established by central and state governments in our country. Let us try to understand the special features of the public corporations which make it so useful for business type of functions of the government.

Ownership of Government

Public Corporations are owned by the government, which invests money and establishes them for some specific purpose. Money invested in public corporation is public money. That is why they are called 'public corporations'.

Management by a Board

Each public corporation is managed by a Board of Directors. The Chairman and members of the Board are appointed by the government. The Board is responsible for the day-to-day management of the corporation. It makes the routine decisions and implements those decisions. It has autonomy in the day-to-day administration, but the broad policy directions are given by the government from time to time. Board has freedom within those broad policy directives. It has to submit annual reports, audited accounts etc. to the government. Board is thus responsible to the government and Parliament. We can say that indirectly the Management Board is responsible to the people because the money invested in the corporations is public money. But ordinary citizens or the government do not interfere in the day-to-day functioning of the public corporations. It is the responsibility of the Board of Directors only.

Established by Law

Public Corporations are established by law or statute passed by Parliament or legislature. The purpose of the corporation, composition of the Board of Directors, their number, tenure, powers and responsibilities etc. are all laid down in the law. In order to make any change in them it is necessary to amend the law. Each corporation has a separate law and is governed strictly by the provisions of that law.

As a 'Corporate Status'

Each Public Corporation has a 'corporate status'. It means, in the eyes of law, a corporation has a status like an individual. It can hold and dispose of property. It can

enter into contract with any other agency or person. It can sue (file a case against) anybody or can be sued by anybody. Although a public corporation is an administrative agency of the government but in the eyes of law it has an independent status like a citizen. This is called 'corporate status' of the public corporation. Because of this a corporation owns property in its own name and not in the name of the government. In courts, a case can be filed against the corporation and not against the government.

Created for Specific Purpose

Each public Corporation is established by a separate law for some specific purpose. It cannot do anything else. It is limited by the law. For example Life Insurance Corporation (L.I.C.) can take the insurance of the life of an individual but cannot undertake the insurance of property or vehicles etc. The L.I.C. Act itself prevents it from doing so.

Has Financial Autonomy

Autonomy means freedom in a limited sphere. A Public Corporation has autonomy in the financial matters. It can raise funds, invest them in the manner in which it wants, purchase and sell goods and property, make contracts etc. The strict government rules and regulations are not applicable to public corporations. In matters like expenditure, accounting, budgeting, audit etc. the public corporations have autonomy. Government laws and rules are normally not applicable to them. But broad policies of the government are binding on them in this matter.

Has Autonomy Regarding the Staff

Normally the servants of the public corporation are not civil servants. They are recruited by the corporation and not by the Public Service Commissions. Their pay scale and conditions of service are different from those of the government servants. They, however, have to follow certain broad policy guidelines (e.g. regarding 'reservation policy' etc.) issued by the Government. Otherwise public corporations enjoy freedom in the matter of personnel (staff).

Autonomy in day-to-day Management

We have seen earlier that the public corporations are managed by a Board of Directors. This Board has autonomy in day-to-day management. Government issues only some policy guidelines. It does not interfere in daily routine matters of management. This freedom of operation is very important for the successful working of the corporations. Rigid and unsuitable government regulations and control are not applicable to the public corporations in their day-to-day working. This freedom is necessary to run a business-type of activity.

Accountable to Government

It is true that public corporations have financial, personnel and managerial autonomy but at the same time they are responsible and accountable to the government. They have to work according to policy guidelines given by the government from time to time. They have to submit the annual report and other documents to the government. Board members are appointed by the government and they can also be removed by the government. Also in some matters, approval of government is necessary. Thus we can say that public corporations are accountable to the government.

Responsible to Parliament/Legislature

Public Corporations are created by law. They have to work according to the provisions of the law. There are discussions on the working of these corporations in the Parliament. Members of Parliament may ask questions about them and the concerned minister has to give answers to them. Annual reports of the corporations are submitted to the Parliament. Parliamentary Committee on Public Undertakings can enquire about the working of the public corporations. We can thus say that public corporations are responsible to Parliament/Legislature also.

In conclusion we can say that the idea of public corporation is borrowed from private business corporations. The only difference is that in private corporations the money is invested by the shareholders but in public corporations money is invested by the government. Government is the owner of public corporations. Its management is not carried out by a minister or politician. For this purpose, an independent Board of Directors

is appointed. This board has a Chairman, Managing Director and other full-time and part-time members, who have expert knowledge and experience in that particular field. The board is non-political in character. The powers, functions and responsibilities of the corporation are laid down in law. Corporations work strictly according to the provisions of the law. They have financial, personnel and day-to-day managerial autonomy. At the same time they are responsible and accountable to the government and Parliament. In the words of American President Franklin D. Roosevelt, "Public Corporation is clothed with the power of government but possessed by the flexibility and initiative of a private enterprise". Thus in the public corporation there is a combination of business flexibility and public responsibility. This is the best form to adopt when government wants to enter into the field of business.

Some Problems of Public Corporations

Public Corporation is the best agency when Government wants to do business because, it has freedom in financial, personnel and operational spheres, it has business flexibility and efficiency and it is free from direct political control and interference. At the same time it has limitations imposed by the law and policy guidelines of the government.

These limitations are:

- i) In the working of the organisations it becomes difficult to draw a clear line between the general policy and day-to-day policies. As a result there is too much governmental interference in the day-to-day matters of corporations. This leads to conflict between the government and the public corporations.
- i) Another problem is how to have a balance between autonomy and responsibility. If too much freedom is given to corporations, then they can get out of control. If there is too much control, they cannot function effectively. Thus a balance between freedom and control is necessary.
- ii) Public Corporations are useful only for the functions like business, banking, transport, credit, financing etc. But it is not useful for traditional governmental functions of defence, law and order, justice etc., for these only departments are useful.
- v) There are no well knit schemes of incentives and disincentives in public corporations, so managerial motivation is very weak, this adversely affects the work in corporations.

3.5.3 Distinction between Departments and Corporations

So far in this unit we have studied government departments and public corporations. Let us now make a distinction between the departments and corporations. Both of them are line agencies of the government but they are different in many ways.

DEPARTMENTS

Department is headed by a Minister, who is a politician. He is assisted by one or more Deputy Ministers.

In a department both policies and day-to-day administration is the responsibility of the Minister.

Departments have strict financial control over them.

Departmental staff is recruited by Public Service Commission and governed by strict rules, regulations of the government.

In the department system, usually routine procedures of administration are followed. There is no scope for experimentation and there is no flexibility.

Departments are large, traditional organisations useful for routine government functions.

CORPORATIONS

1. A Corporation is headed by a Board of Directors, who are experts in their fields.

2. In a Corporation general policies are determined by the Government and routine day-to-day matters are decided by the Board of Directors.

3. Corporations have financial autonomy.

4. Corporations have autonomy in the personnel matters and have their own rules and regulations regarding the staff matters.

5. In corporation system there is scope for experimentation and there is flexibility in making decisions.

6. Corporations are useful for new economic and commercial functions of the government.

- 7. There is direct political control over the departments through the Minister.
- 7. There is no political control and less political interference in public corporations.

Thus we have seen some of the differences between government departments and public corporations. Both of them are the line agencies of the government. It is true that most of the major functions of the government are carried out by the departments and only those functions which require business skills, commercial efficiency and freedom from political interference are entrusted to public corporations. But in modern times the number of public corporations is rapidly increasing.

Check Your Progress 2

- Note : i) Use the space below for your answers.
- ii) Check your answer with those given at the end of the unit.

1. What factors led to the establishment of corporations?

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2. What are the salient features of corporations?

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What factors distinguish corporations from departments?

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33.6 LET US SUM UP

Formal organisations are divided into line and staff agencies. In this unit you examined the definitions and features of line agencies, features of government departments and the bases of their formation. You have also studied the need and significance of corporations, their features and the distinction between departments and corporations. In the next unit you will study about staff agencies.

33.7 KEY WORDS

Audit : It means to ensure that in the process of spending government funds, all rules and regulations which govern expenditure are adhered to. To see that expenditure has been incurred by the authority which is empowered to incur it.

Autonomy : Management of a Public Undertaking having full charge and authority to run the enterprise on sound business practices and commercial principles, to take decisions independently without any interference by the government.

Independent Regulatory Commission (I.R.C.) : The I.R.C. is a peculiarly American variety of administrative unit born of the special constitutional set-up of the U.S.A. These are completely independent of the chief executive, that is, the President, they perform administrative, quasi-judicial and quasi-legislative functions e.g. Inter State Commerce Commission, Federal Trade Commission etc.

33.8 SOME USEFUL BOOKS

- Avasthi, A. and Maheshwari, S.R., 1984. *Public Administration*; Laxmi Narain Agarwal: Agra.
- Dimock, M.E., and Dimock, G.O., 1975. *Public Administration*; Oxford and IBH Publishing Co. : New Delhi.
- Pfiffner, J.M., and Sherwood, F., 1968. *Administrative Organisation*; Oxford IBH Publishing Company ; New Delhi.

33.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 33.1
- 2 See Sec. 33.2
- 3 See Sec. 33.3
- 4 (iii)

Check Your Progress 2

- 1 See Sub-Sec. 33.5.1
- 2 See Sub-Sec. 33.5.2
- 3 See Sub-Sec. 33.5.3

UNIT 34 STAFF AND AUXILIARY AGENCIES

Structure

- 34.0 Objectives
- 34.1 Introduction
- 34.2 Meaning and Importance
- 34.3 Salient Features of the Staff Agencies
- 34.4 Functions of Staff Agencies
- 34.5 Types of Staff Agencies
- 34.6 Auxiliary Agencies
 - 34.6.1 Salient Features of Auxiliary Agencies
 - 34.6.2 Distinction between Staff and Auxiliary Agencies
- 34.7 Let Us Sum Up
- 34.8 Key Words
- 34.9 Some Useful Books
- 34.10 Answers to Check Your Progress Exercises

34.0 OBJECTIVES

After studying this unit you should be able to:

- explain the meaning, importance and role of staff and auxiliary agencies
- describe the features, functions and types of staff agencies; and
- distinguish between line, staff and auxiliary agencies.

34.1 INTRODUCTION

As you read in Unit 33, in any country the chief executive constitutes the highest point of the administrative structure. He has to run the administration, but he alone cannot do all the work. He needs help. Under every chief executive there are many administrative units and agencies. These agencies are the line and the staff. The line work is the function of authority and command and 'staff' work is the function of help, advice and counsel. Those units which are doing line work are called 'line agencies' and those doing the staff work are called 'staff agencies'. There are third type of agencies also. They provide common house-keeping services to all other agencies. They are called as 'auxiliary' agencies. In previous Unit we have studied about the line agencies like government departments and public corporations. In this unit we will study about the 'staff' and 'auxiliary' agencies.

34.2 MEANING AND IMPORTANCE

We know that in modern times the functions of administration have increased tremendously. Administration has become a very complex and complicated activity. The number of administrative agencies has increased. At the same time the size of the administrative organisations has also become very large. Due to all these factors it has become very difficult for the chief executive to carry out his work all alone. He has so many things to do; so many decisions to make; so many letters to reply; and so many visitors to meet. Thus he is over-burdened. He has no time. He needs advice and assistance. He needs relevant and up-to-date information without which he cannot function. Those individuals, officers or units which provide help, assistance, advice and information to the 'chief executive' are called 'staff agencies'.

Like the chief executive other executives also need the help, advice and assistance of the staff. In the previous unit, we have studied the line agencies working directly under the chief executive like the government departments and public corporations. We know that these line agencies carry out the actual executive work and exercise the authority and command on behalf of the chief executive. There are ministers in charge

of the **executives** and members of the **Board of Directors** of the public corporations. They are the executives of the line agencies who exercise the authority, make decisions and run the administration. These executives, ministers, directors and managers also cannot carry out all their functions without the help, advice and assistance of the "staff agencies".

We can thus say that all executives including the chief executive, carrying out the line functions need the services of the 'staff'. Without the help of the staff, no line agency can function efficiently and no executive can perform all his functions on his own. So staff units' perform very important role in administration.

Distinction Between 'Line' and 'Staff'

The distinction between 'line' and 'staff' units was first developed in military administration. We read in the previous unit that there are some units in the army which actually fight in war. Right from the Chief Commander to the soldier, they are all in one line of command and under one authority. The Chief Commander, the general, the brigadier, the major, the captain, the platoon commander, the subhedars etc., in this chain of command are called 'line' officers and the units under their control are called as 'line' units in military administration.

But can the line units fight a war without regular supply of food, water, clothing, arms and ammunitions? Can they proceed unless proper roads and bridges are built on their way? Can they go ahead without medical and nursing aids? Can a Chief Commander make decisions unless all the maps of the war-front and the other relevant information are made available to him? In military, there are those units which supply food, clothing, arms and ammunitions, medical and nursing aids; units which carry on spying operations; units which build and repair roads and bridges; units which prepare maps of the war-front areas; units which keep all relevant and up-to-date information of the war-front ready for the use of military commanders. These units do not take part in actual fighting with the enemy on the war-front. Their work is secondary in nature and is carried out behind the scene. But without their work the 'line units' of the army cannot fight. They are called 'staff units' in the military and their function is called 'staff function'. This distinction between 'line' and 'staff' units has been borrowed from military administration and usefully applied to Public Administration. Let us now understand what is meant by the 'staff' units in Public Administration.

Meaning of Staff Units in Administration

The dictionary meaning of the term 'staff' clearly explains the nature of the staff units. Literally, 'staff' means "*a wooden stick carried in the hand on which one can lean for support*". It cannot make movements on its own. It can move only if you and your hand want it to move. It cannot initiate your movement but if you decide to move, the stick in your hand will give you support and take you wherever you want to go. This exactly is the role of the 'staff units' in the administrative structure of a country

Another relevant dictionary meaning of the word 'staff' is "*a body of officers attached to a commanding officer to help him in his work*". This makes it very clear that the 'staff' function is a supportive and helping function. The 'staff' units perform the secondary function and not the primary function in the administration. The primary line functions are performed by the 'line' units and executive agencies. In order to carry out their functions the executives need help, assistance, advice, counsel, support, information and statistics etc. 'staff agencies' or staff officers provide all these services to them.

The above description may give you an impression that in Public Administration the 'line' functions are more important than the 'staff' functions and you may conclude that the 'line units' are more important than the 'staff units'. But this is not true. Both are equally important in administration and are complementary to each other. Line units have authority and power to make decisions, issue orders and command the administrative organisations. But they cannot work without the help and advice of the 'staff'. Staff units have no authority and power but they have the 'influence' and 'advice' which is equally important. For example the Prime Minister is the chief executive in our country. There is a staff agency called the Prime Minister's Secretariat which gives help, assistance and advice to him in all his activities. Prime Minister exercises the power and authority but in this work Prime Minister's Secretariat plays a very important role.

Today this Prime Minister's Secretariat, which is a staff agency, equipped with a wide range of expertise has a lot of influence and importance, in our administration.

Similarly, the Union Public Service Commission (U.P.S.C.) advises the Government on the matters relating to the civil services and makes many useful recommendations. The government has the 'authority' to accept or reject them. But in actual practice we know that the U.P.S.C. has a lot of 'influence' in personnel matters and all its recommendations are normally accepted by the Government. Thus we can say that the staff agencies have no authority but certainly have the 'influence'.

34.3 SALIENT FEATURES OF THE STAFF AGENCIES

We have so far, studied the meaning and importance of the staff agencies. In order to understand the concept of staff agencies more clearly, let us try to see what are their salient features.

1) Staff Agencies perform 'Secondary' functions in Administration

In all countries the line agencies perform the 'primary' functions and the staff agencies perform the 'secondary' functions. Their role is supportive and advisory in nature. We have seen that in the army 'line units' fight and the 'staff units' help in fighting; the 'line units' carry out the administration and the 'staff units' help them in carrying out the administration. 'Staff' is like a stick which can help you in walking but which cannot walk on its own. Line function is an 'end' in itself but the staff function is a 'means' to achieve an end. Both the primary and secondary functions are important in administration.

2) Staff Agencies do not exercise authority and command

The very nature of the staff agencies is such that they do not have authority and power. They do not make decisions and issue commands. These are the functions of the 'line'. Staff helps the line in the exercise of the power and authority. The staff advises the 'line' in making decisions. It has some 'influence' and not authority. But in some cases, the 'advice' of the staff is considered as very significant. It becomes compulsory to accept that advice. Suppose a person is seriously ill, he goes to a doctor. Doctor advises him to take a particular medicine. In such a case it becomes compulsory for the patient to take the medicine advised by the doctor. Here the doctor does not have authority but has a lot of influence. Similarly, the staff also has influence and not authority.

3) Staff Agencies do not have executive responsibilities

In administration the chief executive, the Ministers and the executive heads have the responsibility of carrying out the administration. 'Staff' agencies are there to help and assist them in their work. They remain behind the scene. They are not directly responsible for the executive work. If the government succeeds, the credit goes to the Prime Minister, if it fails the blame goes on him. He is held responsible. No staff unit can be held responsible for the success or failure of administration or government.

4) Staff Agencies do not directly deal with the people

The line agencies directly deal with people and serve the community. The staff agencies provide services to the line agencies and not to the people. They help, assist and advise the line agencies but they remain behind the scene. They remain anonymous and in the background. In some cases the staff agencies perform some delegated functions and come into contact with the people on behalf of the chief executive. Even in such a case the 'staff' is responsible to the chief executive and not directly to the people.

5) Staff Units are attached to Line Units at all levels outside the line of command

In any administrative structure the line of command and authority runs downwards from the chief executive to the heads of departments (Ministers) to the executive heads of different divisions, sections... etc., and so on. Staff agencies are located outside this line of command. They are attached to different line units at different levels in the line

of authority. They are like the sidings at a Railway Station to the main rail track. But sometimes a 'Staff' officer may be a part of the line unit like the secretary of the Home Department is an adviser to the Home Minister.

34.4 FUNCTIONS OF STAFF AGENCIES

So far we have seen that the staff agencies play a very important role in the administrative system of a country. Line agencies and executive heads cannot function without the support and assistance of the staff agencies. In different countries different staff units perform different types of functions. Let us now try to understand and identify the major functions of the staff agencies.

Assistance Function

The most important function of the staff agencies is to assist, help and support the chief executive and other line agencies in carrying out their work. They work on behalf of the chief executives and reduce their burden, relieve them from the routine matters and save their energy and time for important matters. White House Office in America or Prime Minister's Secretariat in India are predominantly doing this assistance function. These staff agencies work as additional ears, eyes and hands of the chief executive. They serve as the 'filter and funnel' for them. They issue press notes, write letters, maintain diaries, channel visitors and perform several other functions to help the executive.

Information Function

Another major function of the 'staff' is to provide to the line agencies all relevant information, necessary for making decisions. Staff has to collect, preserve and provide up-to-date information and data. Collection of information involves research, study, enquiry and surveys etc. The information collected has to be digested, summarised and presented to the concerned 'line' officer in a suitable form. Suitable and relevant statistical data has also to be kept up-to-date and supplied whenever required. Bureau of Statistics, Establishment Unit, O & M Division are engaged in this type of function.

Advisory Function

In addition to providing relevant information and data necessary for making a decision, the 'staff' also has to advise the chief executive and line agencies. They have to place their opinion before the Minister or chief executive. This advice may be accepted or rejected by the concerned 'line' officer. But consultation and counsel of the 'staff' is taken before making a final decision. Secretary of a department gives his advice and counsel to his Minister. On matters of planning, the Planning Commission gives advice to the Government. Advising and consultation are the important functions of all 'staff' agencies.

Supervisory Function

Once a decision is taken by the chief executive it is the function of the 'staff' to communicate it to the other related line agencies and to see that the decision is implemented by them. The staff units have to explain the decision, remove the difficulties in its implementation and supervise their work on behalf of the chief executive. They have to plan and coordinate their work, maintain contacts with all related agencies and help the chief executive in his task. The Cabinet Secretariat performs this supervisory function in India.

Delegated Functions

Sometimes the chief executive delegates some authority to a staff agency. In that case that staff agency performs delegated functions on behalf of the chief executive within clear and defined limits. For example a Press Secretary of the Prime Minister issues press notes on behalf of the PM or the Bureau of Budget prepares the budget on behalf of the American President or the Union Public Service Commission conducts the competitive examinations for the recruitment of the civil servants, on behalf of the Government of India. Thus, sometimes, the staff exercises delegated authority on behalf of the line agencies and perform delegated functions.

Check Your Progress 1

Note: i) Use the space below for your answers.
ii) Check your answer with those given at the end of the unit.

1 What do you understand by staff agencies?

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2 What is the importance of staff functions in administration?

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3 What are the features of staff agencies?

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4 Explain any two important functions of staff agencies.

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5 Which one of the following is not a function of staff agencies?

- i) Advising the chief executive
- ii) Collecting information, data, etc. for the executive
- iii) Directly carrying out the works of administration
- iv) Acting as filter and funnel for the executive

In general there are three types of staff services or agencies. They are:

- 1) General staff
- 2) Technical staff
- 3) Auxiliary staff

General Staff

The chief executive needs the advice and assistance of a 'general' nature. For example there are hundreds of letters which come to him. He has no time to read them all and send replies. His assistants will do this work for him. Only the most important letters will be placed on his table. He has to deliver so many speeches. His assistants prepare the texts of his lectures. He has to meet so many visitors. His assistants act as 'filter and funnel' in this matter. Thus they save his time and energy for important matters and reduce his burden. All this work is of 'general' nature. Those who do this are called 'general staff'. The Prime Minister's Secretariat in India and the White House Office in America provide the examples of the 'general staff'. Even the permanent secretary of a Government Department, who advises the Minister is generally a generalist and experienced administrator. His advice is also of a 'general' nature. For his minister he performs the functions of the 'general staff'. The members of the 'general staff' generally are persons with administrative training and experience. They are not technical experts. But they can give 'general staff' assistance and advice the chief executive.

Technical Staff

The chief executives and all other executives need technical advice in several matters because decision making requires perfect technical knowledge of the related field. 'Generalist staff' working under them do not have technical knowledge. Therefore services of the technical staff which consists of experts and specialists like engineers, doctors, financial experts, economists, planners, architects etc. are required. This 'technical staff' advises the chief executive in technical matters of their field of specialisation. On behalf of the chief executive they also exercise technical supervision over the agencies working in their field. If an atomic energy plant is to be established, a hydro-electric dam is to be built or an aeroplane factory is to be established, in such technical matters it is absolutely necessary to consult and obtain the advice of the experts like 'atomic energy scientists', 'design and construction engineers', or 'aeronautic scientists'. Decisions regarding financial and economic policy requires the opinions of the economists. Similarly government needs advice of 'foreign policy experts' in framing its foreign policy or that of the experts in defence and strategic studies to frame its defence policy.

The need of technical experts in administration is rapidly increasing in our country. As the functions of the government are rapidly expanding, the need for technical experts will continue to grow in future. A large number of specialists and technical experts are already recruited for government services.

Auxiliary Staff

All administrative agencies require certain common and house-keeping services. For example, all agencies require construction and maintenance of buildings, purchase of furniture, stationery and office materials, printing of papers, documents and reports, recruitment, training and management of personnel, preparation of annual budgets and financial statements, maintenance of accounts and records etc. These services are incidental in character i.e. they are not directly a part of the main and primary activity of the agency. But without these services it will not be possible for any organisation to carry out its primary functions. They are absolutely necessary for all organisations but they are subsidiary and secondary in nature. In administration, these services are called 'auxiliary services' and those agencies or units which perform these services are called 'auxiliary staff agencies'. The Public Works Department, the Public Service Commission, the Accounts Department, Director of Supplies, a Store Section, or Establishment Section or Records Section of large organisation are examples of the 'auxiliary staff agencies'.

We have seen that the auxiliary agencies, provide certain common house-keeping services to all other agencies and departments. They work on behalf of the line agencies. In their own sphere of activity they make decisions and exercise authority.

They work as separate independent organisations but as agents of the line units. They are not like general or technical staff agencies. They do not 'advise' or 'assist' the line units as other staff agencies do. Therefore, some writers like W.F. Willoughby and L.D. White, are of the opinion that 'auxiliary' or 'house-keeping' services should not be regarded as part of the staff services. According to them 'auxiliary agencies' are not staff agencies. They are not even a type of staff agencies. In the next part of this unit we will study the meaning and importance of auxiliary agencies and their distinct features in detail. We will also try to make a distinction between the staff agencies and auxiliary agencies in the last part of this unit.

34.6 AUXILIARY AGENCIES

As we have seen earlier in administration there is a third category of agencies which provides common, house-keeping services to all other agencies. These agencies are called 'auxiliary agencies'. Some writers think that 'auxiliary' services are part of the 'staff' services. But there are some other writers who say that the nature of the auxiliary services is different from the staff services and therefore the 'auxiliary agencies' must be studied separately. In the following pages we will study the 'auxiliary' agencies.

Need of Auxiliary Agencies

In the administrative system of any country there are many line agencies. All these agencies perform different functions. In order to perform their primary activities all agencies require certain common, house-keeping services like construction and maintenance of buildings, typing, budgeting, and so on. All these activities are incidental and not the primary or main activity of any agency. They are absolutely necessary for the achievement of the primary objectives of the organisations. These services are called 'auxiliary' services.

Actually it is the responsibility of each line agency to purchase the required furniture and equipments, to make recruitment of the servants, to maintain its accounts and keep records etc. In the past each line agency was 'self-sufficient' and made its own arrangements for performing these auxiliary activities. But because all these auxiliary services are common to all departments, it is more convenient and economical if all these common functions are taken away from all the line agencies and are performed by separate agencies. It automatically increases the efficiency and we have the benefits of specialisation in carrying out these common services. It reduces the burden of the executives and saves their time and energy for more important work. Therefore, in most countries separate auxiliary agencies have been established. The Central Public Works Department, Finance Department, Union Public Service Commission, Director-General of Supply and Disposal are some examples of auxiliary agencies of the Government of India. In other countries also the centralised auxiliary agencies have been established in the interest of economy, efficiency and convenience in administration.

Meaning of Auxiliary Agencies

Dictionary meaning of the word 'auxiliary' is 'helpful' 'subsidiary' or 'allied troops in a nation's service'. When we apply this to the administration, we can say that auxiliary services are those services which are not primary but secondary or subsidiary in nature. They provide subsidiary type of help to the 'line' agencies. It is like the help of the 'allied troops in the service of a nation'. A nation has to rely on its own troops but in some cases it can take the help of the 'troops' of an allied (friendly) country.

In administration, auxiliary services are those services which are common, house-keeping services required by all 'line' agencies, like purchasing the equipments, recruiting the servants, maintaining the accounts etc. Line agencies are established for other important purposes. In order to carry out these primary functions line agencies need incidental services also. These subsidiary and 'secondary' services are called 'auxiliary' services and those agencies which provide these services to the line agencies are called 'auxiliary agencies'.

34.6.1 Salient Features of Auxiliary Agencies

We have studied the meaning and importance of the auxiliary agencies in the administrative system. In order to understand the concept and nature of 'auxiliary

agencies' more clearly, let us now look at some of the salient features of the 'auxiliary agencies'.

1. Auxiliary Agencies provide common house-keeping services to the line units

Auxiliary agencies provide common secondary help and subsidiary house-keeping services to the line agencies. For example in a University there are many teaching departments teaching different subjects like Political Science, Economics, Chemistry, Mathematics etc. All the teaching departments need books, furnitures and stationery. These are common house-keeping services. Instead of having a library service in each department, there is a common auxiliary agency called the University Library. It purchases and keeps books on all subjects which are used by the teachers and students of all the departments. Similarly there is a 'Stores Section' which makes common purchases of furniture and stationery and supplies them to all departments as and when required:

2. Auxiliary Agencies exercise limited authority and make decisions in their own sphere

Auxiliary agencies are separate units which exercise some limited authority and make decisions in their own limited sphere of activity. Staff agencies have only 'advisory' role and have no 'authority'—Contrary to this the auxiliary agencies have a 'limited authority' which they exercise while carrying out their functions. They have no 'advisory' or 'counselling' role like the general or technical staff agencies. On the contrary they work as agents of line agencies and make decisions on behalf of them. A purchasing agency makes purchases according to its own rules and regulations or Public Service Commission makes the selections of candidates according to its own norms. The Finance Department exercises authority and control over other departments while preparing the budget or approving the expenditure. Thus we can say that in a limited way the auxiliary agencies exercise authority and make decisions. Auxiliary agencies are somewhere between the 'line' and 'staff' agencies.

3. Auxiliary Agencies have operational responsibilities

The auxiliary agencies are, in a sense operational agencies as they are concerned with performance of some routine activities of government like purchases, supplies, personnel matters, accounting, budgeting etc. In this respect auxiliary agencies are different from other 'staff' agencies. In case of auxiliary agencies their efficient operation is more important than their 'advice'. Delays in the work of U.P.S.C. or Public Works Department or Law Department will effect the performance of all other line departments.

4. Auxiliary Agencies do not serve the People

Auxiliary agencies basically perform services common to the departments but they do not serve the people. They serve the line agencies and departments. They assist and help the line agencies in carrying out their functions. They work as the agents of the line agencies. But these agencies do not provide services to the people.

5. Auxiliary Agencies are placed under the Chief Executive or Departments

Generally the centralised auxiliary agencies are placed under or attached to the chief executive. There are some government departments which work as auxiliary agencies such as the Finance Department, Public Works Departments or Law Department. These departments provide auxiliary services to other departments and at the same time exercise some authority and control over the other departments through these services. Some auxiliary agencies are placed under or attached to the departments like the Finance Department or Home Department or the General Administration Departments.

34.6.2 Distinction between 'Staff' and 'Auxiliary' Agencies

So far in this unit we have studied the 'staff' and 'auxiliary' agencies. Let us now make a distinction between the 'staff' and 'auxiliary' agencies. Both these agencies help and assist the 'line' agencies in carrying out their primary functions. Their functions are basically 'secondary' in nature but are necessary in administration. Both do not serve the people but serve the line agencies only. But they have some differences. What are the differences between the 'staff' and 'auxiliary' agencies?

Staff Agencies

- 1. Staff Agencies aid, assist and 'advise' the line agencies. 'Advice' is a major function of 'staff'
- 2. Staff agencies do not exercise 'authority' and do not make decisions. They help and 'advise' the line agencies in making decisions.
- 3. Staff agencies have no executive or operative responsibilities.
- 4. Staff agencies are attached to line agencies at different levels in the administrative hierarchy

Auxiliary Agencies

- 1. Auxiliary agencies provide common, house-keeping services to the 'line' agencies. 'Service' is a major function of Auxiliary agency.
- 2. Auxiliary agencies exercise 'limited authority' and make some decisions relating to their own sphere of activity
- 3. Auxiliary agencies have operating responsibilities on behalf of the line agencies.
- 4. Auxiliary agencies are generally placed under the chief executive or departments.

Thus there are some similarities and some differences between the 'staff' and 'auxiliary' agencies. In administration, the services of both 'staff' and 'auxiliary' agencies are equally important for the successful working of the 'line' agencies.

Check Your Progress 2

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

1 Distinguish between general staff and technical staff.

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2 Discuss the importance of auxiliary agencies in administration.

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3 Explain the features of auxiliary agencies.

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Distinguish between staff agencies and auxiliary agencies.

4.7 LET US SUM UP

In this unit we have learnt that the 'staff' and 'auxiliary' agencies are there to help, assist and advise the 'line' agencies. The 'staff' agencies provide 'general' and 'technical' advice and assistance to the 'line' agencies, whereas the 'auxiliary agencies' provide common and house-keeping services to the line agencies.

Some writers consider 'auxiliary' services as part of the 'staff' services, but others think that staff agencies' and 'auxiliary agencies' are different. The main distinction between the two is that 'staff' agencies do not exercise authority whereas the auxiliary agencies exercise some 'limited authority'. Staff units perform predominantly 'advisory' functions whereas the auxiliary units perform the 'service' functions. Both these agencies are, however, important in administration.

4.8 KEY WORDS

Organisation and Methods (O&M) : An administrative concept and process by which research, methods, engineering, organising, fact finding and related professional advice is provided for management in order to establish and maintain optimum efficiency in handling, scrutinising or controlling over organisation methods and procedures.

Union Public Service Commission (UPSC) : An advisory body to the government, on matters relating to recruitment, promotion and control of the public services. The members of UPSC are appointed by the President for a period of 6 years.

4.9 SOME USEFUL BOOKS

vasthi, A and Maheshwari, S.R., 1978. *Public Administration*; Laxmi Narain Agarwal : Agra.

Dimock, M.E. and Dimock, G.O., 1970. *Public Administration*; IBH Publishers : New Delhi.

Jeffner J.M. and Sherwood, 1968. *Administrative Organisations*; IBH Publishers: New Delhi.

- Sharan, P., 1981. *Modern Public Administration*; Meenakshi Prakashan: New Delhi.
- Sharma, M.P., 1977. *Public Administration in Theory and Practice* : Kitab Mahal : Allahabad.
- Tyagi, A.R., 1986. *Public Administration*; Atma Ram Sons: New Delhi.

34.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 34.1 and 34.2
- 2 See Sec. 34.2
- 3 See Sec. 34.3
- 4 See Sec. 34.4
- 5 (iii)

Check Your Progress 2

- 1 See Sec. 34.6
- 2 See Sec. 34.6
- 3 See Sub Sec. 34.6.1
- 4 See Sub Sec. 34.6.2

UNIT 35 BUDGETING

Structure

- 35.0 Objectives
- 35.1 Introduction
- 35.2 Meaning of Budget
- 35.3 Principles of Budget-making
- 35.4 Preparation of the Budget
- 35.5 Enactment of the Budget
- 35.6 Kinds of Grants
- 35.7 Let Us Sum Up
- 35.8 Key Words
- 35.9 Some Useful Books
- 35.10 Answers to Check Your Progress Exercises

35.0 OBJECTIVES

The objective of this unit is to enable you to get an understanding of the budgetary process. After going through this unit you should be able to:

- explain the meaning and importance of the budget
- discuss the principles of budgeting
- identify the various stages in the preparation and enactment of budget; and
- describe budget-making in democratic countries.

35.1 INTRODUCTION

Financial administration is very important today because of the volume, nature and variety of governmental activity. Everything government does requires money and government spends huge sums to meet its commitments of different kinds. Budgets grow larger and larger each year and it becomes increasingly necessary to ensure that the tax-payers' money is spent efficiently and economically. There is need to ensure adequate financial accountability.

Successful fiscal management centres around budgeting. The budget of the state, is an elaborate and complex exercise. In the days of laissez-faire, the budget was a simple statement of estimated income and expenditure. Given the accepted belief of the time, that the best state was the one that did the least, the functions of government were limited and regulatory in nature. Hence, the budget as the principal financial statement of the government, sought to introduce orderliness and method in financial management. The modern state is a welfare state. It undertakes activities to promote the common welfare of the community. In developing countries like India, the state is not just the preserver of the status quo, but the accelerator of socio-economic change. Government is engaged in nation building activities and seeks rapid modernisation. Administration is change oriented and result oriented. Goals have to be achieved within the democratic frame-work, with due regard for the rule of law and the rights of men. Hence, in the modern state, be it democratic or communist, developing or developed, budgeting is the heart of financial administration. In this unit we shall examine the meaning and importance, principles and the process of budgeting.

35.2 MEANING OF BUDGET

The word budget originally comes from the old English word "bougette" meaning a sack or a pouch. It was really a leather bag in which the British Chancellor of the

Exchequer (the equivalent of our Finance Minister) carried the papers relating to the budget which were to be placed before Parliament for approval. From that association, it has come to mean the papers themselves.

The budget is not just a statement of estimates of expenditure and revenue of the Government. It is a plan of action of the government for orderly administration of its financial affairs. The budget reflects the philosophy of the government and its manner of governance. It indicates as to how resources are to be raised to meet the anticipated expenditure through its taxation policy. How economic growth is planned, is indicated through its production policy. The budget reflects the priorities and targets of the government. For instance, through heavy taxation of the rich, it can attempt to reduce economic and social inequalities. It is both a kind of economic horoscope and a political document.

The budget serves as a powerful tool of coordination. It seeks to eliminate duplication and waste. It is a means to inculcate cost consciousness. It provides a means to evaluate programmes and policies and helps to streamline administration. In fact, performance budgeting which emphasises what government does in terms of objectives and functions, and zero-based budgeting which calls for an annual review of all programmes with a view to discontinuing those programmes that have failed or are not viable are steps in this direction. The budget is also the most important tool of legislative control over the public purse.

The term budget stands for both—the financial plan as presented to the legislature for its sanction and the sanctioned plan as it emerges after being passed by the legislature. In India, the word budget is used to indicate the estimates of expenditure only. In England, the word is used in connection with the revenue or taxation part of the financial plan. In America, the term is used in a more comprehensive fashion to cover the entire financial process i.e., preparation of the budget, enactment by the legislature, its execution, accounting and audit.

A budget may be long term or short term. Usually, Government budgets are on an annual basis. In India, where we have Five Year Plans, a part of the plan is incorporated in the annual plan though Parliament does approve of the entire plan in principle and outline.

35.3 PRINCIPLES OF BUDGET MAKING

Let us examine the principles of budget-making.

- 1 **The budget must be a balanced one :** The estimated expenditure should not exceed estimated income. When expenditure exceeds estimated income, it is called a deficit budget. Though deficit budgeting is risky in that it can lead to inflation, up to a point it is acceptable because it helps fight trade depression. When government spends more on public works, it increases the purchasing power of the people which in turn stimulates prices and production and fights depression.
- 2 **Estimates should be on a cash basis :** This is how it is in India, Britain and U.S.A. This kind of cash budgeting has the advantage that the final preparation of accounts of a year can be done soon after its close, though it may not reveal the true financial picture for that year. By deferring payments that are due in that year, a surplus instead of a deficit will be shown in the present year's budget which is incorrect. In contrast to the cash budget, there is the revenue budget which corrects this deficit, but it results in long delays in preparation and presentation of accounts and this makes financial control deficit.
- 3 **Budget must distinguish between recurring expenditure and income on the one hand and capital payments and receipts on the other.** In other words, there must be a distinction between current or revenue budget and capital budget. Each part must be balanced separately and the overall surplus or deficit is found out by taking both into account.
- 4 **Budget should be gross and not net :** All the transactions of income and expenditure must be clearly and fully shown and not merely as the resultant net position. Neglec

of this rule can adversely affect the established financial procedure and result in laxity of control, incomplete accounts, etc.

- 5 **Estimating should be as exact as possible** :Gross over-estimating leads to heavy taxation. Gross under-estimating can throw the whole budget out of gear when it comes to implementation. Close estimation is usually done by taking the average figures of previous three years under different heads and making the necessary adjustments. Itemised estimates are an aid to close budgeting. Generally, one is liberal in estimating expenditure and conservative in estimating income.
- 6 Budget form should correspond to the form of accounts, i.e., budget heads should be the same as those of accounts. This facilitates budget preparation, budgetary control and account-keeping.
- 7 **The rule of lapse** : It is the last budgetary principle. No part of the grant that is unspent in the financial year can be carried forward for the future. If this rule did not apply, departments would live on accumulated and unspent balances and would to that extent be independent of legislative control.

Check Your Progress 1

Note: i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

1 What is a budget?

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2 Distinguish between deficit budgeting and cash budgeting.

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The Budgetary Process

It is an elaborate and complex process involving operations performed by several agencies as indicated below.

- 1 **The Executive** : The various departments which constitute the executive branch of the government have to formulate their work programme for the year.
- 2 **The finance ministry**, though a part of the executive, has a special role to play. It administers the finances of the government and so it is responsible for the budget. It interacts with the administrative ministries that are the spending bodies and prepares the budget estimate. The estimates of income or revenue and the estimates of expenditure are brought together in the budget which is presented to Parliament.
- 3 **The Legislature** : It discusses the budget and sanctions the expenditure. In India, Parliament's control over government expenditure is undertaken through its financial committees.
- 4 **Audit Department** : Audit is independent of Government. It is a device to ensure the legality and propriety of expenditure. The Comptroller & Auditor-General sees that

the money is spent according to the Appropriation Act and that the amount of expenditure does not exceed what has been sanctioned. Details of Audit are given in Unit 38.

Let us now examine the budgetary process in terms of the preparation of the budget and the enactment of the budget.

35.4 PREPARATION OF THE BUDGET

Let us take the case of India and the preparation of the Union Budget. It may be noted that we have at the Union level, the General Budget and the Railway Budget and each state has its own budget

The Financial Year in India is from 1st April to 31st March. The work in connection with the preparation of the budget estimate commences around July or August about 7-8 months before the start of the financial year. The initiative is taken by the Finance Ministry which supplies 'skeleton forms' to the administrative ministries for preparing their estimates. Each form contains columns for (1) actuals for the previous year, (2) sanctioned estimates for the current year, (3) revised estimates for the current year, (4) budget estimates for the coming year, (5) actuals of the current year available at the time of preparation of the estimates and (6) actuals for the corresponding period of the previous year.

The budget estimates have three parts—standing charges, continuing schemes and new schemes. The last mentioned are the most important and have to be carefully examined by the Financial Advisers attached to the various administrative departments. After revision and review, these estimates are sent by the administrative ministries some time in November to the Finance Ministry. The Finance Ministry examines all these budget estimates from the point of view of overall needs of the Government and total availability of funds. Proposals for new schemes are very thoroughly scrutinised for the rule is that no proposal for new or increased expenditure, for any department, can be incorporated in the budget without the concurrence of the Ministry of Finance. The estimates of expenditure are finalised by the Finance Ministry after taking into account factors like the Five Year Plan, the policy decisions of the cabinet and the prevailing conditions in the country. The Finance Ministry is endowed with this control because it is not a spending ministry like the others. On the contrary, it is the guardian on the tax-payers' interests. Above all, since it has to raise the money required for the proposed expenditure, it must have a say in determining the level of that expenditure.

After the estimates of expenditure are completed, estimates of revenue are prepared. This too is the work of the Finance Ministry. The Departments of Income Tax, Central Excise and Customs, which are the principal revenue collecting agencies, make a forecast of expected revenue for the coming financial year. The Finance Ministry must be singled out for playing a special role in financial administration. It handles the financial business of the government and is the custodian of the nation's purse. The Finance Ministry examines these estimates and accordingly prepares the tax proposals. However, decisions in policy matters in all respects, are taken by the cabinet.

When estimates of Income and Expenditure are finalised by the Finance Ministry, they constitute the 'Annual Financial Statement'. This the President causes to be laid before both the Houses of Parliament as per Article 112 of the Constitution.

Check Your Progress 2

- Note : i) Use the space below for your answers.
- ii) Check your answers with those given at the end of the unit.

1 What agencies are involved in the budgetary process?

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Explain the role of the Finance Ministry in preparing the estimates of expenditure.

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5.5 ENACTMENT OF THE BUDGET

A very crucial stage in the budgetary process is its passage through Parliament which is marked by five stages.

Before we examine these five stages, it is important to bear in mind the powers of the Indian Parliament in budgetary matters, covered in Articles 112 to 117 of the Constitution. Briefly stated, they are the following:

No demand for a grant shall be made except on the recommendation of the President

Any proposal dealing with expenditure must be on the recommendation of the President.

Parliament can reduce or abolish a tax, but not increase it.

Certain items of expenditure are *charged on* the Consolidated Fund of India, like the salaries and allowances of the President, Judges of the Supreme Court, Speaker, Deputy Speaker, Comptroller & Auditor-General of India and others. The 'charged' expenditure is subject to discussion though not submitted to the vote of Parliament.

Parliament cannot amend the Appropriation Bill in such a way as to vary the amount, be it charged expenditure or otherwise, or alter the destination of any grant.

In financial matters, the powers of the Rajya Sabha are restricted. It must accept the Finance Bill with or without any recommendations within 14 days. The Lok Sabha may accept or reject any or all of these recommendations. In any case, the Finance Bill does not go again to the Upper House but directly to the President for his assent.

Let us now take each of the five stages in turn.

Presentation to the Legislature : The Finance Minister presents the budget to the Lower House on the last working day of February. He does so with the budget speech which is eagerly awaited by business circles as it gives first indications of tax proposals and the economic and financial policy of the Government. The budget is also placed before the Upper House which can only discuss it.

General discussion : It takes place a few days after the presentation of the budget. It is spread over two to three days. The discussion in each House is confined to general principles or policy underlying the budget. No details are discussed; there is no voting, nor are cut motions allowed. The general discussion is a hangover of British times when the Indian legislature could do no more than discuss the budget. However, it serves the purpose of enabling a discussion on the programme of government and particularly on the 'charged' expenditure. At the end of the debate the Finance Minister replies, reacting to the points of criticism and the main charges of the members.

Voting of demands for grants : After the general discussion, the Lower House takes up voting of demands. This voting of the expenditure is part of the budget and is the exclusive privilege of the Lower House. The demands are presented ministry-wise and each demand is subject to a vote. At this stage there is a lot of discussion and government is subject to severe criticism. Members can move cut motions which are of three kinds namely—disapproval policy cut, economy cut and token cut. The purpose behind the cuts is to criticise the specific departments of government and expose maladministration. When put to the vote they are generally defeated because government has a majority to support it.

In 26 days the Lok Sabha must complete the voting of demands. The time limit for each demand as well as for the entire expenditure part of the budget is fixed by the speaker in consultation with the leader of the House. The schedule is carefully observed. On the last day, all the remaining demands are subject to vote though the discussion may not be adequate. This is unfortunate and amounts to a highly unsatisfactory state of affairs, because the House is not able to perform its vital role of control of expenditure. It is noteworthy that the Lower House can only reduce or reject the proposed items of expenditure. Even this is not possible because the ruling party of the government has majority backing. In that sense, even cut motions are only symbolic. They are only a means to expose the government. A demand becomes a grant after it has been duly voted.

4 **The Appropriation Bill :** After the Lok Sabha has voted all the demands, these along with the charged expenditure are embodied in a bill called the Appropriation Bill. This bill follows the same procedure in the House as in the case of any other bill although no amendments can be made to it. This bill legalises expenditure and meets the Constitutional requirement that "..... no money shall be withdrawn from the Consolidated Fund of India except under appropriation made by law." After the Appropriation Bill is passed in the House, the Speaker certifies it as a money bill and sends it to the Upper House. Here the bill is discussed and with or without recommendations returns to the Lower House. The Lok Sabha then gives the Appropriation Bill its final shape and then sends it to the President for his assent which is given as a matter of course. Thus the Appropriation Bill becomes the Appropriation Act.

5 **The Finance Bill :** With the passage of the Appropriation Act, the expenditure part of the budget is complete, in that all public expenditure is authorised by Parliament. But ways and means must be provided to meet this expenditure. This is done through taxation. According to Article 263 of the Indian Constitution no tax is to be levied or collected except by authority of law. This means that Parliament, the supreme law making body must approve of the tax proposals of the Government. All the taxes do not have to be authorised annually. Some of them are permanent and their rates have to be fixed by the Government under the provisions of the law governing them. The rates of others have to be fixed annually by the legislature, like the Income Tax.

Government's taxation proposals are incorporated in a bill known as the Finance Bill. It follows exactly the same procedure as a money bill. While no amendments in either house can be moved to the Appropriation Bill, amendments seeking to reject or reduce a tax can be moved to the Finance Bill. These have been known to be accepted by Parliament. However, no increase in taxes or introduction of new taxes can emanate from Parliament. Once the bill is passed it becomes the law of the land. This completes the enactment of the budget in Parliament.

Check Your Progress 3

Note : i) Use the space below for your answer for question No. 2.
 ii) Check your answers with those given at the end of the unit.

- 1) Indicate whether the following statements are True or False.
- i) Parliament can increase, reduce or abolish a tax. True/False
 - ii) Items of expenditure charged on the Consolidated Fund of India are non-votable. True/False
 - iii) In financial matters both the Houses of the Indian Parliament have equal powers. True/False
 - iv) Voting of demand for grants is done in the Rajya Sabha. True/False
 - v) Government's taxation proposals are embodied in the Appropriation Bill. True/False
 - vi) The demand for grants is introduced by the Speaker of the House. True/False

2) Describe the enactment process of the budget.

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5.6 KINDS OF GRANTS

The budget embodies the ordinary estimates of income and expenditure for the year. But under special or extraordinary circumstances, these estimates may not be adequate. To take care of special needs there are four other kinds of grants, that the Lower House considers. They are:

- Vote on account** : Even though the financial year starts on 1st April, the budget takes some time to be passed. The House is required to vote on account of the expenditure that will be incurred in the first few months of the financial year. A vote on account is an advance grant.
- Vote on credit** : This is to meet expenditure whose amount or details cannot be precisely stated in the budget because of the nature or indefinite character of the service, eg., war.
- Exceptional grant** : The Lok Sabha can make an exceptional grant which is not a part of the current service of any financial year. For unforeseen expenditure advances can be made by the President out of the Contingency Fund of India, but these advances have to be duly authorised by Parliament later.
- Excess grant** : This is a grant to regularise excess expenditure.
- Token grant** : If expenditure on a new service can be met by reappropriation of funds, this is regularised by a demand for a token amount (say Rs. 10/-) which is approved by Parliament by voting.
- Supplementary grant** : If original estimates are insufficient, additional funds are sought in the course of the financial year through supplementary grants. This is more in the nature of a supplementary budget which is frequently resorted to in India and follows the procedure prescribed for the original budget.

Check Your Progress 4

- i) Use the space below for your answers.
- ii) Check your answers with those given at the end of the unit.

Describe the following in two lines each

i) Vote on Credit

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ii) Vote on account

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iii) Supplementary grant

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7 LET US SUM UP

In a modern welfare state, the budget is more than a device for counting and recording income and expenditure. It is an economic horoscope and a political document. Budget making is guided by principles and is an elaborate and complex exercise. The

budgetary process involves the preparation of the budget and its enactment in the legislature through five stages.

35.8 KEY WORDS

Consolidated Fund of India : In India, the Centre and States have each, its consolidated fund to which all receipts are credited and all authorised payments are debited.

Finance Bill : The Finance Bill is the bill which consists of the Government's Financial (Taxation) proposals for the ensuing financial year which has to be passed by the Parliament every year.

Inflation : A progressive increase in the general level of prices brought about by an expansion in demand or the money supply or increase in costs.

Laissez-faire : It literally means 'let it be'. It is a system where the government does not intervene and gives complete freedom to private enterprise.

Zero-based budgeting : It is the latest method of evaluating the budget. It is a critical analysis which questions the very basis and justification of every scheme & project—both ongoing and new. Each activity is closely reviewed from base zero and it is scrutinised to judge whether its continuation is justified.

35.9 SOME USEFUL BOOKS

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- Premchand, A, 1963. *Control of Expenditure in India*; Allied Publishers : New Delhi.
- Thavaraj, M.J.K., 1964. *Essentials of Financial Administration*; *Indian Journal of Public Administration* : April-June, 1964.
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35.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Sec. 35.2
- 2 See Sec. 35.3

Check Your Progress 2

- 1 See Sec. 35.4
- 2 See Sec. 35.5

Check Your Progress 3

- 1 i) True
- ii) True
- iii) False
- iv) False
- v) True
- vi) False

- 2 See Sec 35.5

Check Your Progress 4

- 1 i) See Sec 35.6
- ii) See Sec 35.6
- iii) See Sec 35.6

UNIT 36 ACCOUNTABILITY

Structure

- 6.0 Objectives
- 6.1 Introduction
- 6.2 Concept of Accountability
- 6.3 Kinds of Accountability
- 6.4 Financial Accountability
 - 36.4.1 Financial Control within the Executive
 - 36.4.2 Audit
 - 36.4.3 Financial Committees of Parliament
- 6.5 Accountability through the Courts
- 6.6 Accountability and Ethics in Administration
- 6.7 Let Us Sum Up
- 6.8 Key Words
- 6.9 Some Useful Books
- 6.10 Answers to Check Your Progress Exercises

6.0 OBJECTIVES

In this unit we will discuss about the concept of accountability. Its aim is to study the concept and examine its various components. After reading this unit you should be able to:

- explain the meaning and kinds of accountability
- discuss the meaning of the terms financial accountability, judicial control, public accountability and ethics in administration.

6.1 INTRODUCTION

Public accountability distinguishes Public Administration in a democracy from that in an autocratic set up. An autocrat is accountable to none; public administrative authorities are, on the other hand, accountable to the people. Accountability is a very wide and comprehensive term which came into usage in the English language from as early as 1583. It was mainly used to imply financial accountability. Though financial accountability is important and we will discuss about it later in this unit, we must not ignore other equally important components of accountability.

6.2 CONCEPT OF ACCOUNTABILITY

The Oxford English dictionary defines 'accountable' as 'liable to be called to account, responsible (to, for)'. The Webster's dictionary gives more or less the same meaning when it explains accountability as liability to be called on to render an account. Though accountability and control are used as synonyms, actually 'control' goes along side or simultaneously with an action or event whereas accountability comes in only after an act is accomplished. Only when one does a job or an act is one called upon to render an account of it.

Accountability in the positive sense means achieving results. Public servants have tremendous responsibilities to discharge. To enable them to do so, they have stability of tenure and administrative support. If they are unable to deliver the goods or achieve results, they must be held accountable.

In other words, if administrators have responsibilities, they also have accountability. Accountability and responsibility are two sides of the same coin and they go together. In the negative sense, accountability implies holding public officials responsible for their lapses. Lapses can be of various kinds. Public servants may not do what law or

custom requires them to do for reasons such as ignorance, indifference or corrupt influence; or they may be guilty of waste and damage; or a duty may be undertaken beyond what law and custom oblige or empower.

In practice, it is not easy to enforce accountability. This is so because of composite decision-making, diffused responsibility and frequent transfers. Whenever serious administrative lapses take place, enquiries are conducted to punish the guilty ones. But it is difficult to pinpoint responsibility. So many are involved in decision-making that the range of accountability is too wide to hold any one person responsible for the lapse. If action is taken on the basis of oral instructions it adds to the difficulty of fixing accountability. This is not to suggest that accountability cannot be enforced. An aggrieved citizen can go to a court of law. Then there are vigilance authorities or Ombudsman through which citizens can get redressal of their grievances.

36.3 KINDS OF ACCOUNTABILITY

So far we have talked of accountability in general. To be more specific, one can speak of political accountability as distinct from administrative accountability. In a parliamentary government, such as ours, the political executive is collectively and continuously responsible to Parliament. In other words, the executive is obliged to give an account of its performance to Parliament. Parliament has ways and means to ensure this accountability. But there is also the permanent executive i.e. the bureaucracy whose accountability is not direct but indirect. It is accountable through the political executive to Parliament.

Let us look at ministerial responsibility a little more closely. There are certain matters which fall within his competence for which the minister is responsible in his personal capacity. He is accountable to Parliament for his actions—or lack of them—as well as for all those of the civil servants under him. Parliament holds the minister responsible for anything that goes wrong in his ministry even if he had no knowledge of it or did not approve of it.

If a civil servant's actions are in accordance with the policy laid down by the minister or he acts at the bidding of the minister, the minister must shield and protect him. Even if the civil servant makes a small mistake or errors on not too important a matter, the minister must take the rap in Parliament. But in serious matters where the civil servant acts on his own and his conduct is reprehensible the minister cannot be expected to endorse the action of his officer. Yet, he still remains accountable to Parliament for the conduct of such an erring official.

But this concept of ministerial responsibility cannot be stretched too far. If applied in a rigorous manner, the minister would insist that every issue must compulsorily be referred to him. Civil servants would be over cautious and guarded and refer everything to the minister. Very soon, all administration would come to a halt.

Ministerial accountability is more a convention and is a matter of one's conscience, a moral principle. A minister hardly resigns if things go wrong in his ministry, if he has party backing and strong support of the Prime Minister. Nevertheless, the fact of accountability cannot be denied or washed away.

Check Your Progress I

Note : ii) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit.

i) Comment on the following in five lines each:

a) Responsibility and accountability are two sides of the same coin.

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b) Accountability and control are synonyms.

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2 Why is it difficult to enforce accountability?

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36.4 FINANCIAL ACCOUNTABILITY

This is a vital component of accountability. It is based on the principle that "those who spend public money should give an account of their actions to those who bear the burden of taxation." Financial accountability consists of control exercised by the legislature over those who handle public money. The legislature exercises this control over the executive on behalf of the tax-payers.

The budget is an important tool of legislative financial control. In the parliamentary system, the demand for grants gives the House an opportunity to discuss the working of each department in great detail. It is only when members of Parliament are satisfied with the explanations given on points raised, that grants are passed. Unfortunately, if voting cannot be completed by the given deadline, then all the remaining demands are voted together in one lot by a practice called 'guillotine'. The entire procedure in Parliament relating to enactment of the budget, particularly the passage of the appropriation and finance acts, is a means of exercising financial control over the executive.

36.4.1 Financial Control within the Executive

Once the budget is passed it has to be enforced. The legislature sees this as the responsibility of the executive because the legislature makes the grants to the government as a whole, (though technically to the President). The machinery of executive control over expenditure consists of (a) Finance Ministry or its equivalent and (b) the heads of administrative departments. The control is exercised to ensure that the budgetary grant under any head does not cross the stipulated limit and that there is no improper, wasteful or extravagant expenditure.

a) **Finance Ministry** : We have seen the role of the Finance Ministry in the earlier unit. It is concerned with not only preparation of the budget but its execution as well. Often estimates for proposals or schemes are made by the officers of their departments. These departmental accounts are periodically reconciled with the accounts kept by the Accountant General on the basis of fortnightly accounts received from the treasuries. But the controlling officer does not have up-to-date information and to that extent his control is imperfect. With so many centres of payment dispersed all over the country even the Comptroller & Auditor General of India has no effective control over the issue of money from the Consolidated Fund of India.

In England, public funds are kept in the Exchequer Account at the Bank of England. At the request of the Treasury, the Bank transfers sums from the Exchequer to the supply account of the Paymaster-General, indicating the services in respect of which

the issues are to be made. The heads of the various departments get funds to meet their bills by issuing 'payable orders' on the Paymaster General. By maintaining suitable registers the heads see that 'payable orders' do not exceed the budgetary grant.

In the U.S.A., there is the Department of Treasury but its functions are different from those of the British Treasury or Indian Finance Ministry. It is not concerned with the budgetary control but with the safe custody of the public funds. Budgetary control is divided between the Congress, the Office of Management and Budget and the Comptroller General. The Congress seeks to exercise financial control through specific appropriation and by introducing a system of internal checks over expenditure within the executive branch. The Office of Management and Budget exercises control through apportionments (i.e. dividing annual appropriations of an agency into four instalments, thus limiting the expenditure per quarter), revision of appropriations (which could amount to withholding a part of the appropriations from being released), financial reporting and enforcement of personnel ceilings. The Comptroller General can disallow any expenditure on the score of illegality. But the control is not really complete or satisfactory as compared to the British or the Indian system.

Check Your Progress 2

- Note :** i) Use the space below for your answers.
ii) Check your answers with those given at the end of the unit.

1 Define financial accountability.

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2 Name the agencies of financial control within the executive in India and explain their functions.

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3 How is budgetary control exercised in America?

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36.4.2 Audit

It is not sufficient to have executive machinery to control expenditure. In the ultimate analysis, it is the business of the Parliament to ensure financial accountability. This it does through an independent audit by the Comptroller & Auditor-General and its financial committees.

Without accounts, it is impossible to exercise financial control. Accounts enable one to know how much was received, how it was spent and for what purpose. It is only through systematic accounts, supported by vouchers and receipts that one can convince oneself that the transactions are in order. Also, accounts are a must for the purpose of audit.

Account-keeping is generally a function of the executive authorities. Auditing is done by an independent agency. In India, both the functions are combined and handled by the Comptroller & Auditor General. It means that the audit agency audits the accounts kept by itself. This is highly objectionable. However, it was a legacy of British rule, when the legislature had no control over finances and the executive was all-powerful.

An indispensable part of financial accountability is audit. An independent audit is conducted by an outside agency, namely the Comptroller & Auditor-General in India. Hence Parliament entrusts the work of examination and verification of accounts to an outside agency in order to discover and report back to it any unsound financial practices, unauthorised, and illegal or irregular expenditures. In this way, audit fixes the accountability of officials.

Britain was the first country to have public accounts audited in order to find out if Parliament's sanctions were honestly and faithfully adhered to. In America, independent audit dates from 1921. The Comptroller General as he is called, audits government's financial transactions and has the power of disallowance.

The Comptroller & Auditor-General of India enjoys a constitutional status and is independent of Government. He is appointed by the President and can be removed in the same way as a Judge of the Supreme Court i.e. He can be removed by the President upon an address to that effect being passed by a special majority of each House of Parliament. It means a majority of the total membership of that House and by majority, of not less than two thirds of members present and voting. Till 1976 he was concerned with audit and accounting of all financial transactions of the Union and State Governments. Since then, he does not compile and maintain accounts. He audits all expenditures from revenues on all India basis. His is a legality audit. He ascertains whether money disbursed was "legally available for and applicable to the service or the purpose to which they have been applied and whether the expenditure conforms to the authority which governs it." According to Asok Chanda his functions go even further in that the audit also has a discretionary basis. When the Comptroller & Auditor-General examines the expenditure, he must satisfy himself on behalf of Parliament, as to its "wisdom, faithfulness and economy". He therefore not only checks expenditure according to budget provisions, laws, rules and regulations, but also against canons of financial propriety.

The Comptroller & Auditor-General with his elaborate headquarters and field staff prepares an audit report for each of the Governments whose accounts are audited. In the case of the Centre, the report goes to the President and in case of the state to the Governor. These heads have the reports placed before their respective legislatures who in turn refer the reports to their Public Accounts Committee. Financial accountability is complete when these reports are examined, investigations conducted and findings reported back to the legislature concerned in the form of a Report.

Check Your Progress 3

Note : i) Use the space below for your answers.
ii) Check yours answers with those given at the end of the unit.

1 Give reasons for the following:

a) Accounting is an executive function.

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b) Auditing must be by an independent agency.

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2 What is a legality audit?

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3 Who conducts audit in India?

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36.4.3 Financial Committees of Parliament

In all Parliamentary democracies, Parliamentary Committees play a pivotal role in ensuring accountability of the executive. In Presidential form of Government like the U.S.A., Congressional Committees play this role. In what follows we will examine the role of Parliamentary Committees in ensuring the accountability of Executive.

The Public Accounts Committee : The Public Accounts Committee (PAC) is annually elected on the basis of proportional representation by a single transferable vote. By convention, continuity is achieved by allowing a two year tenure of membership. It has twenty-two members, fifteen from Lok Sabha and seven from Rajya Sabha. Its British counterpart has members only from the House of Commons. The Chairman of the PAC is generally from the opposition party.

The PAC satisfies itself that:

- 1) the money shown in the accounts as being disbursed were legally and actually disbursed for the purposes or services stated,
- 2) that the expenditure conforms to the authority which governs it, and
- 3) that every reappropriation is made in accordance with provisions and under proper rules.

The PAC also examines the audit report of the Comptroller & Auditor-General. In this work, the Comptroller & Auditor-General acts as its friend, philosopher and guide. The PAC can send for records, papers and persons. To expedite matters the PAC works through committees and submits its findings and recommendations to Parliament in the form of a report. By convention, the recommendations of the Committee are accepted by the Government.

A valid criticism of the PAC is that its investigation is in the nature of a postmortem examination. Nevertheless it is desirable and useful work. The very fact that such a scrutiny will be conducted acts as a deterrent to negligence, waste or slackness of the executive.

There is a PAC in each of the states as well.

The Estimates Committee : The Indian Estimates Committee is modelled on that of Britain which is now known as the Expenditure Committee. We have such an Estimates Committee at the Centre and in the states: The Central Committee has thirty Lok Sabha members elected by the House itself according to proportional representation by a single transferable vote. The Chairman is nominated by the Speaker. If the Deputy Speaker is a member of the Committee he automatically becomes Chairman. The term of office is only one year, but members are frequently re-elected.

The functions of the Estimates Committee are as follows:

- a) To report what economies, improvements in organisation, efficiency or administrative reform, consistent with the policy underlying the estimates, may be effected.
- b) To suggest alternative policies in order to bring about efficiency and economy in administration.
- c) To examine if the money is well laid out within the limits of the policy implied in the estimates.
- d) To suggest the form in which the estimates shall be presented to Parliament.

Thus it would be seen that the functions of the Indian committees are wider than its British counterpart in that the latter cannot suggest alternative policies, but are not as comprehensive as those of the appropriation committees of the U.S. Congress.

The main stages in the working of the Estimates Committee are collection of material on the selected estimates for investigation, issuing of questionnaires to the concerned ministries and departments, recording of evidence of official and non-official witnesses, discussion in the Committee, preparation of draft report, discussion of the draft report with the principal officials of the ministries and departments concerned, finalisation of the report and its submission. The report usually contains recommendations for improving the organisation, for securing economy and for better presentation of the estimates. The recommendations are generally accepted by the Government. The Estimates Committee works through sub-committees and study groups for a better scrutiny of estimates. Unfortunately, it does not have expert assistance as the Public Accounts Committee has of the Comptroller & Auditor General. It is a layman's Committee first and last, that can call for papers, persons and records.

The Estimates Committee has been criticised for diverting its attention from scrutiny of estimates to review of policies and structure of departmental organisations. It is feared that it is becoming more a fault-finding rather than a fact-finding mechanism. But one must not forget that the usefulness of the Committee lies precisely in its new role of suggesting alternative policies. It makes for a thorough investigation and ensures greater accountability.

Committee on Public Undertakings (CPU) : This Committee was set up in 1964 on the lines of the Select Committee on Nationalised Industries set up in 1955 in Britain. The CPU consists of fifteen members, ten from the Lok Sabha and five from the Rajya Sabha elected for a year on the basis of proportional representation by means of the single transferable vote. Membership is for five years and one-fifth retire by rotation each year. The CPU examines, (a) the reports and accounts of public undertakings, (b) the reports of the Comptroller & Auditor-General on public undertakings, (c) whether in the context of the autonomy and efficiency their affairs are conducted according to sound business principles and prudent commercial practices. The CPU cannot discuss matters of government policy as well as matters of day-to-day administration.

The CPU is essentially a fact-finding body and helps Parliament in ensuring accountability of public undertakings.

36.5 ACCOUNTABILITY THROUGH THE COURTS

Administration is subject to judicial control exercised by the courts best described as judicial remedies.

The more important judicial remedies are the following:

- 1) **Judicial review of administrative acts and decisions i.e.,** the power of the Court to hold any law or executive order unconstitutional on the ground that it is in conflict with the Constitution. There are great variations in the pattern of judicial review from country to country. In Britain, Parliament is supreme and judicial review does not extend to all administrative acts. In India and U.S.A. the doctrine of judicial review is in vogue.
- 2) **Statutory appeal :** This is possible where the law itself provides that, in a given types of administrative act or decision the aggrieved party has right of appeal to courts or a higher administrative tribunal.
- 3) **Suits against the government by a private party in torts or contracts.** (A tort is a wrongful action or injury for which a suit for damages lies).
- 4) **Criminal suits by private parties against a public officer and civil suits against a public officer for damages or on contracts made by him.**
- 5) **Extraordinary remedies in the form of writs of various kinds.**

Mention must also be made of administrative tribunals seen in India and other countries. There are "administrative courts" outside the ordinary court system which constitute a system of adjudication. The agencies for administrative adjudication are not only tribunals but could be the minister himself or the head of the department or a special committee or commission. Thus administrative authorities exercise quasi-judicial power in the process of resolving disputes between a private citizen and the state. The Administrative Tribunals are cost-effective expeditious, accessible, and free from technicality and knowledgeable. They have their demerits too in that they may not observe uniform procedures thereby making decisions that are arbitrary. But these tribunals have come to stay and go a long way in making officials accountable and responsible for their actions.

36.6 ACCOUNTABILITY AND ETHICS IN ADMINISTRATION

In this unit, the emphasis has been on administrative accountability. Undoubtedly, a civil servant is accountable to Parliament through the minister. But in his daily work, in the secretariat, he is accountable to his immediate superior. Annual confidential reports are an important means of holding officials accountable. From time to time, review of work is undertaken by the secretary or minister. It is through such reviews that field administration is held accountable to the ministry.

Of all the methods of holding administrators accountable, none is more effective in the long run than self-control or self-regulation. A public official will act correctly if he wants, he cannot be forced. This is so important considering the fact that despite rules and regulations which civil servants must adhere to, there is still a wide area of administrative discretion. It is here that ethical standards come in. There must be that "inward sense of personal obligation" that assumes that officials have ethical values and professional standards to guide them. People expect public servants to have higher ethical values than businessmen because public service is a public trust and there is the sanctity of public office. Public officials can render a good account of themselves if they do not lose sight of the ethical dimension. But standards of ethics are not likely to be higher than those of the community to which civil servants belong. Moreover, Public Administration functions in a political context and self-regulation is limited by that fact.

An interesting device in Scandinavian countries is that of the Ombudsman. This official occupies a position of high prestige in government and his job is to handle complaints of citizens against public officials. The Ombudsman idea has caught on in Britain, Europe, Communist countries and even India.

The Indian counterpart of the Ombudsman is the Lokpal who is to look into complaints against administrative acts of ministries and secretaries at the Centre and in the states. The Lokayuktas are to be appointed in each state and one at the Centre to look into.

complaints of maladministration in other governmental agencies. The draft Lokpal bill is yet to become a law.

Check Your Progress 4

Note : i) Use the space below for your answers.

ii) Check your answers with those given at the end of the unit

- a) The examines the Audit Report of the Comptroller & Auditor General.
- b) The is modelled on the British Expenditure Committee.
- c) The is essentially a fact-finding body regarding public undertakings.
- d) The conducts a postmortem examination.
- e) Judicial review is in vogue in and
- f) The is exclusively a Committee of the Lower House.
- g) The Ombudsman idea in India is seen in the offices of the and
- h) Administrative tribunals undertake

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2. Why is ethics important in administrative accountability?

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36.7 LET US SUM UP

Accountability is at the heart of every government and is the hallmark of democracy. It implies holding officials responsible for their lapses or positively speaking, for achieving results. One can talk of kinds of accountability such as political or administrative. Financial accountability is a vital component of accountability. The legislature expects financial control to be exercised within the executive through the Finance Ministry and the heads of departments. Parliament as the watch-dog of the people takes care of financial accountability through an independent audit and its financial committees. Accountability is ensured through the judiciary as well. In the ultimate analysis, accountability demands that Public Administration is not only efficient, but above all ethical.

36.8 KEY WORDS

- Appropriation :** An authorised sum which may be expended within a fiscal period for specific purposes by a unit of govt., in a manner determined by legislature.
- Convention :** Established by accepted usage or general agreement
- Endorse :** Confirm
- Erring :** Incorrect.
- Guillotine :** Method of preventing delay in Parliament by fixing time for voting on parts of bill.
- Ombudsman :** An officer of Parliament or any designated authority independent of the executive who investigates complaints of citizens regarding unfair treatment to them by govt. departments and suggests remedies to justified complaints.
- Rap :** Criticism
- Reprehensible :** Blameworthy

36.9 SOME USEFUL BOOKS

Cross J.A., 1970. *British Public Administration*; University Tutorial Press Ltd. ; London.

Dimock, M.E., and Dimock, G.O., 1975. *Public Administration, 3rd Edition*; Oxford and IBH Publishing House: New Delhi.

The Indian Journal of Public Administration: Special Number on Administrative Accountability. July-September, 1983. Vol. XXIX No. 3

36.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 a) See Sec. 36.2
b) See Sec. 36.2
- 2 See Sec. 36.2

Check Your Progress 2

- 1 See Sec. 36.4
- 2 See Sub-Sec. 36.4.1
- 3 See Sub-Sec. 36.4.1
- 4 See Sub-Sec. 36.4.1

Check Your Progress 3

- 1 See Sub-Sec. 36.4.2
- 2 See Sub-Sec. 36.4.2
- 3 See Sub-Sec. 36.4.2
- 4 See Sub-Sec. 36.4.2

Check Your Progress 4

- 1 a) Public Accounts Committee
b) Estimates Committee
c) Committee on Public Undertakings
d) Public Accounts Committee
e) India and America
f) Estimates Committee
g) Lok Pal and Lok Ayukta
h) Quasi Judicial function
- 2 See Sec. 36.6

UNIT 37 CITIZEN AND ADMINISTRATION

Structure

- 37.0 Objectives
- 37.1 Introduction
- 37.2 Relationship Between Citizen and Administration
- 37.3 Citizen-Administration Alienation
- 37.4 Channels/Institutional Device for Redressal of Citizen's Grievances
- 37.5 Redressal through Parliament/Legislature
- 37.6 Judicial Remedies
 - 37.6.1 Public Interest Litigation
 - 37.6.2 Administrative Tribunals
- 37.7 Problems of Corruption in Administration
 - 37.7.1 Central Vigilance Commission
- 37.8 Ombudsman
 - 37.8.1 Lok Pal
 - 37.8.2 Lok Ayukta
- 37.9 Redressal Machinery in Ministries/Departments
- 37.10 Conclusion
- 37.11 Let Us Sum Up
- 37.12 Key Words
- 37.13 Some Useful Books
- 37.14 Answers to Check Your Progress Exercises

37.0 OBJECTIVES

This Unit deals with the important issue of relationship between the citizens and administration, factors responsible for their alienation, different avenues/institutional devices available to the citizens for redressal of grievances against administration. After you have read this unit, you should be able to:

- explain the relationship between citizen and administration
- discuss the factors responsible for alienation of citizens from administration
- describe the existing channels—legislative and judicial for redressal of citizens grievances against administration
- analyse the problem of corruption in administration and the role of Central Vigilance Commission in maintaining integrity in administration
- explain the importance and functions of Indian Ombudsman Lok Pal and Lok Ayukta
- discuss the redressal machinery functioning in various Ministries/Departments.

37.1 INTRODUCTION

In a democracy, the task of Public Administration is to serve the people. Commitment to the ideology of democratic Welfare State throws new tasks and it adds to the expanding responsibilities of the government. This is a phenomena observed, in most of the countries in the world today. In modern Public Administration two noticeable issues have emerged in recent times. Firstly, there has been a large growth in the size of governmental administration as well as vast expansion in its powers and activities. Secondly, in the wake of spread of general education, political and social awakening, there has been a rise in the expectations of people from administration.

Of late, the issue of interaction and relationship between the citizens and Administration has become a focal point of discussion among the politicians, administrators, jurists etc. Though ideally speaking, the interaction is supposed to be trustworthy and functional, in reality, it is seen that this is always plagued by conflicts, stresses and strains. Citizens grievances against administration are on an increase and at the same time concerted efforts are being made by the government to reduce the growing discontent among the citizens by providing various channels for redressal of their grievances.

Here, we shall discuss the relationship between the citizens and administration, factors responsible for citizens grievances against administration, existing channels/remedies available to the citizen for redressal of grievances, other innovative measures that are being taken to strengthen the status of citizen vis-a-vis the growing powers of the government and administration, with special reference to India.

37.2 RELATIONSHIP BETWEEN CITIZEN AND ADMINISTRATION

The modern State has to undertake not only regulatory functions in the form of maintenance of law and order, but also has a more positive role to play. It has the major responsibilities of providing major amenities of life education, health, wider employment opportunities, improved means of transport etc. All this affects the individual and collective life of a very large numbers of people concerned. There has been a tremendous increase in the points of interaction between the administration and citizen. Hence the pattern of relationship between the administration and citizen is becoming increasingly complex in nature and larger in scope.

Before the advent of the democratic Welfare State, during the British period, public opinion was not reflected at all in the administrative system. The pattern of relationship between the citizens and administration was characterised only by limited interactions with certain administrative departments. The concept of ruler and the ruled mastered the philosophy of British administration. So long as the citizen respected the public order by obeying the laws and paid his taxes regularly, his contacts were only with specific departments of the government. The administration also kept the citizen informed only about certain major decisions which it considered desirable.

This limited relationship has undergone a change with the progressive growth of the developmental and welfare role of the modern State. With this transformation of the work of administration to achieve new and positive objectives, it has become now absolutely essential that the administrator should have a spirit of service to the community. You are aware that administration is there to cater to the needs of the people. The main objective should be promotion of citizen satisfaction, just as the concept of consumer satisfaction governs the production and distribution of goods, in economics.

In practice it is seen that the administrators continue to be authoritative, paternalistic and the relationship between citizens and administration seems to have changed outwardly and not in spirit. The citizen feels frustrated, dissatisfied, unhappy in his dealings with the administration. The expansion of bureaucracy and multiplication of administrative processes have led to increase in opportunities for abuse of power and discretion. The impact of administrative standards and behaviour on the citizens and reasons for this will be discussed in the next Section.

37.3 CITIZEN-ADMINISTRATION ALIENATION

As said earlier, the citizen in day to day life is constantly interacting with administration. The purposes of contact with an administrative department or agency may be for varied purposes, for example may be for getting general services like water supply, electric connection, health services or for some general support and guidance or for securing specific individual assistance like loans, seeds, fertilisers etc. and so on. The increase in the occasions for such contacts is directly proportional to the increase in governmental controls and regulations. It can be said that much of the administrator's image is made or narrowed down during such contacts. As has been pointed out by Jagannadhan and Makhija, "much of the administrator's image is made or narrowed during such contacts. An air of conceit or arrogance, a show of irritation, misdemeanour, lack of proper response, a tactless 'no', procrastinations and delay, all these may contribute to tarnish the image of administration in the eyes of citizens"

There are certain factors which are responsible for alienation of citizens and administration. This could be due to individual human factor, or in the organisational

structure as such, or in the systems and procedures which guide the working of administration. Discontent among the citizens which is due to the result of a wide disparity between the performance of administration and popular expectations has become a normal feature. This discontent often takes the form of grievances. This means "a ground of complaint; a condition felt to be oppressive or wrongful". At times citizens have grievances against the policies of the government as such if they affect the interests of any organised sections of the society. But such grievances can be tackled, by bringing pressure on the government through various means to change or modify the policies.

Another general feeling which persists among the people is that the policies are not being implemented properly. Administrative procedures, are found to be cumbersome, or the processes of administration found unjust. Yet another important problem is the deterioration in the standards of honesty and integrity in both, politics and administration due to corruption. Rigid observance of rules and regulations, non-acknowledgement of complaints, representations from citizens, inordinate delay in disposal of various matters account for lack of faith of public in administration.

According to Mohit Bhattacharya, the general perceptions of the people about administration include:

- 1) unhelpful attitude of officials especially lower level functionaries
- 2) citizens' ignorance about procedures involved in getting things done
- 3) inordinate delay and waiting period
- 4) favouritism in administration
- 5) corruption among officials
- 6) reliance of middlemen to get things done
- 7) rich-poor discrimination in administration : the rich having access to administration and the general tendency of officials to avoid the poor and underplay their needs and interests.

V. A. Robson says, "In mind of average citizen, bureaucracy still suffers from additional defects associated with it. These are an excessive sense of self-importance on the part of officials or an undue idea of the importance of their Office, an indifference towards the feelings or the convenience of the individual citizens, mania for regulations, formal procedures a failure to recognise relations between the governors and the governed as an essential part of democratic process". But if citizens' dissatisfaction with the administration is allowed to mount up, it is likely to add to the ready existing social unrest and tensions. Also the cooperation of citizens in various developmental activities of the government is affected. Hence, keeping all these consequences in view, concerted efforts are being made for providing proper machinery at all levels of the government for the redressal of citizens' grievances.

In India the Administrative Reforms Commission in its interim report on problems of redress of citizens' grievances has remarked that if in the prosperity of the people lies the strength of a government, it is in their contentment that lie the security and stability of democracy.

7.4 CHANNELS/INSTITUTIONAL DEVICES FOR REDRESSAL OF CITIZENS' GRIEVANCES

Now, we have discussed the changing patterns of relationship between the citizens and administration, factors responsible for their discontent with administration. As we saw earlier, with the expansion of governmental activities, bureaucracy has become all pervasive. At the higher levels in government also, the problems of citizens and administration have attracted the attention from time to time and Committees and Commissions have been set up to deal with them. For instance, in India, the Santhanam Commission on Prevention of Corruption set up in 1962, was of view that the discretionary powers exercised by different categories of government officials opened "scope for harassment, malpractices and corruption" in the exercise of those powers. The Administrative Reforms Commission also took note of the complaints of public about corruption in administration and existence of widespread inefficiency and

the unresponsiveness of administration to public needs. In such conditions, what can a citizen do, when the administrator does not deal with him fairly or legitimately. A need is felt, for having proper channels for redressal of citizens' grievances and also creating effective institutional mechanisms to keep the bureaucracy in check and make administration responsive to the needs of the public.

In a democracy, elections are instruments of control in the hands of people. The right to franchise guaranteed to the citizens is a powerful weapon, that can be used by the people to vote out of power the ruling party that does not reach its expectations. As this can be exercised only once in five years, it does not help in immediate resolving of problems faced by citizens.

In India, there are mainly three important channels or methods through which citizens can exercise control over administration. These are legislative, judicial, administrative devices. Apart from this, to deal with administrative corruption and to redress citizens' grievances, certain institutional devices have been evolved like the Central Vigilance Commission, Lok Pal and Lok Ayukta etc. We shall discuss about these in the following sections of this Unit.

37.5 REDRESSAL THROUGH PARLIAMENT/ LEGISLATURE

It is an important feature of modern parliamentary democracies that people consider Parliament/legislature as an important forum for the purpose of redressal of citizens' grievances. The Indian Parliament has served as a useful forum for discussion of complaints affecting a large group of citizens. Even at the State level, citizens resort to intervention by the legislature in speedy redressal of complaints. The parliamentary/legislative channels of redressal include questions, special discussions, adjournment debates, legislative committees etc. We shall discuss in brief now, about some of the important devices.

a) **Parliament Question** : In a parliamentary form of government, the question hour is the occasion, which provides opportunity for the people's representatives to highlight the shortcomings of the functioning of the government. We see, that when Parliament is in session, questions relating to many issues affecting the public like police excesses, tortures are raised, through questions. During the question hour, any question can be asked by the member in Parliament/Legislature seeking information on any matter. It is an important device for ventilating the grievances of the community and these can relate to national or state issues or matters of local importance.

b) **Special discussions** : It is through this that administrative lapses, cases of maladministration, inefficient functioning are brought to light on the floor of Parliament.

c) **Calling Attention Motion** : This is an important device through which the attention of a Minister is drawn to a matter of urgent public importance. This helps in eliciting information on various issues and exposure of lapses in various governmental activities.

Apart from these, the public grievances are also ventilated in debates on the budget and policies criticised through various motions and resolutions. There is also a Committee on government assurances, functioning since 1953, which pursues the assurances given by the Ministers on the floor of the House and reports about their implementation to the Parliament. Apart from this, there is also a Committee on Petitions, which examines petitions submitted to the Lok Sabha and refers these to the relevant Ministries and Departments for enquiry. This helps in focusing the attention of the government on matters of public importance so that quick action can be taken.

The efficacy of some of the above-mentioned legislative devices lies in the fact that these can be utilised only when the Parliament is in session. Also individual grievances cannot be raised unless they involve a question of general policy

Check Your Progress 1

- Note :
- i) Use the space below for your answers.
 - ii) Check your answers with those given at the end of the unit:

g) Why has there been an increase in interaction between citizens and administration in recent times?

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h) With the advent of modern Welfare State, what type of change has come in the pattern of relationship between citizens and administration?

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i) List a few factors responsible for the growing discontent of citizens with administration.

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j) What do you understand by question hour?

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k) Which one of the following is not a method of selection of members of the committee of Public importance?

- a) Special discussions
- b) Budget discussions
- c) Calling Attention Motion
- d) Meetings of Committee of Petitions

7.6 JUDICIAL REMEDIES

There has been a phenomenal increase in the activities of the State, which has conferred executive powers, authority and discretionary powers on the administration. This

emphasises the need to protect the rights of the citizens against arbitrary administrative actions. Judiciary plays an important role in protecting the rights of citizens. According to L.D. White "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 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 to protect citizens against unlawful trespass on their constitutional or other rights". Most of the citizens grievances are due to the exercise of discretionary powers by the administration. Judiciary interferes with administration if any official acts in contravention of the scope of his authority or if he misinterprets law and causes injury to any citizen. Cases of abuse of power or irregularities of procedures, also come under its purview.

Judicial intervention can be in the form of suing the government or public official concerned against whom the citizen has any grievance. Judiciary has the power of examining the legality and constitutionality of administrative actions with regard to their scope and form. The courts, then pass appropriate order or direction to enforce the right of an aggrieved person. But only such type of cases can be referred to the courts, where any administrative action is alleged to be malafide or has been exercised in excess of powers given to the administrative authority or inconsistent with the constitutional provisions or law.

Certain actions of administrative authorities can be challenged for damages, where the illegality or unlawful act committed can be challenged as civil wrong.

Extraordinary Remedies

These are in the form of writs issued by the courts to protect the rights of citizens violated by the government or public officials. A writ is an order of the court enforcing compliance on the part of those against whom it is issued. These include:

- a) **Habeas Corpus** : This is an order which is used by the Court against a person who has detained any other person unlawfully or illegally to produce before the Court and submit to its order.
- b) **Mandamus** : This is command issued by the Court asking a public official or any inferior Court or any authority to perform legal duties.
- c) **Prohibition** : This is a writ given against any lower Court, not to do any acts in excess of their jurisdiction.
- d) **Quo Warranto** : The Courts, through the use of this writ enquires into the legality of claim of any person to public office.
- e) **Certiorari** : It is a writ issued by a superior to an inferior court, requiring the certification and return to the former of some proceedings then pending or in cases where procedure is not according to the course of the common law.

But there are certain limitations of judicial control. All administrative actions do not come under the purview of judicial control and judiciary intervenes on requests made by the aggrieved persons. Also the judicial process is said to be slow, cumbersome and expensive.

37.6.1 Public Interest Litigation

A useful judicial innovation in India which has developed in recent times is public interest litigation. This has been a progressive trend in judicial remedies against citizens' complaints not only in our country, but also in various other countries like the U.S.A. and U.K. The Supreme Court in 1978, has propounded a liberal view of standing so as to provide judicial redress for public injury arising out of any breach of public duty or from violation of the Constitution. Complaints involving maladministration, like patients not getting proper medicines in government hospitals, inefficient administration of prisons, failure of administration in checking environmental pollution, irregularities in the administration of educational institutions etc., are being challenged under the category of public interest. The rules of the Supreme Court which were revised, to bring in this provision, facilitates any citizen or group of citizens to appeal to the Court, on behalf of any group of people affected by any act of government. So even if the citizen himself has no personal complaint against the administration, he can still lodge a complaint against administrative injustice which according to him is being done.

Justice Bhagwati has said that since in India access to justice is restricted by social and economic restraints, it is necessary to democratise judicial remedies, remove technical barriers against easy accessibility to justice and promote public interest litigation, so that the large masses of people belonging to the deprived and exploited sections of the humanity may be able to enjoy the socio-economic rights granted to them and these rights may become meaningful for them instead of remaining mere empty hopes. In his view, "if public duties are to be enforced and social, collective, diffused rights and interests are to be protected, we have to utilise the initiative and zeal of public minded persons and organisations by allowing them to move the Court and act for a general or group interest even though they may not be directly injured in their own rights."

So far as India is concerned, to fight the maladministration in the country, such a liberal rule of standing is essential so that public spirited persons and bodies may come forward and through the courts expose maladministration or vindicate some cause. An example of Public Interest Litigation is furnished in a case which occurred in 1982 (*Munna vs. State of U.P.*) where a writ petition filed in the Supreme Court by a social worker who sought relief in respect of certain juvenile under trial prisoners. The petition was based on serious allegations made in a newspaper report about the maltreatment of children accused lodged in Kanpur Central Jail. The Supreme Court gave directions in this matter. This policy has tended to provide additional protection and securing social justice to citizens in India especially to the poor and illiterate.

37.6.2 Administrative Tribunals

Besides the regular Courts of Law, in some countries, administrative courts and tribunals are functioning to deal with the complaints lodged against administrative action. For example in France, administrative Courts are there to deal with disputes between the administration and individual citizens wherein public officials performing any acts in their official capacity which has affected any citizen, are sued. Here decisions are taken as promptly as possible; it is less expensive than ordinary courts and is considered an effective device for prompt redressal of grievances.

In India, there are Administrative Tribunals established under various Acts to deal with specific kinds of citizens' grievances. Some of these Tribunals include Industrial Tribunals, Income Tax Tribunals, Railway Rates Tribunals etc. These Tribunals which adjudicate upon disputes between the citizens and administrative agencies are said to be inexpensive, efficient than ordinary courts and being headed by experts are equipped with greater technical knowledge. The tribunals perform quasi-judicial functions whereas a Court exercises only judicial functions. They are administrative authorities performing judicial functions. For example, matters like determination of election disputes, assessment of tax, adjudication of industrial disputes etc, are dealt by the different types of tribunals.

Apart from the redressal machinery which would look into the citizens' grievances against administration, a need was also felt for creation of machinery which will deal with the service matters of government employees. With this objective in view, the Administrative Tribunals Act 1985 was passed. This provided for setting up of Central Administrative Tribunal to provide speedy and inexpensive relief to the government employees. Administrative Tribunal will deal with the service matters of persons of All India Services whereas State and Joint Administrative Tribunals deal with the service matters of persons of State Services.

The tribunals have been set up only in a few areas of economic administration. The ARC Study Team on Administrative Tribunals has urged that the system of administrative tribunals should be extended to cover several new areas, as review of administrative decisions by an agency outside the administrative apparatus will bring the required relief to the citizen.

In India, very recently a new approach for dealing with disputes between citizens and administration has been adopted in certain departments. Lok Adalats (Peoples Courts) have been set up to deal with the ordinary complaints of citizens, against administration. Apart from the simple and inexpensive procedures followed, this helps in quick dispersal of complaints like pension, utilities, telephones, compensation claims etc. In case the decision of Lok Adalat is not acceptable to either the citizen or administration, the matter may be taken up to the regular Courts of law.

37.7 PROBLEMS OF CORRUPTION IN ADMINISTRATION

The problem of corruption in administration is as old as administration itself. The vast expansion of governmental tasks has resulted in multiplication of volume of work, where administrative power and discretion are vested at different levels of hierarchy. Proper exercise and supervision of such powers would not lead to the infringement of civil rights or liberties of citizens. But since no administration is perfect, there is always arbitrary exercise of such powers. The Law Commission pointed out in its fourteenth report that there is a vast field of administrative action in India where authorities may act outside the strict scope of law and propriety without the injured citizen being in a position to obtain effective redress.

Keeping in view the increasing malpractices and corruption in administration in 1962, the Central Government appointed a Committee on Prevention of Corruption under the Chairmanship of K. Santhanam to review the existing arrangement for checking corruption in the public services and to suggest remedial measures. This Committee created in the Government greater awareness of the extent of prevalence of corruption in administration at all levels. It was of view that it would not be possible to completely eliminate discretion in the exercise of powers of administration but there is a necessity to devise adequate methods of control over exercise of discretion. This Committee in its report gave special attention to create a machinery in government which would provide quick and satisfactory redressal of public grievances.

37.7.1 Central Vigilance Commission

A special machinery, on the basis of the Committee's recommendations, was created in the form of Central Vigilance Commission to deal with grievances of citizens involving corruption and lack of integrity on the part of government servants. The Commission is headed by Central Vigilance Commissioner who is assisted by secretarial and technical staff.

The jurisdiction and powers of the Central Vigilance Commission extends to matters relating to executive powers of the Central Government. It undertakes an inquiry or investigation in matters of corruption, misconduct, any type of malpractices on the part of public servants. The Commission receives complaints from individual persons and also from other sources like press reports, audit reports, reports of parliamentary committees etc. On receiving the complaints, the Commission may entrust the matter for enquiry to the concerned administrative Ministry/Department or may ask the Central Bureau of Investigation to investigate the matter. The role of the Commission is advisory in nature and is responsible for advising the Ministries/Public Undertakings in respect of all matters pertaining to maintenance of integrity in administration.

In order to strengthen the vigilance organisation in each Ministry/Department, an officer is designated as Chief Vigilance Officer. He is responsible for coordinating and guiding the activities of other vigilance officers in his Ministry/Department. All Public Sector Undertakings and Municipal Corporations have vigilance set up in their organisation.

37.8 OMBUDSMAN

As discussed earlier, with the advent of Welfare State, administration has come to play a decisive role in influencing and shaping the socio-economic order in the society of today. It cannot be denied that vesting of vast powers in the administration has given way to abuse and misuse of powers, maladministration and corruption. You have read earlier about legislative and judicial channels through which an aggrieved citizen can secure redressal of grievances. But there are certain limitations of these methods, like for example, the tedious and lengthy procedure, involved in Court methods. Similarly, the Parliament also cannot directly control the administration, except that the members pressurise the ministers with their demands or complaints which are directed to the concerned department. Hence a need was felt in many countries for the creation of an independent institution which would supplement the efforts of the already existing machinery in meeting the demands of the citizens and ensure them an impartial and clean administration.

The institution of Ombudsman was created in Sweden in as early as 1809, for the redressal of citizens grievances, followed by Finland, Denmark, Norway, New Zealand, England and India. Ombudsman, a Swedish word, stands for an officer who is appointed by the legislature to deal with complaints against administration and judicial actions. The ombudsman generally takes up cases not only on the complaints made by those affected by administrative decisions, but also can investigate on his own. As an impartial investigator, the ombudsman makes investigations, collects the facts objectively and reports back to the legislature. In Britain also, in 1967, the Office of Parliamentary Commissioner was created. The main task of the Commissioner is to investigate the complaints of citizens against maladministration by government departments in the exercise of their administrative functions. The Parliamentary Commissioner has a status similar to that of the Comptroller and Auditor General of India. An important feature of the office is extension of jurisdiction of the Commissioner to investigate cases of maladministration on the part of local authorities, Hospital Boards, nationalised industries and armed forces etc. The reasons for taking recourse to ombudsman in many countries, in recent times, is the growing dissatisfaction of the people regarding lack of sensitivity, efficiency, fairplay on the part of public officials and due to ombudsman's simple, and speedy method of handling appeals against administrative actions.

In India, the Administrative Reforms Commission which was appointed in 1966 to make recommendations regarding the reorganisation of the administrative system in the country, also dealt with the problem of citizens' grievances. It took note of the oft-expressed public outcry against the prevalence of corruption, the existence of widespread inefficiency and the unresponsiveness of administration to popular needs. Keeping in view that the normal means of ventilation of grievances i.e. the courts, legislatures, administrative tribunals etc. are not able to satisfy the citizens, the Commission recommended the setting up of ombudsman type of machinery. It finally recommended that complaints against ministers and Secretaries to government may be dealt with by an authority called as 'Lok Pal' and 'Lok Ayukta' at the Centre and States respectively to deal with complaints against the administrative acts of other authorities.

37.8.1 Lok Pal

In India, efforts were made for creating an ombudsman type of institution at the Centre called Lok Pal. The bill was introduced for its creation in 1968 and 1977, but both the times because the Parliament was dissolved, the scheme did not materialise. But again in 1985, the government put forth its intention to bring forward legislation providing for the appointment of Lok Pal to handle corruption cases against Union Ministers. Like the previous bills, this also aimed to provide the citizens with a convenient and effective forum for speedy determination of complaints. The bill was referred to a Joint Select Committee of Parliament for a more exhaustive study, the report of which is awaited.

According to the provisions of the bill, complaints to the Lok Pal can be made by any citizen other than a public servant and this could relate to any action done by Union Ministers or Ministers of any State Government. The matter of complaint should not be more than five years old. After the completion of investigation the Lok Pal will submit the report to the Prime Minister, if the matter relates to the Union Ministers and in case of complaints against Ministers of any State, is to be submitted to the Chief Minister.

The Lok Pal may refuse to proceed with an investigation if he finds that there are no sufficient grounds for an investigation or the complaint is trivial or malafide or there is an alternative remedy open to the complaint.

37.8.2 Lok Ayukta

While the institution of Lok Pal has to deal with complaints of citizens against Ministers, Lok Ayukta could be the repository of public faith and confidence against corruption and maladministration in public offices in the country. It is a forum available to the public to effectively ventilate their grievances, allegations against administrative officials and ensures independent and impartial justice against administrative excesses.

Lok Ayukta is appointed in the State, by the Governor in consultation with the Chief Justice of High Court for a period of five years. The State of Maharashtra was the first, to have appointed Lok Ayukta, to look into complaints against State Ministers,

Secretaries and other senior officers. This was followed by other States like Rajasthan, Andhra Pradesh, Madhya Pradesh, Karnataka, Bihar etc. There is another person designated as Upa-Lok Ayukta who deals with complaints against other officials. Lok Ayukta on conducting investigation of the complaints shall forward a copy of it to concerned public servant and the competent authority. The time frame for compliance with regard to report in case of an allegation, has been three months from the date of report.

The effectiveness of this institution for undoing of any administrative injustice to the citizen depends largely upon the calibre, competence, character of persons selected as Lok Pal/Lok Ayukta. This would help not only in prompt and proper handling of public complaints and grievances, but also at the same time protect public officials in cases of false or baseless complaints.

37.9 REDRESSAL MACHINERY IN MINISTRIES/DEPARTMENTS

Now, we shall discuss about the redressal machinery which is present in some of the Ministries/Departments dealing directly with citizens grievances. Keeping in view the deficiencies in the functioning of public administration and with a view to strengthening effective machinery for public grievances in organisations which have large public dealings, a separate Department of Administrative Reforms and Public Grievances was set up in March 1985. Grievance Cells have been set up in offices and departments which have large public dealings, with a senior officer designated as Grievance Officer/Director of Grievances. Steps are taken in dealing with public grievances in different Ministries/Departments through regular meetings between the Department of Administrative Reforms & Public Grievances and respective Ministries/Departments

A number of measures were initiated towards strengthening of relationship between citizens and administration. These include, providing on the spot redress of grievances as far as possible, provision of public assistance counters, streamlining/simplification of work procedures etc. Efforts are made at the Centre and State Government levels towards activating public grievance machinery and also devising innovative methods and procedures. Telephone Advisory Councils are formed, where representatives of public and administration interact at regular intervals, which helps in solving many problems. Similarly, in the Emigration Division of Ministry of Labour, a new device of public hearing system has been in operation for the past few years. To tackle the problem of public grievances, thrice a week, public hearing is conducted where people having complaints or problems approach the officials. It was observed that most of the cases barring a few were disposed off quickly. In about 80% of the cases follow up action is taken within 24 hours. Similar method was in practice in Delhi Development Authority (DDA) which receives a wide variety of complaints, as it has a virtual monopoly over land management, house construction, planning and development of metropolis. Similarly in many nationalised banks centralised customer services are set up at various centres, which receive and look into the complaints made by the clientele against any of the banks.

At the State level also, necessary steps are taken for redressal of citizens' grievances. Special Committees and Advisory bodies have been set up comprising the elected representatives of the public to deal with public grievances and provide redress. In the State of Uttar Pradesh, a Public Grievances Directorate is set up directly under the Chief Minister's Secretariat. In Punjab, for quick redressal of grievances, recently, a new system has been introduced where the general public can approach the All India Radio for specific grievance against the functioning of the government.

It may be mentioned that the importance of voluntary organisations is realised which can supplement the efforts of the Government in bringing out suitable administrative reforms and redressal of grievances. Standing Committees of Voluntary Agencies (SCOVA) have been formed in some Departments like Health and Family Welfare, Pension and Pensioners Welfare etc.

In recent years, media has come to play an important role in influencing public opinion and building social awareness. Newspapers have become an important, powerful

channel to air grievances which focuses attention on contemporary issues which are followed up by the concerned administrative department. Many facets of law and order situation, any arbitrary administrative action, demands for better facilities etc. are brought to the notice of the concerned authorities through newspaper reports. Apart from Press, the T. V. and the radio also provide important avenues for getting to know the reactions of citizens through the functioning of administration and also in the redressal of grievances.

Check Your Progress 2

1. Use the space below for your answers.

i) Check your answers with those given at the end of this unit.

Habeas Corpus is a writ issued by the Court

- a) asking a public official or any authority to perform legal duties
- b) enquiring into the legality of claim of any person to public office
- c) asking a person who has detained any other person unlawfully or illegally to produce before the Court
- d) against any lower Court not to do any acts in excess of their jurisdiction

2. In Public Interest Litigation

- a) only an aggrieved person can approach the Court for redress
- b) Public officials can approach the Court for wrong allegations imposed against them
- c) only certain social welfare organisations can approach the Court for seeking justice on behalf of aggrieved citizens
- d) citizen as well as any public spirited organisation can lodge complaints in Court against administrative injustice being done to other people or a group or a community

3. What are the functions of Central Vigilance Commission?

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4. The institution of Ombudsman was created first in

- a) Denmark
- b) Britain
- c) New Zealand
- d) Sweden

5. What do you understand by the institution of Lok Pal?

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7.10 CONCLUSION

Vith growing consciousness of citizens about their rights and privileges, we are witnessing an increase in people's demands on administration. Although many efforts are being made by the government to meet the demands, yet the wide gap which exists between the expectations and performance gives rise to grievances. It is absolutely necessary, that the concern for their redressal in any organisation should percolate

down to the lowest administrative units as the interface between administration and people is more at that level. Apart from strengthening the redressal machinery at all levels it is essential that participative administration be encouraged which to certain extent would lessen the frictions between citizens and administration. Also there is a need to educate the citizens regarding their social responsibilities and also reorient the attitude of the officials. A mere change in rules, regulations, procedures etc. is not an end in itself. There is a need to change the administrators' attitudes in their dealings with the people. Unless suitable attitudinal changes are brought about on a priority basis, all other measures to deal with the problem of citizens' grievances will meet with little success.

37.11 LET US SUM UP

We have discussed the important issue of interaction between citizens and administration, which has increased in recent times due to the acceptance of Welfare State ideology by the governments of many countries. The relationship which was characterised by limited interactions in our country during the British period has undergone a change with the expansion of governmental activities. In his day to day life the citizen constantly interacts with administration for many services. But there are several instances of citizens getting frustrated, dissatisfied with their dealings with administration. There are many factors responsible for this like delay in transactions, unhelpful, unresponsive attitude of administration towards citizens, corruption etc. A need is felt to have proper channels and other devices through which the citizen can have redressal of his grievances against administration. Parliament provides an important channel through devices like Question Hour, Calling Attention Motion, Special Discussions, etc. through which the problems of citizens can be brought to light. Judiciary also plays an important role in democracy in protecting the rights of citizens through judicial review, issuing various types of writs etc. Public Interest Litigation in securing social justice to the aggrieved citizens against maladministration is a progressive trend among the judicial remedies available to the citizens.

We have examined the need for institutional arrangements to deal with corruption and administrative injustice. The constitution of Central Vigilance Commission and Vigilance Cells in various Ministries/Departments is another step in this direction. The institution of Ombudsman in India in the form of Lok Pal and Lok Ayukta ensures a certain degree of administrative efficiency in dealing with citizens' grievances fairly and promptly. Further, administrative arrangements have been made in various Ministries for prompt redressal of public grievances through grievance cells, customer service centres, public hearing system etc. which could help in sustaining public faith in administration.

37.12 KEY WORDS

Alienation : Estrangement, keeping aloof

Ombudsman : An Officer of Parliament or any designed authority independent of the executive who investigates complaints of citizens regarding unfair treatment to them, meted out by government departments and suggests suitable remedy if the complaint is justified.

Quasi-judicial functions : An administrative authority performing functions of a Law Court.

Writ : An order of the Court enforcing action on the part of those against whom it is issued.

37.13 SOME USEFUL BOOKS

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37.14 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1 See Section 37.2
- 2 See Section 37.2
- 3 See Section 37.3
- 4 See Section 37.5
- 5 d

Check Your Progress 2

- 1 c
- 2 d
- 3 See Section 37.7
- 4 d
- 5 See Section 37.8

UNIT 38 ORGANISATIONAL EFFECTIVENESS

Structure

- 38.0 Objectives
- 38.1 Introduction
- 38.2 Meaning and Definitions
- 38.3 Approaches to the study of Organisational Effectiveness
- 38.4 Determinants of Organisational Effectiveness
- 38.5 Organisational Development
- 38.6 Assumptions in Organisational Development Effort
- 38.7 Types of Organisational Development Interventions
- 38.8 Criticism
- 38.9 Let Us Sum Up
- 38.10 Key Words
- 38.11 Some Useful Books
- 38.12 Answers to Check Your Progress Exercises

38.0 OBJECTIVES

After reading this unit, you will be able to:

- understand the concept and importance of organisational effectiveness (OE)
- discuss the approaches to the study of organisational effectiveness
- understand the relationship between OE and organisational development (OD)
- describe the meaning and definitions of organisational development
- discuss the assumption of organisational development
- enlist the types of organisational development interventions
- evaluate the concept of organisational effectiveness and organisational development.

38.1 INTRODUCTION

Organisations are like living organisms. They have their infancy, adulthood, maturity, middle age, old age and finally decay. In case of organisms, death is certain after a period of time, whereas organisations continue to exist for a longer period. For example, the Roman Catholic Church is several hundred years old. Thus it is possible to maintain organisations for long time in future:

38.2 MEANING AND DEFINITIONS

Organisations are social units with a purpose. Normally there should be a purpose for the birth of an organisation. Each organisation comes into existence with a purpose specific to its genesis. For example we have a galaxy of organisations such as governments, government agencies, corporations, business organisations, universities, trade associations, trade unions, hospitals, schools, theatres, municipal corporations, prisons, slaughter houses, professional societies and a host of several other bodies. Each has its own purpose to live in the society. Organisational Effectiveness (OE) refers to how well the purposes of an organisation are achieved. Thus, effectiveness refers to the achievement of organisational purpose.

James Price defines organisational effectiveness as the degree of goal achievement. The determination of an organisation's goal(s) is crucial in evaluating effectiveness. The first step in the determination of goals is to distinguish between official and operative goals. Official goals are those which are published in the key documents of the organisations such as charters, laws and regulations and other official documents, mentioned in the speeches and messages of key decision makers, and circulated in the public relations

ampaigns. Operating goals refer to those purposes which actually lead to the achievement of the real purposes of an organisation. One way of describing official and operative organisational goals is that official goals pay a lip sympathy to the purposes of an organisation, whereas operative goals really lead to the achievement of organisational purposes.

Paul Mott gives emphasis to an organisation's ability to adapt itself to the changes in the environment. Accordingly, there are two important factors in organisational effectiveness, viz., capacity and capability in getting resources required for the organisational purpose; and capacity and capability to change according to the circumstances while participating in the process of resource mobilisation to achieve the organisational purpose.

Lester Barnard made a distinction between effectiveness as an achievement of group purposes and efficiency as the extent to which the group provides satisfaction to the members of the group, in the context of organisational effectiveness. According to Chapman, effectiveness refers to achievement of lower level goals in an organisation. Johnson, on the contrary, opines that effectiveness refers to achievement of higher level goals in an organisation. Others define effectiveness as the achievement of goals, which contribute to the overall objectives of the organisation through optimum utilisation of resources. Thus, organisational effectiveness, as seen from the above definitions is a function of achieving organisational goals. An effective organisation is one which achieves the goals continuously over an indefinitely long time in future.

3.3 APPROACHES TO THE STUDY OF ORGANISATIONAL EFFECTIVENESS

Organisational effectiveness as a concept and as a field of study, appears to be little explored.

According to Evans:

"In short, only a relatively modest number of organisational studies have focused on performance or effectiveness as a principal dependent variable. Some researchers omit this variable inadvertently and others advertently. It is a reflection on the state of the art of this field that it has thus far failed to grapple with such a fundamental variable as organisational effectiveness"

Another trend is that researchers have emphasised on a few aspects of organisational effectiveness. This has led to a situation where there are several competing approaches to the study of organisational effectiveness. One more important feature is that there is hardly any agreement on what constitutes organisational effectiveness and how to measure effectiveness of an organisation. The earliest models of organisational effectiveness emphasised single variables as measure of effectiveness. Present day models use more than one variable to determine organisational effectiveness.

Alford and his associates have enlisted three approaches to the study of organisational effectiveness, viz., (1) formal goal approach, (2) system resource approach and (3) systems approach. Organisational effectiveness is seen as an accomplishment of purposes and goals in the formal goal approach. Though, this is an accepted approach, it has a number of limitations. Organisations have more than one goal and it is difficult to identify and measure all the goals of an organisation. It is also difficult to measure goal accomplishment, in view of the intangibility of some of the goals. The administrators or the people running the organisation usually view effectiveness in terms of goal accomplishment. Outsider's view organisational effectiveness in terms of contribution to the society. Thus resource mobilisation and social contribution constitute two yard sticks. Ultimately, measurement of organisational effectiveness depends upon the judgment of various stake holders in an organisation such as its promoters, government, employees, input suppliers, customers; and the society in general. Perron has identified five such groups of stake holders and their expectations from the organisation. They are given below:

Social goals : Society as the larger social system has certain expectations from the organisations. For example, society expects better production and distribution of goods and services, social responsibility, and maintenance of norms and values, etc. from the organisations.

- 2 **Output goals** :-Different consumer groups in the society expect different goods and services as outputs from the organisation. Each group has its own interest in particular goods and services. Hence each group presses for production of particular goods and services, from the organisation.
- 3 **System goals** : This refer to the way in which an organisation is working, irrespective of its relationships with various other organisations and stake holders. The emphasis of the systems' goals are on growth, stability and productivity.
- 4 **Product goals** : Product goals refer to characteristics such as the quality, quantity, range, variety, price, etc., of the goods and services.
- 5 **Derived goals** : Derived goals refer to the use of power and other resources of the organisation while accomplishing purposes other than its own goals. For example, an organisation has other goals such as service to the country through rural development, health and nutrition programmes, etc.

Though this classification will not solve the operational problems in measuring organisational effectiveness, it provides a comprehensive view of organisational goals. As on today, there is no agreement among social scientists on the criteria to be used to measure organisational effectiveness. The following table gives a list of criteria used by different social scientists to measure organisational effectiveness.

Name of the Author	Criteria for Organisational Effectiveness
1 Warren Bennis	Adaptability in changing environment.
2 Basil Georgopoulos	Productivity in terms of more output.
3 Daniel Katz and Robert Kahn	Control over environment, growth.
4 James Price	Adaptiveness, institutional development through productivity.
5 John Chold	Organisational growth.
6 Webb	Cohesion, efficiency.
7 Seashore	Resource mobilisation.

38.4 DETERMINANTS OF ORGANISATIONAL EFFECTIVENESS

What determines the organisational effectiveness is a question that may be bothering you. Social scientists are divided in their answers to this question. According to Mott, the determinants of organisational effectiveness are of two types, viz., (a) Organisational Characteristics; and (b) Behavioural characteristics. He believes that certain aspects of normative environment such as objectives, roles, policies and procedures influence organisational effectiveness. A strong relationship between functional integration and effectiveness is possible. It is presumed that effective individuals working as groups can build up effective organisations. Another view point is that organisational structure influences effectiveness. Some social scientists such as Reimann found a positive relationship between decentralisation and organisational effectiveness. A good integration of the organisation and the environment is found to be a prerequisite for organisational effectiveness. Organisational effectiveness as a multi-dimensional concept is influenced by several variables. However, it is not possible to identify and measure the extent to which organisational effectiveness is influenced by each factor. Social scientists have found four important variables that influence the effectiveness of an organisation. They are; (a) Organisation structure, (b) Environment, (c) Technology, and (d) People. In other words organisational effectiveness can be improved by strengthening these four important factors. This process is known as organisation development (OD).

Check Your Progress I

- Note: i) Use the space below for your answers.
- ii) Check your answer with those given at the end of the unit.

What is organisational effectiveness?

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Describe formal goal approach.

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What are the criteria for measuring organisational effectiveness?

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What factors influence organisational effectiveness?

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8.5 ORGANISATIONAL DEVELOPMENT

Organisations, due to various reasons and most particularly due to their failure to adopt to the changing environment, becomes sick and ineffective in course of time. Hence, they need to be rejuvenated and revitalised. The process of rejuvenating organisations is called organisational development. Warren Bennis was one of the earliest writers who have recognised the need for organisational development as a method of improving organisational effectiveness. There are several methods of organisational

development. That is why organisational development is a flexible approach to organisational effectiveness. According to Bennis, organisational development is a complex educational strategy intended to change beliefs, attitudes, values and structures of organisations so that they can adopt to new technologies, markets and challenges and the dizzying rate of change itself. Beckhard described organisational development as a planned, organisation wide process of change aimed at organisational effectiveness. French and Bell described it as a long term effort to improve an organisation's problem-solving capabilities and its ability to cope with changes in the environment. It refers to a planned system of changes introduced in an organisation to energise its personnel, resolve conflicts, improve tasks and structures and thus finally improve its effectiveness and performance.

French and Bell have enlisted the characteristic features of organisation development practices as follows:

- a) An emphasis on changing the behaviour of groups of individuals working in an organisation through suitable methods.
- b) An emphasis on the work teams in an organisation as units of analysis, study and research.
- c) An emphasis on collaboration and cooperation while working with teams of people.
- d) An emphasis on involving the total organisation and its people in the organisational development (OD) efforts.
- e) Attention to administrative systems and practices.
- f) Use of research findings to share with the people of organisation in which the organisational development efforts are made.
- g) Use of key persons with knowledge in organisational development to supervise the programmes of development.
- h) Organisational development is seen as a continuing process rather than to solve problems as and when they come to the surface.

Finally, the emphasis is on human and social relationships to develop positive feelings among people working in the organisation and thus leading towards organisational effectiveness.

38.6 ASSUMPTIONS IN ORGANISATIONAL DEVELOPMENT EFFORT

While making efforts to improve the effectiveness of organisations, the practitioners of organisational development depend on the following assumptions about people and groups:

- a) **People** : There are two assumptions about people as individuals, viz., (a) people have a drive towards personal growth; and (b) people are capable of making higher contributions to the organisation. Regarding the first assumption, the organisation has to provide conducive environment for the individuals to become what they are capable of. Coming to the second one, most people have tremendous potential to contribute to organisational effectiveness. Organisations have to raise this potential for their long term growth and survival (in an indefinitely long time in future). Most often people in organisations, use their potential for cross purposes, thus contributing to inefficiency in the organisation. The people making organisational development efforts have to keep the above aspects in mind.
- b) **Groups** : People give a lot of importance to work groups. The type of things that happen in work groups have a lot of significance to people. Most people feel that they should be accepted and admired by others in the work groups. People can contribute towards resolving conflicts in the work groups. Formal leaders of work groups cannot be effective in all times in all circumstances. Hence they have to depend on other members. When there is cooperation from other members, it leads to organisational effectiveness.

Suppressed emotions and feelings among individuals adversely affect the capabilities, skills and attitudes work group members. It requires careful handling

of people and it has to be seen that they should not suppress their emotions, both positive and negative for too long. It also requires open communication and trust among people working in the organisation. Finally, most of the problems of the organisations can be solved through improved relationships among individuals and groups. Though, individual is an important unit of work groups, the importance of groups in an organisation cannot be underestimated.

- c) **People in organisations** : A number of assumptions about people in organisations are, given due weightage in organisational development efforts. An administrator is a part of a work group as a member and also as a superior. Thus he has an opportunity to influence the attitudes and behaviour of people in organisations. In addition, an administrator is a member of two work groups, viz., the one he is leading and the one in which he is a peer among other administrators. For example, a district collector is a head of administration at the district level; and at the same time he is one of the collectors at the state level. It is believed that the administrator tries to pass on his leadership style and culture from the higher level work group (in which he is a peer) to the lower level work group (which he is leading). Another assumption is that at times of conflicts, a person or a group wins. However, such happenings are not beneficial in the interests of the organisation. Organisations should create an environment where everyone feels that he is a winner. Organisational development efforts need time and practice. It is a long drawn process.

38.7 TYPES OF ORGANISATIONAL DEVELOPMENT INTERVENTIONS

As described earlier, organisational development is a flexible approach with a number of interventions. We will discuss about some of the major interventions.

- a) **Diagnostic** : This includes collection of data on the nature of the organisation and its problems. Methods of data collection includes, interviews, questionnaires, meetings, etc. This data is used in analysing the reasons for lack of effectiveness in the organisation.
- b) **Team Building** : Organisational Development depends on the cooperation and communication among various working members in the organisation. This requires leadership and communication skills on the part of members of various work groups. Hence, team building is a major organisational development intervention.
- c) **Inter-group** : Different groups in an organisation have different views about each other. If it is made possible to develop positive feelings among the people about each other, it leads to effectiveness. This requires information sharing, resolution of conflicts and openness in communication.
- d) **Survey Feedback** : This is somewhat related to diagnostic type activities. In survey feedback, data is collected about the state of affairs in the organisation and that information is discussed among the work groups in the organisation. The discussion is followed by appropriate action to set the organisation right.
- e) **Education and Training** : Educational and training programmes are arranged for people working in an organisation to improve their skills; and influence their attitudes. This is done to develop positive attitudes towards other people working in the organisation.
- f) **Structural activities** : This includes reorganisation of the entire organisation or its departments to improve the effectiveness. Reorganisation also include, reorganisation of technology, tasks and functions in the organisation.

38.8 CRITICISM

The concept of organisational effectiveness was mainly criticised on two grounds, viz., (a) Organisational effectiveness is a matter of larger system such as a nation; (b) lack of

agreement on definition and measurement of organisational effectiveness among social scientists.

According to one view point, organisational effectiveness is a matter of effectiveness of the large social system such as nation states. Organisation effectiveness is related to national effectiveness. In the history of the mankind there has always been a rise and fall of nations in terms of effectiveness. This rise and fall is influenced by the nature of leadership, commitment and national interest of the people at the highest levels of authority in government. That is why certain nations rise into higher levels of effectiveness under certain leaders, circumstances and times.

Another view point is that there is little agreement on the definition and measurement of organisational effectiveness, among social scientists. As Rosabeth Moss Kanter mentions:

“some leading scholars have expressed impatience with the very concept of organisational effectiveness, using researchers to turn their attention to more fruitful fields.”

There are too many terms which are used to denote effectiveness. These are growth, productivity, results, performance, success, etc. Each word is again seen differently by different people. Above all, there is no equivalent term to “profit” in social sciences. Profit is a term used in accountancy and it is understood by all. Whereas there is no such term in social sciences which can be understood by all. Profit is one term which denotes organisational effectiveness. In the absence of a common measure, the whole concept and discussion on organisational effectiveness becomes vague. This in brief is, another criticism on the concept of organisational effectiveness.

Despite these criticisms, we cannot leave the organisations to the circumstances. Moreover, these criticisms are more methodological than practical. We cannot wait for the ‘Golden age’ to come. We have to strive hard to make our organisations effective and purposeful, so that our nation will be effective.

Check Your Progress 2

Note: i) Use the space below for your answers.

ii) Check your answer with those given at the end of the unit.

1 What is organisational development?

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2 Discuss different types of organisational development interventions.

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3 What is the major criticism against organisational effectiveness?

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38.9 LET US SUM UP

Organisations come into existence with specific purposes justifying their birth. How well an organisation achieves its purposes is known as organisational effectiveness. Organisations can be maintained effectively over an indefinitely long period of time in future. The Roman Catholic Church is an example of a long standing organisation with a purpose, living effectively in the environment. Organisational development efforts are necessary to keep organisations effective continuously in the long term future. Organisational development efforts include a wide variety of methods. Therefore, people have a wide range of choices. In India organisational development efforts have been used to improve the effectiveness of organisations. We have examples of organisational development efforts in post offices, public enterprises and government departments. To be successful, organisational development efforts require the cooperation of all the people working in organisations, commitment and support of top decision makers, and time and patience of the organisational development experts and all those concerned with organisational effectiveness. Though there is some criticism of the concept of organisational effectiveness, we cannot leave our organisations to circumstances. We have to strive hard for the success of organisations, which will lead to the success of our nation.

38.10 KEY WORDS

- Official goals :** The broad goals which are mentioned in the key documents of an organisation.
- Operating goals :** Goals which are to be implemented and operationalised to achieve the official goals.
- Organisational characteristics :** These characteristics refer to the procedures of an organisation—its forms and its structure.
- Normative environment :** Values which guide one, in the surroundings one grows up.
- Professional societies :** Association of journalists, teachers, doctors, engineers.

38.11 SOME USEFUL BOOKS

French, Wendell L. and Bell, Cecil H., 1983. *Organisation Development*. (2nd edition); Prentice Hall: New Delhi.
Kanter, Rosabeth Moss and Brinkerhoff, Derick, 1981. *Organisational Performance*; Recent Developments in Measurement, *Annual Review of Sociology*, Vol. 7, pp 321-49.

- Mathur, B.C. et al (ed.), 1979. *Management in Government*; Publications Division, Ministry of Information and Broadcasting, Govt. of India.
- Michalman, Hans J., 1978. *Organisational Effectiveness in a Multinational Bureaucracy*. Saxon House : Hampshire, England.
- Mott, Paul E., 1972. *The Characteristics of Effective Organisations*; Harper & Row : New York.
- Price, James L., 1968. *Organisational Effectiveness*. Richard D. Irwin : Homewood, Illinois.

38.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES.

Check Your Progress 1

- 1 See Section 38.2
- 2 See Section 38.3
- 3 See Section 38.3
- 4 See Section 38.4

Check Your Progress 2

- 1 See Sec. 38.5
- 2 See Sec. 38.7
- 3 See Sec. 38.8

UNIT 39 ADMINISTRATIVE THEORY — AN EVALUATION

Structure

- 39.0 Objectives
- 39.1 Introduction
- 39.2 Theory : Significance and Characteristics
- 39.3 Public Administrative Theory : Significance
- 39.4 Administrative Theory : Evolutionary Perspective
- 39.5 Administrative Theory : An Evaluation
- 39.6 Conclusion
- 39.7 Let Us Sum Up
- 39.8 Key Words
- 39.9 Some Useful Books and Articles
- 39.10 Answers to Check Your Progress Exercises

39.0 OBJECTIVES

After reading this unit, which is the last unit in the course on Administrative Theory, you should be able to:

- explain the need and significance of theory
- identify the characteristics of a good theory
- evaluate the status of public administrative theory

39.1 INTRODUCTION

In this course you have studied various aspects of administrative theory, its evolution, different theories and approaches, concept of bureaucracy, concepts of organisation like hierarchy, span of control, etc. Before we complete this course, it is desirable to review and evaluate what you have studied. It is in particular, important to know the role and contribution of administrative theory to the growth of the discipline. This unit, therefore, is devoted to an evaluation of administrative theory.

39.2 THEORY : SIGNIFICANCE AND CHARACTERISTICS

You have started the course with a discussion on the nature of the discipline, its evolution, importance, and scope. You did not have the opportunity to know what a theory is. We will begin, therefore, with the theory and its role and significance.

Theory is an essential tool for the progress of civilisation. It is a symbolic representation of reality. It enables people to communicate quickly and effectively. It is an intellectual shorthand, which saves each generation from relearning the all that has already been discovered and learnt.

Theory is based on logical reasoning and, therefore, consists of a set of certain principles and generalisations which represent universal truths. These may initially constitute testable hypotheses which, in different situations, may prove to be true or untrue when tested. The hypotheses which fail to stand the test are discarded, and the others are incorporated into the theory. Gradually, a body of knowledge emerges containing a set of interrelated concepts, definitions and propositions that provide a systematic view of the phenomena. They specify relationships between variables with the objective of explaining and predicting the phenomena. Theory is a systematic grouping of interdependent concepts and principles which give a framework to a significant area of knowledge. Theory pulls together existing knowledge, explains events or relationships and in the end predicts what has not yet been observed.

Theory is a concise presentation of facts and a logical set-up of assumptions from which empirical laws or principles can be derived. It is a patterning of logical constructs or

interrelated symbolic concepts into which the known facts or theoretical hypothesis may be fitted. A theory is a generalisation applicable within the stated boundaries which specify the relationships between factors.

Developing a theory is important for more than one reason. It provides a perspective to the reality, stimulates new visions from familiar scenes; and constitutes a base for further theorising. All of them aid in prediction.

Theory acts as a guide to initiate action, to collect facts; to explore the knowledge and to explain the phenomena that is being examined. It aids in the identification and classification of the problem. Theories help us to understand the working of organisations. They help us to understand, predict, influence or manage the future. Thus theory becomes a means to achieve the goals. Hence, theory building becomes an inevitable part of the growth and development of any discipline, including Public Administration.

Scientific Method

Scientific enquiry must evolve causal theories that would help analyse concrete situations and would have predictive use. Science is a systematic body of knowledge, and theories are its major expressions; they provide the general relationship or framework that allows us to understand, explain and predict phenomenon within the science we are focusing on. Development of a theory should be in consonance with adoption of scientific approach to analyse and understand any particular phenomenon. Theories which are developed through scientific method involves more than mere observation, generalisation and experimentation. The scientific method is as much an attitude, characterised by curiosity, rationality, open mindedness, objectivity and honesty among other things.

The process of scientific theory construction and confirmation can be viewed as involving the following steps.

- a) The formulation of a problem or problems based on observation.
- b) The construction of a theory to provide answers to the problem or problems based on inductions from observations.
- c) The deduction of specific hypothesis from the theory.
- d) The recasting of hypotheses in terms of specific measures and the operations required to test the hypotheses.
- e) The devising of factual situations to test the theorem.
- f) The actual testing in which confirmation does or does not occur.

Characteristics of a Good Theory

- a) A theory is good to the extent it contributes to the goals of science. This means that better theories are more comprehensive in that they reduce a large number of diverse observations to a much lesser number of underlying statements. The more the theory can explain, the more useful it is.
- b) Second, good theories, include explicit statements regarding the limits of their application.
- c) Third, theory should be helpful in focusing research. It should tell us what facts are important and ought to be gathered.
- d) Fourth, is the closely related aspect that good theory should serve to increase the usefulness of any results that are obtained from research.
- e) Fifth, good theory should be logically consistent, both internally and externally.
- f) Sixth, to be of value theory must be subject to test; and
- g) Seventh, the best theory, all other things being equal, is the one that is most parsimonious

Check Your Progress I

- Note: i) Use the space given below for your answers.
- ii) Check your answers with those given at the end of the unit.

1. What is a theory?

2 What are the features of a theory?

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39.3 PUBLIC ADMINISTRATIVE THEORY— SIGNIFICANCE

Traditionally, administrative theorising has been the work of practitioners and reformers particularly in the United States of America. The evolving discipline of administrative theory is in many ways helpful in understanding the working of public organisation. But, most writings on organisation theory are based on the study of business administration. The special features of government organisations are often ignored or are not properly understood by organisation theorists

Admittedly, theory-building in Public Administration is not an easy task, as there are various kinds of public organisations, administrative structures and processes. Clearly, Public Administration theorists have gone far and wide in search of new ideas, concepts and models that may have varying degrees of success in public organisations. Their search has carried them far beyond the appropriate boundaries of administrative theory. This made Alberto Ramos to observe that "Public Administration may have lost a sense of its specific assignment and become a hodgepodge of theoretical ramblings, lacking both force and direction". More importantly it has lost its bearings to the mystification of both practitioners and students who can no longer relate theory to practice or vice-versa.

As Martin Landau comments, administrative theory is marked by a plethora of competing schools, a polyglot of languages, and as a result a confusion of logic. There is neither a common research tradition nor the necessary consensus for a common field of inquiry. Each of the competing schools questions the others, adventurism is rampant and commonly accepted standards of control do not exist. Consequently the whole field is confused. The core concepts need clarification. The theorists have not contributed much of their own. Too little relevant Public Administration theory exist.

Governmental functions throughout the world are on the increase thereby, increasing the role of Public Administration in achieving societal goals. Dynamic nature of society and complex nature of governmental activities, make it difficult for the conventional generalist administrator to function and realise the administrative goals. There is need for a broader understanding of the administrative phenomenon in its entirety. One of the reasons for the failure of the administrator to realise his goals is his inadequate understanding of the administrative theory. Coupled with this, the inflated sense of achievement and overrated intellectual superiority of the generalist administrator, have contributed to the failure of administration. One finds a general prejudice against theory and the theory is called 'Ivory tower Thinking' far removed from reality which the administrator represents.

In general, the bureaucratic pretensions of emotions, is another reason for the present day problems of administration. The bureaucrats believe that power is knowledge and his experience is greater than theory. This has created several bottlenecks for the smooth functioning of the administration. Because of these reasons, the bureaucrats zealously guard their traditionalism. There is need, therefore, for a broader and deeper understanding of administrative theory which would help the administrator to fashion the administration as per societal requirements and enable him to manage the administrative system effectively and efficiently.

Knowledge will mould the attitudes of people in the right direction. Administrative theory will help the administrator to conceive proper reasoning and sound arguments. It will add to the richness of his mind. It adds to his ability to comprehend the phenomenon and provides self-confidence. Administrative theory educates the administrators scientifically, as theory is the conceptualisation of exper-

Understanding of theory builds a sound system of administrative engineering and not a half-backed mechanic. It will enable him to change from a mere instrument of social control to an agent of social change. In the final analysis, it can be said that if one who closes his mind to knowledge, theory will not open his ears. The administrators have to be responsive to the people's needs, but if they close their minds to theory, they will be giving a deaf ear to the problems of the people. This makes administration unresponsive and far removed from the society.

39.4 ADMINISTRATIVE THEORY—EVOLUTIONARY PERSPECTIVE

A systematic and scientific study of public organisation can be traced to the 19th and early part of the 20th centuries. F.W. Taylor who conducted several studies on scientific management can be considered as a pioneer in the systematic study of work. Taylor and Fayol were almost the first to formulate certain postulates, which were later synthesised as "Principles" that form the basis and substance of classical approach to the study of organisation. The aim of each principle is to raise the level of efficiency of the organisation. But from the Public Administration view point, several doubts arise as to whether the principles are valid in a political setting or not, whether administrative problems can be treated purely in process terms or not, whether the discipline should be wholly concerned with the solution of practical problems and guidelines to administrators and politicians or not, whether the principles are related to actual behaviour in real-life situations or not.

The field of Public Administration is being continuously expanded. The assumption of rational efficiency was superseded by concepts of social efficiency, quality of government, political ends and public wants. In this state of affairs the validity of organisational principles has been questioned by modern public administrationists. For instance, the issue of centralisation and decentralisation revolves round the location and also the extent of power of decision-making in the organisational set-up. Neither centralisation nor decentralisation can be accepted as a principle of good organisation. They have situational relevance. Similarly, there are several points of distinction between the line and the staff agencies. However, on closer examination, it is realised that the distinction is unreal. Authority in modern organisation is considered to be more a matter of influence than of command. In short, it all depends on a number of inter-related external and internal variables. Despite such criticism, classical theory has its importance in the history of administrative thought.

In the study of administrative themes, Max Weber's theory of the administrative system, provides an influential conceptual framework and a close historical understanding. The dominant form of public organisation in the contemporary society is bureaucracy. Consequently bureaucratic analysis has become crucial in the study of Public Administration. Contemporary bureaucratic analysis focuses largely on the functional and dysfunctional aspects of bureaucratic administration, behaviour, the cultural environment of bureaucracy, bureaucratic power and the bureaucratisation of the administrative culture. By concentrating largely on the formalities of public business, the social dynamics of inner working of public bureaucracy is neglected. Modern societies are now too complicated for either traditional or arbitrary rule alone. Public officials have become major political actors in their own right.

Public bureaucracy has been the central concern of Public Administration. Due to this reason, Comparative Public Administration has been equated largely with Comparative public bureaucracies. The province of bureaucratic theory grows increasingly complex as theorists became aware that they must go beyond their own culture, values, conceptions and approaches to achieve the objectives. Studies of Comparative Administration show that bureaucratic systems are not all alike. There is no universal pattern although each system may contain common elements. On the contrary, there are specific bureaucratic cultures and a wide variety of institutional forms and arrangements.

Misgivings about the organisational society, bureaucratisation and the managerial revolution were not significantly represented in administrative theory until the 1950s. In the 1960s a revolt against the organisational society resulted in the emergence of

criticisers, many of whom grounded in Public Administration, objected to bureaucratic theory because of its emphasis on technocracy, absence of humanism etc.

The counter-culture opposes the managerial revolution. It wishes to restore personal responsibility, self-management, individual participation and collective decision-making and to replace totalitarian technocracy and meritocracy with democratic egalitarian and humanistic values. They believe that the post-industrial society will be more service-oriented, more-people oriented, more sensitive, more human, more responsive to human rather than technocratic values. It will de-emphasise bureaucracy and tolerate a wide variety of organisational structures that will exhibit greater adaptability, flexibility and creativity. In Public Administration the excitement of the counter culture challenge was reflected in the New Public Administration movement of the early 1970s.

The classical theorists from Taylor to Weber laid emphasis on the physiological and mechanistic aspects of public organisations. The next historical stream of administrative thought is described as neo-classical or human relations approach to the study of administrative process. Starting with the human relationists many and varied contributions from behavioural scientists have enriched administrative theory and management practices. The structuralist-mechanistic approach to public management was challenged by innovative behavioural science studies which focused on the human and social elements. From the Hawthorne experiments of the 1920s onward, clinical investigations into human behaviour in organisational settings opened up new vistas of administrative behaviour studies that led to substantial modifications in the concepts and methodologies of Public Administration. The works of Follett, Barnard and Simon resulted in a significant change in direction of administrative theory. Chester Barnard's social system theory has broadened understanding of the relationship between Public Administration and society.

Although, much of Public Administration theory is culture-bound, the study of Comparative Public and Development Administration, a field virtually unknown before the Second World War, broke through cultural barriers and stimulated much original thinking. The ecological approach to the study of administration originated in the wake of the emergence of the Third World and increasing realisation of relevance of most of the Western organisation theories to the study of administration. F. W. Riggs and the Comparative Administrative Group of the American Society of Public Administration pioneered a new administrative vocabulary to describe different societal typologies, administrative cultures, and administrative systems. The result has been a questioning of the traditional framework of Public Administration and Western egocentricity.

This brief survey of administrative theories shows that traditional Public Administration assumptions are frequently shattered by contemporary happenings. The actual configuration of Public Administration is in a constant state of flux. It is never the same from one moment to another simply because perceptions change incessantly and with them the boundaries of Public Administration. The subject matter is exploding in all directions. Communal activities subject to political directions are expanding fast in response to contemporary needs. New types of public organisations are being created. New techniques and processes for improving the performance of public service delivery are being searched. The result is modern administrative theory.

Modern administrative theory is probabilistic, multidisciplinary, descriptive and multivariable, viewing administrator as an adaptive ecological system in its environment. It has a number of distinguishing characteristics:

- a) Modern theory views an organisation as a system consisting of five basic parts: input, process, output, feedback and environment.
- b) The emphasis in modern theory is on the dynamic process of interactions that occur within the structure of an organisation.
- c) It is multilevel and multidimensional.
- d) It recognises that an act may be motivated by several desires.
- e) It is descriptive.
- f) It assumes that an event is caused by numerous interrelated and interdependent factors.
- g) Finally it views the organisation as an adaptive system.

This theory appears to satisfy the requirement that it must be comprehensive enough to cover all generally significant events that occur in a modern organisation.

To understand administrative theory one must understand the milieu in which it evolved. Scientific management, classical principles, and bureaucracy are all appropriate responses to the problems classicists faced. On the other hand, human relationists and social-psychologists faced very different situations and problems. As a result they changed their strategies from efficiency to adaptability. The new administrative theories are aimed at dealing with these conditions.

Check Your Progress 2

Note: i) Use the space given below for your answers.

ii) Check your answer with those given at the end of the unit.

1 Explain the major trends in administrative theory.

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2 What is significance of theory building in public administration?

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3 Critically evaluate the present state of administrative theory.

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39.5 ADMINISTRATIVE THEORY : AN EVALUATION

The contributions to the discipline of Public Administration have come mainly from the West and more so from the USA. American Public Administration is naturally rooted in American political and civic culture which is widely acknowledged as advanced capitalism blended with pluralism. The spirit of the discipline is naturally instrumentalist and management-oriented. Against this background, the contribution of Marxist social theory of Public Administration may be considered as an alternative paradigm. Marxist concern for macro social structures and the historical transformation of the whole political economics needs to be related to organisational analysis and the study of Public Administration. A theory of Public Administration has to be inferred from the large body of Marxist and neo-Marxist literature on the nature of the state.

Conventional, empirically-oriented administrative theory is now being challenged by what is called "radical administrative theory". A radical Public Administration grounded in the Marxist perspective is yet to take a definite shape. But the broad outline of this new disciplines is steadily emerging with obvious attraction for the "Third World" scholars who are groping for a new paradigm to explain the socio-political reality of the Third World.

The perspective of Public Administration today is influenced by two major streams:

- a) the general system seeking universal validity for theory, and
- b) efforts to evolve a theoretical model with a specific reference to the Third World experience. The Third World experience should be the basis for developing a new perspective on the discipline of Public Administration.

The value of administrative theory cannot be underrated in the organisational society. Stephen Bailey believes that "the objectives of Public Administration theory are to draw together the insights of the humanities and the validated propositions of the social and behavioural sciences and to apply these insights and propositions to the task of improving the processes of government and aimed at achieving politically legitimated goals by constitutionally mandated means". Bailey would select from the whole body of human knowledge whatever appears relevant and useful in explaining the nature of Public Administration, verifiable through observation or experiment and capable of predicting the behaviour of public organisations and the people who compose them and come into contact with them.

The discipline of Public Administration, has yet to develop a systematic body of theory of its own. The administrative theory should seek to explain the causation and direction of changes. This would and should become increasingly an integral part of the emerging perspective on the discipline of Public Administration.

Public Administration as a discipline, has to go beyond the forms and processes of administration and look for explanations in social structure, class hegemony, and the dominant forces shaping the character of the state. Several attempts at integration of the theory, largely remained fruitless. It is very difficult to evolve a general theory of Public Administration due to cross-cultural nature of the discipline. Unmistakably, the goal is not to arrive at a theory of administration but to formulate a series or a set of theories and models which can contribute to better understanding of the complex administrative "reality" in a variety of settings—institutional, national, cultural and temporal. Such a pragmatic approach is bound to lead to a proliferation of concepts, operations, methods of observation and measurements, assumptions and explanations.

39.6 CONCLUSION

The foregoing clearly indicate that theory building in administration is very recent and is inter-disciplinary and multi-disciplinary. In spite of the contributions of a large number of Public administrationists no valid theory that explains the administrative universal phenomenon has yet emerged. This clearly indicate that the phenomenon has not been deeply fathomed in all its ramification. The nature of the state, social relations, political culture, etc. heavily influence the working of all public organisations. Any theory that does not take this into consideration and ignores these factors would analyse the phenomenon only partially. In such a case scientific validity of such generalisations would be doubtful. It is this aspect that is hindering the growth of theory in Public Administration. Another factor is the analysis by western scholars, or western oriented scholars who analyse the phenomenon without deep insights into the milieu within which public organisations have to operate. Thirdly, profession of Public Administration which considers itself omniscient and a panacea for all social and political ills, harbinger of peace and prosperity, policy formulator and implementor has systematically endangered the growth with their touch-me-not attitude vis-a-vis the academic. Even the Public Administrationists, coming as they do from different disciplines could not integrate in themselves as to what is the administrative phenomenon which they attempted to fathom. It is these factors that have hindered the growth of the discipline.

39.7 LET US SUM UP

Theory which consists of a set of certain principles and generalisations is said to represent universal truth. Theories help in understanding the working of organisation and becomes a means to achieve the goals. Hence, theory building becomes very important for the growth and development of any discipline. An understanding of administrative theory helps the administrator in managing the administrative system effectively and efficiently. A brief survey of the evolution of administrative theory brings forth the contributions of scientific management, classical principles, and bureaucracy to Public Administration. The subject matter of Public Administration is expanding and new directions in the form of Comparative Public Administration, Development Administration, New Public Administration are coming up. the

discipline of Public Administration is yet to have a theory of its own. It is difficult to evolve a general theory of Public Administration due to its cross-cultural nature. The goal is to formulate a set of theories and models which can help in better understanding of the complex administrative phenomena in different settings.

39.8 KEY WORDS

- Fathom** : Penetrate, probe
Harbinger : A person or thing that announces or indicates the approach of something
Hypothesis : A suggested explanation for a group of facts or phenomena, either accepted as a basis for further verification or accepted as likely to be true
Incessantly : Continuously
Omniscient : Having unlimited or great knowledge or understanding
Panacea : Remedy for all ills or diseases
Ramification : Act or process of branching or dividing out

39.9 FURTHER READING

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39.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) See Section 39.2
- 2) See Section 39.2

Check Your Progress 2

- 1) See Section 39.4
- 2) See Section 39.3
- 3) See Section 39.5