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(DSC/DSE)

FOUR YEAR BACHELOR'S DEGREE COURSE

(CBCS in Accordance with NEP 2020)

SEMESTER- IV

PUBLIC ADMINISTRATION (THEORY)

POLITICAL SCIENCE

Surya Kumar Bhuyan School of Social Sciences

KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY

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BACHELOR OF ARTS
POLITICAL SCIENCE

CONTENTS

Page No.

UNIT 1: Public Administration:Meaning, Nature and Scope; Public Administration and Private Administration 7-21

Meaning of Public Administration; Nature and Scope of Public Administration: Nature of Public Administration, Scope of Public Administration; Public Administration and Private Administration : Differences bewteen Public Administration and Private Administration, Similarities betweeeen Public Administration and Private Administration

UNIT 2: Growth of Public Administration as a Discipline 22-30

Growth of Public Administration as a Discipline : Public Administration in India

UNIT 3: Bureaucratic Theory 31-44

Concept of Bureaucracy : Meaning of Bureaucracy, Types of Bureaucracy, Views of Marx on Bureaucracy, Views of Robert Michels on Bureaucracy; Max Weber on Bureaucracy : Concept of the Weberian Theory of Bureaucracy, Weber's oncept of "Ideal Type" Model of Bureaucratic Organisation, Features of the Weberian Theory of Bureaucracy , Criticisms against the Weberian Theory of Bureaucracy

UNIT 4: Scientific Management Theory 45-58

Scientific Management Theory : Meaning of Scientific Management, Origin of the Scientific Management Theory, Aims of Scientific Management, Basic Assumptions of the Scientific Management Theory, Principles of the Scientific Management Theory, Advantages of the Scientific Management Theory; Criticisms against the Scientific Management Theory: Workers' Criticisms, Employers' Criticisms, Criticisms from the Psychologists

UNIT 5: Human Relations Theory 59-67

Evolution of the Human Relations movement: The Hawthorne Experiments; Elements of the Human Relations theory : Views of Chester.I.Barnard, Criticisms of Human Relations theory

UNIT 6: Motivation 68-78

Meaning of Motivation ; Intrinsic motivation and Extrinsic motivation; Theories of Motivation : Incentive Theory of Motivation, Content Theories: Maslow's Hierarchy of Needs Theory and Herzberg's Two-Factor Theory

UNIT 7: New Public Administration 79-92

New Public Administration : Background, Landmarks in the growth of New Public Administration; New Public Administration- Its goals and critical evaluation, Goals of New Public Administration, Critical Evaluation.

UNIT 8 : Principles of Organisation : Heirachy, Span of Control and Unity of Command **93-105**

Hierarchy : Advantages of the principle of hierarchy, Disadvantages of the principle of hierarchy; Span of Control : Factors determining Span of Control; Unity of Command

UNIT 9 : Principles of Organisation: Centralisation and Decentralisation **106-114**

Centralisation : Advantages of Centralisation, Disadvantages of Centralisation; Decentralisation : Advantages of Decentralisation, Disadvantages of Decentralisation

UNIT 10: Principles of Organsisation: Coordination and Delegation of Authority **115-123**

Coordination: Meaning of Coordination, Need for Coordination ; Types of Coordination; Delegation of Authority : Meaning of Delegation of Authority , Types of Delegation of Authority

UNIT 11: Staff Agencies and Line Agencies **124-142**

Staff Agencies: Meaning of Staff Agencies, Basic Characteristics of Staff agencies, Types of Staff agencies, Functions of Staff agencies; Staff agencies in India ; Line Agencies: Meaning of Line Agencies; Relationship between Line agencies and Staff agencies

UNIT 12: Department **143-156**

Department: Need of Department, Bases of Department, Head of Department, Single Head/Bureau Type Head, Plural Head

UNIT 13: Independent Regulatory Commissions **157-173**

Independent Regulatory Commissions : Basic Features of Regulatory Commissions, Regulatory Commissions in the United States of America, Functions of Regulatory Commissions, Advantages of Regulatory Commissions, Criticisms against Regulatory Commissions; Independence of Regulatory Commissions

UNIT 14: Civil Servive: Meaning and Role; Relationship between Civil Servants and Ministers **174-193**

The concept of Civil Service : Meaning of Civil Service, Main characteristics of Civil Service; Functions and Role of Civil Service : Functions of Civil Service, Role of Civil Servants in a Modern State; Political Executive (Ministers) : Features of Political Executive, Non-Political Executive (Civil Servants); Relationship between Minister and Civil Servant.

COURSE INTRODUCTION

The course titled “Public Administration (Theory) of the BA Programme in Political Science (Fourth Semester) of KKHSOU is designed to help the learners to have an understanding of the basic theoretical elements with regard to the study of Political Science.

It is designed to help the learners to have an understanding of some of the important dimensions of the discipline of Public Administration in terms of both theory and practice. Accordingly, the course begins with a discussion on the meaning, nature and scope of Public Administration. At this stage a distinction is also made between Public Administration and Private Administration. The course also throws light on the growth of public administration as a discipline. One important theory that forms the cornerstone of modern public administration is the Bureaucratic Theory. The course discusses the Bureaucratic Theory in its various aspects. Besides, the course includes two other important theories which have made great impact on the theory and practice of public administration, namely, the Scientific Management theory and the Human Relations Theory. The course also discusses motivation as an important aspect of public administration. The course on Public Administration has also discussed a significant event in the history of public administration, namely, New Public Administration which sought to make public administration more socially relevant. The course further discusses some fundamental principles of administration including hierarchy, span of control, unity of command, centralisation and decentralisation, coordination and delegation of authority which are integral to the structure and functioning of any organisation.

The concepts of Staff and Line agencies are fundamental to public administration. The course discusses these two concepts including the two very important line agencies, namely, Department and Independent Regulatory Commissions. The concept of civil service is also integral to the study of public administration. In a way, civil service reflects public administration in practice. As such, the course discusses the concept of civil service and its various dimensions.

While going through the units of the block, you will find that unit is further divided into certain sections and sub-sections, wherever necessary, for your better understanding. The units carry certain *activities* after a particular section where needed. These “ACTIVITIES” will provide you the opportunity to practically apply your own thoughts based on the knowledge gained from reading the text in a particular section. Besides, in order to give you additional information on certain relevant topics, you will find a category called “LET US KNOW” after the sections in each unit. Another category that has been included at the end of each section of a particular unit is “CHECK YOUR PROGRESS”.

The purpose of this category is to help you to asses for yourself as to how thoroughly you have understood a particular section. You may then match your answers with “ANSWERS TO CHECK YOUR PROGRESS” given at the end of each unit. The section “FURTHER READING” in each unit contains the names of a few books which you might want to consult if you are intereted in learning more elaborately about the concepts discussed in a particular unit. Furthermore, the category called “MODEL QUESTIONS” is intended to give you a hint of the type of questions you are likely to get in the examination.

UNIT 1 : PUBLIC ADMINISTRATION: MEANING NATURE AND SCOPE; PUBLIC ADMINISTRATION AND PRIVATE ADMINISTRATION

UNIT STRUCTURE

1.1 Learning Objectives
1.2 Introduction
1.3 Meaning of Public Administration
1.4 Nature and Scope of Public Administration
    1.4.1 Nature of Public Administration
    1.4.2 Scope of Public Administration
1.5 Public Administration and Private Administration
    1.5.1 Differences bewteen Public Administration and Private Administration
    1.5.2 Similarities betweeeen Public Administration and Private Administration
1.6 Let Us Sum Up
1.7 Further Reading
1.8 Answers to Check Your Progress
1.9 Model Questions

1.1 LEARNING OBJECTIVES

After going through this unit, you will be able to –

- explain the meaning of Public Administration
- describe the nature of Public Administration
- discuss the scope of Public Administration
- explain the differences and similarities between Public Administration and Private Administration

1.2 INTRODUCTION

In our daily lives we often have to visit government offices and departments for various purposes and thereby come into contact with

different categories of public officials engaged in different types of work. All these situations reflect aspects of Public Administration. In today's world, Public Administration has become indispensable as the government is required to meet the various needs of the people. In this unit we shall read about the various dimensions of Public Administration including its meaning, nature and scope as well as the distinction between Public Administration and Private Administration.

1.3 MEANING OF PUBLIC ADMINISTRATION

Public Administration is a part of the wider field of "administration". The term "administration" implies a collective activity directed towards the attainment of a specific goal. Now, the term "public administration" deals with the activities and procedures relating to the governmental machinery. The use of the word "Public" before "Administration" restricts its coverage to the administrative activities of the government. As a matter of fact, Public Administration is governmental administration.

The term "public administration" has been variously defined by different writers. Some of the important definitions are given below:

- According to **John M.Pfiffner**, "Public Administration consists of doing the work of government, whether it be running of X-ray machine in health laboratory or coining money in the mint."

- According to **Luther Gullick**, "Public Administration is that part of the science of Administration which has to do with government and, thus, concerns itself, primarily with the executive branch, where the work of the government is done though there are, obviously, problems also in connection with the legislative and judicial branches."

- According to **L.D.White**, "Public Administration consists of all those operations having for their purpose the fulfillment or enforcement of public policy."

- According to **Herbert Simon**, "By Public Administration is meant in common usage the activities of the executive branches of the national, state and local governments."

***Luther Gullick (1892-1970)*:** American public administrator who served in President Franklin D.Roosevelt's administration.

***L.D.White* :** One of the leading theorists and practitioners of public administration from the US.

***Herbert Simon (June 15, 1916-February 9, 2001)*:** Renowned American social scientist known for his pioneering work in the field of decision-making and administrative behaviour.

The above definitions make it clear that the term "Public Administration" has been used in two senses. The wider view has been taken by L.D.White and John M. Pfiffner. According to this view, Public Administration includes all the activities of the government whether falling in the sphere of the legislative, executive or judicial branch of the government. On the other hand, Luther Gullick and H.Simon have taken the narrow view. According to the narrow view, Public Administration is concerned with the activities of only the executive branch of the government.



CHECK YOUR PROGRESS

Q 1: In its narrow sense, Public Administration is concerned with the activities of only the ..... branch of the government. (Fill in the blank)

Q 2: Luther Gullick and Herbert Simon are associated with the narrow view of Public Administration. (True/False)

.....

Q 3: Explain the meaning of Public Administration. (within 50 words)

.....

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1.4 NATURE AND SCOPE OF PUBLIC ADMINISTRATION

Let us now examine the nature and scope of Public Administration.

1.4.1 Nature of Public Administration

There are two divergent views regarding the nature of Public Administration. These views are:

- **Integral View:** According to the integral view, public administration is a sum total of all activities undertaken in pursuit of and fulfillment of public policy. These activities include not only managerial and technical but also manual and clerical. Accordingly, the activities of all persons working in an organisation from top to

bottom constitute administration. For instance, as per the integral view, public administration in the case of the Railways would include all activities ranging from planning programmes and framing policies to the inspection of tracks by gangmen/ trackmen.

- **Managerial View:** According to this view, administration is concerned with the work of only those persons who are engaged in the performance of managerial functions in an organisation. The managerial view takes into account the activities of only those who are responsible for running and managing the organisation. Their job is to plan programmes, frame policies and coordinate and organise the activities in an organisation in order to achieve the desired goals.

1.4.2 Scope of Public Administration

Several writers have defined the scope of Public Administration variously. Let us examine some of the important views regarding the scope of Public Administration.

- **POSDCoRB View**

Luther Gullick sums up the scope of the subject of Public Administration by the letters of the word "POSDCoRB". This word is made up of initials and indicates the following activities:

"P" – Planning
"O" – Organising
"S" – Staffing
"D" – Directing
"Co" – Coordinating
"R" – Reporting
"B" – Budgeting

- Planning means working out the broad outline of the items that need to be attended to and the methods for doing them to accomplish the purpose set for the enterprise.

- Organising means building up the structure of authority through which the work is arranged into well-defined sub-divisions, and coordination.

- Staffing means appointing suitable persons to the various posts under the organisation and imparting training to the personnel.

- Directing means making decisions and issuing orders and instructions for guiding the staff.

- Coordinating means interrelating the various parts of the work and eliminating overlapping and conflict.

- Reporting means keeping both the superiors and subordinates informed of what is going on and arranging for the collection of such information through inspection, research and records.

- Budgeting involves all forms of financial administration including fiscal planning, accounting and control.

According to Gullick, the POSDCoRB activities are common to all organizations. These are common problems of management, which are found in different agencies regardless of the peculiar nature of the work they do.

The POSDCoRB view of the scope of public administration is important for the study of Public Administration. However, it has its own limitations. These are discussed below:

Firstly, the POSDCoRB takes into account only the common techniques of administration and ignores the subject matter with which an agency is concerned. Gullick's approach is "technique-oriented" rather than "subject-oriented."

Secondly, the supporters of Human Relations approach to the study of administration are critical of the POSDCoRB view. According to them, public administration should not miss the human aspect of organisations like group dynamics, communication, leadership skill and power relationship while the POSDCoRB view focuses only on structure and managerial techniques.

➢ **The Subject-Matter View**

The subject-matter view of Public Administration has come into being in response to the POSDCoRB view. It began to be felt that the POSDCoRB activities were neither the whole of administration, nor even the most part of it. They were only the common housekeeping activities or tools of administration. The real core of administration would consist of the various functions or services produced for the people – law and order, education, social security, public health and agriculture, public works, justice, defence, etc. According to the subject-matter view, the real content of Public Administration should be the main functions or services for which the government comes into existence. As a matter of fact, even the POSDCoRB activities are modified by the subject-matter of the services in which they have to operate. For instance, the technique of organization in the armed forces has to be different from that in the Public Works Department.

It may be mentioned here that so far as the subject matter of Public Administration is concerned, both the POSDCoRB and subject matter view are significant as both supplement each other. The scope of Public Administration should include, on the one hand, administrative theory which is general and abstract, largely consisting of the POSDCoRB techniques common to all administration. On the other hand, Public Administration involves concrete application of the common administrative theory to the various fields of administrative activity such as law and order, education, social security, public health, agriculture, public works, justice, defence, etc.

Thus, we get two broad subdivisions regarding the scope of Public Administration, namely, administrative theory and applied administration.

The scope of Public Administration is expanding day by day because. It has emerged as a full discipline like other social sciences. As it is a full discipline, Public Administration comprises the following major areas of specialized study:

(i) Administrative or Organisation theory

(ii) Public Personnel Administration

(iii) Public Financial Administration

(iv) Comparative Public Administration, and

(v) Pubnic Policy



CHECK YOUR PROGRESS

Q 4 : Mention the two views regarding the nature of Public Administration.

.....

Q 5 : Who summed up the scope of the subject of Public Administration by the letters of the word "POSDCoRB".

.....

Q 6 : Describe the subject-matter view regarding the scope of Public Administration. (within 50 words)

.....

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.....

1.5 PUBLIC ADMINISTRATION AND PRIVATE ADMINISTRATION

Public Administration as we have seen is governmental administration. On the other hand, the management of affairs by private individuals or bodies of individuals, e.g., a club, a company or a corporation is Private Administration. Let us discuss the main differences between Public Administration and Private Administration.

1.5.1 Differences between Public Administration and Private Administration

➢ **Political Direction:** The main distinction between public and private administration lies in the fact that unlike Private Administration, Public Administration is subjected to political direction in most policy matters. The administrator under Public Administration has to carry out the orders which he gets form the political executive with little option of his own.

- **Profit motive:** Public Administration is service oriented and profit making is not its motive. In Public Administration, some functions such as running of public utility services are performed by the State in the interest of the people at large even though they might run at a loss. However, in Private Administration, the continuation of any initiative is determined by the profit margin.

- **Uniformity of treatment:** Public Administration is generally consistent in procedure and eniform in the dealings with the public. Under Public Administration, an officer cannot show favour to some people and disfavour to others. Private Administration need not bother about uniformity of treatment. A shopkeeper may give any item on credit to a person who is his regular customer but may not extend this facility to a casual customer. In Public Administration, on the other hand, a clerk in a post office will not sell stamps on credit to anyone.

- **Public relations:** In terms of public relations, Private Administration is ahead of Public Administration. The kind of salesmanship, window displaying, distribution of free samples, designing, packaging, etc., that is noticed in the field of Private Administration as part of efforts to influence the public is not noticed with regard to Public Administration, where public relations is a much more low-key affair.

- **Scope of activity:** The scope of Public Administration is more comprehensive, especially in the context of the modern welfare states. It caters to the various needs of the people, rendering basic services in the fields of law and order, public works, education, heath, social security, agriculture, post and telegraph, national defence, etc. Private Administration does not cover so many aspects of human life.

- **Monopolistic:** In the field of Public Administration, there is generally a monopoly of the government in terms of rendering certain services. No private party is allowed to compete with the government in running such services. For example, nobody else but the government itself is allowed to establish Post and Telegraph or issue currency notes. In Private Administration, on the other hand, several

organisations compete with each other to supply the same commodity or fulfil the same needs at a time.

➢ **Public responsibility:** Public Administration is directly responsible to the people. It has to face the criticism of the public, press and political parties. The officials in the field of Public Administration are to act as per the wishes of the people expressed through their representatives at the legislature – the ministers, who are held responsible for their fulfillment. The public officials have to be conscious of public reactions and think carefully before taking any step. Private Administration, on the other hand, does not have any such responsibility towards the public. At best, it is only indirectly responsible to the people and that too, often to secure its own ends rather than the genuine welfare of the people.

➢ **Greater social prestige:** Public Administration enjoys high prestige and social status as compared to Private Administration. Public Administration offers more opportunities for rendering service to the people than Private Administration. Generally speaking, people with ability and mature experience man the services under Public Administration, for the basic urge behind Public Administration is service to the society. Accordingly, Public Administration commands greater respect and social prestige than Private Administration.



CHECK YOUR PROGRESS

Q 7: Mention any two differences between Public Administration and Private Administration.

.....

.....

Q 8: How does Public Administration and Private Administration differ with respect to political direction and profit motive ?

1.5.2 Similarities between Public Administration and Private Administraiion

In spite of the above mentioned differences between Public Administration and Private Administration, there are certain similarities between the two.

- Firstly, there are many skills, techniques and procedures which are common to both. Activities like accounting, office management, purchases and disposals, etc., are common to both Public Administration and Private Administration.

- Secondly, both Public Administration and Private Administration influence each other. Public corporations and companies have borrowed principles of management from the private sector. Likewise, big business organisations in the private sector have been influenced by governmental practices in such areas as staff welfare, medical benefits, etc.

- Thirdly, a certain kind of hierarchical administrative set up is noticed in the case of both public and private sectors. There prevails demarcation of work, duties and responsibilities in the case of both public and private sectors.

- Fourthly, maintaining public relations is a must in the case of both Public Administration and Public Administration. If the contact with the masses is lost, administration shall not learn about the needs of the people. At the same time, rendering service to the people is a concern of the private sector too. It is not solely driven by the profit motive. In any case, private business is also regulated and controlled by the law of the land.



CHECK YOUR PROGRESS

Q 9: Mention any two similarities between Public Administration and Private Administration?

.....

.....

Q 10: How is Public Administration similar to Private Administration in terms of techniques and heirarchical set up.

.....

.....



1.6 LET US SUM UP

l Public Administration is governmental administration.

- The term “Public Administration” has been used in two senses. The wider view has been taken by L.D.White and John M. Pfiffner.

- According to the wider view, Public Administration includes all the activities of the government whether falling in the sphere of the legislative, executive or judicial branch of the government.

- On the other hand, Luther Gullick and H.Simon have taken the narrow view. According to the narrow view, Public Administration is concerned with the activities of only the executive branch of the government.

- There are two divergent views regarding the nature of Public Administration.

- According to the integral view, public administration is a sum total of all activities undertaken in pursuit of and fulfillment of public policy. These activities include not only managerial and technical but also manual and clerical.

- According to the managerial view, public administration takes into account the activities of only those who are responsible for running and managing the organisation.

- Luther Gullick sums up the scope of the subject of Public Administration by the letters of the word “POSDCoRB”. -
  “P” – Planning, “O” – Organising , “S” – Staffing, “D” – Directing, “Co” – Coordinating , “R” – Reporting and “B”– Budgeting.

- According to the subject-matter view of public administration , the real content of Public Administration should be the main functions or services for which the government comes into existence.

- Thus, we get two broad subdivisions regarding the scope of Public

Administration, namely, administrative theory and applied administration.

- The scope of Public Administration is expanding day by day because. It has emerged as a full discipline like other social sciences. As it is a full discipline, Public Administration comprises the following major areas of specialized study: (i) Administrative or Organisation theory
  (ii) Public Personnel Administration, (iii) Public Financial Administration, (iv) Comparative Public Administration, and (v) Public Policy

- Public Administration is governmental administration. On the other hand, the management of affairs by private individuals or bodies of individuals, e.g., a club, a company or a corporation is Private Administration.

- The differences between public administration and private administration centre around Political Direction, Profit motive, Uniformity of treatment, Public relations, Scope of activity, Monopolistic, Public responsibility and Greater social prestige.

- The similarities between public administration and private administration centre around skills, techniques and procedure, principles of management, hierarchical administrative set up , demarcation of work, duties and responsibilities and maintaining public relations.



1.7 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.
4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.

1.8 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1 : executive

Ans to Q No 2 : True

Ans to Q No 3 : Public Administration is a part of the wider field of "administration". Public Administration deals with the activities and procedures relating to the governmental machinery. The term "public administration" has been variously defined by different writers. These definitions make it clear that the term "Public Administration" has been used in two senses. The wider view has been taken by L.D.White and John M. Pfiffner. According to this view, Public Administration includes all the activities of the government whether falling in the sphere of the legislative, executive or judicial branch of the government. On the other hand, Luther Gullick and H.Simon have taken the narrow view. According the narrow view, Public Administration is concerned with the activities of the executive branch of the only.

Ans to Q No 4 : Integral view and Managerial view

Ans to Q No 5 : Luther Gullick

Ans to Q No 6 : The subject-matter view of Public Administration has come into being in response to the POSDCoRB view. It began to be felt that the POSDCoRB activities were neither the whole of administration, nor even the most part of it. The real core of administration would consist of the various functions or services produced for the people – law and order, education, social security, public health and agriculture, public works, justice, defence, etc. According to the subject-matter view, the real content of Public Administration should be the main functions or services for which the government comes into existence.

Ans to Q No 7 : (i) Uniformity of treatment (ii) Public responsibility

Ans to Q No 8 : (i) Political Direction: The main distinction between public and private administration lies in the fact that unlike Private Administration, Public Administration is not subjected to political direction in most policy matters. The administrator under Public Administration has to carry out the orders which he gets form the political executive with little option of his own.

(ii) Profit motive: Public Administration is service oriented and profit making is not its motive. In Public Administration, some functions such as running of public utility services are performed by the State in the interest of the people at large even though they might run at a loss. However, in Private Administration, the continuation of any initiative is determined by the profit margin.

Ans to Q No 9 : (i) Principles of management (ii) Maintaining public realtions

Ans to Q No 10 :

i) There are many skills, techniques and procedures which are common to both. Activities like accounting, office management, purchases and disposals, etc., are common to both Public Administration and Private Administration.

ii) A certain kind of hierarchical administrative set up is noticed in the case of both public and private sectors. There prevails demarcation of work, duties and responsibilities in the case of both public and private sectors..



1.9 MODEL QUESTIONS

A) Very Short Questions

Q 1 : Who said, “By Public Administration is meant in common usage the activities of the executive branches of the national, state and local governments ” ?

Q 2 : What does POSDCoRB stand for ?

Q 3 : Public Administration comprises which major areas of specialized study?

Q 4 : Herbert Simon is associated with which view of Public Administration?

Q 5 : Mention any two activities which are common to both Public Administration and Private Administration.

Q 6 : Mention any two fields in which public administration renders basic services .

B) Short Questions (Answer each question in about 150 words)

Q 1 : Discuss the POSDCoRB view regarding the scope of Public Administration.

Q 2 : Explain the nature of Public Administration.

Q 3 : Mention the differences between public administration and private administration in terms of political direction and profit motive.

Q 4 : Mention any two similarities between public administration and private administration with regard to procedures adopted and maintenance of public relations.

C) Long Questions (Answer each question in about 300-500 words)

Q 1 : Explain the meaning of public administration. Write about the nature of public administration.

Q 2 : Discuss the scope of Public Administration.

Q 3 : Mention any seven differences between Public Administration and Private Administration.

Q 4 : Mention the similarities between Public Administration and Private Administration.

*** ***** ***

UNIT 2 : GROWTH OF PUBLIC ADMINISTRATION AS A DISCIPLINE

UNIT STRUCTURE

2.1 Learning Objectives
2.2 Introduction
2.3 Growth of Public Administration as a discipline
2.3.1 Public Administration in India
2.4 Let Us Sum Up
2.5 Further Reading
2.6 Answers to Check Your Progress
2.7 Model Questions

2.1 LEARNING OBJECTIVES

After going through this unit, you will be able to –

- explain the growth of Public Administration as a discipline
- explain the various stages of evolution of Public Administration as a discipline

2.2 INTRODUCTION

The growth of public administration as an academic discipline has a long history. Starting from the nineteenth century to the present times, public administration has attracted the attention of both practitioners and scholars of public administration. President Woodrow Wilson of the USA, was among the earliest thinkers to project Public Administration as a separate discipline of study. He called for a systematic study of Public Administration. At present several universities and institutions of higher education are running full fledged programmes in public administration. In thus unit, we shall learn about the various stages of the growth of public administration as an academic discipline.

2.3 GROWTH OF PUBLIC ADMINISTRATION AS A DISCIPLINE

- **Phase 1: Early Tradition (Politics-Administration Dichotomy)**

Tracing the genesis of the discipline of Public Administration, President Woodrow Wilson of the USA, was among the earliest thinkers to project Public Administration as a separate discipline of study. President Woodrow Wilson called for a systematic study of Public Administration in his essay "The Study of Administration" (1887) published in the Political Science Quarterly in 1887.Wilson was the first thinker to point out the dichotomy or separation between politics and administration. He argued that politics and administration are separate. Wilson stated that politics was the special field of the statesman and administration that of the technical official. Wilson appealed to political scientists to study more effective techniques for administration. In view of his contribution to establish a separate field for public administration, Wilson is regarded as the founding father of the discipline of Public Administration.

The Wilsonian theme of politics-administration dichotomy was further developed by Frank J.Goodnow. In 1900, he published a volume entitled Politics and Administration wherein he argued that politics and administration were two distinct functions of the government.

Starting from the early 20th century, a reform movement swept across the government in the United States. Subsequently, the interaction between the government and the universities increased. The American Political Science Association declared in 1914 that one of the objectives of teaching Political Science was to groom specialists for governmental positions. In 1926, L.D.White released what is regarded as the first textbook on the subject of Public Administration. It was titled "An Introduction to the Study of Public Administration." It focused on the themes of politics-administration dichotomy and maintenance of economy and efficiency in administration.

- **Phase 2: Search for Principles of Administration (Economy and Efficiency)**

The second stage in the growth of public administration was marked by a focus on the principles of administration based on efficiency and economy. It came to be stressed that it was important to develop and utilize adequate methods and principles in solving the rising problems of management in both public and private organisations. The Scientific

Management theory of Organization was formulated in the early part of the 20th century. Frederick Winslow Taylor is the chief advocate of this theory. According to Taylor, scientific management includes finding the most efficient methods of production, scientific selection and training of workers, proper allotment of duties and work and achieving co-operation between workers and management. Some important publications of this period include Willoughby's Principles of Public Administration, Mary Parker Follet's Creative Experience, etc. Luther Gullick gave the POSDCoRB view of administration, laying down the seven principles of administration. Thus during the period 1926-1937, efforts were on to establish Public Administration as a separate field of study which had its own techniques and principles of management.

- **Phase 3 : Human Relations Movement**

The mechanistic approach of management with a stress on organisational goals of economy and efficiency soon came to be questioned. In this context, the Human Relations Movement led public administration into a new phase. American sociologist Elton Mayo and his associates conducted the Hawthorne experiments (1924-1940) at the Hawthorne Plant of the Western Electric Company. These experiments particularly inspired the human relations movement. On the whole, the Hawthorne experiments revealed that socio-psychological factors such as social or human relationships among the workers, feelings of importance, recognition, attention and participation on the part of the workers, small informal work-groups, etc. were always at work in any organization and should always be taken into account , thereby reflecting the "human side" of administration. Chester I. Barnard was a contemporary of Elton Mayo. He was an American business executive. He gave his views in his book titled "The Functions of the Executive" published in 1938.

- **Phase 4: Development of a Scientific and Inter-disciplinary Character**

After the Second World War, the behavioral scientists started focusing on such factors as the role of the individual, leadership in organization, group dynamics, motivation, etc. Herbert Simon's "Administrative Behaviour" (1947) was critical of traditional Public Administration. He advocated the adoption of empirical approach and scientific rigour in Public Administration. The need for an inter-disciplinary approach was also stressed.

In the 1960s, a more and more American scholars started taking interest in the developing countries of Asia, Africa and Latin America. Accordingly, the concept of Development Administration started gaining ground. In 1962

the Comparative Administration Group (CAG) was formed to look into the area of using modern administration as a tool for the attainment of developmental goals in these countries. Scholars in the field of Public Administration focussed on the need to gear traditional bureaucracy towards undertaking developmental tasks by bringing about changes on structural and behavioural fronts.

- **Phase 5: Emergence of New Public Administration**

In the late 1960s, a section of the younger generation of American scholars initiated a new movement in American Public Administration which came to be known as the "New Public Administration". The New Public Administration movement is critical of procedural neutrality of traditional Public Administration. It rejects the idea of a value-free social science as advocated by the behaviouralists. The participants at the Minnowbrook Conference are of the view that the discipline of Public Administration should be concerned more with values and issues of justice, freedom, equality and human ethics. New Public Administration pointed out that it was necessary for public administrators to be guided by values like social justice and equity in matters of policy formulation. Thus, while acknowledging the need for public administration to retain its empirical and scientific rigour, New Public Administration rejected the value-free approach of the behaviourlists. Instead, public administration was sought to be made more relevant to the society in terms of responding to the contemporary social issues.

In the 1980s, Public Administration, especially in the West, entered a new phase. The trend was towards small government as the notion of big government was rejected as a danger to individual freedom and economic efficiency. More generally, scholars in the field of Public Administration today have started focusing on issues such as public-private partnership, models of decentralization, paradigms of governance, etc.

Thus, Public Administration has come a long way since its beginnings in the late 19th century. A lot of factors have influenced its evolution as an academic discipline. It has established itself as an autonomous discipline boasting a range of ever widening literature and addressing different concerns at different stages.



LET US KNOW

One of the oldest institutions in the field of offering graduate level programmes in Public Administration is the Maxwell School of Citizenship and Public Affairs at Syracuse University,

USA. It was established in 1924. Today, a large number of colleges and universities are offering various graduate and post-graduate level programmes in Public Administration across the United States.

2.3.1 Public Administration in India

Looking at the scene in India, a diploma course in Public Administration was launched by the Department of Politics and Public Administration in the University of Madras in 1937 which was one of the pioneering initiatives in the matter of the growth of Public Administration as an academic discipline in India. Dr. Eddy Asirwatham of Madras University was a leading figure in the field of Public Administration teaching in India. Subsequently, in many other universities across India, separate Public Administration departments came to be established. In 1954, the Indian Institute of Public Administration was established. It is a research and training organization under the Ministry of Personnel, Government of India. In 1959, within this institute, the Indian School of Public Administration was established, offering post-graduate level programmes in Public Administration.



CHECK YOUR PROGRESS

Q 1 : Who was the first thinker to point out the dichotomy or separation between politics and administration in India?

.....

Q 2 : Frederick Winslow Taylor is associated with which theory?

.....

Q 3 : Explain Period II of the growth of Public Administration as a discipline. (within 60 words)

.....

.....

Q 4 : Explain Period IV of the growth of Public Administration as a discipline. (within 60 words)

.....

.....



2.4 LET US SUM UP

- The growth of public administration as an academic discipline has a long history. Starting from the nineteenth century to the present times, public administration has attracted the attention of both practitioners and scholars of public administration.

- The growth of public administration as an academic discipline can be divided into different stages, namely, Period I (Politics-Administration dichotomy), Period II (Principles of administration), Period III (Human Relations), Period IV (Development Administration), Period V (New Public Administration) and Period VI (New Trends).

- In the first stage (Period I), the focus was on politics-administration dichotomy. Tracing the genesis of the discipline of Public Administration, President Woodrow Wilson of the USA, was among the earliest thinkers to project Public Administration as a separate discipline of study.

- President Woodrow Wilson called for a systematic study of Public Administration in his essay "The Study of Administration" (1887) published in the Political Science Quarterly in 1887.Wilson was the first thinker to point out the dichotomy or separation between politics and administration. The Wilsonian theme of politics-administration dichotomy was further developed by Frank J.Goodnow.

- The second stage in the growth of public administration (Period II) was marked by a focus on the principles of administration based on efficiency and economy. It came to be stressed that it was important to develop and utilize adequate methods and principles in solving the rising problems of management in both public and private organisations. The Scientific Management theory of Organization was formulated in the early part of the 20th century.

- In the third stage (Period III), the mechanistic approach of management with a stress on organisational goals of economy and efficiency soon came to be questioned. In this context, the Human Relations

Movement led public administration into a new phase. American sociologist Elton Mayo and his associates conducted the Hawthorne experiments (1924-1940) at the Hawthorne Plant of the Western Electric Company.

- In the fourth stage (Period IV) After the Second World War, the behavioral scientists started focusing on such factors as the role of the individual, leadership in organization, group dynamics, motivation, etc.

- In the 1960s, a more and more American scholars started taking interest in the developing countries of Asia, Africa and Latin America. Accordingly, the concept of Development Administration started gaining ground.

- In the fifth stage (Period V), a section of the younger generation of American scholars in the late 1960s, initiated a new movement in American Public Administration which came to be known as the "New Public Administration". New Public Administration rejected the value-free approach of the behaviourlists. Instead, public administration was sought to be made more relevant to the society in terms of responding to the contemporary social issues.

- In the sixth stage (Period VI), Public Administration, especially in the West, entered a new phase) in the 1980s. The trend was towards small government as the notion of big government was rejected as a danger to individual freedom and economic efficiency. More generally, scholars in the field of Public Administration today have started focusing on issues such as public-private partnership, models of decentralization, paradigms of governance, etc.

- Looking at the scene in India, a diploma course in Public Administration was launched by the Department of Politics and Public Administration in the University of Madras in 1937 . In 1954, the Indian Institute of Public Administration was established. It is a research and training organization under the Ministry of Personnel, Government of India.

- In 1959, within this institute, the Indian School of Public Administration was established, offering post-graduate level programmes in Public Administration.



2.5 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.
4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.



2.6 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1 : President Woodrow Wilson

Ans to Q No 2 : Scientific Management theory

Ans to Q No 3 : The second stage in the growth of public administration was marked by a focus on the principles of administration based on efficiency and economy. The Scientific Management theory of Organization was formulated in the early part of the 20th century. Frederick Winslow Taylor is the chief advocate of this theory. According to Taylor, scientific management includes finding the most efficient methods of production, scientific selection and training of workers, proper allotment of duties and work and achieving co-operation between workers and management. Some important publications of this period include Willoughby's Principles of Public Administration, Mary Parker Follet's Creative Experience, etc. Luther Gullick gave the POSDCoRB view of administration, laying down the seven principles of administration. Thus during the period 1926-1937, efforts were on to establish Public Administration as a separate field of study which had its own techniques and principles of management.

Ans to Q No 4 : In the 1980s, Public Administration, especially in the West, entered a new phase. The trend was towards small

government as the notion of big government was rejected as a danger to individual freedom and economic efficiency. More generally, scholars in the field of Public Administration today have started focusing on issues such as public-private partnership, models of decentralization, paradigms of governance, etc.

Thus, Public Administration has come a long way since its beginnings in the late 19th century. A lot of factors have influenced its evolution as an academic discipline. It has established itself as an autonomous discipline boasting a range of ever widening literature and addressing different concerns at different stages.



2.7 MODEL QUESTIONS

A) Very Short Questions

Q 1: Who called for a systematic study of Public Administration in his essay "The Study of Administration" ?

Q 2: Mention any two publications of Period II (Principles of administration) of the growth of public administration.

Q 3: Mention the American sociologist who conducted the Hawthorne experiments.

Q 4: Mention any two issues which scholars in the field of Public Administration have started focusing on in the modern times.

B) Short Questions (Answer each question in about 150 words)

Q 1: Explain the first two periods of the growth of Public Administration as a discipline.

Q 2: Write briefly about the growth of public administration in India.

C) Long Question (Answer the question in about 300-500 words)

Q 1: Discuss the growth of Public Administration as a discipline.

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UNIT 3 : BUREAUCRATIC THEORY

UNIT STRUCTURE

3.1 Learning Objectives
3.2 Introduction
3.3 Concept of Bureaucracy
  3.3.1 Meaning of Bureaucracy
  3.3.2 Types of Bureaucracy
  3.3.3 Views of Marx on Bureaucracy
  3.3.4 Views of Robert Michels on Bureaucracy
3.4 Max Weber on Bureaucracy
  3.4.1 Concept of the Weberian Theory of Bureaucracy
  3.4.2 Weber's Concept of "Ideal Type" Model of Bureaucratic Organisation
  3.4.3 Features of the Weberian Theory of Bureaucracy
  3.4.4 Criticisms against the Weberian Theory of Bureaucracy Organisation
3.5 Let Us Sum Up
3.6 Further Reading
3.7 Answers to Check Your Progress
3.8 Model Questions

3.1 LEARNING OBJECTIVES

After going through this unit, you will be able to-

- describe the concept of Bureaucracy
- discuss the views of Karl Marx and Robert Michels on Bureaucracy
- explain the Weberian Theory of Bureaucracy
- discuss the criticisms against the Weberian Theory of Bureaucracy.

3.2 INTRODUCTION

Bureaucracy has emerged as a dominant element of the present world administration. Bureaucratic structures are a universal phenomenon in all public and large private organisations. Whether we live under democracy or despotism, we are governed to a considerable extent by a bureaucracy of some kind. Generally speaking bureaucracy means government by officials.

The most important contributions to the Theory of Bureaucracy have been made by Karl Marx, Roberto Michels and of course, Max Weber. Though bureaucracy is not the central concern for Marx, yet he has provided his views on bureaucracy in relation to the power structure of society. However, the most enduring contribution to bureaucracy has been made by German sociologist Max Weber. Weberian model of bureaucracy emphasizes on rationality that has been accepted by many countries all over the world.

3.3 CONCEPT OF BUREAUCRACY

3.3.1 Meaning of Bureaucracy



***Professor Harold Laski (June 30, 1893 – March 24, 1950)*:** He was a renowned English political theorist, economist, author and political leader. He taught at the London School of Economics.

***Marshall E.Dimock*:** American political scientist who was an authority on public administration.

The word 'bureaucracy' is used with different meanings to signify different things. The term "bureaucracy" was for the first time coined by Vincent de Gournay, a Frenchman in the middle of the 18th century. Bureaucracy may be defined as systematic administration characterized by specialization of functions, objective qualifications for office, action according to fixed rules and a hierarchy of authority. The Dictionary of Social Sciences defines bureaucracy as a type of organisation characterized by rationality in decision making, impersonality in social relations, routinization of tasks and concentration of authority. As for J.S. Mill, bureaucracy denotes the professional governors of the government in a society. According to **Professor Harold Laski,** bureaucracy is a rule of the officials in a system of governance. Again, **Marshal E. Dimock** identifies bureaucracy with institutions and large parties.

According to British social scientist Martin Albrow, the definitions of bureaucracy fall under categories like rational organisation, rule of

officials, public administration, administration by officials, hierarchical organisation, etc.

Bureaucracy has been in existence since long past. It has taken different shapes and forms at different stages of history. But the most important thing is that it has been operating in every system of administration.



LET US KNOW

The word "bureaucracy" has been taken from the Latin word 'bureau', meaning a writing table or desk. In French 'La Bure' means a cloth used on tables for public authorities. From table cloth, the table covered by cloth came to be known as bureau. Later 'bureau' began to be used for the office room where the table is kept. By 18th century the term began to be used to refer to a place where officials work. The suffix 'cratic' is derived from the Greek word which means rule. Thus bureaucracy'refers to the rule of the officials.

3.3.2 Types of Bureaucracy

Bureaucracy has been in existence in different points of history. Due to different socio-economic influences, bureaucracy has taken different shapes and forms. Accordingly bureaucracy can be categorized into the following types-

1. *The Guardian Bureaucracy:* This kind of bureaucracy regards itself as a custodian of public interest, but is independent of and unresponsive to public opinion. It is termed as efficient, competent, benevolent, incorruptible on the one hand, and authoritarian on the other. Plato's concept of philosopher king is an example of Guardian Bureaucracy. Such bureaucracy was in China before 960 A.D. and in Prussia in between 1640 and 1740 A.D.
2. *Caste Bureaucracy:* Under this system persons belonging

to upper caste or upper social category can hold public posts. In ancient India also only the high castes like *Brahmins* and *Kshatriyas* could become higher officials. The Civil Service during early Roman Empire, Japanese Civil Service under the Meiji Constitution and the French Civil Service of the 1950s are a few examples of Caste Bureaucracy.

3. *Patronage Bureaucracy:* It is also known as 'spoils system,' traces of which are widely found in the American administration. Under this system, public posts are filled up by the nominated candidates of the politicians and executives. It is criticised on the ground of its lack of competence, careless discipline and its concealed greediness.

4. *Merit Bureaucracy:* Under this system the best candidate is selected for the public post. Here recruitment is based on qualification and governed by competitive examination. The civil service in India is an example of merit bureaucracy.

3.3.3 Views of Marx on Bureaucracy

The scientific treatment of bureaucracy is generally attributed to Max Weber. But much before Weber, Karl Marx dealt with bureaucracy in relation to the state and society. Marx's views on bureaucracy need to be analyzed within his sociology of politics. According to Marx, bureaucracy, just like the state, is an instrument by which the dominant class exercises its domination over other social classes. The Marxist understanding of bureaucracy is that it is not seen as an independent historical development. Marx believes that bureaucracy emerges in response to a capitalist society and serves the needs of that particular system.

According to Marx, in terms of competence, bureaucracy cannot be rational at all. Marx also says that the higher functionaries in bureaucracy do not reveal many things to the subordinates and outsiders. He again says that the bureaucracy stands between the state and public opinion to prevent any dissent against the state.

But by and large, Public Administration as a discipline has not cared much for Marx's views on bureaucracy, which is held to be included in Marx's broad theory of capitalist state.

3.3.4 Views of Robert Michels on Bureaucracy

Robert Michels was a German sociologist. He discusses bureaucracy in relation to the internal politics of large central organisations which are dominated by the elites. He based his observations on the internal structure of the German Socialist Party. The party is supposed to be based on democratic principles, but Michels finds that the party has an ***oligarchic*** system where power is unevenly distributed in the party hierarchy. He argues that all big organisations want to develop bureaucratic structures which rule out the possibility of internal democracy.



Oligarchy:
A system where power is enjoyed by a small elite section.



CHECK YOUR PROGRESS

Q 1: What do you mean by bureaucracy? (Within 50 words)

.....

.....

.....

.....

.....

Q 2: Write down the name of the person who has coined the term 'bureaucracy'

.....

Q 3: According to ....., bureaucracy denotes the professional governors of the government in a society. (Fill in the blank)

Q 4: Write down the name of two countries where the Guardian Bureaucracy was in existence.

.....

.....

3.4 MAX WEBER ON BUREAUCRACY

Max Weber (1864-1920) was a German Sociologist. He provides the modern concept of bureaucracy. Weber considers bureaucracy as a collective term for a body of appointed officials whose influence can be seen in all kinds of large organisations- state, church, business enterprises, universities etc. Martin Albrow observes that Weber's concept of bureaucracy can be defined as "an administrative body of appointed officials". Weber terms his formulation as '*Ideal Type'.*



LET US KNOW

Max Weber views that it is because of the development of the free enterprise and money economy that bureaucracy has come into existence. Capitalism requires a strong and orderly government for its own interest. The bureaucratic principles allow the enterprise to accomplish economic planning to maintain a stable market for goods and services.

3.4.1 Concept of the Weberian Theory of Bureaucracy

Max Weber discusses bureaucracy as a sociological phenomenon. His concept of bureaucracy can be discussed in the context of his theory of authority or domination. Authority or domination refers to a power relationship between the rulers and the ruled. In any kind of administrative set-up there exist a number of beliefs that legitimize the exercise of power in the eyes of the rulers and the ruled. Domination exercised among a group of people needs an administrative staff which will execute the demands and serve as a bridge between the rulers and ruled. Weber seeks to answer the question as to how the exercise of power by one person over another (domination) is viewed to be legitimate. Accordingly, Weber identifies three types of authority or domination. These are:

- *Charismatic Authority (Domination):* Some people follow a particular person because of his or her exceptional character and charisma. They accept the authority of such person because of their high faith on him/her.
- *Traditional Authority (Domination):* Because of the peculiar faith of the people in the traditional status of the dominant person and their personal loyalty to him or her, such a person receives obedience from a large portion of the population. The conformity with customs and personal arbitrariness are the two characteristics of traditional domination.
- *Legal-Rational Authority (Domination):* Legitimacy of legal type of domination is based on the belief in the rightness of law and desirability of rational principles. The administrative apparatus corresponding to this domination is 'Bureaucracy'. The position of the bureaucrat and his relation with the rulers, ruled and his colleagues are regulated by impersonal relationship.

3.4.2 Weber's Concept of "Ideal Type" Model of Bureaucratic Organisation

After a deep study of the ancient bureaucracies in Egypt, Rome, China and the Byzantine Empire and also of more modern ones emerging in Europe during the 19th and 20th centuries, Weber gives his 'Ideal Type' model of bureaucratic form of organisation. This 'ideal type' is a mental construct that may not be found in reality. Weberian bureaucracy does not necessarily mean civil services. It refers to the sociological concept of rationalization of collective activities. He says," bureaucracy is by far the most efficient instrument of large scale administration which has ever been developed and the modern social order has become overwhelmingly dependent on it".

Weberian Theory of Bureaucracy has been characterized as value-neutral. Weber shows three approaches in his theory of bureaucracy which can be mentioned as follows-

- Bureaucracy can be viewed in terms of purely *structural characteristics*. The features like division of work and hierarchy have been identified as important aspects of structure.

- Bureaucracy has been defined in terms of *behavioural characteristics*. Certain patterns of behavior form an integral part of the concept. Its behavioral parts are objectivity, precision and consistency.
- Bureaucracy has been looked at from the point of view of *achievement of purpose*. Bureaucracy helps an organisation to speed up its efficiency in administration.

3.4.3 Features of the Weberian Theory of Bureaucracy

The Weberian theory of bureaucracy essentially revolves around Max Weber's formulation of the "ideal type" which constitutes a pure and rational type of bureaucracy. It has the following main features-

- A bureaucratic organisation is based on the principle of Division of Labour. Each office has a well defined sphere of competence with clearly earmarked duties, thereby separating it from other offices.
- The administrative set up of bureaucracy is hierarchical like a pyramid, with each lower office under the control of a higher one.
- Authority is restricted to official duties only. The staff members are personally free; they are not subordinate to their superior beyond their official duties.
- Officials are appointed and they hold office on the basis of a contract between themselves and the organisation. They receive fixed salaries which are given in accordance with the nature of job and responsibility.
- Officials are selected on the basis of merit and professional qualifications.
- Officials are set for a career; they are protected from arbitrary dismissal and promotion is by seniority or achievement or both.
- Officials are entirely separated from the means of administration and hence, they cannot appropriate either the post or the resources which go with it.

- Officials are subject to an impersonal order and formally established norms of conduct. They can act only in accordance with these rules in their dealings with others, inside and outside the organisation. There is no place for irrational sentiments in a bureaucratic organisation.

The above features constitute the main outline of Max Weber's ideal, pure and rational type of bureaucracy. These characteristics reflect a kind of 'organisation' which is impersonal where authority is exercised by administrators only by virtue of the office they hold. As such bureaucracy emerges as a uniquely impersonal and neutral instrument.

For a check on the authoritative role of bureaucracy, Weber prefers capable politicians with the capacity to control the administrative apparatus.

3.4.4 Criticisms against the Weberian Theory of Bureaucracy

Weberian theory has been criticized from different standpoints and the most vehement critics are the Marxists. They attack Weber from the ideological point of view and regard the theory as a defence of the capitalist domination over society.

From the behavioral angle also, Weber's analysis of bureaucracy is criticized as inadequate and incomplete. It is held that hierarchical authority structures and depersonalized procedures of bureaucracy may create conditions which limit its instrumental capability.

Weber's theory on bureaucracy may be criticized on the following grounds-

- *Ideal Type is a mental model*: Weber develops his 'Ideal Type' or a mental picture of a well-developed bureaucracy which just conveys an idea or image. This 'Ideal Type' is a mental model that cannot be found in reality.
- *Alienation of Individual:* Weberian bureaucracy has been termed as impersonal. It is based on rules and principles which

do not allow the creative participation of individuals spontaneously in the affairs of the organisation.

- *Ignores Informal Relationship:* Weber's model is confined to the study of formal bureaucratic structures only. It does not pay attention to the informal relationships, informal norms and values in the organisation. Simon and March also criticize Weberian model on the ground that Weber values the structural aspects of bureaucracy rather than the human beings involved in the organisation and as such it will not earn maximum efficiency.
- *Against democratic principle:* Weber allows high concentration of power in the functionaries of bureaucracy which is against the democratic principle of devolution of power.
- *Not suitable for the Developing World:* Many scholars argue that Weberian model is a product of an alien culture which is not suitable for the developing states that have emerged from colonial rule. After independence these countries have undertaken developmental planning, but bureaucracy is always preoccupied with maintaining rules and regulations. In fact, this often slows down the pace of developmental activities.

In spite of the above mentioned loopholes that may exist in the bureaucratic organisation, the increasing role of bureaucracy can be seen in all types of organisations like government, political parties, large business organisations, religious institutions etc.



CHECK YOUR PROGRESS

Q 5: What are the three types of domination identified by Max Weber?

.....

.....

Q 6: The "Ideal Type" model of bureaucratic form of organisation was formulated by ..... (Fill in the blank)

Q 7: The administrative set up of bureaucracy is hierarchical. (True/ False)

.....

Q 8: Features like division of work and hierarchy constitute the behavioural characteristics of Max Weber's bureaucratic theory. (True/False)

.....

Q 9: Mention any four features of the Weberian Theory of bureaucracy.

.....

.....

.....

.....

Q 10: Mention any four criticisms against the Weberian bureaucracy.

.....

.....

.....

.....



ACTIVITY 3.1

To what extent do you think that the structure and procedures of the civil services in India conforms to the principles laid down by Weber?

.....

.....

.....



3.5 LET US SUM UP

- Max Weber's concept of bureaucracy can be discussed in the context of his theory of authority or domination. Weber identifies three types of authority or domination, namely, *Charismatic Authority (Domination), Traditional Authority (Domination) and Legal-Rational Authority (Domination).* The administrative apparatus corresponding to *Legal-Rational Authority* (domination) is 'Bureaucracy'.

- Max Weber has put forward the concept of 'Ideal Type' model of bureaucratic form of organisation.

- Max Weber's formulation of the "ideal type" has the following main features- A bureaucratic organisation is based on the principle of Division of Labour; the administrative set up of bureaucracy is hierarchical like a pyramid; authority is restricted to official duties only ; The staff members are personally free; Officials are appointed and they hold office on the basis of a contract between themselves and the organisation ;Officials are selected on the basis of merit and professional qualifications; Officials are protected from arbitrary dismissal ;Officials are subject to an impersonal order and formally established norms of conduct.



3.6 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.
4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.



3.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: The word 'bureaucracy' is used with different meanings to signify different things. Bureaucracies are special type of formal organisations featuring an extensive hierarchy of authority and expertise, divisions of labour and extensive rules of performance by its members. It is defined as "systematic

administration characterized by specialization of functions, objective qualifications for office, action according to fixed rules and a hierarchy of authority." J.S. Mill says that bureaucracy denotes the professional governors of the government in a society. According to Laski, bureaucracy is a rule of the officials in a system of governance. The same way Dimock identifies bureaucracy with institutions and large parties. According to Pfiffner "Bureaucracy is the systematic organisation of tasks and individuals into a pattern which can most effectively achieve the ends of collective efforts." By and large bureaucracy has been used in a sense of a type of administrative organisation or government by civil servants.

Ans to Q No 2: Vincent de Gournay

Ans to Q No 3: J.S. Mill

Ans to Q No 4: China and Prussia

Ans to Q No 5: Charismatic Domination, Traditional Domination and Legal Domination

Ans to Q No 6: Max Weber

Ans to Q No 7: True

Ans to Q No 8: False

Ans to Q No 9: Four features of the Weberian Theory of bureaucracy are as follows:

i) A bureaucratic organisation is based on the principle of Division of Labour. Each office has a well defined sphere of competence with clearly earmarked duties thereby separating it from other offices.

ii) The administrative set up of bureaucracy is hierarchical like a pyramid, with each lower office under the control of a higher one.

iii) Authority is restricted to official duties only. The staff members are personally free; they are not subordinate to their superior beyond official duty.

iv) Officials are set for a career; they are protected from arbitrary dismissal and promotion is by seniority or achievement or both.

Ans to Q No 10: Four criticisms laid down against Weber's concept of bureaucracy are-

i) Weber develops his 'Ideal Type' or a mental picture of a well developed bureaucracy which is just an imaginary model that cannot be found in reality.

ii) Based as it is on rules and principles, Weberian bureaucracy does not allow the individual to participate creatively in the affairs of the organisation.

iii) Weber's model is confined to the study of formal bureaucratic structures only. It does not pay attention to the informal relationship, informal norms and values in the organisation.

iv) Weber allows high concentration of power in the functionaries of bureaucracy which is against the democratic principle of devolution of power.



3.8 MODEL QUESTIONS

A) Very Short Questions

Q 1: Mention the three types of bureaucracy.

Q 2: Mention the three types of authority or domination identified by Max Weber .

B) Short Questions (Answer each question in about 150 words)

Q 1: Explain the meaning of Guardian bureaucracy.

Q 2: Explain Roberto Michel's views on Bureaucracy.

Q 3: What are the major criticisms against the Weberian theory of Bureaucracy? Discuss.

Q 4: Write about the different types of bureaucracy.

C) Long Questions (Answer each question in about 300-500 words)

Q 1: Discuss Weber's concept of "Ideal Type" model of Bureaucratic Organisation.

Q 2: Explain the meaning of bureaucracy. Discuss the different types of authority or domination as put forward by Max Weber.

*** ***** ***

UNIT 4: SCIENTIFIC MANAGEMENT THEORY

UNIT STRUCTURE

4.1 Learning Objectives
4.2 Introduction
4.3 Scientific Management Theory
  4.3.1 Meaning of Scientific Management
  4.3.2 Origin of the Scientific Management Theory
  4.3.3 Aims of Scientific Management
  4.3.4 Basic Assumptions of the Scientific Management Theory
  4.3.5 Principles of the Scientific Management Theory
  4.3.6 Advantages of the Scientific Management Theory
4.4 Criticisms against the Scientific Management Theory
  4.4.1 Workers' Criticisms
  4.4.2 Employers' Criticisms
  4.4.3 Criticisms from the Psychologists
4.5 Let Us Sum Up
4.6 Further Reading
4.7 Answers to Check Your Progress
4.8 Model Questions

4.1 LEARNING OBJECTIVES

After going through the unit, you will be able to –

- discuss the organization of administration from the point of Scientific Management.
- describe the growth of the Theory of Scientific Management.
- discuss the theory of Scientific Management of Frederick Taylor
- explain the role of Scientific Management in administration.

4.2 INTRODUCTION

In this unit we have attempted to discuss the 'Scientific Management Theory', one of the most important theories of organization. A number of theories have been developed in the past regarding the management of an organization. The Industrial Revolution in the West introduced an era of high industrialization, mass production and use of expensive machinery that resulted in stress in the employee-employer relationship. This led to recognizing the importance of utilizing adequate methods and principles in solving the rising problems of management. Since the early 1900s onwards this trend had been accelerating where the traditional way of management was challenged, past experiences were scientifically systematized and the principles of management were distilled and propagated. This has been characterized as an era of 'Scientific Management' in the sense that new ideas and approaches were taking roots and a body of management principles was emerging. In fact, in the later part of the 19th century and the early part of the 20th century the Scientific Management Movement was initiated by Frederick Taylor who began his career as an apprentice in a small machinery-making shop in Philadelphia.

4.3 SCIENTIFIC MANAGEMENT THEORY

The Scientific Management Theory of Organization was formulated in the early part of the 20th century. Frederick Winslow Taylor is the chief advocate of this theory. Though there were several predecessors of Taylor who used some scientific management techniques, it was Taylor who gave a general framework that could be widely available and acceptable.

According to Taylor, "Management is a true science, resting on clearly fixed laws, rules and principles, as a foundation". He is the first person to advocate the adoption of scientific methods in the field of industrial processes and management, so as to promote industrial efficiency and economy. The Scientific Management stresses on rationality, predictability, specialization and technical competence.

4.3.1 Meaning of Scientific Management

The term 'scientific management' implies the application of science to the management of a business concern. It aims at replacement of traditional techniques by scientific techniques. Frederick Taylor defines scientific management as "the art of knowing exactly what you want men to do and then seeing that they do it in the best and cheapest way." He again says, "scientific management includes finding the most efficient methods of production, scientific selection and training of workers, proper allotment of duties and work and achieving co-operation between workers and management."

4.3.2 Origin of the Scientific Management Theory

Although originally the term 'scientific management' was coined by L.D. Brandies as early as in 1910, the philosophy as such owes its origin to Frederick W. Taylor. But there are some other names that must be mentioned here. Among them the names of Charles Babbage, Frank and Lillian Gilberth, Henry L. Gantt, Harrington Emerson are worth mentioning. Babbage of England started scientific study of industry almost half a century earlier than Taylor. With his sustained study and research on management, he had a highly developed and remarkable capacity for intellectual analysis which enabled him to suggest solution to industrial problems. As such, he can rightly be described as one of the greatest contributors of the theory of Scientific Management.

But by and large, it is the contribution of Frederick W. Taylor who has provided us with a more conceptualized form of the theory of Scientific Management. Frank and Lillian Gilberth and Henry L. Gantt are the immediate disciples of Taylor. Gantt, like Taylor, emphasizes on the mutuality of interest between management and labour or, in other words 'harmonious co-operation between the two'. Frank and Lillian Gilberth are pioneers in evolving time and motion study of the workers, thus improving upon time and motion elements by eliminating unnecessary motions.

4.3.3 Aims of Scientific Management

The aims of scientific management can be summarized as follows-

- *Increased Production*: Increase in the rate of production by the use of standardized tools, equipment and methods.
- *Quality Control:* Improvement in the quality of the output by research, quality control and inspection devices.
- *Cost Reduction:* Reduction in the costs of production by rational planning and regulation and cost control techniques.
- *Elimination of Wastes*: Elimination of wastes in the use of resources and methods of manufacturing.
- *Right Man for Right Work*: Placement of the right person on the right job through scientific selection and training.
- *Incentive Wages:* Relating wage payment to the efficiency of the workers.

4.3.4 Basic Assumptions of the Scientific Management Theory

The major concern of scientific management is to raise industrial output and efficiency through systematic utilization of scientific methods in managerial problems and work procedure. For that Taylor makes three assumptions-

- Industrial processes should be left open for scientific observation, measurement and experimentation.
- The incentive of high wages would promote the mutuality of interest between the workers and managers which will lead to higher productivity.
- The workers can be trained in the best methods for achieving industrial objectives by management.

4.3.5 Principles of the Scientific Management Theory

According to Taylor, management involves a number of principles that have the applicability in all types of organization. He says "the same principles can be applied in all types of social activities with equal force; to the management of home……and our government departments."

The major principles attached with this theory are-

- *Standardization of Work Methods:* Standardization of work methods should be done to make faster and efficient work possible. Every work should be scientifically investigated in order to get higher productivity or lower unit cost. For that every worker should be entrusted with a fixed daily task. If the output of the worker achieves an optimum level under desirable condition, the worker should be rewarded, and if he fails to increase the output, penalties should be imposed on him.

- *Scientific Selection and Training of Workers*: The workers should be selected, placed and trained in a scientific manner in order to get more efficiency and economy. The best selection of the workers should be made for the tasks for which they are most capable.

- *Equal Division of Work between Management and the Workers*: Taylor is an earnest advocate of equal division of work between workers and management. During his time he found that workers were overburdened with more works and responsibilities. At least half of the works should be under the responsibility of the management. The management should undertake the functions like organization, controlling and determining the methods of works.

- *Mutual Collaboration of the Workers and Management*: There should be mutual cooperation and understanding between the workers and management. They should have mutual trust and faith. Taylor advocates research, standards, planning, control

and mutual collaboration between labour and management.With the adoption of these four points principles, Taylor brought about a revolutionary change in the management system of the industry. Labour class was highly benefitted as it helped to standardize work procedure, improve working condition, better placement and training.

4.3.6 Advantages of the Scientific Management Theory

Taylor's Scientific Management has two dimensions- Mechanical and Philosophical. On the mechanical side, Taylor introduces time and motion study, standardization of tools, methods and working conditions, differential piece-rate system for the payment of wages etc. On the other hand, through philosophical dimension he tries to develop the science of management based on systematic investigation and experiment. The following points will summarize the advantages of the Scientific Management Theory-

- Replacement of traditional rule-of-thumb method by scientific techniques for each element of man's work.
- It has emphasized on proper selection and training of the worker.
- It has established the need for harmonious relationship between the workers and the management.
- It has also emphasized on the equal division of responsibilities between the workers and the management.
- It has introduced the standardization of tools, equipment, materials and work methods.
- It has also made it possible for higher incentive to the workers for their higher production.
- Another contribution of the theory is the elimination of wastes, better utilization of resources and rationalization of the system of control.



CHECK YOUR PROGRESS

Q 1: What are the two dimensions of Taylor's Scientific Management Theory?

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Q 2: Discuss the basic principles of the Scientific Management Theory. (Within 50 words)

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Q 3: Name the most prominent advocates of the Scientific Management Theory.

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Q 4: Increasing production and limiting cost is the one of the major aims of Scientific Management Theory (True/ False).

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4.4 CRITICISMS AGAINST THE SCIENTIFIC MANAGEMENT THEORY

Though the theory of Scientific Management has a number of advantageous points, yet it is also not without loopholes. In general, the criticisms put forward against this theory are from the side of workers, employers and psychologists.

The criticisms levelled against the theory can be discussed as follows-

4.4.1 Workers' Criticisms

Workers criticize the Scientific Management theory with the following arguments-

- *Speeding up of Workers:* Workers argue that Scientific Management has the purpose of forcing the workers to work their maximum which may be detrimental to their physical-emotional well being.

- *Unemployment:* Workers fear that the introduction of standardized methods, tools and techniques increases the output per worker that may reduce the chances of further employment.
- *Boredom:* With the introduction of specialization in the enterprise, planning and executing works have been highly differentiated. As such workers are to do only those routine works just like the automatic machines. It creates the problem of monotony among the workers who start looking for jobs in other organizations.
- *No Scope for Initiative:* Taylor is in support of strict separation of planning from executing; as such workers do not get the opportunity to take part in the planning. Workers are denied and deprived to take initiatives and exercise their skill to innovate new methods of work. This adversely affects their interest in the jobs.
- *Exploitation of the Workers:* Workers feel that their wages do not increase in proportion to the rise of their productivity. A major chunk of the profits resulting from their productivity is taken away by the employers.
- *Destroying Collective Bargaining:* Trade Unions are against the modern methods of increasing output by the introduction of the premium bonus system. The Labour leaders consider Taylor's ideas as destroying the principles of collective bargaining.

4.4.2 Employers' Criticisms

The employers provide the following points against the Scientific Management Theory-

- *Expensive:* The introduction of Scientific Management is quite expensive as it incurs high amount of money on standardizing methods of work, working conditions, and tools and equipment. They argue that the creation of a separate planning department will cost more and it will not have any direct contribution in the production activity.

- *Reorganization:* Scientific Management involves reorganization of the whole industrial unit. During the transitional phase the work is to be stopped and management has to suffer a great loss due to the reorganization. Small undertakings cannot bear such loss.

4.4.3 Criticisms from the Psychologists

Psychologists have criticized the Scientific Management on the following grounds-

- *Mechanical approach*: The scientific management theory is criticised for adopting a mechanical approach towards the workers. The workers are denied any initiative and are to directly obey the directives as given by the management. The investigation conducted by Professor Hoxie for the United States Commission on Industrial Relations reports that Taylor's approach has considered only the mechanical aspects of production, leaving aside the human aspects.
- *Lack of proper motivation*: Under the scientific management system wages are paid to the workers according to the piece-wage system. There is no minimum wages assured to the workers. Taylor assumes that money is the greatest motivating factor. But in reality there are some other factors like social relationship, security and recognition that also motivate people.
- *Speeding up of workers:* Scientific Management is criticized by the psychologists on the ground that it does not consider the harmful effects of speeding up work on the physical and mental health of the workers. Sometimes the standard task is set at a higher level which results in bad health of the worker.

Thus, for many this theory is not complete in the sense that it does not apply much attention to the overall administrative structure of organization. Regarding human motivation, scientific management makes assumptions which have been proved to be inadequate. The social and psychological factors ignored by this theory are now counted as very important.

But even then there are some inherent merits of this theory that cannot be underestimated at all. In the early part of the 20th century this theory had great influence on the administrative thought and practice in the USA. The US President Taft set up the Commission of Economy and Efficiency which is a clear manifestation of the impact of this movement. Later on President Wilson, an advocate of administrative efficiency, tried to harmonize efficiency with democratic principles through the advocacy of democracy and civil service reforms. Thus, the scientific principles of Taylor along with the democratic principles comprised the twin element of the US Public Administration.

Besides this, the value of Taylor's approach can be seen from the fact that he has urged for a mental revolution in the attitudes of managers and workers. Much of the field of engineering and industrial and personal management can be directly traced to the thinking of Taylor.



CHECK YOUR PROGRESS

Q 5. Write the names of at least three famous critic of Taylor's theory of Scientific Management.

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Q 6. Point out three criticisms against the Scientific Management Theory from the point of view of the workers.

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Q 7. Point out three criticisms against the Scientific Management Theory from the point of view of the psychologists.

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ACTIVITY 4.1

Do you think that scientific management really enhances efficiency and economy in an organization?

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4.5 LET US SUM UP

- The Scientific Management Theory of Organization was formulated in the early part of the 20th century. Frederick Winslow Taylor is the chief advocate of this theory.

- Though there were several predecessors of Taylor who used some scientific management techniques, it was Taylor who gave a general framework that could be widely available and acceptable.

- The term 'scientific management' implies the application of science to the management of a business concern. It aims at replacement of traditional techniques by scientific techniques.

- The aims of scientific management can be summarized as *Increased Production*, *Quality Control, Cost Reduction, Elimination of Wastes*, *Right Man for Right Work* and *Incentive Wages.*

- The major principles attached with this theory are-*Standardization of Work Method, Scientific Selection and Training of Workers*,*Equal Division of Work between Management and the Workers*, *Mutual Collaboration of the Workers and Management*:

- There are several advantages of the Scientific Management theory such as replacement of traditional rule-of-thumb method by scientific techniques for each element of man's work.

The criticisms levelled against the the Scientific Management theory can be discussed under three categories, namely, Workers' Criticisms, Employers' Criticisms and Criticisms from the Psychology.



4.6 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.
4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.



4.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q. No.1: There are two dimensions of the Scientific Management Theory of Fredrick W. Taylor. These are-

i) Mechanical Dimension like time and motion study, standardization of tool, methods and working conditions, differential piece rate system for the payment of wages etc.

ii) Philosophical Dimension like systematic investigation and experiment etc.

Ans to Q. No. 2: There are some basic principles attached with the Scientific Management Theory. Some of these are can be briefly pointed out as-

i) Standardization of Work Method helps to do the work in an efficient way. In order to get higher productivity or lower unit cost every work should be scientifically investigated, every worker should be entrusted with a fixed daily task. If the output of the worker achieves an desired level, he must be rewarded, and vice-versa.

ii) In order to get more efficiency and economy in the work place, they

should be selected, placed and trained in a scientific manner in.

iii) Equal division of work between management and the workers leads to efficient functioning of the organisation. The management should undertake the functions like organization, controlling and determining the methods of works.

iv) There should be mutual cooperation, trust, faith and understanding between the workers and management.

Ans to Q. No. 3: Frederick W. Taylor, Frank and Lillian Gilberth, Henry L. Gantt are the most prominent advocates of the Scientific Management Theory.

Ans to Q. No. 4: True.

Ans to Q. No. 5: Oliver Sheldon, Mary Parker Follet, Elton Mayo, and Peter Drucker are famous thinkers who have criticized the Scientific Management Theory of Taylor.

Ans to Q. No. 6 : Three criticisms against the Scientific Management Theory from the point of view of the workers are:

i) Speeding up of Workers: Workers argue that Scientific Management has the purpose of forcing the workers to work their maximum which may be detrimental to their physical-emotional well being.

ii) Unemployment: Workers fear that the introduction of standardized methods, tools and techniques increases the output per worker that may reduce the chances of further employment.

iii) Boredom: Daily routine based work advocated by the scientific management may create the monotony among the workers who start looking for jobs in other organization.

Ans to Q. No. 7 : Three criticisms against the Scientific Management Theory from the point of view of the psychologists are:

i) Mechanical Approach: It is criticized that the scientific management adopts a mechanical approach towards the workers. The workers are denied any initiative and are to directly obey the directives as given by the management.

ii) Lack of proper Motivation: Under the scientific management system wages are paid to the workers according to the piece wage system. There is no minimum wages assured to the workers.

iii) Speeding up of Workers: Scientific Management is criticized by the

psychologists on the ground that it does not consider the harmful effects of speeding up work on the physical and mental health of the workers.



4.8 MODEL QUESTIONS

A) Very Short Questions

Q 1: Who was the chief advocate of the theory of Scientific Management?

Q 2: Mention any two aims of Scientific Management.

B) Short Questions (Answer each question in about 150 words)

Q 1: Explain the advantages of the Scientific Management theory.

Q 2: Explain the origin of the Scientific Management Theory.

C) Long Questions (Answer each question in about 300-500 words)

Q 1: Discuss the four principles of scientific management as laid down by Frederick Taylor.

Q 2: Discuss the advantages of Scientific Management Theory.

Q 3: Discuss the criticisms levelled aginst the Scientific Management Theory.

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UNIT 5 : HUMAN RELATIONS THEORY

UNIT STRUCTURE

5.1 Learning Objectives
5.2 Introduction
5.3 Evolution of the Human Relations movement
    5.3.1 The Hawthorne Experiments
5.4 Elements of the Human Relations theory
    5.4.1 Views of Chester.I.Barnard
    5.4.2 Criticisms of Human Relations theory
5.5 Let Us Sum Up
5.6 Further Readings
5.7 Answers to Check Your Progress
5.8 Model Questions

5.1 LEARNING OBJECTIVES

After going through this unit, you will be able to –

- discuss the evolution of the Human Relations movement
- describe the concept of Human Relations
- explain the elements of the Human Relations theory
- discuss the criticism of the Human Relations theory.

5.2 INTRODUCTION

The Bureaucratic theory and the Scientific Management theory which we have discussed in the previous units are called the classical theories of organization and management. Basically, the classical theories focused on organisational goals such as productivity, growth and profit maximization. While these goals are important for an organisation, it is equally important to emphasise the psychological and social factors at work in an organisation. The human relations movement initially emerged in industrial organisations

wherein the need was felt to focus on the human side of an organisation in terms of the psychological and social aspects of the worker as an individual and his work group. Accordingly, human goals such as job-satisfaction, individual recognition and career advancement have to be taken into account.

5.3 EVOLUTION OF HUMAN RELATIONS MOVEMENT

The Human Relations theory emerged in response to the classical theories of organisation such as the Scientific Management theory of Frederick Taylor and the Administrative Theory of Henry Fayol.

The mechanistic approach of management with a stress on organisational goals continued up to 1920. Soon, the management in most industrial organisations switched to paternalism in the 1920s whereby the impersonal attitude of the earlier years was replaced by a fatherly and protective attitude towards employees. However, workers could not be satisfied by the so-called paternal attitude whereby the profit motive still was more important than the welfare of the workers. Accordingly, “paternalism” died out during the Great Depression of the 1930s. Subsequently, the title of “Human Relations” started gaining ground since the 1930s from Elton Mayo and his colleagues, who advocated that the worker was indeed the most important element in an industry. Mayo stressed that a worker is not a mere commodity, but a human being first and a worker next.

LET US KNOW



George Elton Mayo (1880-1949) was an American sociologist. Under the leadership of Elton Mayo and his associates, extended research was carried out at the Hawthorne Plant of the Western Electric Company in Cicero, Illinois in the USA between 1924 and 1932. The Hawthorne studies marked the beginning of a new revolution as it focussed on the informal group and socio-psychological factors at work in an organisation. The Hawthorne experiments directly inspired the evolution of the human relations movement.

5.3.1 The Hawthorne Experiments

The Hawthorne experiments which were conducted by Elton Mayo and his associates at the Hawthorne Plant of the Western Electric Company particularly inspired the human relations movement. These studies are a landmark in the field of management and organisational behaviour. These experiments may be discussed as follows:

- **Illumination Experiments:**

This was the first phase of the study. In this phase, the popular belief that productivity is directly related to illumination was tested. Two groups of workers were selected. One group called the "control group" worked under constant levels of illumination and the other group called the "test group" worked under changing levels of illumination. The results showed that in both groups, productivity went up even when the level of illumination was reduced in the work area of the "test group".

- **Relay Assembly Test Room:**

In this phase, a group of six women workers was selected. These workers were friendly to each other. They were told about the experiment and were made to work in a very informal atmosphere with a supervisor-researcher in a separate room. The supervisor acted as their friend, philosopher and guide. It was found that even when all the improvements in the working conditions were removed, productivity went on increasing and stabilized at a very high level. Researchers attributed this phenomenon to the following factors: feeling of importance among the girls as a result of their participation in the research and the attention they got; warm informal atmosphere in the small groups and friendly interpersonal and social relations; and high group cohesion among the groups.

- **Interviewing Programme:**

In this phase, as many as 20,000 workers were interviewed whereby they were asked questions relating to the type of supervision, working conditions, living conditions and so on. Subsequently, the interview was more non-directive whereby the workers were free to talk about

their favourite topics related to their work environment. This study showed that the social relations of the worker inside the organisation had a great influence on his or her attitude and behavior.

➢ **Bank Wiring Observation Room:**

This study involved 14 workers making terminal banks of telephone wiring assemblies. The study revealed the all pervasive nature of informal groups. These informal groups had their own culture and production norms which their members were forced to obey. Even in the case of the experimented group, it was found that the group evolved its own production norms for each individual worker, which were much lower than those fixed by the management. Workers would produce only that much and no more. It meant that the incentive system had no meaning for the workers. Those workers who tried to produce more than their group norms were isolated, harassed or punished by the group in several ways. The study also revealed that the members of an informal group gave informal rankings to each other. This decided the internal social structure of the group and its informal leader.

On the whole, the Hawthorne experiments revealed that socio-psychological factors such as social or human relationships among the workers, feelings of importance, recognition, attention and participation on the part of the workers, small informal work-group, non-directive supervision as well as norms and standards laid down by informal groups went on to influence the productivity of workers. The Hawthorne Studies were published in 1941 in the form of a book titled “Management and the Worker.”



CHECK YOUR PROGRESS

Q 1: The Hawthorne experiments were conducted by ..... and his associates. (Fill in the blank)

Q 2: The management in most industrial organisations switched to paternalism in the 1920s. (True/False)

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Q 3: Name the book where the Hawthorne Studies were published.

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Q 4:. Explain the basic finding of the Hawthorne experiments. (Within 60 words)

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5.4 ELEMENTS OF THE HUMAN RELATIONS THEORY

The Human Relations theory basically focuses on three elements – *the individual*, *social aspect of work groups (informal organisations)*, and *participative management*.

- **The Individual**: Each worker is unique. He or she brings to the job situation certain attitudes and beliefs as well as certain technical, social and logical skills. The workers are motivated by a variety of factors- social, psychological and other intangible factors besides economic ones.

- **Work groups** (Informal Organisations): The second element of this theory is its emphasis on the informal organisation that exists within the shadow of the formal organisation.

- **Participative Management**: The third element of the Human Relations theory is participative management. Participative management means participation of the workers in decision-making about their work conditions. The workers discuss with supervisors the problems concerning their work environment and influence the decisions affecting the same.

5.4.1 The Views of Chester I. Barnard

Chester I. Barnard was a contemporary of Elton Mayo. He was an American business executive. He gave his views in his book titled "The Functions of the Executive" published in 1938. Barnard held

that formal organisations were artificial systems. They grew out of informal organisations which were natural systems. The formal organisations in turn gave rise to new informal organizations. The informal organisations carry out three positive functions:

(i) Enhancing communication by providing viable alternatives to formal channels

(ii) Maintaining the socio-psychological cohesiveness of the organisation

(iii) Developing informal ties and activities helping the members to cultivate feelings of personal importance.

Barnard was of the view that informal organisations are essential as a positive support to the formal structure. The informal organisations create relationships among members which otherwise would not develop under formal organisations.

5.4.2 Criticisms of Human Relations Theory

The Human Relations theory is criticised on several grounds. These are discussed below:

- The Human Relations theory ignored the factors operating outside the organisational environment like the social background of workers which has a significant impact on shaping the attitudes and behaviours of the workers.
- On the whole, the theory failed to recognize the complexity and diversity of human needs.
- The Human Relations theory overlooked the possibility of any conflict of interests between workers and the management.
- Elton Mayo is criticised for not taking into account the role of unions in a free society. Critics have described the supporters of Mayo as anti-union and pro-management.
- The Hawthorne studies have been criticised for lack of scientific rigour. It was argued that the researchers already had some preconceived ideas and the research conclusions were influenced by the personal orientations and perceptions of the researchers.
- Again, it was argued that the group of six girls selected for the Relay Assembly Test Room experiment were already

"cooperative" girls who were willing to participate in the research programme. Besides, a sample of five or six girls could not be considered as a reliable sample to make generalisations.

In spite of the above-mentioned criticisms, the Human Relations theory has contributed significantly to organisational theory. The Human Relations theory, for the first time, revealed the human factor in work situations. It clearly pointed out that a worker does not work for money alone but non-financial rewards also play a significant role in influencing his or behaviour and productivity. As a matter of fact, the Hawthorne studies are considered a major landmark. The contribution of Elton Mayo has proved to be significantly useful not only in the industrial sector but also in the field of public administration.



CHECK YOUR PROGRESS

Q 5: What are the three elements which the Human Relations theory focusses on ?

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Q 6: What are the three positive functions which informal organizations carry out?

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Q 7: Chester I. Barnard held that informal organisations were artificial systems. (True/False)

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Q 8: Mention any two criticisms of the Human Relations Theory.

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5.5 LET US SUM UP

- The Human Relations theory emerged in response to the classical theories of organisation such as the Scientific Management theory of Frederick Taylor and the Administrative Theory of Henry Fayol.

- The title of "Human Relations" started gaining ground since the 1930s from Elton Mayo and his colleagues, who advocated that the worker was indeed the most important element in an industry. Mayo stressed that a worker is not a mere commodity, but a human being first and a worker next.
- The Hawthorne experiments which were conducted by Elton Mayo and his associates at the Hawthorne Plant of the Western Electric Company particularly inspired the human relations movement. These studies are a landmark in the field of management and organisational behaviour.
- The Human Relations theory basically focuses on three elements – *the individual*, *social aspect of work groups (informal organisations)*, and *participative management*.
- The Human Relations theory is criticised on several grounds. n spite of the above-mentioned criticisms, the Human Relations theory has contributed significantly to organisational theory.



5.6 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
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4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.



5.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: Elton Mayo

Ans to Q No 2: True

Ans to Q No 3: "Management and the Worker."

Ans to Q No 4: On the whole, the Hawthorne experiments revealed that socio-psychological factors such as social or human relationships

among the workers, feelings of importance, recognition, attention and participation on the part of the workers, small informal work-group, non-directive supervision as well as norms and standards laid down by informal groups went on to influence the productivity of workers.

Ans to Q No 5: The individual, social aspect of work groups (informal organisations) and participative management.

Ans to Q No 6: (i) Enhancing communication by providing viable alternatives to formal channels

(ii) Maintain the socio-psychological cohesiveness of the organisation

(iii) Developing informal ties and activities helping members to cultivate feelings of personal importance.

Ans to Q No 7: False

Ans to Q No 8 : (i) The Human Relations theory ignored the factors operating outside the organisational environment like the social background of workers which has a significant impact on shaping the attitudes and behaviours of the workers.

(ii) The Human Relations theory overlooked the possibility of any conflict of interests between workers and the management.



5.8 MODEL QUESTIONS

A) Very Short Questions

Q.1: In which company were the Hawthorne experiments conducted?

Q.2: Name the book in which Chester I. Barnard gave his views regarding human relations.

B) Short Questions (Answer each question in about 150 words)

Q.1: Write a short note on the Hawthorne experiments.

Q.2: Explain the elements of the Human Relations theory.

Q.3: Describe the views of Chester I. Barnard with regard to the Human Relations theory.

C) Long Question (Answer the question in about 300-500 words)

Q.1: Explain the the Hawthorne experiments. Mention the criticisms levelled against the Human Relations theory.

UNIT 6: MOTIVATION

UNIT STRUCTURE

6.1 Learning Objectives

6.2 Introduction

6.3 Meaning of Motivation

6.4 Theories of Motivation

6.4.1 Incentive Theory of Motivation.

6.4.2 Content Theories of Motivation : Maslow's Hierarchy of Needs Theory and Herzberg's Two-Factor Theory

6.5 Let Us Sum Up

6.6 Further Reading

6.7 Answers to Check Your Progress

6.8 Model Questions

6.1 LEARNING OBJECTIVES

After going through this unit, you will be able to -

- explain the meaning and importance of motivation in administration
- explain the meaning of intrinsic motivation and extrinsic motivation
- discuss the Incentive theory of motivation
- discuss the Content theories of motivation , namely, Maslow's Hierarchy of Needs theory and Herzberg's Two-Factor theory.

6.2 INTRODUCTION

Motivation plays a very important role in the study of administration of an organization. It is related to the behavior of the personnel engaged in carrying out administrative activities. For having desired results of the capacity and capability of the personnel engaged in administration, presence of some kind of motivation is very important. In the following paragraphs, we will try to understand what is motivation and how it is discussed by different writers in different theories.

6.3 MEANING OF MOTIVATION

The term motivation has come from the term “motive” which is derived from the Latin word, “emovere” which means to move. So, motivation implies movement and not to remain stagnant. It is related to something which stimulates people to move to do something to achieve goals. Psychologists view motivation as the force which impels or incites all living organism to action.

Different writers have defined motivation in different ways. According to Morgan, “ Motivation is a general term referring to behavior instigated by needs and directed towards goals.” James Draver holds that motivation is the term employed generally for the phenomena involved in the operation of incentives or drives. According to Atkinson, “The term motivation refers to the arousal of a tendency to act, to produce one or more effects.”

Motivation is, thus, related to the behavior of people employed in an organization or administration. It refers to the incentives or rewards which impel them to be active and enthusiastic to perform their assignments in an efficient way. It may also be said to be the process of initiating a goal-oriented behavior. Motivation combines biological, emotional, social, and cognitive forces to stimulate one to act.

Motivation plays a very important role in the working of administration. As administration is the collective effort of different personnel to achieve the common objectives of the society, so it needs motivation of those engaged in the process. To be motivated to work is important for the successful working of administration as well as for the good of the society. So, there must be provisions for recognition or rewards for efficient and diligent performance. Presence of rewards will encourage people to work better and up to their potential.

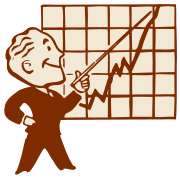
Motivation can be of two types - intrinsic and extrinsic.

- **Intrinsic Motivation**

  Intrinsic motivation is the self-desire to seek out new things and new challenges to analyse one’s capacity, to observe and to gain knowledge. It is driven by an interest or enjoyment in the task itself and exists within the individual rather than relying on external pressures or a desire for reward.

- **External or Extrinsic motivation**

  External motivation comes from influences outside of the individual. It refers to the performance of an activity in order to attain a desired outcome and it is the opposite of intrinsic motivation. Common extrinsic motivations are rewards for showing desired behavior and the threat of punishment following misbehavior.



CHECK YOUR PROGRESS

Q 1 : What do you understand by motivation?

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Q 2 : From which word has the term 'motivation' come?

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Q 3 : Why motivation is important for administration?

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Q 4 : Mention the two different types of motivation.

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6.4 THEORIES OF MOTIVATION

There are various theories of motivation which explain motivation from different perspectives. In the following, we are discussing the Incentive theory and Content theories of motivation which will give insights regarding how people are motivated to work and to work better.

6.4.1 Incentive Theory of Motivation

The term 'incentive' means anything that incites or encourages one to action. So, the incentive theory which is applied in public administration implies that people in an organization or administration will perform better if they have incentives for doing their jobs. Incentive may be in the form of a reward to be given after the actual performance of an act in a desired manner. Often it is seen in a positive sense. However, incentive can be both – positive and negative. Positive incentive guarantees the satisfaction of an individual's needs and requirements. It is based on the principle of optimism. Examples of positive incentives are job promotion, additional allowances, trophies, medals, etc. Opposite to positive incentive is negative incentive. Negative incentives occur when satisfactory results are to be achieved by correcting the individuals from their mistakes or wrongs. Negative incentives include job demotion, penalties, fines, etc.

Incentive theory has been taken in public administration from Psychology. Incentive theory in Psychology believes that people would like to engage in activities which are profitable and accordingly they perform their activities. This is known as motivation. Incentive theory is promoted by behavioural psychologists like B.F. Skimmer. According to Skimmer, a person's actions always have social ramifications and if actions are positively received, people are more likely to act in this manner or if negatively received, people are less likely to act in that manner.

Incentive theory is also called the Reward Motivation theory. It is so-called because this theory believes that motivation to work is always determined by the prospect of some external reward. This

reward or incentive may be an object or an event to be taking place after the performance of the work. Besides, this theory also believes that some internal factors are also there to motivate one to action, such as, emotions, likings, etc.

Two principles are applied in this theory – association and reinforcement. This theory believes that by associating positive significance to the behavior, the chances of repeating that particular behavior can be increased. Reinforcement, at the same time, stimulates the rate and intensity of the performance of an action.

The Incentive theory can be criticized because people do not work only for some reward which is promised. People want to increase their expertise in their respective field of work and for achieving success. Positive or negative incentive is not so important for them to work better. Again, as Maslow has said that people work for satisfying some of their needs also.



LET US KNOW

Behavioural Psychology is a study which tries to understand the actions of people by analyzing the way they behave outwardly.

6.4.2 Content Theories of Motivation : Maslow's Hierarchy of Needs theory and Herzberg's Two-factor Theory

Among the content theories of motivation the important are Maslow's Hierarchy of Needs theory and Herzberg's Two-Factor theory. Let us discuss these theories below.

➢ **Maslow's Heirarchy of Needs Theory**

Abraham Maslow discussed motivation by analyzing various human needs. According to him, there can be higher and lower needs of an individual. He arranged these needs in a hierarchical order. To him, the lowest needs in the hierarchy are the physiological needs. Then up the hierarchy are safety needs, social needs, esteem needs and at the highest level are the self actualization needs.

Physiological needs include the basic human needs, such as, food,

shelter, and clothing. When these biological needs are fulfilled, an individual can go for fulfilling his other needs.

Next an individual wants to fulfil his safety needs. He wants security and safety in life. So, safety needs include security of job, retirement benefits, insurance, compensation for retrenchment, etc.

An individual wants to fulfill next his social needs. As an individual is a social animal so, he desires to have love and affection in his life. He wants to live in a family and to be parts of other social groups for some kind of belongingness and satisfaction.

Next needs which an individual wants to fulfill are self-esteem needs. These include self-respect, self-confidence, status, recognition, prestige, etc.

Once all the above mentioned needs are satisfied, then an individual will try to achieve the highest needs of the hierarchy. It is self-actualisation needs. It is related to achieving higher ends and trying to realize the true meaning of life.

After discussing the hierarchy of needs to be motivators to action as mentioned by Maslow, we can find out some important points of the theory. For example, there is a hierarchy of needs which move from the bottom to the top. According to Maslow, some are lower needs and some are higher needs. A satisfied need is no longer an active motivator for an individual. This hierarchy of needs is, however, not fixed. It may differ from person to person. Because human needs are varied and diversified in nature.

This theory is criticized as being too simple so far as motivation to work is concern. It is true that people need motivation to work better. But the hierarchy of needs as has been provided by Maslow is criticized. Various needs of people should not necessarily come in the same way as has been provided by Maslow and it is also not necessary that people should go on satisfying all these needs one after another for having motivation to work.

- **Herzberg's Two-Factor Theory**

Frederick Herzberg's two factor theory is also known as the Hygiene theory. He developed this theory after examining 200 engineers and accountants at Pittsburg to find out their motivating factors for work. According to him, there are two types of factors for

motivation- (a) five factors of job satisfaction and (b) five factors of job dissatisfaction. The factors of job satisfaction are related to mental growth and the task content of a job. These factors are called 'satisfiers'. The factors of job dissatisfaction are related to pain avoidance and context of a job. These factors are called 'dissatisfiers'. According to Herzberg, the five satisfiers are- achievement, recognition, work itself, responsibility and advancement and growth. These are motivators because their presence encourages individuals to work. The five disatisfiers are- salary, company policy and administration, supervision, working condition and inter-personal relation. They are termed as hygienic factors because their presence do not motivate the individuals to work but their absence makes the dissatisfaction.

The motivators have more permanent effect on an individual than the hygienic factors. They satisfy people and motivate them to achieve better results. On the other hand, satisfaction is less from hygienic factors. Constant improvements must be made in the hygienic factors.

According to this theory, the opposite of satisfaction on the job is not dissatisfaction. Satisfaction and dissatisfaction are discrete feelings. Therefore, motivators and hygienic factors are not opposite to one another.

This theory is criticized because of the distinction made by Herzberg between satisfier and dissatisfier. A factor which can satisfy one individual may not satisfy another individual. At the same time, a given factor can cause both satisfaction and dissatisfaction to the same individual at different times. So the very distinction between satisfier and dissatisfier is not appropriate.



CHECK YOUR PROGRESS

Q 5 : Mention the important theories of motivation.

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Q 6 : State the meaning of incentive.

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Q 7 : Discuss Maslow's hierarchy of needs theory.

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6.5 LET US SUM UP

- Motivation plays a very important role in the study of Public Administration. It is related to the behavior of the personnel engaged in carrying out various activities of administration.
- The term motivation has come from the term "motive" which is derived from the Latin word, "emovere", which means to move. So, motivation implies movement and not to remain static and stagnant. It is related to something which stimulates people to move to do something to achieve goals. Psychologists view motivation as the force which impels or incites all living organism to action.
- Motivation plays a very important role in the working of administra-

tion. As administration is the collective effort of different personnel to achieve the common objectives of the society, so it needs motivation on the part of those engaged in the process.

- There are various theories of motivation.
- The Incentive theory maintains that an individual in an organization will perform better if he is given incentive for doing his job.
- The Hierarchy of Needs theory as has been given by Maslow believes that motivation to work comes from different needs of individuals.
- According to Herzberg's Two-Factor theory, there are two types of factors for motivation- five factors of job satisfaction and five factors of job dissatisfaction. The factors which are related to mental growth and the task content of a job are 'satisfiers' and the factors which are related to pain avoidance and context of a job are 'dissatisfiers'.



6.6 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.
4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.



6.7 ANSWERS TO CHECK YOUR PROGRESS

Answer to Q. No. 1 : The term motivation has come from the term "motive" which is derived from the Latin word, "emovere" which means to move. So, motivation implies movement and not to remain stagnant. It is related to something which stimulates people to move to do something to achieve goals. Psychologists view motivation as the force which impels or incites all living organism to action.

Answer to Q. No. 2 : The term motivation has come from the term "motive" which is derived from the Latin word, "emovere" which means to move. So, motivation implies movement and not to remain stagnant.

Answer to Q. No. 3 : Motivation plays a very important role in the working of administration. As administration is the collective effort of different personnel to achieve the common objectives of the society, so it needs motivation of those engaged in the process. To be motivated to work is important for the successful working of administration as well as for the good of the society. So, there must be provisions for recognition or rewards for efficient and diligent performance. Presence of rewards will encourage people to work better and up to their potential.

Answer to Q. No. 4 : Motivation can be of two types - intrinsic and extrinsic.

Intrinsic motivation is the self-desire to seek out new things and new challenges to analyse one's capacity, to observe and to gain knowledge. It is driven by an interest or enjoyment in the task itself and exists within the individual rather than relying on external pressures or a desire for reward.

External motivation comes from influences outside of the individual. It refers to the performance of an activity in order to attain a desired outcome and it is the opposite of intrinsic motivation. Common extrinsic motivations are rewards for showing desired behavior and the threat of punishment following misbehavior.

Answer to Q. No. 5 : There are various theories of motivation. Among them, Incentive theory and Content theories like Maslow's Hierarchy of Needs theory and Herzberg's Two-Factor theory are important.

Answer to Q. No. 6 : The term 'incentive' means anything that incites or encourages one to action. So, the incentive theory which is applied in public administration implies that people in an organization or administration will perform better if they have incentives for doing their jobs. Incentive may be in the form of a reward to be given after the actual performance of an act in a desired manner.

Answer to Q. No. 7 : Abraham Maslow discussed motivation by analyzing various human needs. According to him, there can be higher and lower needs of an individual. He arranged these needs in a hierarchical order. To him, the lowest needs in the hierarchy are the physiological needs. Then up the hierarchy are safety needs, social needs, esteem needs and at the highest level are the self actualization needs.

Physiological needs include the basics human needs, such as, food, shelter, and clothing. When these biological needs are fulfilled, an individual can go for fulfilling his other needs.

Next an individual wants to fulfill his safety needs. He wants security and safety in life. So, safety needs include security of job, retirement

benefits, insurance, compensation for retrenchment, etc.

An individual wants to fulfill next his social needs. As an individual is a social animal so, he desires to have love and affection in his life. He wants to live in a family and to be parts of other social groups for some kind of belongingness and satisfaction.

Next needs which an individual wants to fulfill are self-esteem needs. These include self-respect, self-confidence, status, recognition, prestige, etc.

Once all the above mentioned needs are satisfied, then an individual will try to achieve the highest needs of the hierarchy. It is self-actualisation needs. It is related to achieving higher ends and trying to realize the true meaning of life.

This theory is criticized as being too simple so far as motivation to work is concern. It is true that people need motivation to work better. But the hierarchy of needs as has been provided by Maslow is criticized. Various needs of people should not necessarily come in the same way as has been provided by Maslow and it is also not necessary that people should go on satisfying all these needs one after another for having motivation to work.



6.8 MODEL QUESTIONS

A) Very Short Questions

Q 1: What are the two types of motivation?

Q 2: State two examples of positive incentive.

Q 3: What is meant by self-esteem needs ?

Q 4: What are the five factors of job satisfaction as put forward by Herzberg?

B) Short Questions (Answer each question in about 150 words)

Q 1: Explain the different types of needs as put forward by Maslow.

Q 2: Explain the meaning of motivation ? What is meant by intrinsic and extrinsic motivation.

C) Long Questions (Answer each question in about 300-500 words)

Q 1: Discuss the Incentive theory of motivation.

Q 2: Discuss Herzberg's theory of motivation.

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UNIT 7: NEW PUBLIC ADMINISTRATION

UNIT STRUCTURE

7.1 Learning Objectives

7.2 Introduction

7.3 New Public Administration

- 7.3.1 Background
- 7.3.2 Landmarks in the growth of New Public Administration

7.4 New Public Administration: Its goals and critical evaluation

- 7.4.1 Goals of New Public Administration
- 7.4.2 Critical Evaluation

7.5 Let Us Sum Up

7.6 Further Readings

7.7 Answers to Check Your Progress

7.8 Model Questions

7.1 LEARNING OBJECTIVES

After going through this unit, you will be able to –

- explain the meaning of New Public Administration
- describe background of the emergence of New Public Administration
- discuss the landmarks in the growth of New Public Administration
- describe the important goals of New Public Administration
- make a critical evaluation of New Public Administration.

7.2 INTRODUCTION

In the late 1960s, a section of the younger generation of American scholars initiated a new movement in American Public Administration which came to be known as the “New Public Administration”. It emerged in response to the ineffectiveness of the traditional principles of Public Administration like “economy” and “efficiency” which were found to be incomplete objectives of administrative activity in the context of a rapidly changing environment posing newer challenges. New Public Administration disagrees with the

value-free approach of the behaviouralists and stresses instead on making Public Administration socially relevant and responsive to the needs and problems of the society.

7.3 NEW PUBLIC ADMINISTRATION

7.3.1 Background

There has always been a controversy about the nature, content and goals of Public Administration. Traditionally speaking, policy formulation was viewed as the responsibility strictly of the politicians while the public administrators were required to be concerned only with policy implementation. However, in reality, there is an intermingling of politics and administration and the two cannot be separated into watertight compartments. As a matter of fact, it soon began to be felt since the late 1930s that public administrators should be aware of the needs and aspirations of the different sections of the society and thereby play a very significant analytical role in policy formulation by analyzing the pros and cons of a problem taken up for policy formulation and offering their advice. The administrative principles of “efficiency” and “economy” have to be pursued not for their own sake but to further the larger goal of the welfare of society. Subsequently, against this background of new and emerging dimensions in the realm of Public Administration, a new term “New Public Administration” began to gain currency.

The 1960s and early 1970s were periods of turbulence, instability and confusion in the West, particularly in the United States. As in the case of other social sciences such as Psychology, Sociology and Political Science, Public Administration too was in for a change during this revolutionary period. The earlier emphasis on “principles” and “procedures” was found to be inadequate. What was important was to lay stress on “values” and “service efficiency” in the field of Public Administration so that Public Administration could be geared up to meet the emerging challenges of the day,

making it relevant to the society. The term "New Public Administration" was used to describe a new philosophical outlook for Public Administration. All administrative activities centre on the human being who cannot be subjected to the mechanical test of efficiency. Accordingly, administration must be human being oriented and its approach should be value-based. New Public Administration pleads for more relevance in research whereby public administration becomes more effective in solving urgent social problems.

7.3.2 Major Landmarks in the growth of New Public Administration

New Public Administration basically emerged at the instance of young scholars from the Minnowbrook Conference held in Syracuse University in 1968.We shall learn more about the said conference in the following discussion. The participants at the Minnowbrook Conference felt that the scholars in the field of Public Administration should be more concerned with values including issues of justice, freedom, equality and human ethics.

The major landmarks in the growth and emergence of New Public Administration are the following:

1. The Honey Report on Higher Education for Public Service, 1967.
2. The Philadepelphia Conference on the Theory and Practice of Public Administration, 1967.
3. The Minnowbrook Conference, 1968.
4. Publication of "Toward a New Public Administration: The Minnowbrook Perspective" (edited by Frank Marini), 1971.
5. Publication of "Public Administration in a Time of Turbulence" (edited by Dwight Waldo), 1971.

1. The Honey Report on Higher Education for Public Service, 1967 :

In 1966, John Honey of Syracuse University undertook an evaluative study of Public Administration as a field of study in American universities. It was submitted in 1967. The Honey report identified four problems confronting the discipline of Public

Administration calling for immediate action: (i) Inadequate funds at the disposal of the discipline (ii) Uncertainty and confusion over the status of the discipline with regard to the question as to whether it is a science or a profession. (iii) Inadequacy of Public Administration departments (iv) Lack of communication between scholars of Public Administration and practising administrators.

The Honey report suggested that the scope of the study of the subject should be broadened. It should be linked with governmental processes. Facilities should be provided to scholars for programmes of Public Administration and public affairs by federal, state and local governments. The report further said a special programme of fellowships should be started for those who were interested in becoming teachers of Public Administration. It may be noted here that although the report did not say anything about the role of Public Administration in a crisis-ridden society of the period, yet it triggered discussions on the wider issue of the role of Public Administration in creating social awareness and addressing the problems of the day.

2. The Philadepelphia Conference on the Theory and Practice of Public Administration, 1967:

The American Academy of Political and Social Science organised a conference in Philadelphia in 1967 under the chairmanship of James C.Charlesworth. The conference aimed at discussing the scope, objectives and methods of Public Administration and is widely known as “Conference on the Theory and Practice of Public Administration”.

The major viewpoints expressed in the deliberations of the conference are as follows:

- The scope of the subject of Public Administration should remain flexible. It would be a mistake to strictly limit the scope of the discipline of Public Administration since the growth in the dimensions and functions of administration is a continuous process.
- The separation between policy and administration is

meaningless in view of the fact that in most cases administrators are also involved in the policy making process as advisors and facilitators besides being mainly concerned with policy implementation.

- Overemphasis on hierarchy and internal processes in administrative organisations leads to rigidities in administrative performance. This affects administrative performance in terms of responding to rapidly changing environments, thereby downgrading the relevance and efficacy of Public Administration. What is, therefore, required is organisational innovations and management flexibility.
- The discipline and practice of Public Administration should pay more attention to social problems of unemployment, poverty, environmental degradation. At the same time, there is a need to lay emphasis on social equity in view of increasing socio-economic disparities. It was pointed out in the conference that in order to promote equity as an administrative value along with the existing values of efficiency and accountability, there was a need to ensure people's participation in administrative decision making.
- Administrators of the future should be trained in professional schools.
- Public Administration and Business Administration training should not be combined. Training programmes in Public Administration should aim at increasing the social sensitivity of scholars and trainees as well as serving civil servants in various governmental agencies.

3. The Minnowbrook Conference, 1968 :

The Philadephia Conference had raised many important issues. The conference was held at a time when the American society was faced with several problems. It was being felt that Public Administration had failed to respond to these problems. Again, there was a feeing that Public Administration was dominated by the older people while the views of the younger generation were not receiving enough attention. This had created a generation gap. Accordingly, a

conference was convened in 1968 at the Minnowbrook Conference Centre of Syracuse University, USA, under the leadership of Dwight Waldo primarily with the aim of listening to and appreciating the views of the younger generation of scholars in the discipline of Public Administration. The Minnowbrook Conference was a youth conference to which many young scholars were invited.

The main emphasis of the Minnowbrook Conference was that of adoption of a value based normative approach to be adopted in the field of Public Administration. The conference recommended that the stress of Public Administration should be on social equity in terms of promoting the cause of the underprivileged sections of society. Public Administration should act as an agent of change, concerning itself with the social problems of the day. It was widely felt that the state of the discipline should be improved and that Public Administration should be made more relevant.



LET US KNOW

The second Minnowbrook Conference was held in September 1988. It was jointly funded by three universities – the Syracuse University, the University of Kansas and the University of Akron. The conference was held at Syracuse University. It was attended by scholars and practitioners from the disciplines of Political Science, History, Sociology, Economics besides Public Administration. The second Minnowbrook Conference dwelt on the current and future trends in the field of Public Administration.

4. Publication of "Toward a New Public Administration: The Minnowbrook Perspective" (edited by Frank Marini), 1971 and Publication of "Public Administration in a Time of Turbulence" (edited by Dwight Waldo), 1971:

The views and opinions expressed during the course of the deliberations at Minnowbrook received wider recognition when two books

based on what had been discussed in the Minnowbrook conference were published. These were "Toward a New Public Administration: The Minnowbrook Perspective" (edited by Frank Marini) and "Public Administration in a Time of Turbulence" (edited by Dwight Waldo), 1971.



CHECK YOUR PROGRESS

Q 1 : Which conference convened in 1968 is described as a youth conference in the field of Public Administration?

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Q 2: ..... of Syracuse University undertook an evaluative study of Public Administration as a field of study in American universities. (Fill in the blank)

Q 3: Mention the name of any of the two publications considered to be a landmark in the field of New Public Administration.

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Q 4: "Efficiency" and "Economy" are the main concerns of traditional Public Administration. (True/False)

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Q 5: Write a short note on the Minnowbrook Conference, 1968. (within 50 words)

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7.4 NEW PUBLIC ADMINISTRATION: ITS GOALS AND CRITICAL EVALUATION

7.4.1 Goals of New Public Administration

The literature on New Public Administration has stressed on four important goals, namely, *relevance*, *values*, *social equity* and *change*.

1. **Relevance:** Traditionally, Public Administration has always stressed on efficiency and economy. It has been criticized for not focusing on contemporary problems and issues. At the Minnowbrook Conference, the participants focused on the need for policy-oriented Public Administration. It is more important to be relevant and meaningful in terms of offering solutions to contemporary problems than merely to stress on sophisticated tools and techniques for their own sake.
2. **Values:** The New Public Administration movement is critical of procedural neutrality of traditional Public Administration. It rejects the idea of a value-free social science as advocated by the **behaviouralists**. The participants at the Minnowbrook Conference are of the view that the discipline of Public Administration should be concerned more with values and issues of justice, freedom, equality and human ethics.
3. **Social Equity:** According to the proponents of New Public Administration, social equity should be the guiding factor for Public Administration. Social equity means that administrators should become the champions of the underprivileged sections of the society. They should become the active agents of economic and social change. Public administrators have the moral obligation to protect and promote the interests of the less privileged groups in the society.
4. **Change:** The New Public Administration lays emphasis on innovations and change. Innovation means bringing about creative changes in the administrative machinery by introducing new ideas. New Public Administration is critical of status-quo and instead calls for making Public Administration an effective

agency for bringing about development and social transformation.

5. **Client-centred Approach:** New Public Administration advocates a client-centred approach. As a matter of fact, in order to achieve the principle of social equity, people's participation in the process of decision making is essential. Accordingly, New Public Administration calls for the administrators to provide the people a major voice in what is to be provided and how.

7.4.2 Critical Evaluation

Critics have described New Public Administration as a temporary and transitional phenomenon. Robert T.Golembiewski holds that New Public Administration could be regarded as a partial success. According to Cambell, New Public Administration differs from the "old" Public Administration only in so far as it seeks to respond to a set of societal problems different from those of other periods. Critics therefore argue that the difference between Public Administration and New Public Administration is only a matter of definition. Moreover, it is argued that the concept of social equity itself is vague in terms of what it means and what is required in public programmes.

In spite of the criticisms, it must be mentioned that the advocates of New Public Administration were not revolutionary in approach but only reformists in orientation. New Public Administration does not reject the traditional superstructure of administration. It only wanted change in the functioning and outlook of administration. While it is necessary to emphasise the traditional values of efficiency and economy, it is equally necessary to orient Public Administration based on the premises of social concern, activism, humanism and people's participation. New Public Administration has sought to bring the discipline of Public Administration closer to the society. According to Nigro and Nigro, the advocates of Public Administration have stimulated constructive debate and their emphasis upon the positive,

moral goals of administration should have a lasting impact. Moreover, since the emergence of New Public Administration, questions of values and ethics have remained major items in Public Administration.



CHECK YOUR PROGRESS

Q 6: What are the four main goals of New Public Administration?

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Q 7: According to the proponents of New Public Administration, social equity should be the guiding factor for Public Administration. (True/False)

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Q 8: Briefly describe *values* as a goal of New Public Administration.

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Q 9: Critically evaluate New Public Administration. (within 50 words)

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7.5 LET US SUM UP

- In the 1960s and early 1970s, it began to be argued that the traditional administrative principles of “efficiency” and “economy” have to be pursued not for their own sake but to further the larger goal of the welfare of society.
- Subsequently, a new term “New Public Administration” began to gain currency.New Public Administration pleads for more relevance in research whereby public administration becomes more effective in solving urgent social problems.
- The major landmarks in the growth and emergence of New Public Administration include the Honey Report on Higher Education for Public Service, 1967, the Philadepelphia Conference on the Theory and Practice of Public Administration, 1967, the Minnowbrook Conference, 1968 and publication of two books, namely, “Toward a New Public Administration: The Minnowbrook Perspective” (edited by Frank Marini), 1971 and “Public Administration in a Time of Turbulence” (edited by Dwight Waldo), 1971.
- The literature on New Public Administration has stressed on four important goals, namely, relevance, values, social equity and change.
- Critics have described New Public Administration as a temporary and transitional phenomenon. Moreover, it is argued that the concept of social equity itself is vague in terms of what it means and what is required in public programmes.
- In spite of the criticisms, it must be mentioned that the advocates of New Public Administration were not revolutionary in approach but only reformists in orientation. New Public Administration does not reject the traditional superstructure of administration. It only wanted change in the functioning and outlook of administration. Ever since the emergence of New Public Administration, questions of values and ethics have remained major items in Public Administration.



7.6 FURTHER READINGS

1) Basu, Rumki (2004). *Public Administration-Concepts and Theories*. New Delhi: Sterling Publishers Private Limited.

2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). *Public Administration*. New Delhi: S. Chand & Company Ltd.

3) Naidu, S. P. (2005), *Public Administarion-Concepts and Theories.* New Delhi: New Age International (P) Ltd.

4) Sharma, Dr. M. P. & Sadana, Dr. B. L. (2000). *Public Administration in Theory and Practice*. Allahabad: Kitab Mahal.



7.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: The Minnowbrook Conference, 1968.

Ans to Q No 2: John Honey

Ans to Q No 3: "Toward a New Public Administration: The Minnowbrook Perspective" (edited by Frank Marini)

Ans to Q No 4: True

Ans to Q No 5: The Minnowbrook Conference, 1968, was held at a time when the American society was faced with several problems. It was being felt that Public Administration had failed to respond to these problems. Accordingly, a conference was convened in 1968 at the Minnowbrook Conference Centre of Syracuse University, USA, under the leadership of Dwight Waldo primarily with the aim of listening to and appreciating the views of the younger generation of scholars in the discipline of Public Administration. The Minnowbrook Conference was a youth conference to which many young scholars were invited.

The conference recommended that the stress of Public Administration should be on social equity in terms of promoting the cause of the underprivileged sections of society. Public Administration should act as an agent of change, concerning itself with the social problems of the day. It was widely felt that the state of the discipline should be improved and that Public Administration should be made more relevant.

Ans to Q No 6: Relevance, values, social equity and change.

Ans to Q No 7: True

Ans to Q No 8: The New Public Administration movement is critical of procedural neutrality of traditional Public Administration. It rejects the idea of a value-free social science as advocated by the behaviouralists. The participants at the Minnowbrook Conference are of the view that the discipline of Public Administration should be concerned more with values and issues of justice, freedom, equality and human ethics.

Ans to Q No 9: Critics have described New Public Administration as a temporary and transitional phenomenon. Robert T.Golembiewski holds that New Public Administration could be regarded as a partial success. Critics argue that the difference between Public Administration and New Public Administration is only a matter of definition. Moreover, it is argued that the concept of social equity itself is vague in terms of what it means and what is required in public programmes.

In spite of the criticisms, it must be mentioned that the advocates of New Public Administration were not revolutionary in approach but only reformists in orientation. New Public Administration does not reject the traditional superstructure of administration. It only wanted change in the functioning and outlook of administration. While it is necessary to emphasise the traditional values of efficiency and economy, it is equally necessary to orient Public Administration based on the premises of social concern, activism, humanism and people's participation. New Public Administration has sought to bring the discipline of Public Administration closer to the society.



7.8 MODEL QUESTIONS

Very Short Questions

Q 1: Mention any two landmarks in the field of growth and emergence of New Public Administration.

Q 2: Mention the name of the book edited by Frank Marini in 1971, the publication of which is regarded as a major landmark in the growth of New Public Administration.

Q 3: What are the four goals emphasised by New Public Administration?

Q 4: 1968 at the Minnowbrook Conference was organised under whose leadership?

B) Short Questions (Answer each question in about 150 words)

Q 1: Write a short note on the Honey Report on Higher Education for Public Service, 1967.

Q 2: Write a short note on the Philadepelphia Conference on the Theory and Practice of Public Administration, 1967.

Q 3: Describe social equity and change as goals of New Public Administration.

Q 4: Present a critical evaluation of New Public Administration.

C) Long Questions (Answer each question in about 300-500 words)

Q 1: Briefly describe the background of the emergence of New Public Administration. Discuss the major landmarks in the growth of New Public Administration.

Q 2: Discuss the goals of New Public Administration.

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UNIT 8 : PRINCIPLES OF ORGANISATION: HIERARCHY, SPAN OF CONTROL AND UNITY OF COMMAND

UNIT STRUCTURE

8.1 Learning Objectives
8.2 Introduction
8.3 Hierarchy
  8.3.1 Advantages of the principle of hierarchy
  8.3.2 Disadvantages of the principle of hierarchy
8.4 Span of Control
  8.4.1 Factors determining Span of Control
8.5 Unity of Command
8.6 Let Us Sum Up
8.7 Further Reading
8.8 Answers to Check Your Progress
8.9 Model Questions

8.1 LEARNING OBJECTIVES

After going through this unit, you will be able to–

- explain the meaning of hierarchy
- mention the advantages of hierarchy
- mention the disadvantages of hierarchy
- discuss the principle of span of control
- explain the factors determining span of control
- discuss the principle of unity of command.

8.2 INTRODUCTION

Administration generally involves co-operative efforts by a number of people to achieve certain objectives. Now, this is possible only when there exists a proper plan of action and this is called organisation. Accordingly, organisation is the pre-requisite of administration and there

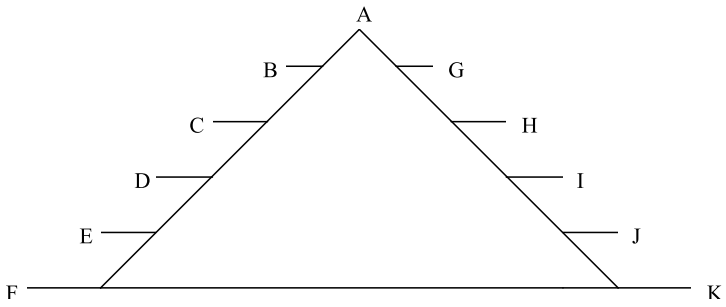
can be no administration unless there is an organisational structure to run it. Now, for the proper functioning of an organisation, it is important that it should be based on certain principles. Some of these important principles are: hierarchy, span of control, unity of command, centralization, decentralization, coordination and delegation of authority.

It is always an important concern of any organization to come with a systematic plan for ensuring effective supervision of its employees. While a hierarchical organization is composed of a number of tiers, the question is how many employees can be effectively supervised by one person at each level. It is in this context that the principle of span of control plays an important role. Span of Control means the number of subordinates which a superior can effectively supervise, direct and control. At the same time, the principle of Unity of Command suggests that for better discipline and effective management, an employee should be responsible to only one superior. Accordingly, in this unit we shall discuss the principles of Hierarchy, Span of Control and Unity of Command.

8.3 HIERARCHY

The literal meaning of hierarchy is the rule or control of the higher over the lower. Max Weber's bureaucratic model emphasized the principle of "hierarchy" in which there is "supervision of the lower offices by the higher ones." To be more specific, a hierarchy means a graded organisation of several successive steps or levels, in which each one of the lower levels is immediately subordinate to the next higher one and through it, to the other higher steps right up to the top. Accordingly, in such a hierarchical organisation, command and control descend step by step from the top downward to the bottom. The chain of command is such that no intermediate level may be skipped. Every position in the hierarchical organisation has a distinctive title. It finds its appropriate place in the hierarchy, with the incumbent possessing authority to issue orders and instructions to subordinates and also bearing the responsibility to receive and obey orders from superiors. Thus, it is seen that in a hierarchy, authority, command and control descend from the top to the bottom step by step.

The following diagram shows the structure and functioning of a hierarchical organisation :



In the above diagram, A is the head of the organisation. B is A's immediate subordinate. C is B's immediate subordinate but is also subordinate to A through B. D is immediately subordinate to C but is also subordinate to B and A through C. Likewise, E's immediate superior is D but is also subordinate to C,B and A through D. Finally, F is immediately under E, but is also under D, C, B and A. The same process is applicable to the letters shown along the other arm of the triangle.

If A issues an order meant for F, it must descend to F through B, C, D and E and if F wants to send a communication to A, it must travel upward to A through E, D, C and B. If F has to issue a communication to K, it must travel all the way up to A through E, D, C, B and descend from A to K through G,H,I and J. F,A,K represent the line of authority linking the whole organisation together.

8.3.1 Advantages of the principle of Hierarchy

Hierarchy has its own advantages. Some of the advantages are as follows:

- Hierarchy serves as an instrument of integration and coherence in an organisation, enabling it to work as a single unit. It is like a link which integrates various sections of an organisation in a harmonious way linking the Chief Executive with each individual employee.
- Hierarchy serves as a channel of communication, both upwards and downwards. Everything has to move "through proper channel" making it clear to every official as to whom he is to deal with. Through the principle of hierarchy, everyone in the organisation is automatically informed about the action proposed or taken from the relevant quarters.

- Hierarchy helps us to fix responsibility at each level and each post in the organisation. Every employee knows what his position and responsibility are in the organisation and to whom he is accountable.
- Heirarchy helps us to decentralize decision-making. Through decentralisation and division of labour, work is divided at the different levels of the hierarchy which prevents congestion of work at the top and ensures greater efficiency in administration.

8.3.2 Disadvantages of the principle of Hierarchy

The principle of hierarchy, in spite of its many advantages, suffers form certain limitations. These limitations are as follows :

- Hierarchy brings about rigidity in administrative organisation. The principle of chain of command is not suitable for the development of dynamic human relationships among its members.
- There is delay in the disposal of work in a hierarchical organisation. Every paper has to move step by step and at every step it has to wait for a certain period of time.
- In a hierarchical organisation, directions flow from top to bottom downwards. The subordinates are expected to carry out mechanically the instructions of their superiors. This discourages initiative at the lower level.



CHECK YOUR PROGRESS

Q 1 : Explain the meaning of hierarchy. (within 60 words)

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Q 2 : Mention any two advantages of the principle of hierarchy.

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8.4 SPAN OF CONTROL

Span of Control means the number of subordinates which a superior can effectively supervise, direct and control. The principle of span of control flows from the principle of hierarchy. A hierarchical organisation is composed of a number of tiers or steps with each step being headed by a single person. Now the question that arises is that of the number of persons who should work under his or her control and supervision at that particular level, facilitating effective supervision and coordination. It is rather difficult to decide the appropriate fixed number of the span of control. Sir Ian Hamilton fixed the limit at 3 to 4, Urwick at 5 to 6 at higher levels and 8 to 12 at lower levels. However it is generally maintained by the experts in the field of public administration that shorter the span, the more effective will be the control.

8.4.1 Factors determining Span of Control

There are certain factors which are determinants of the degree of span of control. These factors are:

- **Nature of work :** If the subordinates are involved in the same or similar activities, then it becomes easier for the officer to supervise more subordinates. The problems that may arise would be similar in nature and easier to handle. Accordingly, where the work is of routine and homogeneous nature, the span of control is more. On the other hand, if the subordinates are engaged in diversified operations, the situation would be more complex. In this case, the span of control should be narrow.
- **Leadership :** The span of control increases or decreases depending upon the attitude personality and qualities of the supervisor. If he is intelligent and competent and has good leadership and managerial qualities, he can supervise a larger group of persons.
- **Capacity of subordinates :** The span of control is also based on the personality of the subordinates whose competence and caliber determines as to how large the span of control will be.

When the subordinates are trained and competent, more subordinates can be effectively supervised and the span can be larger.

- Age of the agency: Supervision is easier when the organisation has been in existence for a long time. In old established organisations, precedents take roots and the work goes on smoothly. Such precedents can be referred to in case of any difficult situation.
- Location of the organisational units: Supervision generally becomes easier when the subordinates work under the same roof where the supervisor sits than when they are at a distance from him. It brings about better monitoring and supervision on the part of the supervisor.

8.5 UNITY OF COMMAND

Unity of command implies that an employee is responsible to only one supervisor to whom the employee reports. Henri Fayol suggested that for better discipline and effective management, an employee should be responsible to only one superior. Henry Fayol opined that if an employee were to obey the commands issued by different superiors then there would be chaos and confusion in an organization. Thus, thus principle must be strictly followed so that an organization may function smoothly. The principle of unity of command is strictly followed in the military.
However, critics point out that in case of large organizations, it is difficult to strictly adhere to the principle of unity of command. Such large organizations are based on the principle of division of labour and existence of several departments. Accordingly a single employee may have to listen to different heads or a group of heads in such organizations. What is important in these organizations is to have effective coordination among the different departments.

Nevertheless, generally speaking, the principle of unity of command is of utmost importance for the smooth functioning of an organization.



CHECK YOUR PROGRESS

Q 3 : Sir Ian Hamilton fixed the span of control limit at how much?

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Q 4 : Mention any two factors determining span of control.

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Q 5 : Describe the meaning of span of control. (within 60 words)

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Q 6 : Explain the meaning of unity of command. (within 60 words)

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8.6 LET US SUM UP

- The literal meaning of hierarchy is the rule or control of the higher over the lower. Max Weber's bureaucratic model emphasized the principle of "hierarchy" in which there is "supervision of the lower offices by the higher ones."
- To be more specific, a hierarchy means a graded organization of several successive steps or levels, in which each one of the lower levels is immediately subordinate to the next higher one and through it, to the other higher steps right up to the top.
- Accordingly, in such a hierarchical organization, command and control descend step by step from the top downward to the bottom. The chain of command is such that no intermediate level may be skipped. Every position in the hierarchical organization has a distinctive title.

- It finds its appropriate place in the hierarchy, with the incumbent possessing authority to issue orders and instructions to subordinates and also bearing the responsibility to receive and obey orders from superiors. Thus, it is seen that in a hierarchy, authority, command and control descend from the top to the bottom step by step.
- Hierarchy has its own advantages.
- Hierarchy serves as an instrument of integration and coherence in an organisation, enabling it to work as a single unit.
- Hierarchy serves as a channel of communication, both upwards and downwards.
- Hierarchy helps us to fix responsibility at each level and each post in the organisation..
- Heirarchy helps us to decentralize decision-making. Through decentralisation and division of labour, work is divided at the different levels of the hierarchy which prevents congestion of work at the top and ensures greater efficiency in administration.
- The principle of hierarchy, in spite of its many advantages, suffers from certain limitations.
- Hierarchy brings about rigidity in administrative organisation. The principle of chain of command is not suitable for the development of dynamic human relationships among its members.
- There is delay in the disposal of work in a hierarchical organisation. Every paper has to move step by step and at every step it has to wait for a certain period of time.
- In a hierarchical organisation, directions flow from top to bottom downwards. The subordinates are expected to carry out mechanically the instructions of their superiors. This discourages initiative at the lower level.
- Span of Control means the number of subordinates which a superior can effectively supervise, direct and control. The principle of span of control flows from the principle of hierarchy.
- A hierarchical organisation is composed of a number of tiers or steps with each step being headed by a single person. Now the question that arises is that of the number of persons who should work under his or her control and supervision at that particular

- Span of Control means the number of subordinates which a superior can effectively supervise, direct and control. The principle of span of control flows from the principle of hierarchy.
- A hierarchical organisation is composed of a number of tiers or steps with each step being headed by a single person. Now the question that arises is that of the number of persons who should work under his or her control and supervision at that particular level, faciliting effective supervision and coordination.
- It is rather difficult to decide the appropriate fixed number of the span of control. Sir Ian Hamilton fixed the limit at 3 to 4, Urwick at 5 to 6 at higher levels and 8 to 12 at lower levels.
- However it is generally maintained by the experts in the field of public administration that shorter the span, the more effective will be the control.
- There are certain factors which are determinants of the degree of span of control.
- If the subordinates are involved in the same or similar activities, then it becomes easier for the officer to supervise more subordinates. The problems that may arise would be similar in nature and easier to handle.
- The span of control increases or decreases depending upon the attitude personality and qualities of the supervisor. If he is intelligent and competent and has good leadership and managerial qualities, he can supervise a larger group of persons.
- The span of control is also based on the personality of the subordinates whose competence and caliber determines as to how large the span of control will be.
- Supervision is easier when the organisation has been in existence for a long time. In old established organisations, precedents take roots and the work goes on smoothly. Such precedents can be referred to in case of any difficult situation.
- Supervision generally becomes easier when the subordinates work under the same roof where the supervisor sits than when they are at a distance from him. It brings about better monitoring and supervision on the part of the supervisor.

- Unity of command implies that an employee is responsible to only one supervisor to whom the employee reports. Henri Fayol suggested that for better discipline and effective management, an employee should be responsible to only one superior.
- Henry Fayol opined that if an employee were to obey the commands issued by different superiors then there would be chaos and confusion in an organization. Thus, thus principle must be strictly followed so that an organization may function smoothly. The principle of unity of command is strictly followed in the military.
- However, critics point out that in case of large organizations, it is difficult to strictly adhere to the principle of unity of command. Such large organizations are based on the principle of division of labour and existence of several departments. Accordingly a single employee may have to listen to different heads or a group of heads in such organizations.
- What is important in these organizations is to have effective coordination among the different departments.
- Nevertheless, generally speaking, the principle of unity of command is of utmost importance for the smooth functioning of an organization.



8.7 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.
4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.

8.8 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1 : The literal meaning of hierarchy is the rule or control of the higher over the lower. Max Weber's bureaucratic model emphasized the principle of "hierarchy" in which there is "supervision of the lower offices by the higher ones." To be more specific, a hierarchy means a graded organisation of several successive steps or levels, in which each one of the lower levels is immediately subordinate to the next higher one and through it, to the other higher steps right up to the top. Accordingly, in such a hierarchical organisation, command and control descend step by step from the top downward to the bottom. The chain of command is such that no intermediate level may be skipped. Every position in the hierarchical organisation has a distinctive title. It finds its appropriate place in the hierarchy, with the incumbent possessing authority to issue orders and instructions to subordinates and also bearing the responsibility to receive and obey orders from superiors. Thus, it is seen that in a hierarchy, authority, command and control descend from the top to the bottom step by step.

Ans to Q No 2 : (i) Hierarchy serves as an instrument of integration and coherence in an organisation, enabling it to work as a single unit. It is like a link which integrates various sections of an organisation in a harmonious way linking the Chief Executive with each individual employee.

(ii) Hierarchy serves as a channel of communication, both upwards and downwards. Everything has to move "through proper channel" making it clear to every official as to whom he is to deal with. Through the principle of hierarchy, everyone in the organisation is automatically informed about the action proposed or taken from the relevant quarters.

Ans to Q No. 3 : 3 to 4

Ans to Q No. 4 : (i) Nature of work

(ii) Leadership

Ans to Q No.5 : Span of Control means the number of subordinates which a superior can effectively supervise, direct and control. A hierarchical organisation is composed of a number of tiers or steps with each step being headed by a single person. Now the question that arises is that of the number of persons who should work under his or her control and supervision at that particular level, facilitating effective supervision and coordination. It is rather difficult to decide the appropriate fixed number of the span of control. However it is generally maintained by the experts in the field of public administration that shorter the span, the more effective will be the control.

Ans to Q No.6 : Unity of command implies that an employee is responsible to only one supervisor to whom the employee reports. Henri Fayol suggested that for better discipline and effective management, an employee should be responsible to only one superior. Henry Fayol opined that if an employee were to obey the commands issued by different superiors then there would be chaos and confusion in an organization. Thus, thus principle must be strictly followed so that an organization may function smoothly. The principle of unity of command is strictly followed in the military.

However, critics point out that in case of large organizations, it is difficult to strictly adhere to the principle of unity of command. Such large organizations are based on the principle of division of labour and existence of several departments. Accordingly a single employee may have to listen to different heads or a group of heads in such organizations. What is important in these organizations is to have effective coordination among the different departments.

Nevertheless, generally speaking, the principle of unity of command is of utmost importance for the smooth functioning of an organization.



8.9 MODEL QUESTIONS

A) Very Short Questions

Q 1 : Mention the literal meaning of hierarchy.

Q 2 : Mention one advantage and one disadvantage of heirarchy.

Q 3 : Who fixed the limit for span of control at 5 to 6 at higher levels and 8 to 12 at lower levels?

Q 4 : Mention any two factors determining Span of Control.

B) Short Questions (Answer each question in about 150 words)

Q 1 : Write the meaning of hierarchy.

Q 2 : Mention three advantages of hierarchy.

Q 3 : Mention three disadvantages of hierarchy.

Q 4 : Explain the meaning of span of control.

Q 5 : Examine any four factors determining span of control.

C) Long Questions (Answer each question in about 300-500 words)

Q 1 : Explain the meaning of hierarchy. Mention the advantages and disadvantages of hierarchy.

Q 2 : Examine the factors determining span of control.

Q 3 : Explain the principle of unity of command.

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UNIT 9 : PRINCIPLES OF ORGANISATION: CENTRALISATION AND DECENTRALISATION

UNIT STRUCTURE

9.1 Learning Objectives
9.2 Introduction
9.3 Centralisation
  9.3.1 Advantages of Centralisation
  9.3.2 Disadvantages of Centralisation
9.4 Decentralisation
  9.4.1 Advantages of Decentralisation
  9.4.2 Disadvantages of Decentralisation
9.5 Let Us Sum Up
9.6 Further Reading
9.7 Answers to Check Your Progress
9.8 Model Questions

9.1 LEARNING OBJECTIVES

After going through this unit, you will be able to –

- explain the meaning of centralisation
- mention the advantages of centralisation
- mention the disadvantages centralisation.

9.2 INTRODUCTION

In this unit we shall discuss two very important principles of organisation, those are- centralisation and decentralisation. Centralisation refers to the process of concentration of adminstrative authority at the top and decentralisation means the opposite of it. Let us discuss all these in details.

9.3 CENTRALISATION

Centralisation of authority means concentration of administrative authority and power of decision making in a relatively few key administrative positions at the top level of the organisational structure. In such organisations, all important decisions and actions at the lower levels are subject to the approval of authorities at the top level.

9.3.1 Advantages of Centralisation:

Certain advantages are attributed to centralisation of authority. These are discussed below :

- Centralisation permits uniformity in functioning. All decisions emerge from a single point facilitating a high degree of consistency and uniformity in organisational functioning.
- Centralisation gives shape to a clear-cut authority structure. Everyone in the organisation knows the source of decisions and action initiatives. As there is only one centre, there is little scope for confusion and chaos.
- Centralisation proves effective in the matter of overcoming crisis situations. This is because a strong top-level management can take decisions quickly and effectively without having to depend much on those at the lower levels.
- The leadership at the top level of a centralized system is generally supposed to possess maturity and experience in leading the organisation. This proves to be beneficial to the organisation.

9.3.2 Disadvantages of Centralisation:

- Excessive centralisation of authority results in a top-heavy structure. The middle and lower levels are without power and authority and hence are weak.
- Concentration of power at the top may lead to its abuse as the

top level leadership may not welcome any advice or criticism from the lower levels and act in a dictatorial manner without any accountability.

- Concentration of power at the top level also leads to heavy work load at the top level. There is no managerial structure at the middle and lower levels which can share some managerial work of the top level.
- Centralisation also leads to the growth of red-tape and a bureaucratic atmosphere in the organisation.
- Centralisation reduces the opportunities for initiative at the lower levels. It runs counter to the growth of a democratic spirit in the organisation.



CHECK YOUR PROGRESS

Q 1 : Explain the meaning of centralisation.

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Q 2 : Mention any two advantages of centralisation.

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Q 3 : Mention any two disadvantages of centralisation.

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9.4 DECENTRALISATION

Decentralisation of authority means dispersal of decision making power to

the lower levels of the organisation. In an organisation where authority is decentralized, decision-making units with a certain amount of autonomy are created at functionally appropriate levels. However, all organisational operations are subject to the overall control by the central management. In other words, in decentralized organisation, lower levels have the autonomy and discretion to take decisions with regard to most of the matters which come up, while the comparatively bigger and more important problems are reserved for the top level authorities.

9.4.1 Advantages of Decentralisation

- Decentralisation helps to reduce the workload at the higher levels. The top level authorities can devote greater time and attention to important policy matters while decentralizing authority with regard to routine operational decisions.

- Decentralisation helps those at lower levels to take part in the process of decision making. It helps to boost their morale and provides them with job satisfaction.

- Decentralisation fosters team-spirit and group cohesiveness among the subordinates.

- Under decentralisation, the authority to take decisions with regard to a particular level is directly placed in the hands of the appropriate authorities at that level. This helps in taking accurate and faster decisions.

- Decentralisation accounts for efficient supervision and control. The performance of each decentralized unit can be assessed by the managers at the appropriate level instead of central level supervision at all times.

9.4.2 Disadvantages of Decentralisation

- Decentralisation, if carried too far, may lead to the creation of powerful units of decision making which may drift away from

the supervision and control of the central leadership. This results in abuse of autonomy granted to the decision making units which seek to pursue their own narrow goals at the expense of the collective goal of the organisation as a whole.

- Decentralisation of authority makes it difficult for the central authorities to coordinate the goals, functions and activities of the autonomous decision-making units at various levels.
- Decentralisation increases the administrative expenses. Each unit requires trained personnel and adequate infrastructure. This may result in duplication of functions and under-utilisation of facilities.

- When uniform procedures are not followed throughout the organisation, decentralisation may lead to a situation where each unit starts functioning in its own way resulting in a lot of inconsistencies.



CHECK YOUR PROGRESS

Q 4 : Explain the meaning of decentralisation.

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Q 5 : Mention any two advantages of decentralisation.

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Q 6 : Mention any two disadvantages of decentralisation.

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9.5 LET US SUM UP

- Centralisation of authority means concentration of administrative authority and power of decision making in a relatively few key administrative positions at the top level of the organisational structure. In such organisations, all important decisions and actions at the lower levels are subject to the approval of authorities at the top level.
- Certain advantages are attributed to centralisation of authority. These include- centralisation permits uniformity in functioning, centralisation gives shape to a clear-cut authority structure, centralisation proves effective in the matter of overcoming crisis situations,leadership at the top level of a centralized system is generally supposed to possess maturity and experience in leading the organisation.
- The disadvantages of centralsiation include excessive centralisation of authority results in a top-heavy structure, concentration of power at the top may lead to its abuse as the top level leadership, concentration of power at the top level also leads to heavy work load at the top level, centralisation also leads to the growth of red-tape and a bureaucratic atmosphere in the organization, etc.
- Decentralisation of authority means dispersal of decision making power to the lower levels of the organisation. In an organisation where authority is decentralized, decision-making units with a certain amount of autonomy are created at functionally appropriate levels.
- Advantages of decentralisation includes- helps to reduce the workload at the higher levels ; decentralisation helps those at lower levels to take part in the process of decision making decentralisation fosters team-spirit and group cohesiveness among the subordinates; under decentralisation, the authority to take decisions with regard to a particular level is directly placed in the hands of the appropriate authorities at that level, etc.
- Disadvantages includes- if carried too far, may lead to the creation of powerful units of decision making which may drift away from the supervision and control of the central leadership; decentralisation

of authority makes it difficult for the central authorities to coordinate the goals, functions and activities of the autonomous decision-making units at various levels; etc.



9.6 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
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4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.



9.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: Centralisation of authority means concentration of administrative authority and power of decision making in a relatively few key administrative positions at the top level of the organisational structure. In such organisations, all important decisions and actions at the lower levels are subject to the approval of authorities at the top level.

Ans to Q No 2: (i) Centralisation permits uniformity in functioning. All decisions emerge from a single point facilitating a high degree of consistency and uniformity in organisational functioning.

(ii) Centralisation gives shape to a clear-cut authority structure. Everyone in the organisation knows the source of decisions and action initiatives. As there is only one centre, there is little scope for confusion and chaos.

Ans to Q No 3: (i) Excessive centralisation of authority results in a top-heavy structure. The middle and lower levels are without power and authority and hence are weak.

(ii) Concentration of power at the top may lead to its abuse as the top level leadership may not welcome any advice or criticism from the lower levels and act in a dictatorial manner without any accountability.

Ans to Q No 4: Decentralisation of authority means dispersal of decision making power to the lower levels of the organisation. In an organisation where authority is decentralized, decision-making units with a certain amount of autonomy are created at functionally appropriate levels. However, all organisational operations are subject to the overall control by the central management. In other words, in decentralized organisation, lower levels have the autonomy and discretion to take decisions with regard to most of the matters which come up, while the comparatively bigger and more important problems are reserved for the top level authorities.

Ans to Q No 5: (i) Decentralisation helps to reduce the workload at the higher levels. The top level authorities can devote greater time and attention to important policy matters while decentralizing authority with regard to routine operational decisions.

(ii) Decentralisation helps those at lower levels to take part in the process of decision making. It helps to boost their morale and provides them with job satisfaction.

Ans to Q No 6: (i) Decentralisation, if carried too far, may lead to the creation of powerful units of decision making which may drift away from the supervision and control of the central leadership. This results in abuse of autonomy granted to the decision making units which seek to pursue their own narrow goals at the expense of the collective goal of the organisation as a whole.

(ii) Decentralisation of authority makes it difficult for the central authorities to coordinate the goals, functions and activities of the autonomous decision-making units at various levels.



9.8 MODEL QUESTIONS

A) Very Short Questions

Q.1 : State the meaning of centralisation.

Q.2 : Mention any two advantages of centralisation.

B) Short Questions (Answer each question in about 150 words)

Q.1 : Explain two advantages of centralisation.

Q.2 : Explain two disadvantages of centralisation.

C) Long Question (Answer each question in about 300-500 words)

Q.1 : Explain the meaning of centralisation. Discuss its advantages and disadvantages.

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UNIT 10 : PRINCIPLES OF ORGANISATION : COORDINATION AND DELEGATION OF AUTHORITY

UNIT STRUCTURE

10.1 Learning Objectives
10.2 Introduction
10.3 Coordination
 10.3.1 Meaning of Coordination
 10.3.2 Need for Coordination
 10.3.3 Types of Coordination
10.4 Delegation of Authority
 10.4.1 Meaning of Delegation of Authority
 10.4.2 Types of Delegation of Authority
10.5 Let Us Sum Up
10.6 Further Reading
10.7 Answers to Check Your Progress
10.8 Model Questions

10.1 LEARNING OBJECTIVES

After going through this unit, you will be able to –

- explain the meaning of coordination
- discuss the need for coordination
- explain the meaning of internal and external coordination
- explain the meaning of vertical and horizontal coordination
- explain the meaning of delegation of authority
- describe the meaning of full delegation of authority and partial delegation of authority
- explain the meaning of conditional delegation of authority and unconditional delegation of authority
- explain the meaning of direct delegation of authority and intermediate delegation of authority.

10.2 INTRODUCTION

Two very important principles of organisation include coordination and delegation. Coordination helps secure effective harmony between different sections of an organization so that the organisation may work effectively as a collective whole. Similarly, by way of delegation of authority, it becomes possible for an organisation to delegate responsibility to the employees at various levels so that the organisation can function in a systematic manner enabling a scientific distribution of workload. In this unit we shall discuss the principles of coordination and delegation of authority.

10.3 COORDINATION

10.3.1 Meaning of Coordination

The term coordination is defined as the process of bringing about unity and harmony of functioning and to secure cooperation and team work among the numerous departments comprising the organization. In the absence of coordination, no organisation could function effectively and achieve its objectives, as it would result in the different departments and units of the organisation working at cross-purposes.

According to J.D. Mooney, “Coordination is the orderly arrangement of group effort, to provide unity of action in the pursuit of a common purpose.” Mooney is of the view that coordination is the first principle of organization.

10.3.2 Need for Coordination

First, coordination ensures that each department or unit in the organization functions in a way that secures the harmony between their own goals, activities and requirements and those of the other departments.

Secondly, coordination is needed to eliminate wastage and duplication of work. This is because when there is no coordination,

one department may not know the activities of the other departments with the result that it may unknowingly duplicate the activities of some other department.

Thirdly, modern public administration has become increasingly complex. Functions have become diversified requiring specialists to perform the same. Specialisation, in turn, brings about the need for greater coordination because of the diversity of tasks to be performed and of persons to carry them out.

Fourthly, in the absence of effective coordination, the heads of various departments may seek to expand their own spheres of influence and thereby infringe upon the jurisdiction of other departments, resulting in wastage of resources.

Accordingly, in order that the organisation functions smoothly, it is important that there is effective coordination in the organisation.

10.3.3 Types of Coordination

- Coordination may be classified as internal or external and vertical or horizontal.

- Coordination among the employees of the same department or section is called internal coordination.

- External coordination arises when the organisation coordinates with other departments and organisations.

- Vertical coordination is that which exists within a department wherein the departmental head coordinates the activities of all working under him.

- Horizontal coordination is that which takes place sideways between different departments.



CHECK YOUR PROGRESS

Q 1 : Explain the meaning of coordination.

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Q 2 : Mention any two reasons why coordination is needed.

.....

.....

Q 3 : What are the various types of coordination?

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.....

10.4 DELEGATION OF AUTHORITY

10.4.1 Meaning of Delegation of Authority

Delegation of authority is a common feature of all types of large-scale organisations. Although in all organisations, whole authority is vested in the head of the organisation, yet authority has to be delegated to the various employees down the administrative hierarchy rather than resting the entire burden on the shoulders of the head of the organisation. This is necessary for ensuring effective functioning of the organization based on a systematic distribution of the workload. According to Mooney, delegation of authority means conferring of specified authority by a higher authority to a lower authority. It must be mentioned here that delegation of authority does not give a free rein to the person on whom authority has been delegated but authority has to be exercised within the prescribed limits. Authority once delegated may be enhanced, curtailed or withdrawn depending on the need of the situation.

10.4.2 Types of Delegation of Authority

Depending on the degree of authority delegated, delegation of authority may be of the following types: (a) full delegation of authority and partial delegation of authority (b) conditional delegation of authority and unconditional delegation of authority (c) formal delegation of authority and informal delegation of authority (d) direct delegation of authority and intermediate delegation of authority.

(a) Full delegation of authority and Partial delegation of authority: Full delegation of authority exists when complete powers are conferred on the subordinate by the superior and the former has full powers to undertake and execute a task. For example, a diplomatic representative enjoys "full powers" of negotiation in the interest of his or her nation. Partial delegation of authority implies that an employee has to seek the advice or guidance of his superior before making decisions in certain matters.

(b) Conditional delegation of authority and Unconditional delegation of authority: Delegation is conditional when the action of a subordinate needs to be confirmed by the superior and may also be reviewed by the superior. In case of unconditional delegation of authority, the subordinate can act in his or her full discretion without any reservations.

(c) Formal delegation of authority and Informal delegation of authority: Delegation of authority is formal when it is laid down in the form of written rules. Delegation of authority is informal when it is based on customs and conventions.

(d) Direct delegation of authority and Intermediate delegation of authority: In case of direct delegation of authority, there no third party intervenes between two parties to delegation. In case of intermediate delegation of authority, delegation of authority is made through a third person. Mooney pointed out the example of the election of the President of the United States by the American people through the institution of the electoral college as an example of intermediate delegation of authority.



CHECK YOUR PROGRESS

Q 4: Write the meaning of delegation of authority.

.....

Q 5: Explain the meaning of Formal delegation of authority and Informal delegation of authority.

.....

Q 6 : Explain the meaning of Direct delegation of authority and Intermediate delegation of authority.

.....



10.5 LET US SUM UP

- The term coordination is defined as the process of bringing about unity and harmony of functioning and to secure cooperation and team work among the numerous departments comprising the organization. In the absence of coordination, no organisation could function effectively and achieve its objectives, as it would result in the different departments and units of the organisation working at cross-purposes.
- coordination ensures that each department or unit in the organization functions in a way that secures the harmony between their own goals, activities and requirements and those of the other departments.
- coordination is needed to eliminate wastage and duplication of work.
- Modern public administration has become increasingly complex and hence coordination is needed. Functions have become diversified requiring specialists to perform the same.
- In the absence of effective coordination, the heads of various departments may seek to expand their own spheres of influence and thereby infringe upon the jurisdiction of other departments, resulting in wastage of resources.

- Coordination may be classified as internal or external and vertical or horizontal.
- Coordination among the employees of the same department or section is called internal coordination. External coordination arises when the organisation coordinates with other departments and organisations.
- Vertical coordination is that which exists within a department wherein the departmental head coordinates the activities of all working under him. Horizontal coordination takes place sideways between different departments.
- Delegation of authority is a common feature of all types of large-scale organisations. Delegation of authority means conferring of specified authority by a higher authority to a lower authority.
- Authority once delegated may be enhanced, curtailed or withdrawn depending on the need of the situation.
- Depending on the degree of authority delegated, delegation may be of the following types: (a) full delegation of authority and partial delegation of authority (b) conditional delegation of authority and unconditional delegation of authority (c) formal delegation of authority and informal delegation of authority (d) direct delegation of authority and intermediate delegation of authority.



10.6 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.
4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.

10.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1 : The term coordination is defined as the process of bringing about unity and harmony of functioning and to secure cooperation and team work among the numerous departments comprising the organization. In the absence of coordination, no organisation could function effectively and achieve its objectives, as it would result in the different departments and units of the organisation working at cross-purposes.

Ans to Q No 2 : First, coordination ensures that each department or unit in the organization functions in a way that secures the harmony between their own goals, activities and requirements and those of the other departments.

Secondly, coordination is needed to eliminate wastage and duplication of work. This is because when there is no coordination, one department may not know the activities of the other departments with the result that it may unknowingly duplicate the activities of some other department.

Ans to Q No 3 : Coordination may be classified as internal or external and vertical or horizontal

Ans to Q No 4 : Delegation of authority is a common feature of all types of large-scale organisations. Although in all organisations, whole authority is vested in the head of the organisation, yet authority has to be delegated to the various employees down the administrative hierarchy rather than resting the entire burden on the shoulders of the head of the organisation. This is necessary for ensuring effective functioning of the organization based on a systematic distribution of the workload. According to Mooney, delegation means conferring of specified authority by a higher authority to a lower authority. It must be mentioned here that delegation of authority does not give a free rein to the person on whom authority has been delegated but authority has to be exercised within the prescribed limits. Authority once delegated may be enhanced, curtailed or withdrawn depending on the need of the situation.

Ans to Q No 5 : Formal delegation of authority and Informal delegation of authority: Delegation of authority is formal when it is laid down in the form of written rules. Delegation of authority is informal when it is based on customs and conventions.

Ans to Q No 6 : Direct delegation of authority and Intermediate delegation of authority: In case of direct delegation of authority, there no third party intervenes between two parties to delegation. In case of intermediate delegation of authority, delegation of authority is made through a third person. Mooney pointed out the example of the election of the President of the United States by the American people through the institution of the electoral college as an example of intermediate delegation of authority.



10.8 MODEL QUESTIONS

A) Very Short Questions

Q1 : Mention the two types of Coordination.

Q2 : Mention the different types of Delegation.

B) Short Questions (Answer each question in about 150 words)

Q 1 : Explain the meaning of coordination.

Q 2 : Explain the meaning of delegation.

Q 3 : Write about the need for coordination.

Q 4 : Write about Full and Partial delegation of authority.

C) Long Questions (Answer each question in about 300-500 words)

Q 1 : Discuss the need for coordination. Explain the various types of coordination.

Q 2 : Explain the meaning of delegation. Discuss the different types of delegation of authority.

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UNIT 11: STAFF AGENCIES AND LINE AGENCIES

UNIT STRUCTURE

11.1 Learning Objectives
11.2 Introduction
11.3 Staff Agencies
  11.3.1 Meaning of Staff agencies
  11.3.2 Basic Characteristics of Staff agencies
  11.3.3 Types of Staff agencies
  11.3.4 Functions of Staff agencies
  11.3.5 Staff Agencies in India
11.4 Meaning of Line Agencies
11.5 Relationship between Line Agencies and Staff Agencies
11.6 Let Us Sum Up
11.7 Further Reading
11.8 Answers to Check Your Progress
11.9 Model Questions

11.1 LEARNING OBJECTIVES

After going through this unit, you will be able to –

- discuss the meaning and importance of Staff agencies in the realm of administration
- explain the basic characteristics and types of Staff agencies
- elaborate the different functions of the Staff agencies
- discuss the Staff agencies of India
- explain the meaning of Line agencies and their importance in the administrative set up
- discuss the differences between Line agencies and Staff agencies
- explain how Line and Staff agencies are complementary to each other .

11.2 INTRODUCTION

Staff agency is one of the most important components of an organization. Staff agencies provide a helping hand to the executive in the performance of its functions. Their major responsibility is to furnish the executive with necessary information and to give valuable suggestions, which are not at all binding on the executive. Its position is outside the main line of the administrative hierarchy. The Cabinet Secretariat, Prime Minster's Office, Administrative Reforms Commissions are some of the important examples of the Staff agencies operating in Indian administration.

For the smooth functioning of the administrative machinery, formulation of appropriate policies is of utmost importance. Accordingly, in all organisations there are agencies which are entrusted with the task of making decisions and formulating policies. These are the line agencies which enjoy executive powers and lead the entire administrative machinery, whether of the state in general or of an organisation within the state.

Every government conducts its business with the help of a highly elaborate system of organization held together by 'chain of command'. The central hierarchy comprises the Line and assisting the Line are the Staff and Auxiliary agencies.

In this unit we shall learn about staff and line agencies.

11.3 STAFF AGENCIES

Staff agencies are very important components of an organization. The following discussion will give you a wider theoretical understanding about the Staff agencies

11.3.1 Meaning of Staff Agencies

The meaning of the 'Staff agencies' is well brought from literal meaning of the word. Literally 'staff' means 'a stick on which one can lean for support, but which can neither initiate nor decide the movements'. Thus, staff agencies provide a supporting hand to the executives in an organization.

An administrative structure is headed by a Chief Executive who possesses an all embracing power and functions. So the chief

and other executives cannot deliver their functions without the help of a number of subordinate officers. These subordinates who provide every possible help to the executives are known as the Staff agencies. They collect and summarize all necessary information for the benefit of the executives. The Staff greatly reduces the time and energies by planning, analyzing and in less important matters, even deciding things. The Staff agencies prepare the problems before they come to the chief and other executives. The services of the Staff always remain at the background of all executive decisions.

The meaning of the Staff agencies becomes more apparent from the following definitions-

- According to Charlesworth "a staff officer is one who specializes in research, observation and study, and who draws up plans and proposals for approval by the top executive, to whom he is attached collaterally".
- Mooney defines staff as "an expansion of the personality of the executive. It means more eyes, more ears, more hands to aid him in forming and carrying out plans".
- F. A. Cleveland says, "The Staff agencies reach conclusions; their function is to know the facts and with knowledge they make and submit plans…".
- Thus in public administration, staff refers to such activities in an organization which assist the departmental heads or the chief executive in the performance of their functions.



LET US KNOW

Staff system first took its root in the private business management and later on moved on to the government organization.

11.3.2 Basic Characteristics of Staff Agencies

The most striking features of the Staff agencies can be briefly mentioned in the following way-

- The Staff agencies perform 'secondary' functions in administration.
- The Staff agency is basically a research, consultative and advisory body.
- They are not responsible for the actual performance of their duty for which their services have been created and maintained.
- Staff agencies have no power to give any order.
- The Staff always remain in the background; its services are
- The Staff agencies do not directly deal with the people.

11.3.3 Types of Staff Agencies

The Staff agencies render a wide range of advisory and consultative functions on the basis of which Pfiffner has categorized staff agencies into three groups, for e.g. general staff, technical staff and auxiliary staff.

General Staff helps the executive in the performance of his/her administrative functions. They devote most of their time on the planning and deliberation of high policy matters. The Prime Minister's Office (PMO) in India is an excellent example of General Staff. The general staff personnel must have some special qualities like-

- They should be generalists.
- They should have knowledge about various complex matters.
- They should have capacity to co-operate, negotiate, and discuss matters ably.
- They should have patience and persistence as they have to perform the heavy task of collecting data.
- They should not be ambitious to come to the limelight.

Technical Staff is that part of the staff that renders the technical knowledge to the executive in adopting policy decisions. Every decision making needs some perfect technical support. The personnel of the technical staff are from experts and specialist like doctors, engineers, financial experts, planners, architects and so on. Any decision in the field of financial and policy formulations require the opinions of the expert.

Auxiliary Staff performs certain functions common to all departments, most of which are incidental in nature. Their functions are like maintenance of building, purchasing of furniture, training, recruitment, preparation of budgets, which are of secondary in nature. Willoughby calls these functions as "institutional or housekeeping functions". Many scholars like Willoughby and L.D. White do not consider auxiliary agencies as a part of Staff agency as they do not advise or assist in the way the former does. The auxiliary agencies are concerned with the maintenance of the organization and are not concerned with any substantive policy decision making process. They perform functions which are very much complementary to the primary functions. The Government of India has the following Auxiliary Staff agencies-

- The Ministry of Information and Broadcasting
- The Ministry of Parliamentary Affairs
- Department of Legal Affairs
- Department of Personnel and Training.

11.3.4 Functions of Staff Agencies

The Staff agencies render different kinds of help to the executives. Without the help of the staff agencies it is almost impossible to run an administration. In different countries of the world the Staff agencies perform different kinds of functions.

According to L.D. White, the main functions of the Staff are:

- To ensure that the chief executive is adequately and correctly informed.
- To assist the executive in the formulation of future planning.
- To ensure that matters waiting for the decisions of the executive should reach his/her desk promptly, without delay.
- To protect the executive from any ill-considered hasty decisions.
- To secure means of ensuring compliances by subordinates with established policy and executive directions.

Pfiffner gives the following list of Staff functions:

- Advising, teaching and consultation
- Co-ordination not only through plan, but also through human contacts, winning over opposition at all levels of organization etc.
- Fact finding and research
- Planning
- Contact with other organizations and individuals to know what is going on.
- Assisting the line without infringing its authority
- Sometimes exercising delegated authority from the line commander within clearly defined limits

According to Mooney, Staff works have three aspects, namely informative, advisory and supervisory functions. The informative functions of the Staff are to collect relevant information on which the chief is to make decisions. The advisory functions mean that the Staff agency should advise the chief what is to be decided. However, the chief may or may not accept the advice. The supervisory function is to see that the decisions of the Chief executive is properly communicated to and implemented by the Line agencies concerned.

Thus, the functions of the Staff agencies can be summarized as the following:

- Assistance Functions: Staff agencies are to assist, help and support the executives in carrying out their functions. The P.M.O in India does the assistance type of functions in India.
- Information Functions: Through research, study and enquiry, the Staff agency is to give the relevant information to the Line and other executive body of the government.
- Advisory Functions: The Staff is to provide the executive with good and needy advices as to what decision is to be taken, how to manage a crisis situation and the like. The Planning Commission of India gives necessary advice in matters of economic planning and distribution of resources among different states.
- Supervisory Functions: The Staff agency must the see the

proper implementation of the decisions taken by the executive. They must ensure that the decisions taken by the executive is duly communicated to the Line agencies concerned. The Cabinet Secretariat performs this supervisory function in India.

- Delegated Functions: On behalf of the chief Executive, the Staff agency is to do the functions delegated by the former within defined limits. For example, a Press Secretary of the Prime minister issues press notes on behalf of the Prime Minister.

11.3.5 Staff Agencies in India

Some of the important Staff agencies in India can be discussed under the following heads-

Prime Minister's Office (PMO): The Indian governmental system runs around the Prime Minster. The Prime Minister is the head of the government in India. He has enormous power and responsibility. As such he needs the assistance and suggestions from different corners for the fullest delivery of his duty. PMO stands for rendering this kind of services. As soon as India got independence, the Prime Minister stood forth as the chief executive and created a personal secretariat known as the "Prime Minister's Secretariat". Later on this Secretariat was organized and developed in the British model and came to be known as the Prime Minister's Office. During the time of Jawaharlal Nehru, it used to have only 129 members, but gradually its membership increased and at present it works just like a miniature government. It helps the Prime Minister in the discharge of his overall functions and responsibility.

Cabinet Secretariat: The Cabinet secretariat serves the cabinet as well as its Standing Committees. It has an important co-coordinating role in making decisions at the highest level. It submits cases to the Cabinet and its committees, prepares the records of decisions taken and follows up actions for the implementation of such decisions. It is headed by the Cabinet Secretary who is generally the senior most civil servant and is the principal advisor to the Prime Minister. Besides the main Secretariat,

the Cabinet Secretariat comprises some other organizations like- Director General of Security, Research and Analysis Wing, Joint Intelligence Committee, and Special Protection Group.

Union Public Service Commission: UPSC is a constitutional body that has been clearly laid down in Article 315 of the Indian constitution. The Chairman and other members of the Commission are appointed by the President for a period of six years or till the age of 65, whichever is earlier. The main function of the commission is of advisory in nature. It has to render the following functions-

- It shall be the duty of the UPSC to conduct examinations for appointments for central services.
- It shall be the duty of the UPSC, if requested by two or more States to do so, to assist the States in framing and operating schemes of joint recruitment for any services for which candidates possessing special qualifications are required.
- The UPSC shall be consulted on matters related to-
- The methods of recruitment to civil services and civil posts.
- The principles to be followed in making appointments to civil services, in making promotion and transfers from one service to another.
- All disciplinary matters affecting the central Government employee.
- Any claim for the award of pension in respect of injuries sustained by Central Government employee.



LET US KNOW

President Franklin Roosevelt and Jimmy Carter supported the circular arrangement while President Eisenhower and Nixon were in favour of the hierarchical system in White House Office.



ACTIVITY 11.1

Do you think that the Staff agencies in India are significantly important in the administration of the country?

.....

.....



CHECK YOUR PROGRESS

Q 1 : The Prime Minister's Office in Indian administration is ……type of Staff Agencies (Fill in the Blank)

Q 2 : The Ministry of Information and Broadcasting is an Auxiliary Staff Agency. (True/false)

.....

Q 3 : Mention any five characteristics of Staff agencies (within 50 words).

.....

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Q 4 : What are the major functions of the Staff agencies (within 50 words)

.....

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Q 5 : Write down the name of the three auxiliary staff working in the Indian Governmental System.

.....



ACTIVITY 11.2

In your opinion which of the following staff agencies is more powerful in India- the Prime Minister's Office or the Union Public Service

Commission (UPSC).

.....

.....

11.4 MEANING OF LINE AGENCIES

The principal agencies which are organised on the basis of substantive decision-making and executive functions are known as Line agencies. In civil administration the Line authorities are concerned entrusted with the task of making decisions, formulating policies, drawing up plans and ensuring the proper implementation of the policies on the ground. They deal directly with the people, providing services, regulating conduct, collecting taxes, accomplishing the programme authorized by the legislative bodies. They are the central element of the organisation. In contrast, Staff agencies, serve a secondary purpose by assisting the Line agencies without having any command.

Both the terms Line and Staff are derived from the military vocabulary. In the army, the Commander-in Chief has under him Generals, Colonels, Majors, Captains etc. who are all Line officers and command the troops in the field to achieve the objectives of the organization i.e. winning a war. Then, there are officers and men who are engaged in specialized services like supply, transport and medical services etc. which are essential to win a war. They are the Staff agencies in military service.

The Line agencies are one of the most important organs of an administrative system. Line agencies are directly involved in the fulfillment of the primary objectives of the organization or system. They deliver those functions for which the organization has been created. These are organized on the basis of major substantive purpose of the organization or system.

Line units in any government organization function through some organs like the Department, Government Corporation and Independent Regulatory Commissions. Of all these line agencies, the Department is the most important agency in Public Administration and forms an integral unit of the administrative machinery of all countries of the world. In public administration, 'Department' refers to the largest blocks or divisions or compartments, immediately below the Chief Executive. The work of the

government is divided between these departments. It is the biggest and highest unit of administrative hierarchy. Generally, a Minister or a Secretary is entrusted with the authority over a Department for the performance of its tasks.

The Line agency of Independent Regulatory Commissions is available in the United States of America. The line agency of Government Corporation is more popular in developing nations of Asia, Africa and Latin America as compared to the Western countries.



ACTIVITY 11.3

Try to find out the names of certain government departments at the central and state levels.

.....



CHECK YOUR PROGRESS

Q 6 : Both the terms Line and Staff are derived from the .....vocabulary

Q 7 : Line agencies are directly involved in the fulfillment of the primary objectives of the organization or system. (True/False)

.....

Q 8 : Write briefly about Line agencies. (within 60 words)

.....

.....

11.5 RELATIONSHIP BETWEEN LINE AGENCIES AND STAFF AGENCIES

Governmental administration is run by the Chief Executive who is helped by the Line and Staff agencies. In fact, Staff agencies are created to support, aid, advise and assist the Line agencies in performing their executive functions of decision making and policy formulation. The Staff agency is basically a research, consultative and advisory body. Staff agencies have no power to give any order and always remain in the

background.

The major differences between the Line and Staff agencies can be enumerated as follows-

- Line agencies have the right to command, while the Staff agencies have the right to provide advice and assistance only.
- Line agencies directly accomplish the objectives of the organization, while Staff agencies assist the Line to fulfil the objectives.
- Line agencies make operative decisions, while the Staff agencies render ideas for taking decisions.
- The functions provided by the Line are an end itself, while the functions provided by the Staff are means to get that end.
- While the functions of the Line are substantive, the functions provided by the Staff are supportive in nature.
- Line agencies bear final responsibility for results, while the Staff does not take any responsibility for the final work taken by the executive.
- Line agencies remain in direct contact with the people, while the Staff agencies work from behind. Staff agencies do not have any direct contact with the people.

Though the above mentioned distinctions between Line and Staff are apparently visible the present day working of government administration blends the workings of the both Line and Staff agencies. In many cases it becomes difficult to compartmentalize the functions rendered by Staff and Line agencies. It is also not always true to say that the Staff agencies do not have any authority at all. The Staff agencies exert much influence in actual working of the administration; especially the command of the technical staff cannot be undermined by the Line executives. In most of the cases the Line agencies have to accept and carry out what comes from the Staff unit. The Staff agencies with their high skill and expertise influence the decisions of the Line units. In many cases the right to be consulted gives sufficient power to the Staff to intervene effectively in the functioning of the Line units. Staff officers are not directly engaged in the task of decision-making. However, because of their broad knowledge and expertise, the advice given by the Staff agencies is seldom ignored. The necessity of Staff agencies is highly

felt in the modern day administration with its growing size and activities where the Line agencies cannot function without the assistance of the Staff agencies. Therefore, the Staff is indispensable to the Line executives in the performance of their multifarious tasks.

The relationship between the Line and Staff agencies is observed by Pfiffner and Presthus in these words "In general the distinction between the Staff and Line follows that between the direct and indirect labour, the direct being the Line and the indirect being the Staff."



CHECK YOUR PROGRESS

Q 9 : The statement "In general the distinction between the Staff and Line follows that between the direct and indirect labour, direct being the Line and the indirect being the Staff", was made by ..... (Fill in the Blank)

Q 10 : The influence of Staff agencies in comparison to Line agencies is totally insignificant (True/False)

.....

Q11 : Mention any five differences between Line and Staff agencies. (within 50 words)

.....

.....

.....

.....



11.6 LET US SUM UP

- The principal agencies which are organised on the basis of substantive decision-making and executive functions are known as Line agencies.
- In civil administration the Line authorities are concerned entrusted with the task of making decisions, formulating policies, drawing up plans and ensuring the proper implementation of the policies on the

ground.

- In civil administration the Line authorities deal directly with the people, providing services, regulating conduct, collecting taxes, accomplishing the programme authorized by the legislative bodies. They are the central element of the organization. In contrast, Staff agencies serve a secondary purpose by assisting the Line agencies without having any command.
- Both the terms Line and Staff are derived from the military vocabulary. In the army, the Commander-in Chief has under him Generals, Colonels, Majors, Captains etc. who are all Line officers and command the troops in the field to achieve the objectives of the organization i.e. winning a war.
- Line agencies have the right to command, while the Staff agencies have the right to provide advice and assistance only.
- Line agencies directly accomplish the objectives of the organization, while Staff agencies assist the Line to fulfil the objectives.
- While the functions of the Line are substantive, the functions provided by the Staff are supportive in nature.
- Line agencies bear final responsibility for results, while the Staff does not take any responsibility for the final work taken by the executive.
- It is also not always true to say that the Staff agencies do not have any authority at all. The Staff agencies exert much influence in actual working of the administration; especially the command of the technical staff cannot be undermined by the Line executives.
- In most of the cases the Line agencies have to accept and carry out what comes from the Staff unit.
- The Staff agencies with their high skill and expertise influence the decisions of the Line units.
- Staff officers are not directly engaged in the task of decision-making. However, because of their broad knowledge and expertise, the advice given by the Staff agencies is seldom ignored. The necessity of

Staff agencies is highly felt in the modern day administration with its growing size and activities where the Line agencies cannot function without the assistance of the Staff agencies. Therefore, the Staff is indispensable to the Line executives in the performance of their multifarious tasks.

- Staff agencies are very important components of an organization. The meaning of the 'Staff agencies' is well brought from literal meaning of the word. Literally 'staff' means 'a stick on which one can lean for support, but which can neither initiate nor decide the movements'. Thus, staff agencies provide a supporting hand to the executives in an organization.
- The Staff agencies perform 'secondary' functions in administration. The Staff agency is basically a research, consultative and advisory body.
- The Staff agencies render a wide range of advisory and consultative functions on the basis of which Pfiffner has categorized staff agencies into three groups, for e.g. general staff, technical staff and auxiliary staff.
- There are some differences between Staff agencies and Auxiliary agencies.
- The striking similarity between Staff and Auxiliary agencies is that both of them exist to facilitate and help the line agencies in the performance of their responsibility.
- The Staff agencies render different kinds of help to the executives. Without the help of the staff agencies it is almost impossible to run an administration. In different countries of the world the Staff agencies perform different kinds of functions.
- The functions of the Staff agencies can be summarized as Assistance Functions, Information Functions, Advisory Functions, Supervisory Functions and Delegated Functions
- Some of the important Staff agencies in India are Prime Minister's Office (PMO) and Union Public Service Commission.

- Though the distinction between Line and Staff are apparently visible, the present day working of government administration blends the workings of the both Line and Staff agencies. In many cases it becomes difficult to compartmentalize the functions rendered by Staff and Line agencies.



11.7 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.
4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.



11.8 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1 : General Staff

Ans to Q No 2 : True

Ans to Q No 3 : Government administration is run by Chief Executive who is helped by the Line and Staff agencies. In fact, Staff agencies are created as a support base for the Line agencies. The following are the major characteristics of the Staff agencies-

1. The Staff agency is basically a research, consultative and advisory body.

2 They are not responsible for the actual performance of their duty for which their services have been created and maintained.

3. Staff agencies have no power to give any order.

4. The Staff always remain in the background; its services are anonymous.

5. The Staff agencies do not directly deal with the people.

Ans to Q No 4 : Staff agencies are supposed to deliver a number of functions though their functions differ across different countries. Staff agencies are to assist, help and support the executives in carrying out their functions. Through research, study and enquiry, the Staff agency is to give the relevant information to the Line and other executive body of the government. The Staff is to provide the executive with advice as to what decision is to be taken, how to manage a crisis situation and the like. The Staff agency supervises the proper implementation of the decisions taken by the executive. They must ensure that the decisions taken by the executive is duly communicated to the Line agencies concerned. Sometimes the Staff agencies also do the delegated functions on behalf of the chief Executive, within defined limits.

Ans to Q No 5 : Three Auxiliary agencies working in India.

1. The Ministry of Information and Broadcasting
2. The Ministry of Parliamentary Affairs
3. Department of Personnel and Training.

Ans to Q No 6 : military

Ans to Q No 7: True

Ans to Q No 8 : The principal agencies which are organised on the basis of substantive decision-making and executive functions are known as Line agencies. In civil administration the Line authorities are concerned entrusted with the task of making decisions, formulating policies, drawing up plans and ensuring the proper implementation of the policies on the ground. They deal directly with the people, providing services, regulating conduct, collecting taxes, accomplishing the programme authorized by the legislative bodies. They are the central element of the organisation.

Ans to Q No 9 : Pfiffner and Presthus.

Ans to Q No 10 : False

Ans to Q No 11: Five differences between the Line and Staff agencies are as follows:

1. Line agencies have the right to command and take decisions

and help to reach the objectives of the organisation, while the Staff agencies have the right to advise and assist Line agencies to make the goals fulfilled.

2. The functions provided by the Line are an end itself, while the functions provided by the Staff are means to get that end.

3. The functions of the Line are substantive in nature but Staff provides supportive functions.

4. Line agencies have the final responsibility for the works done by the organisation/executive, while the Staff does not take any responsibility for the final work taken by the executive.

5. There is a direct contact of the Line agencies with the people, while the Staff agencies work from behind.



11.9 MODEL QUESTIONS

A) Very Short Questions

Q.1 : The agencies which are organised on the basis of substantive decision-making and executive functions are known as what ?

Q.2 : Which is the most important Line agency in public administration?

Q.3 : Mention any two types of Line agencies.

Q.4 : Mention two Staff agencies working in India.

Q.5 : Mention the three staff agencies into which Pfiffner has categorized staff agencies.

Q.6 : Mention any two special qualities that the general staff personnel must have.

B) Short Questions (Answer each question in about 150 words)

Q.1 : State the meaning of Line agencies.

Q.2 : Mention any four differences between Line and Staff agencies.

Q.3 : Explain the basic characteristics of staff agencies.

Q.4 : Explain the different types of staff agencies.

C) Long Questions (Answer each question in about 300-500 words)

Q.1 : Explain the meaning of Line agencies. Discuss the relationship between Line and Staff agencies.

Q.2 : Explain the major functions provided by the Staff Agencies.

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UNIT 12: DEPARTMENT

UNIT STRUCTURE

12.1 Learning Objectives

12.2 Introduction

12.3 Department

- 12.3.1 Need of Department
- 12.3.2 Bases of Departmentalisation
- 12.3.3 Head of Department
- 12.3.4 Types of Departments

12.4 Let Us Sum Up

12.5 Further Reading

12.6 Answers to Check Your Progress

12.7 Model Questions

12.1 LEARNING OBJECTIVES

After going through this unit, you will be able to –

- describe the need of departments in administration
- discuss the various bases of departmentalization
- explain the role of department in the functioning of administration
- discuss some important government departments existing in India.

12.2 INTRODUCTION

Line units in any government organization function through some organs like the Department, Government Corporation and Regulatory Commissions. This unit attempts to deal with the concept of Department. The subsequent units (Unit 13 and Unit 14) will deal with the Regulatory Commissions and the Government Corporation respectively.

In Public Administration, 'Department' refers to the largest blocks or divisions or compartments, immediately below the Chief Executive. The work of the government is divided between these departments. It is the biggest

and highest unit of administrative hierarchy. Generally, a Minister or a Secretary is entrusted with the authority over a Department for the performance of its tasks. Departmentalization is the process of dividing the work of the government into various departments or other units.

In this unit, you will be acquainted with the functioning of the government through various departments. We will also deal with the need for a department and also the criteria which are generally adopted for making such departmentalization. Besides this, we will be giving you a brief idea of some of the important departments functioning in the Indian administration.

12.3 DEPARTMENT

The Line agencies are one of the most important organs of an administrative system. Line agencies are directly involved in the fulfillment of the primary objectives of the organization or system. They deliver those functions for which the organization has been created. These are organized on the basis of major substantive purpose of the organization or system.

Departments are one of the main elements of Line agency. Departments deliver the most important functions and responsibilities of the government organization. The following points will give you a clear idea on different aspects of departmental organization.

12.3.1 Need of Department

Government organizations work well with the system of departments. The basic purpose of departmentalization is to make the administration manageable as well as to secure the specialized services. The following points will account for the need of departmental organization in administration –

Specialisation: Departmentalization enables an organization to take the benefits of specialized services. Every department is entrusted with some particular functions and they can develop expertise in the concerned works. It leads to the efficient functioning of the organization.

Autonomy: Departmentalization leads to some amount of autonomy to the concerned department. The ministers or secretary has freedom to run the department as they want, of course with adherence to rules and regulations. It gives them motivation to take

up plans and works in the department.

Fixation of Responsibility: Departmentalization fixes some particular responsibility on particular departments or divisions. It precisely defines the area of operation as well as the responsibility of each division. It also makes a department or an individual accountable for the performance of its job.

Appraisal: Departmentalization leads to easier appraisal of the functions of ministers or departments as specific tasks are assigned to them.

Administrative Control: It helps to manage and control the large works of the administration. The very complex organization can be divided into small and flexible administrative units. It simplifies the whole mechanism of administration.

The complex administrative organizations of modern states urgently need the help of departmental organization. It allows more time to the executive for the consideration of important executive problems.

12.3.2 Bases of Departmentalisation

It is indeed quite difficult to determine the criteria on the basis of which departmentalization of an organization can be done. At different times and places, different factors have entered into the decisions of creating departments. In a general sense, the commonly used criteria/principles in the process of departmentalization are-

- The Functional Criteria or Purpose Principle
- The Process Criteria or Professional Principle
- The Clientele Criteria or Commodity Principle
- The Geographical Principle



LET US KNOW

Luther Gullick has proposed four bases on which work may be divided and departments may be created. These are- Purpose (function), Process (technique), Persons (clientele), Place (territory), popularly known as 4Ps of Gullick.

The following paragraphs will give you an idea of the advantages and disadvantages of adopting these principles or bases of departmentalization.

1. The Functional Criterion or Purpose Principle: In many places all over the world the departmental organization is based on the principle of purpose or function of the department. Under this principle, each major or basic function is organized as a department.

- **Advantages of Functional Criterion or Purpose Principle are:**

(i) It is the most logical and natural form of departmentalization.

(ii) It permits the organization to build expertise and excellence around particular functions which lead to efficiency in the organization.

(iii) It is the most economical principle that helps to eliminate the unnecessary duplication of the same work. It reduces the waste of time and energy which would occur if the units are scattered.

(iv) It helps to fix up responsibility on some particular department. Each department is organized on the basis of their particular function and it can be held responsible for the function for which it has been created.

(v) It makes the administrative organization easily intelligible to the people who can understand the broad purpose and the working of the government.

(vi) It facilitates the hiring, training and career advancement of personnel who are qualified and experienced in their respective fields of specialization.

(vii) It enables the top management to exercise effective control over a limited number of functions.

Keeping in view all these merits of the functional principle, the Hoover Committee recommended that the purpose should be the basis of an organization. It said that “the numerous agencies of the executive branch must be grouped into departments as nearly as possible by major purposes in order to give a coherent mission to each department.”

➢ **Disadvantages of Functional Criterion or Purpose Principle are:**

It does not mean that the organization of department on the basis of functional principle is totally faultless. The following are the major criticisms against the functional principle-

(i) For a large and expanding organization, it becomes difficult to compartmentalize the function of the organization on the basis of purpose or function only. Each day, some new functions come up and the size of the department also increases. In spite of the fact that sub-units are formed to manage such a huge bulk of functions, there emerges some serious problem in co-coordinating these sub-units within the department itself.

(ii) When a department is based on functional grounds certain aspects of the functions may not get adequate attention.

(iii) The heads and other members of a functional department may develop functional bias which tends to hinder organizational unity and harmony.

2. The Process Criterion or Professional Principle: Another important basis for the departmental organization is the process or technique. The word process implies a technique or primary skills more or less specialized in nature like engineering, medical, accounting etc. Departments may be created on the basis of the technique or process involved in the performance of the work. On the basis of the process criterion, a department is organized with those people who have similar professional training or who make similar professional training or equipments.

➢ **Advantages of the Process Principle:**

(i) It ensures the use of the best updated technology.

(ii) It facilitates uniformity and coordination as, for example, if all engineering services are grouped together under one department this would bring about uniformity in budgeting, operational planning, coordination and control.

(iii) This principle is most useful in the context of the career service for government employees.

(iv) Organization by process facilitates cost analysis in the several fields and therefore makes more readily available comparative data for budgeting and accounting.

➢ **Disadvantages of the Process Principle:**

(i) The process principle will make coordination difficult to achieve. Luther Gullick has mentioned that failure on the part of one department may spoil the whole organization.

(ii) It puts more emphasis on the means than on the ends.

(iii) Very often the process basis leads to the appointment of narrow specialists as departmental heads. It leads to the inter-departmental and intra-departmental conflicts.

(iv) Good administration is not only a matter of skill in various technical processes. The government is concerned with the general welfare of the people which is to be done through Social Welfare, Education, and Home Department than through the Engineering or Law Department.

3. The Clientele Criterion or Commodity Principle: When a department is organized to serve a special need of a group of people, the basis of organization of the department is said to be clientele or persons served. For example in India, the Ministry of Minority Affairs is a classic example of this type of organization. These departments deal with the affairs of the particular target group for which they are created just as the Ministry of Minority Affairs looks into the overall development of minorities in the country regarding their health, education, livelihood, job security etc.

➢ **Advantages of the Clientele Principle:**

(i) It makes a good relationship of the common people to that of the administration; a labourer would go to the Department of

Labour only to find solutions to his problems.

(ii) As the Clientele departments are multifunctional, the staff involved in these departments develop the capacity to comprehend and solve problems instead of dealing with them in a fragmentary way.

(iii) It fulfills the social purpose of administration. By focusing on the specific problems of the particular community, it tries to solve the problems of some disadvantaged groups.

➢ **Disadvantages of the Clientele Principle:**

(i) It cannot be used universally. The number of people to be served by a department is a huge bulk of numbers and it will be quite difficult to divide them into groups or it will create thousands of groups. This will create multiplicity of departments which is not at all helpful for the administration to work smoothly.

(ii) Any such departmental pattern would inevitably lead to jurisdictional conflict and duplication.

(iii) It is against the principle of specialization. Being multifunctional, each department will deal with heterogeneous problems of a group.

4. The Geographical Principle: The fourth criterion of departmental organization is based on the geographical location. The Foreign Affairs Department in Indian Government is purely based on this principle. Thus, within the Foreign Affairs Department there are the divisions of African Affairs, Gulf Affairs, Southeast Asian Affairs, European Affairs etc.

➢ **Advantages of the Geographical Principle:**

(i) It caters to the needs of different areas concerned.

(ii) This mode also satisfies an effective medium through which the needs and aspirations of different sections of people can be presented to the administration.

(iii) This form of departmental organization reduces the travel and

communication cost to a large extent.

(iv) A large country, with a huge geographical area, can adopt this principle for domestic administrative organization. The Tennessee River Valley in the USA, under the control of a single federal agency jurisdiction has made it possible to integrate various engineering, power, navigation, housing and agricultural projects.

➢ **Disadvantages of the Geographical Principle:**

(i) It creates difficulties in mapping out uniform national policies.

(ii) Territorial organizations many a time encourages localism and centrifugal forces at the cost of national solidarity.

(iii) Territorial bases of departmental organizations may give rise to narrow regionalism at the cost of the national interest.

(iv) It sets up multifunctional departments against the principle of specialization and division of labour.

From the above discussion, it is apparent that no single principle is absolutely the best. That is why in the organization of the department or a ministry, no single principle is used. The selection of the criteria depend on the circumstances as well as the objectives of the organization. Generally, to fulfill all the purposes of the organization, almost all the four above mentioned principles are simultaneously used by the administrative set up. In many cases they overlap with each other and supplement each other. Each function in a department involves some process and is discharged for a certain section of people, residing in a particular area or region. All these principles are complementary to each other and all are used in all countries for the formation of departments.

12.3.3 Head of Department

In every departmental organization there must be somebody who can be held responsible for the overall management of the

organization. He/she is responsible for the direction, control and superintendence of the activities of the department. Thus, the administrative head of the department has a pivotal position in the organization of the department. Sometimes there is a single head who takes up all the responsibilities of the department and many a time, there are a group of persons who are jointly held responsible for all the works of the department. The former is called Single Head or Bureau type of organization while the latter is known as Plural Head or Board type of organization.

(i) Single Head/ Bureau Type Head

When the authority to control a department is vested in a single individual, it is known as Bureau system. Most of the government departments follow this system.

➢ *Merits of Bureau system :*

The efficient operation of the administrative activity requires the unity of command, promptness of decisions and performance. This is very much possible through the working of single headship in the administrative set up. The following are the major advantages of the Bureau system of organization.

m Under this system, as all the powers are vested in one individual, he/she can take decision without depending much on the subordinate staff.

m Prompt decisions can be taken under the control of a single head without going to debates and much controversy.

m It is most suitable in those activities that require discipline and unity of purpose.

m The single headship often leads to efficient, quick and effective administration.

m Bureau system is most suited .to the organizations where

systems have been established, procedures have been laid down and standards are well established.

- Bureau system clearly defines and locates the responsibility of departmental workings.

➢ **Demerits of Bureau system :**

- Concentrated and singly vested power often results in autocratic administration. It is also highly prone to corruption.
- The single head may find it difficult to resist political pressure.
- Under the Bureau system, the single head may become overburdened which may result in inefficient administration. It may also lead to delay in decision making.

(ii) Plural Head/Board Type Head

It implies a kind of organization where the powers are vested not in a single individual but a group of individuals. Each Board or Commission is generally headed by a Chairperson.



LET US KNOW

There is difference between Board and Commission. According to Willoughby, “A Board is a group of members who are required to act collectively upon matters falling within their respective jurisdiction….A commission is a group of members having the duty not only of acting collectively as a Board, but also of serving individually as heads of organizational units that have been set up for the performance of administrative work that has to be done.”

There is difference between Board and Commission. According to Willoughby, “A Board is a group of members who are required to act

There are different kinds of Boards operating in the administrative set up of a country. These Boards can be classified under the following divisions-

(a) *Advisory Boards*:

Advisory Boards are attached to each department to provide necessary suggestion to the department. But the suggestions rendered by such bodies are not binding on the Department. The Central Advisory Board of Education in India is an example of the same.

(b) *Administrative Boards*:

Administrative Boards are those which function as the head of the departments. For example, the Railway Board is the administrative head of Railway Department. Similarly, the Central Board of Direct Taxes is also an example of Administrative Board.

(c) *Board Tied into Hierarchy*:

Board Tied into Hierarchy is a kind of departmental board tied down with the immediate levels of administrative hierarchy. They do not have the power to run the administration, but are entrusted with some kind of quasi- legislative or quasi-judicial function regarding specific matters. The Electricity Board is an example of this kind of Board.

- *Merits of the Plural Head/Board Type Head :*
  - It is most useful in those organizations that have not yet developed settled guidelines or rules or regulations. In this case, deliberation and discussions are needed to discover the right course of action.
  - The plural executive can cope up with the necessary outside pressure.
  - It can prevent the discretionary and autocratic power of the single individual.
  - It gives an impartial attitude in the process of decision making. As decisions are generally taken after a common consensus among the members, its decisions are held as impartial.
- *Demerits of the Plural Head/Board Type Head :*
  - There is a problem of locating the responsibility under the plural head.

- It stands in the way of quick and prompt delivery of functions.
- The decisions of the board are often based on the principle of compromise which may not be rational enough to achieve the desired objective.
- It very often leads to disintegration and lack of well articulated direction in administration.

In general practice, the single system of headship is preferred all over the world because of its unity of command and quick decision making power. The plural or Board system is used to serve specific purposes only.



LET US KNOW

In India, we generally follow the Bureau type of head in governmental organization. On the political side, it is the Minister in charge of the department, and on the administrative side it is the Secretary. Some of the departments in India are headed by plural bodies such as Board or Commissions like the Central Board of Direct Taxes, the Central Board of Excise and Customs which control income tax and excise and customs respectively.



CHECK YOUR PROGRESS

Q 1: In a general sense, the commonly used criteria in the process of departmentalization are the Purpose Principle, the Professional Principle, the Commodity Principle and the .....Principle. (Fill in the Blank)

Q 2: Departmentalisation helps to manage and control the large works of the administration. (True/False)

.....

Q 3: Mention four advantages of the Bureau system of organization

.....

.....



12.4 LET US SUM UP

- In Public Administration, 'Department' refers to the largest blocks or divisions or compartments, immediately below the Chief Executive. The work of the government is divided between these departments.
- The basic purpose of departmentalization is to make the administration manageable as well as to secure the specialized services.
- There are some principles used for departmentalisation, such as - Functional Criteria or Purpose Principle, Process Criteria or Professional Principle, Clientele Criteria or Commodity Principle, Geographical Principle.
- In every departmental organization there must be somebody who can be held responsible for the overall management of the organization. Sometimes there is a single head who takes up all the responsibilities of the department and many a time, there are a group of persons who are jointly held responsible for all the works of the department. The former is called Single Head or Bureau type of organization while the latter is known as Plural Head or Board type of organization.



2.5 FURTHER READING

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12.6 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: Geographical

Ans to Q No 2: True

Ans to Q No 3: Four advantages of the Bureau system of organization are-

1 Prompt decisions can be taken under the control of a single head without going into debates and much controversy.
2 It is most suitable for those activities that require discipline and unity of purpose.
3 The single headship often leads to efficient, quick and effective administration.
4. Bureau system is most suited .to the organizations where systems have been established, procedures have been laid down and standards are well established.



12.7 MODEL QUESTIONS

A) Very Short Questions

Q 1 : Mention any two bases of departmentalization .
Q 2 : Write the meaning of the Bureau type head.

B) Short Questions (Answer each question in about 150 words)

Q 1 : Discuss the need of Department in administration.
Q 2 : Explain the two types of heads of department.
Q 3 : Mention any two advantages and two disadvantages of the Clientele Principle.

C) Long Questions (Answer each question in about 300-500 words)

Q 1 : Write the meaning of a department. Explain the need of Department in administration.
Q 2 : Explain the criteria to be adopted for making departmentalization of an organization?
Q 3 : Discuss the different types of heads of department.

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UNIT 13 : INDEPENDENT REGULATORY COMMISSIONS

UNIT STRUCTURE

13.1 Learning Objectives

13.2 Introduction

13.3 Independent Regulatory Commissions

- 13.3.1 Basic Features of Regulatory Commissions
- 13.3.2 Regulatory Commissions in the United States of America
- 13.3.3. Functions of Regulatory Commissions
- 13.3.4 Advantages of Regulatory Commissions
- 13.3.5 Criticisms against Regulatory Commissions

13.4 Independence of Regulatory Commissions

13.5 Let Us Sum Up

13.6 Further Reading

13.7 Answers to Check Your Progress

13.8 Model Questions

13.1 LEARNING OBJECTIVES

After going through the unit, you will be able to-

- describe the growth of Regulatory Commissions in the context of the U.S.A.
- discuss the characteristic features of the Regulatory Commissions
- elaborate the advantages of Regulatory Commissions
- evaluate the role of Regulatory Commissions in the administrative system of the U.S.A.

13.2 INTRODUCTION

This unit will introduce you to one of the line Commissions specially existing in the United States of America- the Independent Regulatory Commissions. The Regulatory Commission is a peculiar American variety of administrative unit evolved out of the special constitutional set up of the United States of America. It is largely concerned with the regulation and control of the private property and private economic activities for the purpose of safeguarding the social interest. The need for such commissions became necessary with the growing industrialization of that country during the 19th century. At present, there are several Independent Regulatory Commissions, working in the USA.

The Regulatory Commissions, especially prevalent in the USA, are autonomous in the sense that these are neither responsible to the President nor do they report to the President. But Regulatory Commissions are not independent of the Congress which has established these Commissions and has defined their constitution and functions. In the same way the judiciary has the power to examine the legality of their proceedings and can declare them as void.

13.3 INDEPENDENT REGULATORY COMMISSIONS

The commissions or boards or Commissions which function independently of the executive and have the power to formulate their own policies and control their finances are known as Regulatory Commissions, very often termed as Independent Regulatory Commissions. They are called 'Regulatory' chiefly because they are established in order to regulate certain activities of the citizens or groups of people. Regulatory Commissions constitute an administrative set up peculiar to the USA.



LET US KNOW

Inter-State Commerce Commission is the first Regulatory Commission, set up by the Federal Government in 1887

13.3.1 Basic Features of Regulatory Commissions

Regulatory Commissions have some peculiar features which can be discussed in the following manner-

➢ *Independent of the Chief Executive:* The first important feature of the Regulatory Commission is that it is almost independent of the Chief Executive and has the power to formulate its policies and control its own finances. The members of the Commissions remain in office longer than the President and also all members do not retire at a time. So the President has little chance to control the membership of the Commissions, even though the members are appointed by the President with the consent of the Senate. The President cannot remove the members like other civil servants. He can remove them only on the causes specified in the Statute itself. Again the decisions of the Commissions or the Commissions are final and are not subject to review or veto by the President. That is why they have been described as 'headless' as they are not under the head of the Federal Government or any other executive authority.

➢ *Direct Control of the Legislature*: The Regulatory Commissions are independent of the executive, but it is not independent of the Congress which has created it. It is the Congress that supplies the Commission with funds from year to year. The Congress can also terminate it, modify its policies, and can increase or decrease its financial resources at will. However, the control of the Congress is only general in nature. It cannot control the details of the policies and actions of the Regulatory Commissions.

➢ *Mixed Functions:* The functions of the Regulatory Commissions are of mixed nature – administrative, quasi-legislative, and quasi-judicial. For example, the Inter-State Commerce Commission of the USA is charged with national transportation system; this involves policy determination through rules and regulations which is a quasi-legislative work. The Commission is to enforce these rules and regulations which is an administrative work. Finally, it has also to decide if these rules and regulations have been complied with or not. It is a quasi-judicial work. Thus, the work of the Commission involves a mixture of legislation, administration and

adjudication. It is because of the mixed nature of their function that that have been called "the fourth branch of he government", for they do not fit into any of the three traditional branches of government, i.e. executive, legislature and judiciary.

- *Management by Experts:* The Regulatory Commissions are constituted to perform and regulate such works which are of technical in nature and cannot be given to the Government Departments. Thus the activities of the commissions are placed in the hands of the Boards of Experts free from political pressure.

- *Financial Independence:* Efforts have been made to make the Regulatory Commissions financially independent. It holds funds in its own name which are annually granted by the Congress. It enjoys complete autonomy in the management of their funds and is not responsible to the chief executive in the handling of the funds.

- *Collegial Type of Organization*: These Commissions are organized on the pattern of board or commission. They are collegial, consisting of a group of people discussing or arriving at decisions by majority vote.

13.3.2 Regulatory Commissions in the United States of America

As mentioned earlier, Regulatory Commissions are a peculiar development in the administration of the United States of America. These are set up with the idea that they should be insulated from regular Presidential leadership. The Inter-State Commerce Commission, the first Regulatory Commission, was set up in 1887 to regulate such means of transportation as railroads and shipping lines engaged in interstate commerce. Eleven such other Commissions were subsequently created. Some of the Regulatory Commissions are as follows:

- The Inter State Commerce Commission 1887
- The Board of Governors of the Federal Reserve System 1913
- The Federal Trade Commission 1914

- The Federal Energy Regulatory Commission 1930
- The Federal Communication Commission 1934
- The Securities and Exchange Commission 1934
- The National Labour Relations Board 1935
- The Federal Maritime Commission 1936
- The Civil Aeronautics Board 1938 and 1940

The Regulatory Commissions is set up under a Statute passed by the Congress. The members of the Commission/ Commissions are appointed by the President with the consent of the Senate for a term varying from 5-14 years. Most of these Commissions have five members each. Except in the case of National Labour Relation Board and Board of Governors of the Federal Reserve System, membership has to be bipartisan, i.e. must be from both the political parties. The Chairmen of these Commissions are appointed by the President, but the Federal Trade Commission, the Federal Energy Regulatory Commission and Inter –State Commerce Commission select their own chairmen from among their members.



LET US KNOW

REGULATORY COMMISSIONS IN BRITAIN AND INDIA

Some of the important Regulatory Commissions operating in the British administration are the General Medical Council, the Law Society, the Independent School Tribunal under the Education Act of 1944. In India also we have various Commissions and Boards, but these are not organized in the lines of Independent Regulatory Commissions of the U.S.A. Under the Presidential form of Government the Regulatory Commissions in the U.S.A act outside the control of the executive. In fact, the very emergence of these commissions in the U.S.A is the result of deep distrust of the Congress in the powers of the President. But in case of the Parliamentary system of government like Britain and India, regulatory Commissions work with accountability to the executive. Of late, some commissions have been set up in India also, like the Monopolies and Restrictive Trade Practices Commission (MRTPC), Urban Art Commissions, Securities Exchange Board of India (SEBI), Telecom Regulatory Authority of India (TRAI).

13.3.3 Functions of Regulatory Commissions

The Regulatory Commissions perform administrative, quasi-legislative and quasi-judicial functions. These Commissions regulate the economic activities by three different procedures-

- By rule making, which means by elaborating and defining the general norms as laid down in the parent acts.
- By administrative methods, such as licensing, inspection, publicity etc.
- By case–by-case decision method, which is used on complaints against the violation of the law or norms laid down.

According to Pfiffner the functions of the Commissions are three-

- To inform the industry and other regulated groups about the objectives of public policy in so far as regulation is concerned.
- To discover and promulgate the rules and regulation which will ensure that this policy is achieved.
- To enforce such regulations either by adjudicating controversies arising between the public and the interest regulated or by prosecuting acts which violate the established policy.

The following paragraphs will give you a brief idea about the functioning of different Regulatory Commissions in the U.S.A.

- ***The Inter-State Commerce Commission:*** The major function of this Commission is to develop, coordinate and preserve a transport system by rail, water, road and other means. It has to promote safe and adequate services for the people. It has to fix the reasonable charge for transport as well as to prevent unfair competition among different Commissions.

- ***The Board of the Governors of the Federal Reserve System:*** This Board determines the general monetary conditions, credit and operating policies and makes necessary rules and regulations for the purpose. It has to control the credit condition and to supervise the member banks.

- ***The Federal Trade Commission:*** Its duty is to prevent unfair methods of competition in trade. It safeguards the entire economic system so as to maintain conditions of free competitive enterprise.

- ***The Federal Energy Regulatory Commission:*** The function of this Commission includes licensing of hydro-electric projects, transmission and sale of electric energy and natural gas.

- ***The Federal Communication Commission:*** It regulates interstate and foreign wireless, radio and television communication.

- ***The Securities and Exchange Commission:*** It is entrusted with the function of protecting the interest of the public and the investors against the malpractices in the securities and financial market.

- ***The National Labour Relations Board:*** It investigates the unfair labour practices by the labour union and victimization of the employees by the employers.

- ***The Federal Maritime Commission:*** It encourages the maintenance of a merchant marine for the purpose of national defence and commerce.

- ***The Civil Aeronautics Board:*** It has the function to foster and encourage the development of air transport system adequate to the domestic and foreign need of the country.

It may be mentioned here that the jurisdiction of all the Regulatory Commissions in the USA extends to the entire territory of the country.



LET US KNOW

The major functions of the Regulatory Commissions are-

- They set up standard, rules and regulations to govern the behavior of a particular industry.
- They enforce these standards, rules and regulations
- They prosecute the defaulters.

13.3.4 Advantages of Regulatory Commissions

Regulation of private business enterprises is a challenging task especially when there are big enterprises with high purchasing power. Under such conditions, it is difficult for any organization to maintain complete impartiality to all the parties concerned. There are the dangers of corruption, nepotism and unfairness. There are two main advantages of the Regulatory Commissions for which they have been created; *firstly*, in fields where public policy was in experimental and developmental stage it was thought essential to permit the gradual continuous definition of rules of conduct by an expert commission free from political and other external pressure. *Secondly,* these commissions or Commissions were set up so as to separate the quasi-judicial determinative power of the commission from the executive branch. In order to protect the integrity of the quasi-judicial determinations, the Regulatory Commissions were placed outside the influence of the executive branch.

The major points of advantages of the Regulatory Commission are mentioned below:

- It creates a device that makes it possible to exclude the quasi-legislative and quasi-judicial activities from the hands of bureaucracy.
- It keeps the activities of national importance and of a technical nature outside the bane of party politics.
- It brings different shades of opinion and interest together to shoulder a national problem.
- By making it plural headed, it insulates the process of business from partisan political forces.

13.3.5 Criticisms against Regulatory Commissions

The independence of the Regulatory Commissions from the control of the President and the nature of their mixed functions has led to a number of criticisms against them. Some of these criticisms showing the disadvantages of the Independent Regulatory Commissions can be mentioned in the following way-

- It is said that the Regulatory Commissions have created a 'headless fourth branch' in the government of the USA, violating the accepted tripartite separation of power. They lie outside the administrative system headed by the President and may be called an 'island of autonomy' within the U.S administrative system. The Brownlow Committee (1937) declared that "though the commissions enjoy power without responsibility, they also leave the president with responsibility without power".

- The combination of the function of legislation, administration and adjudication may lead to arbitrariness and endanger the rights and liberties of the people. According to Robert.E Cushman this combination of the functions is the most vital and inherent weakness of the Regulatory Commissions.

- It is argued that the Regulatory Commissions are not very effective in either protecting the public interest, or in ensuring the long run progress of the industry. It is because the Commissions act through case by case procedure and they are separated from one another. This view has been expressed by the Hoover Commission of 1949.

- It is said that the administrative independence of these commissions makes the administrative system of the country disintegrated and obstructs effective co-ordination policy. It may also lead to overlapping of functions and conflict of jurisdiction. Critics hold that the President, being the general manager of the national affairs should be the central coordinating authority to which the Regulatory Commissions should be subject.

- Critics argue that these Commissions have created a 'decentralized and chaotic administration'. The Regulatory Commissions can obstruct the effective control of the national policy by non-cooperating with other departments of the federal government. Very often there arise some conflicts of jurisdiction between Regulatory Commissions and other departments.

- Regulatory Commissions have been criticized on the ground of undue laxity and slackness in the performance of their duties and functions. This happens primarily because these Commissions are neither responsible to the President nor accountable to the Congress in any effective manner.

- It is also argued that the Commissions try for self sufficiency in respect of the auxiliary services required and are unwilling to utilize the statistical, legal and similar other services already existing in the department. This means unnecessary duplication of personnel and cost.

Broadly speaking, the Regulatory Commissions are criticized from two fronts- the administrative and the judicial. The administrator condemns them because their existence creates difficulties in integration and coordination. In the same way, the lawyer is opposed to them because their procedure and methods in adjudication do not satisfy the cannons of judicial propriety.

Despite the criticisms levelled against the Independent Regulatory Commissions, it must be mentioned that though the regulatory commissions are not accountable to the President, they are accountable to the people for the delivery of just and impartial decisions.With the massive advancement in industrial and business enterprises, the role of these Commissions is increasing day by day. In this unit, you have read about several aspects regarding Independent Regulatory Commissions.



CHECK YOUR PROGRESS

Q 1: Name at least five Regulatory Commissions existing in the USA.

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Q 2: The first Regulatory Commission in the USA is the Federal Trade Commission. (True/False)

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Q 3: Write down the composition of Regulatory Commission (Within 50 words).

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Q 4: What are the major criticisms against the Regulatory Commissions of the United States? (Within 50 words)

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13.4 INDEPENDENCE OF REGULATORY COMMISSIONS

A Regulatory Commission is set up under a Statute passed by the Congress that defines its constitution and functions. But they are not independent of the Congress that have created them, vested them with authority and supplies them fund. Congress may terminate them, modify their powers and expand or curtail their financial resources at will. They are also not independent of the court. Their actions are subject to the judicial review of the courts like-

- In assuring the use of correct procedures in administrative actions.
- In preventing action in excess of powers conferred by the legislature
- Where administrative action depends on a factual record in making sure that that the evidence in the record is sufficient.

Besides this in personnel administration, the Regulatory Commissions are controlled by the Civil Service Commission. Their budgets are subject to review by the Bureau of Budget.

But the Regulatory Commissions are very much independent of the President. This is evident from the following points-

- All the members do not have the same tenure and their term is longer than that of the President. The President cannot control the membership immediately upon his accession to authority.
- The President can remove the members of the Commission only on the ground specified in the law constituting the respective commissions.
- The decisions of the Regulatory Commission are final as far as the

chief executive is concerned. Their decisions are not submitted to the White House and their decisions are not subject to review, or to veto or to suspension by the President.

- There have been no established channels of communication between the President and the Regulatory Commission. On the inauguration of a new President, the Independent Regulatory Commissions do not wait for receiving the new policy of the new executive, nor is there any regular or intermittent exchange of official views.

Thus the Regulatory Commissions are very much independent of the executive, even though they owe responsibility to the Congress.



CHECK YOUR PROGRESS

Q 5: Why are the Regulatory Commissions termed as 'independent'?

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Q 6: How is the independence of the Regulatory Commissions controlled?

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Q 7: The Regulatory Commission in the United States owes more responsibility to the Congress than to the President. (True/false)

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ACTIVITY 13.1

Can you find out any Regulatory Commissions in India just like its counterpart in the USA?

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13.5 LET US SUM UP

- The commissions or boards or Commissions which function independently of the executive and have the power to formulate their own policies and control their finances are known as Regulatory Commissions, very often termed as Independent Regulatory Commissions. They are called 'Regulatory' chiefly because they are established in order to regulate certain activities of the citizens or groups of people. Regulatory Commissions constitute an administrative set up peculiar to the USA.

- Regulatory Commissions have some peculiar features such as- Regulatory Commissions are independent of the Chief Executive; they are under the direct control of the legislature; they perform mixed functions; they are managed by experts; they enjoy financial independence; they are collegial type of organization.

- Some of the Regulatory Commissions are the Inter State Commerce Commission 1887, the Board of Governors of the Federal Reserve System 1913, the Federal Trade Commission 1914, the Federal Energy Regulatory Commission 1930, etc.

- The Regulatory Commissions is set up under a Statute passed by the Congress. The members of the Commission/ Commissions are appointed by the President with the consent of the Senate for a term varying from 5-14 years.

- The Regulatory Commissions perform administrative, quasi-legislative and quasi-judicial functions.

- The Independent Regulatory Commissions have both advantages and disadvantages.

- A Regulatory Commission is set up under a Statute passed by the Congress that defines its constitution and functions. But they are

not independent of the Congress that have created them, vested them with authority and supplies them fund. Congress may terminate them, modify their powers and expand or curtail their financial resources at will.

- The Independent Regulatory Commissions are not accountable to the President, but they are accountable to the people for the delivery of just and impartial decisions. With the massive advancement in industrial and business enterprises, the role of these Commissions is increasing day by day. In this unit, you have read about several aspects regarding Independent Regulatory Commissions.



13.6 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.

2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.

3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.

4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.



13.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No1 : There are a number of Regulatory Commissions working in the USA. They are part of the line agencies of America. The following are five Regulatory Commissions operating in the US administrative system:

(i) The Inter State Commerce Commission established in 1887

(ii) The Board of the Governors of the Federal Reserve System of 1913

(iii) The Federal Trade Commission of 1914

(iv) The Federal Energy Regulatory Commission came into existence in 1930

(v) The Federal Communication Commission of 1934

Ans to Q No 2 : False

Ans to Q No 3 : The Regulatory Commissions operating in the United States have the jurisdiction over the whole country. Though these are set up under a Statute passed by the Congress, their constitution is not uniform. The members of the Commission/ Commissions are appointed by the President with the consent of the Senate for a term varying from 5-14 years. Most of these Commissions have five members each. But the Board of the Governors of the Federal Reserve System and the Federal Communication Commission has seven members each; the Inter-State Commerce Commission has eleven members. The members are taken from both the political parties (except National Labour Relation Board and Board of the Governors of the Federal Reserve System). The Chairmen of these Commissions are appointed by the President, but the Federal Trade Commission, the Federal Energy Regulatory Commission and Inter –State Commerce Commission selects their own chairman from among their members.

Ans to Q No 4 : The Regulatory Commissions are criticized mainly from two fronts- the administrative and the judicial. The administrator criticizes these Commissions because their existence creates difficulties in integration and coordination. From the judicial point of view these Commissions are criticized as their procedure and methods in adjudication do not satisfy the cannons of judicial propriety. The Regulatory Commissions have created a 'headless fourth branch' in the government of the USA, violating the accepted tripartite separation of power. The combination of the function of legislation, administration and adjudication may lead to arbitrariness and endanger the rights and liberties of the people. It results in overlapping of functions and conflict of jurisdiction. Besides this, as these Commissions are neither responsible to the President nor accountable to the Congress in any effective manner, so they are not bound to work with utmost sincerity and dedication.

Ans to Q No 5 : The Regulatory Commissions working in the USA maintain some kind of independence from the executive. The following points will make this argument clear-

1 The tenure of the members varies from five to fourteen years. Hence

their term is longer than that of the President. The President cannot control the membership immediately upon his accession to authority.

2 The President can remove the members of the Commission only on the ground specified in the Statute constituting the respective commissions.

3 The decisions of the Regulatory Commission are final as far as the chief executive is concerned. Their decisions are not submitted to the White House and their decisions are not subject to review, or to veto or to suspension by the President.

4 Whenever a new President takes charge of the office, the Independent Regulatory Commissions need not to wait for receiving new policy of the new executive. There is no regular or intermittent exchange of official views.

Though the Regulatory Commissions are independent of the President, they are very much under the control of the Congress. In fact, each Regulatory Commissions is established according to the law passed by the Congress. The Congress may remove the members, modify their powers and expand or curtail their financial resources as and when it feels it necessary. They are also not independent of the court. Their actions are subject to the judicial review of the courts.

Ans to Q No 6 : The Regulatory Commissions which is generally termed as independent is not so in the real sense. There are a number of measures to control the independence of these commissions. For example: As a creation of the Statute of the Congress, the Regulatory Commissions are in the control of the Congress that may terminate them, modify their powers and expand or curtail their financial resources at will. They are also not independent of the court. Their actions are subject to the judicial review of the courts The Regulatory Commissions are controlled by the Civil Service Commission in matters of personnel administration. Their budgets are subject to review by the Bureau of Budget.

Ans to Q No 7 : True.



13.8 MODEL QUESTIONS

A) Very Short Questions

Q 1: Mention any two Independent Regulatory Commissions.

Q 2: Mention any two advantages of the Independent Regulatory Commissions.

Q 3: Which Regulatory Commission regulates interstate and foreign wireless, radio and television communication in the US?

B) Short Questions (Answer each question in about 150 words)

Q 1: Discuss some Functions of Regulatory Commissions.

Q 2: Discuss the major advantages and disadvantages of the Independent Regulatory Commissions.

C) Long Questions (Answer each question in about 300-500 words)

Q 1: Explain the features of the Independent Regulatory Commissions.

Q 2: Write a short note on the independence of Regulatory Commissions.

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UNIT 14: CIVIL SERVICE– MEANING AND ROLE; RELATIONSHIP BETWEEN CIVIL SERVANTS AND MINISTERS

UNIT STRUCTURE

14.1 Learning objectives

14.2 Introduction

14.3 The concept of Civil Service

14.3.1 Meaning of Civil Service

14.3.2 Main characteristics of Civil Service

14.4 Functions and Role of Civil Service

14.4.1 Functions of Civil Service

14.4.2 Role of Civil Servants in a Modern State

14.5 Political Executive (Ministers)

14.5.1 Features of Political Executive

14.6 Non-Political Executive (Civil Servants)

14.7 Relationship between Minister and Civil Servant

14.8 Let Us Sum Up

14.9 Further Reading

14.10 Answers to Check Your Progress

14.11 Model Questions

14.1 LEARNING OBJECTIVES

After reading this unit, you will be able to:

- explain the concept of Civil Service
- describe the main characteristics of Civil Service
- discuss the functions of Civil Service
- explain the role of Civil Service in a modern state
- explain the meaning political executive
- explain the meaning of non- political executive

- describe the relationship between ministers and civil servants
- discuss the importance of a harmonious minister-civil servant relationship.

14.2 INTRODUCTION

To run the administration of a state, the need has always been felt for a class of educated, trained and capable professionals. In all countries across the world, and more particularly in the developing countries, the government is increasingly called upon to play an active role in the polity, economy, society. Without such a class of professionals, it would be difficult for the government to carry out the full range of its activities. Accordingly, every country in the world has a machinery called the Civil Service to run its administration which is manned by a class of professionals called the Civil Servants constituting the very backbone of the administrative system.

14.3 THE CONCEPT OF CIVIL SERVICE

14.3.1 Meaning of Civil Service

The activities of the modern state are vast and varied. The state requires a body of persons who are capable enough to serve it and to implement its plans and programmes. The modern scientific age is also characterized by specialization of functions and division of labour. One man cannot perform all the tasks. To deal properly with the complex problems of the modern state, an effective machinery constituting a professional class of trained personnel is called for to perform different jobs of administration. Such a machinery is obtained in the form of the Civil Service and the personnel manning the same are known as Civil Servants.

A Civil Servant is one whose main function is to administer the laws of the land. The Civil Servants are mainly of two classes - lower clerical staff and the higher administrative staff. The higher administrative staff is directly connected with the political head of the department. The lower clerical staff helps the administrative staff and works under its direct supervision and control. The Civil Servants are responsible for successful implementation of the programmes

and policies of the Government. They are to work among the people so that the benefits of Governmental measures reach the people.

Civil Service constitutes an important aspect of modern democratic Government. They can be referred to as the non-political and non-elected functionaries who are responsible for carrying out the administration under the direction and control of the elected representatives of the people. They are also responsible for ensuring the observance of the law of the state.

14.3.2 Main Characteristics of Civil Service

There are some important characteristics of the civil service which can be discussed in the following way -

- One of the most important characteristics of the civil service is that it consists of a professional class of officials. They are skilled, trained and permanent officials of the state. They are salaried professionals.
- Another important characteristic of civil service is that it is organised hierarchically. By hierarchy, it is meant that the civil servants are organised in such a manner that each lower official is responsible to his immediate superior-subordinate relationship. Every higher official has to supervise the officials lower to him in the system of ranking.
- The civil servants should be neutral in performing their responsibilities. They should not show affiliation to any political party. They are to serve under any party which comes to power and carry on the administration according to the laws of the land.
- Civil service is also charactersised by impartiality. The civil servants are the servants of the state and they have to serve it without showing favour or disfavour to any particular group of the society.
- Anonymity is another characteristic of civil service. The civil servants perform the maximum functions of the administration, but for that they are not praised or criticised. For the success or failure of administration, it is the ministers who are praised or criticised. The civil servants remain behind the curtain.
- Another characteristic of the civil service is public accountability. The civil servants are accountable to the

representatives of the people for whatever they do. Their actions are subject to persistent scrutiny and so they always have to behave in a proper manner.

➢ The functions of the civil servants have been laid down in the laws of the land. That means they have well-defined areas of responsibility. They have to work under limitations which have been imposed on their job by the laws.

➢ Civil service is also sometimes called bureaucracy. It is also called because bureaucracy refers to a professional class of technically skilled persons, who are organised in a hierarchical way and who serve the state impartially. This definition is applicable to the civil service as well.

➢ The civil servants are also called permanent executives unlike the ministers who are political executives. The political executive is temporary. The civil servants are appointed on a permanent basis and they continue to function till the end of their career period. The ministers may come and go after every election, but the civil servants remain.



CHECK YOUR PROGRESS

Q 1: Explain the meaning of Civil Service.

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Q 2: Mention any two characteristics of Civil Service.

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LET US KNOW

A well organised civil service organisation was developed in Europe by Nepoleon during the early years of the nineteenth century. There were historical landmarks which revived and revitalized the civil service system in different countries in different ways. For instance, the report of Sir Stafford Northcote and Charles Edward Trevelyan published in 1874 transformed the British Civil Service. It was mainly concerned with the reconciliation of intellectual qualities with loyalty, integrity and discretion.

14.4 FUNCTIONS AND ROLE OF CIVIL SERVICE

14.4.1 Functions of Civil Service

After going through the characteristics or features of civil service, now we should have a look at the functions of civil service.

➢ The civil servants are regarded as the backbone of the administrative system. So, the running of the administration in an efficient and smooth way is the responsibility of the civil servants. They are to execute and implement the laws which are formulated by the legislature for the welfare of the people.

➢ The civil servants not only execute the laws, but also help the political executive in the formulation of laws as well as in the preparation of different programmes and policies of the Government. The political executives, who are the ministers, are amateurs in administrative matters. So, they require the assistance, aid and advice of the civil servants who happen to be the experts in this field. The civil servants collect various data and information, and prepare drafts of proposed programmes. They provide information regarding the funds and other materials required for the programme to the minister concerned.

- The civil servants are involved not only in the formulation of the programmes and policies of the Government, but they should also involve themselves in the operational planning. They are to evolve the techniques for the proper implementation of such programmes which include manpower, technology, budget etc.

- The civil servants also play an important role in the economic policies of the Government. The preparation of the budget is the handiwork of the civil servants though it is presented by the Finance Minister. The policies regarding taxation and the EXIM policy (Export-Import policy) of the Government are prepared under the guidance of the civil servants.

- Now, it has become a practice on the part of the legislature to keep the bills, passed by it, in skeleton form. When a bill is passed by the legislature, only outlines are mentioned. The details of the bill are left to the civil servants to take care of. The civil servants are to do a lot of exercise to complete the provisions of such bills. This practice is known as *delegated legislation*.

- The civil servants are also to perform certain adjudicative functions. Particularly, the administrative heads of the departments are given some judicial and quasi-judicial (partly judicial) powers to maintain discipline and to protect integrity in departments.

- Another important function of the civil servants is termed as Organisation and Method work. This work is done mainly to bring about improvement in methods of work so as to eliminate waste and achieve effective coordination so as to secure the maximum utilisation of the available resources to achieve the desired results.

- The impact of industrialisation and scientific advancement has pased many challenges to the society. Today, in the field of civil service, the use of computer and modern technology has become essential. To face these challenges, the administration has to train its personnel in the modern technology and the use of computer science. Today the civil has also to deal with the problems of environment and pollution which were unknown before.

14.4.2 Role of Civil Servants in a Modern State

In any modern state, the civil servants play an important role. The main responsibility of the civil servants is to implement the policies which are formulated by the political executive or the ministers. The civil servants are not directly responsible for formulating policies. But they help the ministers with various kinds of information and knowledge. The civil servants may also be called the advisors to the ministers.

The civil servants constitute the permanent executive. They are appointed for a fixed period. The ministers are the political executives who are temporary. Therefore, the continuity of administration and various policies concerning development of the society are maintained and ensured by the civil servants. The political executive formulates the policy only. They are carried out and implemented by the civil servants.

In many cases, the civil servants are the brains behind the various developmental programmes. The goals of development administration can not be reached without the participation and co-operation of the civil servants. They constitute so important a part of the administration that the very success and failure of the Government depend upon them.

The role of the civil servants is also important in the day-to-day administration of the country. They work among the people and people also look to them for guidance and assistance. People approach them for the solution of their problems because they hold the responsibility of running the administration.

The socio-economic development of the country is dependent to a great extent upon the performance of the civil servants. They are responsible for the successful implementation of the plans and programmes which are aimed at achieving social and economic development. They need to be action-oriented.

The civil servants are the essential parts of the modern-day administration. The complex problems of administration are to be handled by the civil servants only. They are responsible for the smooth running of the administration by maintaining law and order.



LET US KNOW

Article 310 of the Indian Constitution lays down that the civil servants holding any post under the Union or belonging to an All India Service would do so during the pleasure of the President and every person holding any post under a State or belonging to any State service would do so during the pleasure of the Governor. Article 311 mentions that the civil servants should not be dismissed or removed by any authority subordinate to that by which he was appointed.



CHECK YOUR PROGRESS

Q 3: Mention any four functions of the Civil Service.

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14.5 POLITICAL EXECUTIVE (MINISTERS)

The political executive is constituted by the periodically elected representatives of the people who are responsible for the functioning of the executive departments as well as for all their acts, policies and programmes. In a parliamentary democracy, the political executive consists of the Council of Ministers headed by the Prime Minister. The political executive is a temporary executive in the sense that it changes after every general election. Its members remain in office for a fixed term (usually 5 years) after which the elected representative have to re-contest elections. They can again become ministers only when the party to which they belong returns to power as the majority party. The ministers are amateurs and their function is to formulate policies and to ensure that these policies and laws are effectively enforced by the civil servants.

14.5.1 Features of Political Executive

Political executive has following key features:

- **Political Character:** The members of the political executive are political leaders. They are representatives of the people . The Cabinet Ministers head the government departments.
- **Non Permanent/ Short Tenure:** Once elected or nominated the members of the political executive remain in office only for a limited tenure. After the completion of each tenure, they have to seek a fresh mandate from the people in elections.
- **Part of Parliament directly or indirectly:** In a Parliamentary form of Government, the political executive are the members of the Parliament directly or indirectly.
- **Policy-making is done by the Political Executive:** Policy formulation and decision making are the primary responsibilities of the political executive. After the policy has been determined, the political executive ensures that the government policies are implemented effectively.
- **Political Executive is responsible and accountable to the people/ Legislature:** For all its policies and decisions the political executive is accountable to the people and legislature. In a Parliamentary form of government, the political executive is continuously and directly responsible to the legislature for all its policies, decisions, programmes and activities.
- **Members of Political executive are generally Amateurs:** The members of the political executive are not specially educated and trained in respect of the departments they head. People from different professional backgrounds could hold different portfolios. For instance, a lawyer could become the defence minister and a philosopher could be the finance minister.



CHECK YOUR PROGRESS

Q.4: The political executive is constituted by the periodically elected representatives of the people. (True/False)

Q.5: Who remains responsible to the people and legislature.

.....

Q.6: The .....Ministers head the government departments. (Fill in the blank)

Q.7: Write four features of political executive.(within 60 words)

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14.6 NON-POLITICAL EXECUTIVE (CIVIL SERVANTS)

The non-political permanent executive i.e. the bureaucracy, consists of the Civil Servants, from the lowest to the highest level, who carry out the day-to-day administration by working in the government departments.In the words of Herman Finer, "Civil Service is a professional body of officials, permanent, paid and skilled".

E.N. Gladden define, "Civil Service is a professional body of neutral experts in administration dedicated to serve the nation irrespetive of their own gain and without reference to party- political views or class interests."

The civil servants are politically neutral, they do not owe allegiance to any particular political party. Their job is to carry out the laws and policies

of the government without any consideration as to which political party is in power. They are specially educated and trained persons who provide expertise to the government work. They are experts and professionals. They tender expert advice and opinion as well as collect, classify and present data to the political executive on the basis of which the latter takes all decisions. They keep all records. Once appointed, they remain in remain in office till the attainment of the retirement age, usually up to the age of 60. They get regular or fixed salaries and are hierarchically organised into higher/ senior and lower/subordinate relationship. Civil servants are duty bound to always work in accordance with 'rules and regulations.'

Although the primary responsibility of civil servants is to implement public policies, yet the civil servants take active part in the porcess of policy formulation by virtue of their expertise. The civil servants provide advice to the political executive on any matter of administration. The complex problems of administration may not be dealt with properly by the political executive. For this purpose, they need the knowledge and expertise of the civil servants. The influence of the civil servants is very much manifest in the decisions of the political executive. The civil servants are permanent officials who are there with their administrative knowledge to serve the people.

The civil service has become an intergral part of the progress and development of society. On allegiance, honesty, efficiency and policy implementation depends the success of failure of administration. The civil servants should tender true advice to the minister, even if they do not like it. The importance of civil service, today, has increased because of the all-sided expansion of state activity.



LET US KNOW

In the words of Glodden, "The requirements of the civil service are that it shall be impartially selected, administratively competent, politically neutral and imbued with a spirit of community.



ACTIVITY 14.1

Try to find out about the functions of civil servants in a welfare state.



CHECK YOUR PROGRESS

Q.8: Civil Servants are politically neutral. (True/ False)

.....

Q.9: Civil servants are duty bound to always work in accordance with 'rules and regulations' (True/False)

Q.10: "Civil service is a professional body of officials, permanent, paid and skilled"..... Who said this?

14.7 RELATIONSHIP BETWEEN MINISTER AND CIVIL SERVANT

The executive under the Parliamentary system of government in India consists of the ministers and the civil servants. In addition to the ministers who heads the departments, each department has a number of civil servants or bureaucrats who assist the minister in the determination of the policy. While the Minister, being the political executive, remains in charge of the department as its overall head, the bureaucratic or non-political head of the department is designated as the Secretary who happens to be a senior civil servant with considerable administrative experience and expertise. After the policy has been determined, the permanent or non-political executive plays an important part in the implementation of the policy. As Warren Fisher has observed "determination of policy is the function of the minister and once a policy is determined it is unquestioned and unquestionable business of the Civil Servants to strive and carry out that policy with precisely the

same energy and precisely the same good will whether they agrees with it or not".

Though theoretically the permanent executive (civil servants) exists merely to assist the political executive (the ministers) in the implemention of the policy, but in reality it has come to play an effective role in the formulation of the policy as well.A minister is a politician who is elected for a definite period of time. Accordingly, he or she may not always be a capable administrator. In contrast, the civil servant possesses administrative experience and is well versed with the administrative procesess and law. The permanent executive provides the necessary data to the ministers on the basis of which he or she determines the appropriate policies.

The civil servants also play an important role in the sphere of legislation. They prepare the various bills and makes available to the minister necessary arguments which the latter puts forth while introducing the bill in the Parliament. After the bill is passed by the Parliament the civil servants provide the details of these bills by laying down the necessary rules.

In the financial sphere also the civil servants play an important role. They prepare the budget proposals and after these proposals are accepted by the Parliament, they regulate the revenues and expenditure based on the budgetary allocations.

It may be noted that the various powers enjoyed by the civil servants in any department formally belong to the ministers while the civil servants merely exercise them on their behalf. The ministers on their part are accountable to the parliament for the efficient functioning of their respective departments and are responsible for all the actions of the departmental civil servants. As per the convention of ministerial responsibility and anonimity of civil servants, it is the ministers and not the civil servants who remain resonsible to the Parliament for the actions of their respective departments. The Parliament does not discuss the lapses of individual civil servants but of the department as a whole. Nor can the minister escape responsibility by

attributing the failure of his or her department to any civil servant. The civil servants are, however, directly responsible to their respective departmental ministers for all their acts of omission and commission. The ministers can take necessary action against the ***erring*** civil servants.

It cannot be denied that cordial relation between the civil servants and the political leaders are vital for the efficiency of administration and the two must operate within their specified spheres. The ministers should avoid interference in matters of day-to-day administration like posting, transfers etc and permit these to be regulated in accordance with the rules. There have been several ocassions in India where the realtionship between the minister and civil servant became strained.The civil servant is likely to tender advice on the basis of his or her administrative experience and training and should have the courage to speak up against any decision which may be politically motivated. The advice of the civil servant must therefore be given due weightage. The minister, on the other hand, is a leader of the people and is answerable to the electorate. As such, the minister will be more conscious of the popular will while formulating policies. This must be appreciated by the civil servant. Accordingly, the minister has to strike a balance between administrative discreetness and popular acceptability while taking any policy decision. Again the ministers must avoid the habit of blaming the civil servants for the lapse of their department and realise that ultimately they are accountable to the Parliament for the efficient working of the department. The ministers should avoid interference in matters of day-to-day administration like posting, transfers etc and permit these to be regulated in accordance with the rules. The minister should try to become well versed with all issues concerning his or her department and acquire the necessary manegerial and administrative skills so that the civil servant cannot mislead him. In a democracy, the elected people's representatives (ministers) should always maintain the upperhand over the permanent executive or bureaucary. Therefore, the ministers must consitently maintain a high level of integrity and commitment so that they can effetively guide their respective departmental civil servants in matters of policy formulation. On the other

hand the civil servants must also fully co-operate with the ministers and place all the facts and policy alternatives before the minister so that he may be able to take right decisions. The civil servants must also try to act in a neutral manner and render their best service to the minister. They should not become political tools to promote the image of a particular minister or party. Further, they must faithfully carry out the decision and policy laid down by the ministers even if they are not in agreement with it, knowing fully well that the ultimate responsibility for the efficient functioning of the departments rests with the ministers. In short, the civil servants and the ministers must work with perfect understanding and avoid going beyond their jurisdictions. Policy making is a joint venture between the political executive and the non-political executive.

In a welfare state like that of India, a harmonious relation between the Ministers and the Civil Servants is very essential. Administration requires professional expertise which a Minister might lack at times. Therefore, he has to rely on the experience and the training of the career civil servants who gather the same in course of their long years in service. It is said that a parliamentary system of government functions to the best advantage of the people when it combines two elements - the democratic and the bureaucratic, the administrative and the political, and the expert and the amateur. The democratic, political and the amateur element is represented by the Minister and the bureaucratic administrative and the expert element is represented by the Civil Servant.



LET US KNOW

A.D. Gorwala has rightly remarked, "The relationship between the ministers and the official of whatever rank and between officials of various ranks is not that of master and servant but rather that of senior and junior collegeues engaged on the same beneficial tasks".



ACTIVITY 14.2

Try to find out the two important functions of ministers. (non-political executive)



CHECK YOUR PROGRESS

Q.11: Write briefly about the convention of ministerial responsibility and anonimity of civil servants. (within 60 words)

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14.8 LET US SUM UP

- The activities of the modern state are vast and varied. The state requires a body of persons who are capable enough to serve it and to implement its plans and programmes. The modern scientific age is also characterized by specialization of functions and division of labour. One man cannot perform all the tasks.

- To deal properly with the complex problems of the modern state, an effective machinery constituting a professional class of trained personnel is called for to perform different jobs of administration. Such a machinery is obtained in the form of the Civil Service and the personnel manning the same are known as Civil Servants.

- A Civil Servant is one whose main function is to administer the laws of the land. The Civil Servants are mainly of two classes - lower clerical staff and the higher administrative staff.

- Civil Service constitutes an important aspect of modern democratic Government. They can be referred to as the non-political and non-

elected functionaries who are responsible for carrying out the administration under the direction and control of the elected representatives of the people. They are also responsible for ensuring the observance of the law of the state.

- There are some important characteristics of the civil service. One of the most important characteristics of the civil service is professionalism, hierarchy, neutrality, impartiality, anonymity, public accountability, etc.

- Civil service performs a wide range of functions in modern state

- In any modern state, the civil servants play an important role. The main responsibility of the civil servants is to implement the policies which are formulated by the political executive or the ministers. The civil servants are not directly responsible for formulating policies. But they help the ministers with various kinds of information and knowledge. The civil servants may also be called the advisors to the ministers.

- The socio-economic development of the country is dependent to a great extent upon the performance of the civil servants. They are responsible for the successful implementation of the plans and programmes which are aimed at achieving social and economic development. They need to be action-oriented.

- Civil service is often criticised as being unresponsive, inefficient, corrupt and politicised.

- The civil servants face various challenges which carrying out their responsibility in a democratic country. They have to deal with the people on the one hand and the political heads on the other. So, to be efficient and to run the administration successfully, they need to dwell on their intellect, confidence and moral purpose.

- The political executive is constituted by the periodically elected representatives of the people who are responsible for the functioning of the executive departments as well as for all their acts, policies and programmes.

- The non- political permanent executive i.e. the bureaucracy, consists of the Civil Servants, from the lowest to the highest level, who carry out the day-to-day administration by working in the government departments.

- While discussing about the relationship between Civil Service and ministers, we have learnt that there is a close relation between them. Civil servants need to fully cooperate with the ministers and place all the facts and policy alternatives before the minister so that he or she may be able to take right decisions.



14.9 FURTHER READING

1) Basu, Rumki (2004). Public Administration-Concepts and Theories. New Delhi: Sterling Publishers Private Limited.
2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). Public Administration. New Delhi: S. Chand & Company Ltd.
3) Naidu, S.P. (2005), Public Administarion-Concepts and Theories. New Delhi: New Age International (P) Ltd.
4) Sharma, Dr. M. P. & Sadana, Dr.B.L. (2000). Public Administration in Theory and Practice. Allahabad: Kitab Mahal.



14.10 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1 : The activities of the modern state are vast and varied. The state requires a body of persons who are capable enough to serve it and to implement its plans and programmes. The modern scientific age is also characterized by specialization of functions and division of labour. One man cannot perform all the tasks. To deal properly with the complex problems of the modern state, an effective machinery constituting of a professional class of trained personnel is called for to perform different jobs of administration. Such a machinery is obtained in the form of the Civil Service and the personnel manning the same are known as Civil Servants.

Ans to Q No 2 : Any two characterstics of civil service are as follows -

(a) Civil service consists of a professional class of officials. They are skilled, trained and permanent officials of the state;

(b) Civil service is hierarchically orgaised. By hierachy, it is meant that the civil servants are organised in such a manner that each lower official is responsible to his immediate superior official;

Ans to Q No 3 : Four functions of the civil service are -

(a) The civil servants are to execute the laws which are formulated by the legislature for the welfare of the people;

(b) The civil servants also help the political executive in the formulation of laws as well as in preparation of different programmes and policies of the Government;

(c)The civil servants are also to perform certain adjudicative functions. Particularly, the administrative heads of the departments are given some judicial and quasi-judicial (partly judicial) powers to maintain discipline and to protect integrity in departments.

(d) Another important function of the civil servants is termed as Organisation and Method work. This work is done mainly to bring about improvement in methods of work so as to eliminate waste and achieve effective coordination so as to secure the maximum utilisation of the available resources to achieve the desired results.

Ans to Q. No.4: True

Ans to Q. No.5: Political Executive (ministers)

Ans to Q. No. 6: Cabinet

Ans to Q. No.7: (i) Political Character: The members of the political executive are political leaders. They are representatives of the people . The Cabinet Ministers head the government departments.

(ii) Non Permanent/ Short Tenure: Once elected or nominated the members of the political executive remain in office only for a limited tenure. After the completion of each tenure, they have to seek a fresh mandate from the people in elections.

(iii) Part of Parliament directly or indirectly: In a Parliamentary form of Government, the political executive are the members of the Parliament directly or indirectly.

(iv) Policy-making is done by the Political Executive: Policy formulation and decision making are the primary responsibilities of the political executive. After the policy has been determined, the political executive ensures that the government policies are implemented effectively.

Ans to Q. No. 8: True

Ans to Q. No. 9: True

Ans to Q. No. 10: Herman Finer

Ans to Q. No.11: As per the convention of ministerial responsibility and anonimity of civil servants, it is the ministers and not the civil servants who remain resonsible to the Parliament for the actions of their respective departments. The Parliament does not discuss the lapses of individual civil servants but of the department as a whole. Nor can the minister escape responsibility by attributing the failure of his or her department to any civil servant. The civil servants are, however, directly responsible to their respective departmental ministers for all their acts of omission and commission.



14.11 MODEL QUESTIONS

A) Very Short Questions

Q 1 : Who constitutes the permanent executive ?

Q.2 : Who constitutes the non-political executive?

Q 3 : Mention any two features of the political executive.

Q 4 : The civil servants are involved not only in the formulation of the programmes and policies of the Government, but they should also involve themselves in the operational planning. (True/False)

B) Short Questions (Answer each question in about 150 words)

Q 1 : Write the meaning of Civil Service. Explain any four characteristics of Civil Service.

Q 2 : Discuss any four functions of Civil Service.

Q 3 : Write a short note on Delegated legislation

Q 4 : Explain the basic features of political executive

Q.5 : Explain the basic features of political executive

Q.6 : Explain the meaning of non-political executive.

C) Long Questions (Answer each question in about 300-500 words)

Q 1 : Examine the role of Civil Servants in a modern state.

Q 2 : Describe the characteristics of Civil Service.

Q.3 : Explain the meaning of political executive and non-political executive.

Q.4 : Describe the the Minister-Civil Servant relationship in a parliamentary government.

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REFERENCES

Books :

1) Basu, Rumki (2004). *Public Administration-Concepts and Theories*. New Delhi: Sterling Publishers Private Limited.

2) Bhagwan, Vishnoo and Bhushan, Vidya (2007). *Public Administration*. New Delhi: S.Chand & Company Ltd.

3) Fadia, Dr.B.L. & Fadia, Dr.B.L. (2000). *Public Administration-Administrative Theories and Concepts*. Agra: Sahitya Bhavan Publications.

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