PG PS S4-02 (DSC)

TWO YEAR MASTER'S DEGREE COURSE
(CBCS in Accordance with NEP 2020)

SEMESTER IV

COMPARATIVE PUBLIC ADMINISTRATION

POLITICAL SCIENCE



Surya Kumar Bhuyan School of Social Sciences

KRISHNA KANTA HANDIQUI STATE OPEN UNIVERSITY

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April, 2025

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Printed and published by Registrar on behalf of the Krishna Kanta Handiqui State Open University.

Head Office : Patgaon, Rani Gate, Guwahati-781 017;
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The University acknowledges with thanks the financial support provided by the **Distance Education Bureau, UGC**, for the preparation of this study material.

MASTER OF ARTS
POLITICAL SCIENCE
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COURSE INTRODUCTION

This course of the Fourth Semester of the MA Programme in Political Science of KKHSOU is titled as "Comparative Public Administration". It is designed to help the learners to have a clear understanding of the different aspects of comparative public administration. It is supposed that the learners of the Master Degree Programme in Political Science should have thorough knowledge about the concept of comparative public administration. Keeping this in view, the course begins with the concept of comparative public administration and its scope which have significantly helped in the development of the concept.

The first unit of the course deals with the concept of comparative public administration. In this unit, the meaning and definition of comparative public administration and scope and horizons of comparative public administration are discussed.

The second unit of the course discusses the origin and development of comparative public administration. In this unit, the post-war rise of comparative public administration; emergence of a comparative politics movement and area for comparative research; comparative public administration movement; comparative administration group (CAG) are also discussed.

The third unit is related with the discussions on merit system and its development in India, UK and USA. Through this unit, the learners will be familiarised with the various aspects of merit system in India, UK and USA.

The fourth unit explains about the recruitment process. The meaning of recruitment, different types of recruitment, methods of recruitment and problems of recruitment in India, UK and USA are discussed in this unit. Similarly, the meaning and definition of Training, methods and techniques of training in India and UK are analysed in the fifth unit.

The sixth unit deals with the concept of promotion. It is related with types and principles of promotion in India and UK. The seventh unit discusses the rank and position classification in India and USA.

The unit eight discusses the scope of employer-employee relations, Whitley Council in the UK, staff councils of India and Joint Consultative Machinery (JCM) Scheme in India.

The unit nine deals with the budgetary procedures and practices in India and UK. Accordingly, legislative control over administration in India, UK and USA are discussed in the unit tenth.

The eleventh unit deals with the legislative control over expenditure in India, UK and USA. In unit

twelve, discussions are made on Administrative Reforms in India before and after Independence and Administrative Reforms in the UK.

The thirteenth unit highlights the concept of ethics in administration in India and UK. It also discusses the principles and practice of integrity, transparency and accountability in India and UK.

The fourteenth unit focusses on the issue of the meaning and nature of good governance, principles and practices in India and USA), e-Governance in India and USA.

While going through the units of the course, you will find that the units are further divided into certain sections and sub-sections, wherever necessary, for your better understanding. 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 interested in learning more elaborately about the concepts discussed in a particular unit. Furthermore, the category called "POSSIBLE QUESTIONS" is intended to give you a hint of the type of questions you are likely to get in the examination.

UNIT 1: CONCEPT AND SCOPE OF COMPARATIVE PUBLIC ADMINISTRATION

UNIT STRUCTURE

1.1 Learning Objectives

1.2 Introduction

1.3 Meaning and Nature of Comparative Public Administration

1.4 Scope and Horizons of Comparative Public Administration

1.5 Let Us Sum Up

1.6 Further Reading

1.7 Answers to Check Your Progress

1.8 Possible Questions

1.1 LEARNING OBJECTIVES

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

- understand the meaning of comparative public administration
- explain the nature of comparative public administration
- discuss the scope and horizons of comparative public administration.

1.2 INTRODUCTION

The study of comparative public administration is gaining importance today which is a product of the Industrial Revolution. Although the comparative studies in administration go back to the days of Aristotle, but as a topic it started in the post Wilsonian era. It was Woodrow Wilson who can be credited with introducing comparative study of public administration. He was the first comparativist, who compared American government system to the Cabinet system in the United Kingdom. He was the first administrative thinkers who argued that politics and administrative were different functions.

It was only after the Second World War and more particularly with the emergence of Afro- Asian and Latin American countries, interest in

comparative studies in administration evolved where scholars started making attempts to make a comparative study of the administrative systems of different countries. Comparative Public Administration, in simple term, refers to a comparative study of the administrative systems and functioning of the governments in different countries of the world. The nature of comparative administration is varied as it includes diverse aspects of an administrative system which ranges from the narrowest studies to the broadest of analysis. In this unit, we will discuss the meaning, scope and horizons of the comparative public administration.

1.3 MEANING AND NATURE OF COMPARATIVE PUBLIC ADMINISTRATION

Comparative public administration is a sub-field of broad public administration discipline. Comparative public administration was described as the theory of public administration which could be applied to diverse cultures and national settings. It is an area of study by which empirical date can be collected and tested (CAG, 1963). Comparative public administration focusses on empirical study of different administrative system and it is interdisciplinary in nature. Hence, Comparative public administration can be defined as the systematic study of administrative system of different countries across national boundaries.

In simple terms, administration refers to the study of the government. Comparative public administration, therefore refers to the study of the administrative systems of different governments of different countries of the world on comparative basis. Therefore, it is seen that comparative administration studies all the intricacies involved in the functioning of an administrative mechanism of the government of different countries in a comparative perspective. It may be noted here that Fred W Riggs is regarded as the father of comparative public administration.

In order to understand the nature of comparative studies in administration reference should be made to the three different trends which were visible and were highlighted by F. W. RIGGS. These are-

1) "normative" to "empirical",

2) "ideographic" to 'nomothetic", and

3) "non-ecological" to "ecological"

1) **Normative to Empirical:** It highlighted the value of study of facts and reality rather than focusing on describing as to what is desirable. This trend gained popularity particularly after the Second World War with the emergence of newly independent states where the traditional studies emphasized upon attaining ideal principles with the primary goal of attaining efficiency and economy the new trend focused on finding out some facts and patterns of behavior of administrative systems.

2) **Ideographic to nomothetic:** Here, a shift was seen from making a descriptive comparative study of administrative systems to a more generalized and theory based analysis of administrative systems. While the ideographic approach was purely descriptive in nature and comparison was only in name which did not contribute in theory building concerning the functioning of administrative systems. The new nomothetic approach helped in building theories and drawing valid conclusions regarding the functioning of different administrative systems from a comparative perspective.

3) **Non-ecological to Ecological:** The non-ecological approach studied the administrative environment in a casual manner with no major attempts to understand the relationship between the environment and the administrative systems. This approach did not help in identifying the sources of difference among various administrative systems. Owing to these limitations, a new approach namely ecological approach was made to make a comparative study of the different administrative systems by looking at the similarities as well as the differences among environmental settings prevailing in different nations and cultures. An attempt was also made to examine the impact of environment and the interrelationship between the system and the environment.

From the above discussion, we may forward the following characteristics of comparative public administration which will indicate the nature of comparative public administration:

- Like behavioural approach, the comparative public administration has general outlook.
- It is interdisciplinary in nature. In its analysis, comparative public administration applies interdisciplinary techniques.
- It is oriented towards empirical approaches.
- The scope of comparative public administration is broad in nature. It can be studied across national boundaries.
- By broadening the process of social analysis, comparative public administration has broadened the field of social research which was limited by natural cultural bonds earlier.

It is thus clear from the above that comparative public administration emerged as a field of study after the Second World War. The first conference on comparative administration was held at Princeton University in the United States in September 1952 under the auspices of the Public Administration Clearing House. The contribution of Comparative Administration Group (CAG) in this regard is worth mentioning.

1.4 SCOPE AND HORIZONS OF COMPARATIVE PUBLIC ADMINISTRATION

Comparative public administration is in its 'youth'. It is relatively a new field of study in the sense that it only emerged after the Second World War. In the words of Raphaeli, 'Comparative public administration is a new comer to the community of academic instruction and research.'

The scope of comparative public administration incorporates various things. Firstly, the study of different things in public and personal administration i.e. comparative study of different incidents, cultural infrastructure, comparison of democratic institutions, their working and organization. Comparative study of different means of control on

administration i.e. legislative, executive, judiciary. The scope has enlarged itself into the realm of functional administration .i.e. education, society and economy as well as comparison of international administration. This means a study of international institutions, local administration or the human behaviour. Also, with the developing nation coming to the forefront after their liberation, the scope of comparative public administration has been more comprehensive with their regard.

The scope of comparative public administration is vast as it includes the study of multiple areas of administrative system ranging from legislative, executive, judicial, infrastructural, comparison of democratic institution, society, economy cultural as well as human behaviour. It deserves to be mentioned here that with the emergence of the developing countries particularly after the Second World War, the scope of comparative pubic administration has become more comprehensive. The study of comparative public administration covers a wide range of areas that are explained below:

Comparative public administrations attempts to study the administrative functions of different countries and then try to adopt the practice which is suitable in one's administrative system. It studies the factors which are responsible for cross cultural and cross national similarities and differences in administrative systems. It makes comparative study of diverse administrative systems in a scientific way.

The scope of comparative study also includes the comparative study of the achievements of different political systems so as to identify the patterns and regularities of administrative actions and behaviour. The studies of comparative public administration also extend in exploring the universal administrative attributes of different political systems.

It also studies the interaction between the administrative and socio-cultural and political phenomena. The study also includes to understand the strategies for administrative reforms as well as to know about the distinctive features of a group of systems. It also attempts to study administrative functions by making cross cultural comparisons of the structures and the processes of administration.

The scope also includes the study of multi organisational nature of public administration and the importance of interaction amongst organisations at local, state as well as national level.

An administrative system is not a - simple entity as there are intricacies of its functioning. In comparative administrative studies, the administrative system is the unit of analysis either wholly or partially. To be very brief, the subject matter of comparison would cover the following areas:

i) Environment in which the administrative system exists and operates

ii) The administrative system as a whole.

iii) The formal structure of the administrative system which includes the following components such as- the pattern of hierarchy, division of work, specialisation, authority-responsibility network, decentralisation, delegation, control mechanisms, procedures, etc.

iv) The informal structure of organization which includes the nature of human groups, the relationships among individuals, motivational system, the status of morale, patterns of informal communication as well as the nature of leadership. The roles assigned to the individuals and the interaction between them.

v) The mechanism of policy making and its implementation including feedback mechanism.

vi) The performance of an administrative system.

The focus of the study of comparative public administration can be conducted through three dimensions namely- macro, middle range and micro level. These studies can be inter-institutional, cross-national, cross-cultural and cross-temporal.

The macro dimension which involves the study of the whole administrative system from their proper ecological perspective that is studying the relationship between external environment and administrative system, like the study of the structure of bureaucracies between two or more nations.

Middle range where comparative study is conducted taking certain important administrative parts that are large both in scope and size. For example, the comparative study of local governments of different countries.

Micro level studies and compares smaller parts of an administrative system such as training, recruitment etc.

It is seen that at present times comparative public administration includes the study of administrative systems from all these three perspectives. To sum up, comparative public administration can thus be defined as the theory of public administration which is applied to diverse cultures and national settings and the body of factual data by which it can be examined and tested. It has threefold tasks that is to encourage research, formulate effective public policy and implementing.

Comparative study of administrative systems can be made on the basis of five different models which are:

Inter-institutional Analysis: Here, two or more administrative systems are compared either wholly or partially like say comparing the administrative structure and working of the home ministry with the defence ministry of a particular country.

Intra-national Analysis: It consists of comparing the functioning of different administrative systems within a country like comparison of district administration of Assam and Bihar.

Cross-national Analysis: It includes comparison of administrative systems of different nations in diverse settings. For example, making a comparative study of the recruitment of judges of India, Thailand and Tanzania.

Cross-cultural Analysis: Here, comparisons are made between the administrative systems of different countries with different cultural settings like- comparing the administrative systems of USA and china one being a capitalist country and the other being a communist country.

Cross temporal Analysis: In this model, administrative systems are compared taking into account different time frames such as- comparing

the present era of democracy with the Nehru era in India or comparing the administrative system prevailing during Ashoka's reign and during Akbar's regime would be a cross-temporal analysis.

Thus, from the above discussion, it can rightly be stated that the scope of comparative public administration is very vast as it includes a wide range of subjects within its purview. The turn of events during and after the Second World War changed the state of the comparative literature drastically. Today, comparative public administration has gained a respectable academic and professional status as evidenced by the continually growing number of bibliographies, books, journals, conferences, teaching courses, professional programmes, etc. However, the importance of comparative public administration lies in its academic utility in terms of scientific and systematic study of public administration and in improving the knowledge about other administrative systems so that appropriate administrative reforms and changes can be brought about in different nations.



CHECK YOUR PROGRESS

Q.1: State the meaning of comparative public administration.

.....

.....

Q.2: ..... was the first administrative thinkers who argued that politics and administrative were different functions. (Fill in the blanks)

Q.3: Fred W Riggs is regarded as the father of comparative public administration. (Write true or false)

.....

Q.4: Write the nature of comparative public administration.

.....

.....

.....

Q.5: Write two models on the basis of which comparative study of administrative systems can be made.

.....

.....

.....



1.5 LET US SUM UP

- The study of comparative public administration is gaining importance today.
- It was Woodrow Wilson who can be credited with introducing comparative study of public administration. He was the first administrative thinkers who argued that politics and administrative were different functions.
- It was only after the Second World War and more particularly with the emergence of Afro- Asian and Latin American countries, interest in comparative studies in administration evolved.
- Comparative public administration is a sub-field of broad public administration discipline. In simple term, it refers to a comparative study of the administrative systems and functioning of the governments in different countries of the world.
- Comparative public administration is interdisciplinary in nature and has bearing on the whole range of public administration with an orientation towards empirical approaches. It covers wide range of subjects which extends to bureaucracy, public policy, human behaviour, finance.
- The first conference on comparative administration was held at Princeton University in the United States in September 1952.
- Comparative public administration can be defined as the theory of public administration which is applied to diverse cultures and national settings and the body of factual data by which it can be examined and tested.
- It has threefold tasks that is to encourage research, formulate effective public policy and implementing.

- Today, comparative public administration has gained a respectable academic and professional status.



1.6 FURTHER READING

1) Johari, J.C. (2017). *Comparative politics.* New Delhi: Sterling Publishers (P) Ltd.

2) Kumar, M. (2004). *Comparative politics and political analysis.* New Delhi: Anmol Publications.

3) Maheswari, S.R. (2001). *Comparative government and politics.* Agra: Laxmi Narain Agarwal.

4) Ray, S.N. (2006). *Modern comparative politics*. New Delhi: Prentice Hall of India Pvt. Ltd.

5) *'Comparative Public Administration'* published by Vikas Publishing House Pvt. Ltd. New Delhi- 110014



1.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: Comparative public administration is a sub-field of broad public administration discipline. In simple term, refers to a comparative study of the administrative systems and functioning of the governments in different countries of the world. It studies all the intricacies involved in the functioning of an administrative mechanism of the government of different countries in a comparative perspective.

Ans to Q No 2: Woodrow Wilson

Ans to Q No 3: True

Ans to Q No 4: The nature of comparative public administration are:

- Like behavioural approach, the comparative public administration has general outlook.
- It is interdisciplinary in nature. In its analysis, comparative public

administration applies interdisciplinary techniques.

- It is oriented towards empirical approaches.
- The scope of comparative public administration is broad in nature. It can be studied across national boundaries.
- By broadening the process of social analysis, comparative public administration has broadened the field of social research which was limited by natural cultural bonds earlier.

Ans to Q No 5: The two models on the basis of which comparative study of administrative systems can be made are:

Cross-cultural Analysis: Here, comparisons are made between the administrative systems of different countries with different cultural settings like- comparing the administrative systems of USA and china one being a capitalist country and the other being a communist country.

Cross temporal Analysis: In this model, administrative systems are compared taking into account different time frames such as- comparing the present era of democracy with the Nehru era in India or comparing the administrative system prevailing during Ashoka's reign and during Akbar's regime would be a cross-temporal analysis.



1.8 POSSIBLE QUESTIONS

A) Very Short Questions

Q. 1 : Who is regarded as the father of comparative public administration?

Q. 2 : Define comparative public administration.

Q. 3 : Write the full form of the term CAG that contributed a lot towards the development of comparative public administration.

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

Q. 1 : Write a note on the features of comparative public administration.

Q. 2 : Explain the models on the basis of which comparative study of administrative systems can be made.

Q. 3 : Briefly discuss the development of the comparative public administration as an academic discipline.

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

Q. 1 : Discuss the various dimensions of comparative public administration.

Q. 2: Discuss the different trends in comparative public administration.

Q. 3 : Describe the scope and horizons of comparative public administration.

*** ***** ***

UNIT 2: ORIGIN AND DEVELOPMENT OF COMPARATIVE PUBLIC ADMINISTRATION

UNIT STRUCTURE

2.1 Learning Objectives

2.2 Introduction

2.3 Post-war rise of Comparative Public Administration

2.4 Emergence of a Comparative Politics Movement and Area of Comparative Research

2.5 Comparative Public Administration Movement

2.6 Comparative Administration Group (CAG)

2.7 Let Us Sum Up

2.8 Further Reading

2.9 Answers to Check Your Progress

2.10 Possible Questions

2.1 LEARNING OBJECTIVES

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

- know about the Post-war rise of Comparative Public Administration
- explain the emergence of a Comparative Politics Movement and Area of Comparative Research
- discuss about the Comparative Public Administration Movement and Comparative Administration Group (CAG).

2.2 INTRODUCTION

Public administration is the area which covers the activities of the government. In this respect, a renowned scholar in the field, *L.D. White* remarked that public administration is much wider in scope as it consists of all the activities, functions and operations which is necessary in order to enforce public policies. As such, the development of public affairs depends

on a sound and robust public administration. However, public administration has also its drawbacks. In order to overcome such loopholes and make the system more sound, a trend towards comparative public administration began and it started since the end of Second World War. The beginning of the comparative administration was a remarkable event in the history of the study of administration. Since then, new principles of administration developed and all the system around the world began to understand their drawbacks and started initiating reforms in their administrative system. This unit focuses on the emergence of comparative public administration in the post-world war era and how it later transformed into a movement which was again strengthen due to the existence of comparative administration group (CAG).

2.3 POST-WAR RISE OF COMPARATIVE PUBLIC ADMINISTRATION

We may observe the popularity of the comparative public administration today. However, years ago its status was not the same as today. It was only since the Post-World War II period that the discipline has taken a concrete shape facilitating academic contributions and research from all dimensions. *Max Weber,* the German scholar is generally considered to be the pioneer in the field of comparative public administration. The post-war scholars include, *Robert Dahl, Riggs, Herbert Simon, Edwin Steim* etc. The following are the important reasons for the growth of the discipline of comparative public administration since the latter period of the world war.

- **New innovations in the field of research:** The post-war period witnessed a significant development in the field of research. There were emergence of new vocations, ideologies, technologies and new tools and techniques to study different problems. These developments in the field of research contributed towards the development of interest to study comparative public administration in order to explore new knowledge and possibilities.
- **The emergence of newly formed Nations:** The situation before world war two was different in comparison to that of First World War. It was more concern with the western notion of administration since

democracy and the western model of governance was considered to be the best. But, at the end of Second World War situation dramatically changed. There were emergence of new nations of Asia and Africa after they achieve independence. Subsequently these newly independent nations adopted their own system of administration and were successfull in terms of the existing western ones. These led to the growth of comparative public administration among the countries to understand each other more precisely.

- **Socio-economic and political factors:** If we observe, we will find that the socio-economic and political conditions in each and every country do not match with each other but one thing that is common to all is that these conditions highly affect the public administration of the country. This difference however is much necessary to understand so far as the elite and third world nations are concerned because the difference prevails within nations of the same continent. This difference initiated the development of different public administration in those areas which necessitated their comparative study.
- **Opposed to the traditional method of study:** The traditional approach towards the public administration was negated by many scholar during post-war period. This is because the traditional approach was unable to address the administrative problem created by the war. It was found that the bureaucrats failed to build confidence among the masses and also did not able to cope up with technical, defense and scientific issues especially the nations of Asia and Africa. Moreover, the administration has no human approach towards solving the problems of the common masses. As a result, there was an urgent need felt for the study of comparative administration to build a better alternative towards the existing mode of administration.
- **Growth of the behavioral approach:** After the Second World War, the most significant development in the field of study was the growth of the behavioral approach which directly opposed the idea of traditional approach. The traditional approach lacked the human dimension of study and as such failed to address the administrative problems. On the other hand, the behavioral approach initiated inter-

disciplinary study which helped to understand the problems more accurately. It was now felt that public administration can develop when administrative institutions are comparatively studied on scientific lines and its results are closed to public on whom these are to be applied.

- **Strive towards making the subject independent:** The scholars, especially of the post-war period understood that the subject of comparative public administration should not be based on western understanding only. It should develop its own sound principles just like natural sciences and theories as well. This would enable to solve the contemporary problems and would transform the entire administration towards solving administrative problems more efficiently. The political system of different countries therefore need to be studied analytically and critically on scientific lines.
- **Development of communication and emergence of comparative studies:** The outbreak of World War II altogether changed the perception of the American administration. Earlier it was believed that the American administration is the efficient among all the administration around the world but post-war period gave rise to newly independent nations of Asia and Africa and the new administrative experiments carried out in the nations forced America to establish contact with the nations in order to understand the functioning of those administrative units, as well as the society, culture, economy and polity and locate their shortfalls. This, however led to the emergence of the domain of comparative studies.
- **Financial resources:** After the Second World War, international contacts very rapidly developed. Nations became very close to each other. It was possible to take comparative studies because the affluent societies had sufficient financial resources to spend on research and to provide infra-structural facilities to their scholar to undertake research work. The scholars from developing countries also could study administrative setup of advanced societies under several international programmes and schemes.
- **Existence of power blocks and their interest on the newly born States:** The end of Second World War was the beginning of the division of the world into two power blocks which consisted of the USA and

USSR and their respective allies. Both the power blocks wanted to keep intact their dominance over the newly independent nations. This however led to the emergence of the necessity of comparative studies especially in the administrative domain. Once the trend of comparative studies started it attracted the interest of other scholars and thus led to the production of a number of literatures on the subject.



LET US KNOW

The study of Comparative Pubic Administration as part of subject of public administration, though not very new is at the same time not very old as well. Ordinarily, it studies comparatively two or more organizations, their working and also their structures. This comparison can be both at national as well as international levels. For example, comparison of working of local self-institutions of two or more countries. Similarly, comparison can be made of institutions in different parts of the world with altogether different cultures. For example, a capitalist and socialist country or countries with a parliamentary and dictatorial system.



CHECK YOUR PROGRESS

Q.1: The traditional approach towards the public administration was negated by many scholar during post-war period. (True/False)

.....

Q.2: The behavioral approach was directly opposed to the idea of …….. approach. (Fill in the blank)

Q.3: Comment on how behavioral approach was responsible for the growth of comparative public administration.

.....

Q.4: List out the main factors of the rise of comparative public administration during post-war period.

.....

.....

2.4 EMERGENCE OF A COMPARATIVE POLITICS MOVEMENT AND AREA OF COMPARATIVE RESEARCH

- **Emergence**

The post-world war II period was the stage which was set for the comparative studies. Therefore, the base year of starting of the comparative politics movement can be traced back to 1953. In other words, the comparative politics movement provided basis for comparative administrative movement. It was the Social Science Research Council (SSRC) founded in the same year (1953) after which the beginning of comparative politics movement was observed.

The SSRC approved for the first time a seminar on comparative politics. Subsequently, it also set up a committee on comparative politics as well. The committee on comparative politics comprised of popular scholars as its esteemed members. These included scholars like, *G. Almond, Lucian Pye, Myron Weiner and Sidney Verba* among others. Those scholars showed a deep interest in the study of comparative politics of the nations.

In 1962, another significant step was taken by the committee towards the development of the domain. It organized a special seminar on the 'role of Bureaucracy in political development'. The conference observed wide and popular participations and the papers were published under the title 'Bureaucracy and Political Development'. The particular seminar and interest of the varied scholars significantly contributed in spreading the popularity of the comparative politics movement across nations.

It was understood that to draw a diving line between politics and administration is quite difficult as they influence each other. Bureaucracy now began to be considered not a subordinate but an important sub-system of political system by scholars of politics. There was a new arousal of interest in cross cultural settings and attention was paid on the interaction between political system and bureaucracy.

Next, on the line was Princeton Comparative Administration Conference. In the year 1952, the administration clearing house sponsored a conference

on comparative administration. It also appointed a sub-committee to develop relevant criteria and design for field studies in foreign countries in the area of comparative public administration. The main agreement of the sub-committee is to focus on the study of organizations and administrative systems on one hand and dealt with administrative hierarchy on the other.

In 1953, American Political Science Association appointed an adhoc committee on Comparative Administration which continued its activities till Comparative Administrative Group was set up under American Society for Public Administration. It was this group which did very useful work in the area of comparative public administration.

- **Area**

  The comparative research deals in the following area of study:

  - **It studies different systems comparatively:** Scholars within the domain of comparative research involve themselves in studying different systems comparatively regarding the functionality of the system, culture and mode of governance. It also studies the important events that takes place within a country and tries to understand them in comparison to other.
  - **It comparatively studies working of democratic institutions:** Comparative research also studies the democratic institutions and systems as these function in different countries of the world having voters with different standards of living, political consciousness and political environments. For instance, democratic system working in a developed and a developing country. It also looks comparatively the causes of success and failure of a particular democratic institution in one system or culture and not in the other.
  - **It studies about the ways of controlling administration:** The comparative research, especially in comparative public administration, studies different methods which are essential to make the administration more efficient and productive. It seeks ways to make way for the executives, legislature and judiciary to control administration both in parliamentary and presidential type of government system.

- **It also deals in methods of controlling employees:** The study of comparative research or comparative public administration also covers the methods and techniques by which the employees in an administration could make efficient and their problems can be addressed. The aim is to make the employees more disciplined and duty conscious by comparatively studying the employees' management system of the affluent societies.
- **It studies the administration of social welfare States:** It also studies comparatively the socio-economic and cultural administration of different countries. Since most of the States now are welfare states therefore, much attention is being paid to the administration of social welfare activities and heavy amounts in the budget are provided for undertaking this activities.
- **It studies the working of organs of government:** The area of comparative research in public administration also includes the study of working of organs of governments. The legislature, executive and judiciary is being studied. For example, it deals with studying comparatively the working of the USA, India and UK's organs of government.
- **Institutions of international level are studied:** Comparative research not only deals in studying the administrative institutions in a country or other country but also involves itself in studying institutions of international level. This is done because there are many common problems which thwart the existence of each state and stand as the major challenge of every administration. This includes corruption, terrorism, smuggling and etc.

ACTIVITY 2.1



Try to list out and figure the challenges of the Indian administrative system in comparison to the UK or USA administrative system.



CHECK YOUR PROGRESS

Q.5: In 1953, American Political Science Association appointed an adhoc committee on Comparative Administration, which continued its activities till Comparative Administrative Group was set up under America Society for Public Administration. (True/False)

.....

Q.6: In 1962, another significant step was taken by the committee towards the development of the domain. It organized a special seminar on the role of ……. in political development'. (Fill in the blank)

Q.7: Explain the notion towards bureaucracy during the comparative politics movement.

.....

.....

Q.8: List out the main areas under comparative research in regard to public administration.

.....

.....

2.5 COMPARATIVE PUBLIC ADMINISTRATION MOVEMENT

The comparative movement can be traced back to the eighteenth century Cameralism which was basically associated with the proper and efficient management of government affairs which attracted sufficient numbers of German scholars. In USA, it was both *Hamilton* and *Jafferson*, who took a deep interest in comparative studies. However, the beginning was made by *Woodrow Wilson* who wrote his famous essay, *The Study of Administration* which stressed that the United States of America could borrow certain administrative practices being followed in some European countries, though they differ in spirit. He justified that such borrowings are essential in order to improve one's own administrative model. He wanted to bring positive reforms into the system by comparatively studying other systems. His views were accepted since the spoil system of USA already showed its

defects and weaknesses. This is how the beginning of the comparative public administration took place in USA.

The movement developed further under *F.W. Taylor* in the twentieth century. Here, it is popularly known as the scientific management movement. It began at the time when industrial revolution was at a great height in the USA. This led to the outcome of serious problems as a result of massive industrial revolution. In this backdrop, Taylor put forwarded the scientific management principles known as Taylorism. It laid stress on the observation and measurement and along with that generalization of the principles derived as a result of analysis of data on the other. The scientific management approach of Taylorism soon became very popular as well as effective and laid a strong basis for comparative public administration movement.

Another scholar who has immensely contributed towards the movement of comparative public administration is *W.F. Willoughby* and *L.D. White.* According to him, principles of scientific nature are essential to be applied to the study of public administration. He believed that there are certain fundamental principles of general application which are as good as the principle of physical sciences. He also laid stress on the study of cross-cultural character of principles. On the other hand, *L.D. White* too laid stress on the development of scientific principles of public administration. Therefore, both the scholars urge for desirability, possibility and potentiality of developing principles in public administration.

Finally, under the influence of behavioral revolution which took place since World War II, public administration movement receive a strong impetus. It challenged the traditional approach directly. The traditional approach lacked the human dimension of study and as such failed to address the administrative problems. On the other hand, the behavioural approach initiated inter-disciplinary study which helped to understand the problems more accurately. Therefore, the impact of behavioural revolution in studying comparative public administration was very deep and intense.



LET US KNOW

Though need and necessity of study in Comparative Public Administration was being increasingly felt yet

the pace of progress was very slow. There are many reasons. Among them, the prime reason is because of the two world wars, there were serious economic problems. Whole Europe was faced with the problem of economic depression and reconstruction of economy and as such much attention could not be paid to the development of principles of public administration. Next, is the research for the development of new principles needs heavy amounts which no nation of the world could afford, in the face of solving such problems as poverty, unemployment, food shortage, clothing, shelter etc. Moreover, during this period, USA wanted to remain isolated and her attitude gave a setback to cross cultural studies because at that time the USA was the only country which could spare funds for cross cultural research.



CHECK YOUR PROGRESS

Q.9: Scholars who immensely contributed towards the movement of comparative public administration include W.F. Willioughby and L.D. White. (True/ False)

.....

Q.10: ..... wrote his famous essay, *The Study of Administration*, (Fill in the blank)

Q.11: Discuss the impact of behavioral revolution on comparative public administration movement?

.....

.....

.....

2.6 COMPARATIVE ADMINISTRATION GROUP (CAG)

The comparative administrative group (CAG) or comparative public administration group came into existence in the year 1963. It was named as the Committee of American Society for Public Administration and funded for a long period by Ford Foundation. The CAG however worked and

received fund from other sources also. The group was formed in order to focus on three main activities which include research, teaching and policy making in respect of administration.

The administration of third world countries were also studied by the CAG. It tried to understand their different problems ranging from the socio-economic to political problems. Different teaching materials were also developed with a view to improve the teaching – learning experiences in the domain.

The CAG also involved themselves in organizing seminar and workshops. It established links between government and its officials and the scholars working in the area of comparative research. *Dwight Waldo, Fred Rigs, Alfred Diamant, Emile Sadie* etc. are the scholars who were immensely connected with the group.

The activity of the CAG has enabled the scope of public administration to be widened and made good contact with other social science disciplines. This even led to the setting up of a panel in Paris on Comparative Public Administration in the year 1953 by the USA. Different institutions and schools of comparative administration were also set up in several Asian, African and Latin American countries. Several universities also started courses on public administration which focused on the conceptual framework, problems of administration, local and urban administration etc.



CHECK YOUR PROGRESS

Q.12: The activity of the CAG has enabled the scope of public administration to be widened and made good contact with other social science disciplines (True/False)

.....

Q.13: The comparative administrative group (CAG) or comparative public administration group came into existence in the year …….. (Fill in the blank)



2.7 LET US SUM UP

- It was only since the post-world war II periods that the discipline has taken a concrete shape facilitating academic contributions and research from all dimensions. *Max Weber,* the German scholar is generally considered to be the pioneer in the field of comparative public administration. The post-war scholars include, *Robert Dahl, Riggs, Herbert Simon, Edwin Steim* and etc.
- There are different reasons for the growth of the discipline of comparative public administration since the later period of the world war. This includes- new innovations in the field of research, emergence of newly formed Nations, Socio-economic and political factors, opposed to the traditional method of study, growth of the behavioral approach etc.
- The post-world war II period was the stage which was set for the comparative studies. Therefore, the base year of starting of the comparative politics movement can be traced back to 1953. In other words, the comparative politics movement provided basis for comparative administrative movement.
- It was the Social Science Research Council (SSRC) founded in the same year (1953) after which the beginning of comparative politics movement was observed.
- In 1962, another significant step was taken by the committee towards the development of the domain. It organized a special seminar on the 'role of Bureaucracy in political development'.
- In 1953, American Political Science Association appointed an adhoc committee on Comparative Administration, which continued its activities till Comparative Administrative Group was set up under America Society for Public Administration.
- The comparative research deals in the following area of study:
  - ❍ It studies administration of social welfare States

❍ It also deals in methods of controlling employees and administration

❍ It comparatively studies working of democratic institutions of national and international level

❍ It studies the working of organs of government and different system comparatively



2.8 FURTHER READING

1) Johari, J.C. (2017). *Comparative politics.* New Delhi: Sterling Publishers (P) Ltd.

2) Kumar, M. (2004). *Comparative politics and political analysis.* New Delhi: Anmol Publications.

3) Maheswari, S.R. (2001). *Comparative government and politics.* Agra: Laxmi Narain Agarwal.

4) Ray, S.N. (2006). *Modern comparative politics*. New Delhi: Prentice Hall of India Private Limited.



2.9 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: True

Ans to Q No 2: Traditional

Ans to Q No 3: After the Second World War, the most significant development in the field of study was the growth of the behavioural approach which directly opposed the idea of traditional approach. The traditional approach lacked the human dimension of study and as such failed to address the administrative problems. On the other hand, the behavioural approach initiated inter-disciplinary study which helped to understand the problems more accurately. It was now felt that public administration can develop when administrative institutions are comparatively studied on scientific lines and its results are closed to public on whom these are to be applied.

Ans to Q No 4: There are different reasons for the growth of the discipline of comparative public administration since the later period of the world war. This includes- new innovations in the field of research, the emergence of newly formed Nations, Socio-economic and political factors, opposed to the traditional method of study, growth of the behavioural approach, strive towards making the subject independent, development of communication and emergence of comparative studies, financial resources and existence of power blocks and their interest on the newly born states.

Ans to Q No 5: True

Ans to Q No 6: bureaucracy

Ans to Q No 7: It was understood that to draw a diving line between politics and administration is quite difficult as they influence each other. Bureaucracy now began to be considered not a subordinate but an important sub-system of political system by scholars of politics. There was a new arousal of interest in cross cultural settings and attention was paid on the interaction between political system and bureaucracy.

Ans to Q No 8: The comparative research deals in the following area of study; It studies administration of social welfare state. It also deals in methods of controlling employees. It studies ways of controlling administration. It comparatively studies working of democratic institutions and studies different system comparatively. It studies the working of organs of government and institutions of international level are studied.

Ans to Q No 9: True

Ans to Q No 10: *Woodrow Wilson*

Ans to Q No 11: Under the influence of behavioural revolution which took place since world war II, public administration movement receive a strong impetus. It challenged the traditional approach directly. The traditional approach lacked the human dimension of study and as such failed to address the administrative problems. On the other hand, the behavioral approach initiated inter-disciplinary study which helped to understand the problems more accurately.

Therefore, the impact of behavioral revolution on studies in comparative public administration was very deep and intense.

Ans to Q No 12: True

Ans to Q No 13: 1963



2.10 POSSIBLE QUESTIONS

A) Very Short Questions

Q. 1 : _____, the German scholar is generally considered to be the pioneer in the field of comparative public administration. (Fill in the blank)

Q. 2 : Robert Dahl, Riggs, Herbert Simon, Edwin Steim were the post-war scholars of comparative public administration. (True/False)

Q. 3: What is the difference between Traditional and Behavioral approach to public administration?

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

Q. 1 : Describe in brief the main contribution of CAG towards the study of administration.

Q. 2 : Explain the area of comparative research.

Q. 3 : Describe in your own words the relevance of comparative public administration.

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

Q. 1 : Discuss the main factors under Post-war rise of Comparative Public Administration.

Q. 2 : Critically discuss the emergence of comparative politics movement.

*** ***** ***

UNIT 3: MERIT SYSTEM: INDIA, UK AND USA

UNIT STRUCTURE

3.1 Learning Objectives

3.2 Introduction

3.3 Meaning of the Merit System

3.4 Development of the Merit System in India, UK and USA

3.5 Let Us Sum Up

3.6 Further Reading

3.7 Answers to Check Your Progress

3.8 Possible Questions

3.1 LEARNING OBJECTIVES

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

- know about the meaning of merit system
- explain the developments of merit system in India, UK and USA.

3.2 INTRODUCTION

Public administration is the system that directly affects particularly the lives of the people in the country and the nation itself in general. An efficient and sound public administration is equipped to deliver the goods to the public. However, the efficiency of the administration actually depends upon the officials who are in charge of carrying out the different tasks involved during the process of activities of development and welfare. Earlier, the officials were appointed on the basis of political consideration and patronage which was very much prevalent in the United States of America and in other parts as well. This system of appointment is popularly known as the spoil system. Later on, when the associated problems of the particular system were well realized, the system was transformed into a merit basis one. Now, the individuals are appointed on the basis of their competency, skill, knowledge. In other words, the merit system has come into existence. The present unit deals in providing the meaning of merit system and discussing the development of the merit system in countries like India, UK and USA.

2.3 MEANING OF THE MERIT SYSTEM

The merit system is one of the most important mechanisms of personnel management which strives for promoting the efficiency and economy of the employees along with the promotion of general welfare of the public. This is done by the process of selection and retention of the employees, training during the service, opportunities for promotion and any other matters on the basis of merit. In other words, it is also the policy which seeks to provide employment to the people in public service or any other service on uniform and impersonal lines by evaluating the abilities and achievements of the candidates without giving attention to favoritism and politics. It is the fair and open recruitment system which enables the flow of competent and deserving people into the system.

According to the *Collins Dictionary*, merit system is the system in which employment and promotion of the civil servants is being carried on the basis of the ability of the individual rather than any favour or patronage.

The *Merriam Webster* explains the system of merit as the system in which competence is the sole basis on which people are judge for any appointments or promotion especially in the civil service rather than any political favoritism.

Therefore, the above two definitions clearly signifies in a nutshell that merit system is the recruitment of new people or promotion of the existing one on the basis of merit not on the basis of any quotas, favoritism, patronage or seniority. This is highly beneficial in creating a favorable and quality workplace with the presence of quality people which in turn would serve the people in a proper direction in the long run.

- **Underlying Principles**

The following are some of the general principles of the merit system.

The first important principle of the merit system is that in the process of recruitment of the applicants for a job, the entire process should be free from the influence of any outside source. The selection of the applicants

as well as their advancement should be on the basis of their ability, knowledge and skills. The process should be fair and open in which everyone gets a fair and equal opportunity.

The personnel management system demands to be fair and equitable under the merit system. The system should not be based on any kind of political favoritism, race, color, religion, sex, marital status, sexual orientation etc.

The third underlying principles of the merit system is that the system strive for providing equal pay for equal work and effort, responsibility or skill.

Lastly, the retention and promotion of the employees or the service holders should also be on the basis of merit. Their competency level should be measured on performance and professional achievement not on recommendations from political power or source.

- **Historical Background**

The historical background of merit system can be traced right from the 1800s when there was the practice of the spoil system in filling up the vacancies against the government jobs. It was made popular by the President *Andrew Jackson*. Due to the spoil system which is based on the wish of President to place people for performing the civil jobs led to a violent end and finally took the life of *John Garfield,* the President of United States by a prominent worker of the office in the year 1881 due to the demand for a reform in legislation. As a result of the great tragedy, the US Congress passed the Pendleton Act in the year 1882 which came into existence the merit system for the first time. This particular system now negates the idea of appointment on basis of any political favoritism. Later on, the state and local civil service system became more improved but it was only in the year 1936, the merit system law for the districts school was established for the first time and the credit goes to California for raising its importance that is making the system of merit popular. Soon there was the end of the political spoils men or the spoil system.

- **Merit vs. Spoil System**

As discussed above, in the United States of America for a long time prior to merit system, spoil system was quite common and it was a part of the administrative system. Under this system, it was believed that political party of the President which won elections should control administration. The reasons being that party in power should be rewarded for the labour put by it in running administration and derive benefits. Then, another argument was that administration can run smoothly and policies can be implemented in true sense and spirit if administration is controlled by the party in power. Accordingly, after each election, the President changed his staff and new staff of his choice controlled the administration. The system continued for long but gradually became clear that it had its own defects. The change of staffs in administration created wide gap and dislocations in the smooth working of administration. The state was deprived of several capable and competent administrators because of their political affiliations. Administration became insufficient and corrupt. In fact, spoil system violated every good norms of the administration.

Today, the system has been abandoned in principle, but even in some respects it is still continuing. For example, appointment of foreign diplomats, personal staff of the President and his top advisors etc. can be of worth mentioning. But, even in these areas not exclusively political considerations weigh but merits of the person who is being appointed are taken into considerations. While making appointments, President ensures that the person going to be appointed has enough administrative capabilities.

- **Importance**

The merit system is purely based on the abilities and skills of the individuals who are selected in order to carry out a specific task. Therefore, it provides the organization a lot of benefits to recruit the suitable one for the job. The following are some of the benefits of the merit system. The qualified candidates are selected solely on the merit basis which is tested with an open competitive exam. It has also been observed that political and personal interventions especially in cases of promotion and

appointments thwart the efficiency of the administration because it results in placing people which might not suffice the actual requirements of the organization. As a result, the importance of a fully-fledged merit system has always been felt and therefore maintained.

The merit system always maintained the transparency of the recruitment process. It seeks to make sure that the recruitment announcements of the available vacancies are advertised through public notice and the minimum essential eligibilities are clearly mentioned. This provides a clear understanding for the candidates about the nature of work and keeps the system of merit intact and accountable to the public at large. Moreover, the merit system actually empowers the people because in case of malpractice if involves in the process of recruitment, the employees or public have the right to appeal for disciplinary action against the recruiting agency or personnel commission. It could also demand for a formal hearing before the commission.

The merit system is important not only in case of fresh recruitment but also during the period of service. During classification, employees which are promoted required to go through probation in the new classification. The merit system therefore in this case provides a protection of the job as it prevents political interference or preference in the process. In other words, the merit system is purely based on fixed rules and procedures which need to be followed and maintained throughout the recruitment process by the organization.



LET US KNOW

The Civil Service Reform Act of 1978, which incorporated the merit system principles into the law at section 2301 of title 5, United States Code, stated as national policy that 'to provide the people of the United States with a competent, honest, and productive workforce...and to improve the quality of public service, Federal personnel management should be implemented consistent with merit system principles.'



CHECK YOUR PROGRESS

Q.1: Merit system ensures that the entire process of recruitment remains free from the influence of any outside source. (True/False)

.....

Q.2: In the United States of America for a long time prior to merit system _____ system was quite common. (Fill in the blank)

Q.3: What do you understand by merit system?

.....

Q.4: Write some of the importance of merit system?

.....

.....

.....

3.4 DEVELOPMENT OF THE MERIT SYSTEM IN INDIA, UK AND USA

- **India**

The main backbone of the Indian administrative machinery is the civil service system which is purely at present based on the merit system of appointing officials on services. Patronage ruled the civil service recruitment until 1854 after which the system was transformed into a merit basis. The essence for such an efficient system was also raised by the *Montagu-Chelmsford* Reforms which notes that in order to transform the government of India into a responsible one which will allow the people of India to take part in the public affairs of the country and also in the legislative assemblies, there is an urgent need to engage more and more Indian in the public services. This will also help in producing capable Indian administrators who will in turn help in reducing the administrative burden on the imperial powers.

The present civil service system of India is purely based on the former civil service of the British India. The foundation of the system was

led by *Charles Cornwallis* for which he is regarded as the father of civil service in India. Initially, *Cornwallis* created two categories of the civil service in India. This includes the covenanted and uncovenanted. The covenanted civil service comprises of the British Personnel who are responsible in occupying higher position in the government and administration. The uncovenanted civil service aimed to facilitate the induction of Indian people into the lower parts of the government and administration.

In the year 1919, there was another landmark development which was observed with the introduction of the Government of India Act, 1919 which divided the Imperial service or the civil service of India into two categories. One is the All India Service and other is the Central Service. Later, in the post-independence period, the civil service of independent India grew under the vision and leadership of *Sardar Patel*. The guiding principles of Indian civil service encompass the principle of integrity, impartiality and merit. A full-fledged Ministry for civil service was established which is popularly known as the Ministry of Personnel, Public Grievances and Pensions, located at New-Delhi. The Ministry is responsible for training of civil servants and also their pensions and bringing other necessary reforms in the service.

- **UK**

In the United Kingdom, the merit system has also evolved from the spoil system. Its existence can be traced back from the time when the officials selected for the public offices acted as secretaries for their leaders, who occupied different positions at the court. These officials are selected by the King on the advice of a patron. Later on, these officials are replaced as soon as the patron lost influence. The scenario however changed in the 18th century. During this period, there was the growth of the British Empire. There was also changes took place in the economic system when institutions like Office of Works and Navy Based established and grew to a large extent. This offices started to recruit own staff which were appointed by patrons or

patronage. But, this system and its drawbacks of appointment by the Patronage procedure did not serve the purpose which was clearly understood by the end of the 19th century.

The East India Company in 1806, was the one which contributed to the growth of the merit system in the UK. In 1806, it established a college named the East India Company College near London. The college started to train the new administrators. It was *William Ewart Gladstone,* who in the year 1850, demanded an efficient system of appointment rather than favoritism. Subsequently, a key report named as *Northcote-Trevelyan* Report in the year 1854 resulted in the establishment of a permanent, unified and politically neutral civil service based on merit system. In 1855, the civil service commission was set up to monitor the recruitment process to make it fair and open and to end the system of patronage.

- **USA**

The historical background of merit system in Unites States of America can be traced right from the 1800s when there was the practice of the spoil system in filling up vacancies against the jobs which comes under the government sector was made popular by President *Andrew Jackson*. Due to the spoil system which is based on the wish of President to place people for performing the civil jobs led to a violent end which finally took the life of United States President *John Garfield* by a prominent worker of the office in the year 1881 due to the demand for a reform in legislation. As a result of the great tragedy, the US Congress passed the Pendleton Act in the year 1882 which came into existence the merit system for the first time. This particular system now negates the idea of appointment on basis of any political favoritism. The law now demands the federal government to employ people through competitive exams and on the basis of merit. Moreover, it also prevented the elected officials from removing civil servants under the influence of political power or patronage.

Later on, the state and local civil service system became more improved but it was only in the year 1936, the merit system law for the districts school was established for the first time and the credit goes to

California for raising its importance that is making the system of merit popular. Soon there was the end of the political spoils men or the spoil system. Later on, it was in 1978, the Office of the Personnel Management along with the Civil Service Reform Act came into existence.



ACTIVITY 3.1

Try to list out and figure any new development in the merit system of Indian administration.



CHECK YOUR PROGRESS

Q.5: In the year 1919, there was another landmark development which was observed with the introduction of the Government of India Act, 1919 which divided the Imperial service or the civil service of India into two categories. (True/False)

.....

Q.6: The historical background of merit system in Unites States of America can be traced right from the _____. (Fill in the blank)

Q.7: What are the two categories of civil service introduced by Cornwallis?

.....

.....

Q.8: Briefly explain the Pendleton Act, 1882.

.....

.....

.....



3.5 LET US SUM UP

- The merit system is one of the most important mechanisms of personnel management which strive for promoting the efficiency and economy of the employees along with the promotion of general welfare of the public.

- It is done by the process of selection and retention of the employees, training during the service, opportunities for promotion and any other matters on the basis of merit.
- Merit system is the recruitment of new people or promotion of the existing one on merit basis but not on the basis of any quotas, favoritism, patronage, or seniority.
- This system is highly beneficial in creating a favorable and quality workplace with the presence of quality people which in turn would serve the people in a proper direction in the long run.
- The first important principle of the merit system is that especially in the process of recruitment of the applicants for a job, the entire process should be free from the influence of any outside source.
- The selection of the applicants as well as their advancement should be on the basis of their ability, knowledge and skills. The process should be fair and open, in which everyone gets a fair and equal opportunity.
- The personnel management system demands to be fair and equitable under the merit system. The system should be not be based on any kind of political favoritism, race, colour, religion, sex, marital status, sexual orientation etc.
- The third underlying principles of the merit system is that the system strive for providing equal pay for equal work and effort, responsibility or skill.
- The retention and promotion of the employees or the service holders should also be on the basis of merit. Their competency level should be measured on performance and professional achievement not on recommendations from political power or source.
- The historical background of merit system can be traced right from the 1800s when there was the practice of the spoil system in filling up vacancies against the jobs which comes under the government sector was made popular by President *Andrew Jackson*.
- In the United States of America, for a long time prior to merit system, spoil system was quite common. Under this system, it was believed that political party of the President which has won elections should control administration.

- The spoil system continued for long but gradually became clear that it had its own defects. The change of staffs in administration created wide gap and dislocations in the smooth functioning of administration. The state was deprived of several capable and competent administrators because of their political affiliations. Administration became insufficient and corrupt. In fact spoil system violated every good norm of the administration.
- The merit system is purely based on the abilities and skills of the individual who are selected in order to carry out a specific task. Therefore, it provides the organization a lot of benefit to recruit the suitable one for the job.
- The merit system is important not only in case of fresh recruitment but also during the period of service. During classification, employees which are promoted required to go through probation in the new classification.
- The main backbone of the Indian administrative machinery of the country is the civil service system which is purely at present based on the merit system of appointing officials on services. Patronage ruled the civil service recruitment until 1854, after which the system was transformed into a merit basis.
- In the United Kingdom, the merit system has also evolved from the spoil system. Its existence can be traced back from the time when the officials selected for the public offices acted as secretaries for their leaders who occupied different positions at the court.
- The scenario however changed in the 18th century. During this period, there was the growth of the British Empire.



3.6 FURTHER READING

1) Avasthi & Maheswari. (2017). *Public administration.* Agra: Lakshmi Narain Agarwal.
2) Basu, R. (2010). *Public administration: Concepts and theories.* New Delhi: Sterling Publishers Private Limited.

3) Mukhi, H.R. (2010). *Comparative public administration.* New Delhi: SBD Publishers.



3.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: True

Ans to Q No 2: Spoil

Ans to Q No 3: The merit system is one of the most important mechanisms of personnel management which strives for promoting the efficiency and economy of the employees along with the promotion of general welfare of the public. This is done by the process of selection and retention of the employees, training during the service, opportunities for promotion and any other matters on the basis of merit. In other words, it is also the policy which seeks to provide employment to people in public service or any other service on uniform and impersonal lines by evaluating the abilities and achievements of the candidates without giving attention to favoritism and politics. It is the fair and open recruitment system which enables the flow of competent and deserving people into the system.

Ans to Q No 4: The importance of merit system are:

- The merit system is purely based on the abilities and skills of the individuals who are selected in order to carry out a specific task. Therefore, it provides the organization a lot of benefits to recruit the suitable one for the job.
- The merit system always maintains the transparency of the recruitment process. It seeks to make sure that the recruitment announcements of the available vacancies are advertised through public notice and the minimum essential eligibilities are clearly mentioned.
- The merit system is important not only in case of fresh recruitment but also during the period of service. During classification,

employees which are promoted required to go through probation in the new classification.

- The merit system provides a protection of the job as it prevents political interference or preference in the process.

Ans to Q No 5: True

Ans to Q No 6: 1800s

Ans to Q No 7: Cornwallis created two categories of the civil service in India. This includes the covenanted and uncovenanted. The covenanted civil service comprises of the British Personnel who are responsible in occupying higher position in the government and administration. The uncovenanted civil service aimed to facilitate the induction of Indian people into the lower parts of the government and administration.

Ans to Q No 8: The historical background of merit system in Unites States of America can be traced right from the 1800s when there was the practice of the spoil system in filling up the vacancies against the jobs which comes under the government sector was made popular by President *Andrew Jackson*. Due to the spoil system which is based on the wish of President to place people for performing the civil jobs led to a violent end that finally took the life of United States President *John Garfield* by a prominent worker of the office in the year 1881 due to the demand for a reform in legislation. As a result of the great tragedy, the US Congress passed the Pendleton Act in the year 1882 which came into existence the merit system for the first time.



3.8 POSSIBLE QUESTIONS

A) Very Short Questions

Q. 1 : The …….. divided the Imperial service or the civil service of India into two categories. (Fill in the blank)

Q. 2 : The personnel management system demands to be fair and equitable under the merit system. (True/False)

Q. 3 : Who is responsible for development of merit system in independent India?

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

Q. 1 : Discuss the principles of Merit System.

Q. 2 : Explain the historical background of the merit system.

Q. 3 : Differentiate between merits and spoil system.

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

Q. 1 : Explain the development of the merit system in the UK.

Q. 2 : Critically discuss the importance of the merit system.

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UNIT 4: RECRUITMENT: INDIA, UK AND USA

UNIT STRUCTURE

4.1 Learning Objectives

4.2 Introduction

4.3 Meaning of Recruitment

4.4 Different Types of Recruitment

4.5 Methods of Recruitment

4.6 Problems of Recruitment (India, UK and USA)

4.7 Let Us Sum Up

4.8 Further Reading

4.9 Answers to Check Your Progress

4.10 Possible Questions

4.1 LEARNING OBJECTIVES

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

- know about the meaning of recruitment
- explain the different types of recruitment
- discuss the methods of recruitment
- understand the problems of recruitment in India, UK and USA.

4.2 INTRODUCTION

For any organization, the primary pre-requisite is the sufficient number of people who would carry forward different tasks and shoulder responsibilities in order to realize the goals and visions of the organization. Generally, the process through which new individuals are selected and assigned respective works is known as recruitment. In public administration which is directly responsible for creating good life for the citizens of a country, a proper mechanism of recruitment is one of the very first necessities. A faulty recruitment procedure would appoint inefficient or unsound people to the positions which in the long run will thwart the growth of the organization and also prevent from achieving the pre-fixed objectives. There are however,

different types and methods of recruitment in public services. This unit therefore, focuses on bringing an understanding of the idea of recruitment and also discusses the different types and methods of recruitment.

4.3 MEANING OF RECRUITMENT

- **Meaning**

Recruitment is the process of adding new individuals or population to the already existing group. For any organization, to carry out its functions and activities effectively, recruitment is one of the important tasks. It is associated with personnel management. In the domain of public administration, recruitment is the process or mechanism on which the effectiveness of the government machinery and the quality of the services that it provides depends solely. The success of the modern government lies in its ability to recruit the suitable person for the suitable jobs. The present system of civil service or public service recruitment is solely based on merit system. The merit system is responsible for providing equal opportunities for all to be selected for the prestigious and responsive public positions. A just and transparent system of recruitment always helps in bringing the best talents into the system.

The system of recruitment has basically two dimensions. The first dimension basically deals in the negative aspect of recruitment. The negative connotation of the recruitment process aims at eliminating those who are not suitable for the respective posts as per the respective recruitment procedure. It also eliminates any sort of political interference in the recruitment process and also prevents favoritism. From the positive perspective of recruitment, it aims in filling up the posts lying vacant with the best suitable and deserving candidates.

- **Definitions**

According to Demock, "Recruitment simply means securing the right people for particular jobs, and it may take the form of advertising for large groups of employees or tracking out a highly skilled individual for special work".

J.D. Kingsley asserts, "Public recruitment may be defined as that processes through which suitable candidates are included to compete for appointments to the public service. It is thus, an integral part of a more inclusive process and selection which also includes the process of examination and certification".

According to D.E. Klinger, "Recruitment is the process of attracting qualified applicants for jobs".

Pfiffner and Presthus elucidates, "Personnel recruitment for the second half of twentieth century will have to be geared to a nuclear physical world in which the solutions of human problems will demand the utmost in human competence. The emphasis will be not only on finding, but on holding men who are capable of performing the complex tasks of coordinating intuitions growing even more complex".

Glenn Stahl explains the recruitment process as the "corner-stone of the whole public personnel structure. Unless recruitment policy is soundly conceived, there can be little hope for building a first rate staff".

De Cenzo and Robbins explains recruitment as a process which deals in identifying the one who have the potentials and abilities to fill up the existing vacancies.

Prof. R. W. Griffin believes that recruitment is a process in which individuals are attracted towards certain jobs which are left open and needed to be filled up.

Keith Davis remarked that recruitment is the process to find and attract the applicants who are capable for employment. The process of recruitment starts with the announcement for new recruits and ends with submission of applications.

- **Features**

From the definitions mentioned above, the following features of recruitment process may be forwarded:

- Recruitment is not just a single act or event which deals in appointing people for jobs but it is a long process which has a particular start and ends. For efficient recruitment of suitable

persons for appropriate jobs, the recruitment process should be strictly adhered without compromise.

- Recruitment is an activity which is responsible for establishing links between employer and employees. It is what makes possible of bringing the employees into the touch of the employer who would assign them the jobs that they are required to fulfill.
- Recruitment is basically a positive event which sorts out the persons who are eligible for particular jobs from a large number of people together seeking jobs.
- Another important feature of recruitment is that it is always initiated in order to locate the source of people who are actually required to meet certain specific job requirements. It encourages the ability to match jobs to suitable candidates.
- Recruitment is always a two way process. The process includes a recruiter and recruited. From simple to complex recruitment like public service recruitment, all involve the similar process.
- Lastly, recruitment is a complex job involving not only a single factor but a lot of factors like the reputation of the company, nature of jobs that being offered, the policies of the organization, conditions of work etc.



LET US KNOW

The first country to develop a scientific system of recruitment was China where recruitment through competitive examinations was first introduced in the second century before Christ. In modern times, Prussia was the first to introduce a system of recruitment gradually replacing the 'patronage' system from 1887 onwards. In the United States, the 'spoils system' was discarded in favour of the 'merit principle' by the Civil Service Act of 1883. In India, merit principle has been in existence since 1853.

CHECK YOUR PROGRESS



Q.1: The success of the modern government lies in its ability to recruit the suitable person for the suitable jobs. (True/False)

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Q.2: Recruitment is always a two way process. The process includes a recruiter and …….. (Fill in the blank)

Q.3: Define Recruitment.

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Q.4: Mention the main characteristics of recruitment.

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4.4 DIFFERENT TYPES OF RECRUITMENT

There are two types of recruitment i.e. the direct recruitment and the indirect recruitment. One is the recruitment from within and the other is the recruitment from outside. Direct recruitment means filling up the posts which are lying vacant in the civil service by candidates which are suitable and qualified from the open market. It is made through open competitive examination conducted by the recruiting agencies i.e. the Union Public Service Commission or Civil Service Commission in United Kingdom or Office of Personnel Management in the United States of America. On the other hand, indirect recruitment means filling up vacant posts by suitable and experience candidates who are already in the service of the government.

- **Problems associated with the types of recruitment**

There are some problems that are associate with the recruitment process which may be from within or outside. Generally, it seems that direct recruitment is more suitable process of recruitment as the people are engaged into the jobs from an open market. The open competitive

examinations are conducted by the specialized recruitment agencies like Union Public Service Commission in India, Civil Service Commission in United Kingdom and Office of Personnel Management in United States of America.

Whereas the indirect recruitment process involves itself in filling up vacant posts by suitable and experienced candidates who are already in the service of the government. The problems of indirect recruitment includes:

- The lack of equal opportunities to all the qualified persons for entry into public service which contradicts democratic norms.
- It narrows the area of recruitment and restricts the entry of skilled and qualified persons from universities to public service.
- It also stagnate the environment of public office.
- It is not suitable for technical posts as it requires persons with updated knowledge and skill and many more.

This does not indicate that the direct recruitment system is out of defects. Some of the drawbacks of direct recruitment system are:

- It results in selection and appointment of persons with no prior administrative experiences.
- The prolonged and intensive training becomes expensive.
- It creates an atmosphere of jealously and unhealthy completion when senior and experienced employees are placed under young and inexperienced persons.
- It also increases the burden of the recruiting agencies as they are required to handle many applicants.



ACTIVITY 4.1

Try to list out and figure the direct and indirect recruitment in Indian administration.



CHECK YOUR PROGRESS

Q.5: The two types of recruitment are the direct recruitment and the indirect recruitment. (True/ False)

.....

Q.6: The open competitive examinations are conducted by the specialized recruitment agencies like ……in India. (Fill in the blanks)

Q.7: What are the main problems associated with the indirect recruitment process?

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Q.8: Write the drawbacks of direct recruitment process.

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4.5 METHODS OF RECRUITMENT

From the above discussion, it is clear that recruitment is a long process which starts with the seeking of applications and ends with the completion of appointment process. Therefore, the following are the steps regarding the process of recruitment to substantiate our understanding on public recruitment or recruitment for public administration.

The process of recruitment starts with the job requisition. It involves seeking information from various Ministries, departments and other administrative agencies about their personal requirements. The second step is to determine the qualifications which are essential for the applicants to have in order to abide by the norms of the recruitment policy. These qualifications are of two types- general and special. The general qualifications include citizenship, sex, domicile and age. The special qualifications include education, experience and technical knowledge. Next,

is the designation of the application forms followed by the advertisement or announcement of the vacant posts and pattern of examination through various forms. After a clear scrutiny of the applications received, conducting examinations either written or oral is required to determine the qualifications and abilities of applicants. After that is the certification which is, submission of the list of eligible candidates by the recruiting agency for consideration of the appointing authority. There are two methods of certification. One name for each post (followed in IAS) and three names for each post, that is the 'rule of three' (as followed in IFS). It must also be mentioned that certification is the last function of the Public Service Commission.

Selection, which is choosing from the eligible candidates by the government, takes place here followed by appointment or issuing the formal letter of appointment by the government to the concerned candidate. After that probation takes place. It is the entry of the selected and appointed candidate into the service on a temporary basis, after which they are confirmed. This is followed by placement of the new appointed cadre in their respective position and place. The last is the orientation of the candidates which takes place that is induction of the candidate into the service through a training course, to acquaint him with the organizational work environment and methods of his job.



CHECK YOUR PROGRESS

Q.9: The first point of starting of the process is with the job requisition. (True/False)

.....

Q.10: There are two methods of certification: one name for each post (followed in IAS) and three names for each post, that is the …….. (as followed in IFS). (Fill in the blanks)

Q.11: What is selection?

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.....

4.6 PROBLEMS OF RECRUITMENT (INDIA, UK AND USA)

Recruitment is one of the important processes in any organization. It is the medium of engaging new people for certain specific tasks. It also provides the people an opportunity to join service in which they get better pay and other conditions of service. However, if we observe the public recruitment system, we will find that it is not free from defects. There are many problems of recruitment. As L.D. White rightly remarked that 'the process of recruitment illustrates admirably the tug and pull of the opposing forces of equalitarianism and humanitarianism on the one hand against the claims of special competence on the other'. The following are some of the problems of the public recruitment process in India, United Kingdom and United States of America.

- **Deciding the Appointing Authority**

The first important task which is foremost is deciding the appointing authority. It refers to the process of selecting which body or institution will be responsible for carrying out the recruitment process. This stage deals in basically with two important questions. The first one is whether the public officers will be directly elected by the people or they will be appointed by some officer or organ of the government. As a result of this two questions, there has always been arousal of different debates.

But, both the pattern of recruiting personnel has their own problems. Electing officials by public on the basis of democratic principles seem good but is limited when viewed from the practical considerations. It can be accepted that officials who deals in functions of political character like formation of policies should be selected by the people through ballot. But officers whose duties are purely of administrative nature, where special training and experience required, in that case the people should not be the first priority in assuming the charge of appointing authority. In a country like India, such a system will not be able to have a just recruitment because technical competency can be secured only by appointment and not by elections.

Moreover, the problem that persists in the second method that is appointment by the Chief Executive through a semi-judicial autonomous body (Civil Service Commission) is that the commission functions as the general personnel agency of the government. But, in the United States of America, this is not a great problem because the appointment of the administrative officers does not become effective until approved by the Senate. But, in case of India, there is no such mechanism.

- **Mode of Selection**

In case of the mode of selection, we have already learnt that there are two methods through which recruitments are done. One is the recruitment from within and the other is the recruitment from outside. The within which is the indirect recruitment and from outside is the direct recruitment. It seems that direct recruitment is more suitable process of recruitment as the people are engaged into the jobs from an open market. The open competitive examinations are conducted by the specialized recruitment agencies like Union Public Service Commission in India, Civil Service Commission in United Kingdom and Office of Personnel Management in United States of America.

Whereas the indirect recruitment process involves itself in filling up vacant posts by suitable and experienced candidates who are already in the service of the government. The problems of indirect recruitment includes the lack of equal opportunities to all the qualified persons for entry into public service, which contradicts democratic norms, it narrows the area of recruitment, it restricts entry of skilled and qualified persons from universities to public service, it stagnate the environment of public office, it is not suitable in technical posts as it requires persons with updated knowledge and skill and many more.

This does not indicate that the direct recruitment system is out of defects. Some of the drawbacks that involves are that it results in selection and appointment of persons with no prior administrative experiences, the prolonged and intensive training becomes expensive, it creates an atmosphere of jealously and unhealthy completion when senior and experienced employees are placed under young and inexperienced persons, it also increases the burden of the recruiting agencies as they are required to handle many applicants.

- **Qualification**

Determining the qualifications of the employees is another problem of the recruitment process. For the entry into the public services, every country had laid down certain qualifications. These qualifications are of two types namely- general and special. The general qualifications include citizenship, sex, domicile and age. The special qualifications include education, experience and technical knowledge.

In every country, only the citizens are appointed to public service. The citizens will get the chance to participate in the recruitment process. Moreover, in some cases there is also the need to fulfill the domicile conditions. That means, to get a chance of appointment in the public service of a state, the applicant must be the domicile of that region. This qualification began in the USA and later entered in the Indian state.

This create problems for the candidates which may have high qualifications for the job but their job will be passed to the one who is a domicile of the region or state in spite of having inferior qualifications than the former. Moreover, there is also the problem of age as a qualification. The British system recruits individuals who are aged within 20 to 24 initially. However, In India it has raised up to 32 in general. However, the existing reservation system also fluctuate the criteria as it provides 35 years for Other Backward Classes and 37 for the Schedule Caste and Schedule Tribes. In the US on the other hand, the range is fixed between 18 years to 45 years. Moreover, there is also a problem of presence of a sizeable number of women employed under central government.

Under the special qualification, the British and Indian system has laid down definite education qualifications for entrants like Higher Secondary School certificate for clerical jobs, degree for executive jobs, and so on. In America, the requirement of formal education for entry into government jobs of a non-technical character is opposed. In case of experience, it also differs from country to country. In USA, experience is must only for a job of technical nature. In other countries, public service experience is considered as an additional qualification. With these, the methods and authority of determining qualifications also need to relook because such test for

recruitment need to be hold by an independent and impartial body who may restrict the misuses of political authority.

- **Placement and Orientation**

Another noticeable problem which exists in the recruitment process is that of placement and orientation. There are problems of non- matching of assignments with the person been recruited. A wrong assignment to a wrong person always is a waste of talent and energy both for the organization and officers. The Public Service Commission recommends the names of the eligible persons in order of merit in general abilities.

However, it is wise to give consideration to other factors like interest and personality by the authority while categorizing cadres for jobs. Moreover, it has also been the case that orientation has been just a formal procedure before handling jobs. These should always be looked upon. The contemporary public administration is a complex framework and the new comers must realize and understand it so that they do not lacks enthusiasm in the long run for the works they required to perform and deliver.



CHECK YOUR PROGRESS

Q.12: Deciding the appointing authority is not a problem under recruitment process. (True/False)

.....

Q.13: For the entry into the public services, every country had laid down certain qualifications. These qualifications are of two types, ……..……and ……. (Fill in the blanks)

Q.14: A noticeable problem which exists in the recruitment process is that of placement and orientation. Elucidate.

.....

.....

.....



4.7 LET US SUM UP

- Recruitment is the process of adding new individuals or population to the already existing group. For any organization, to carry out its functions and activities effectively, recruitment is one of the important tasks.
- It is associated with personnel management. In the domain of public administration, recruitment is the process on which the effectiveness of the government machinery and the quality of the services that it provides depends solely.
- The system of recruitment has basically two dimensions i.e. negative and positive dimension.
- The first dimension basically deals in the negative aspect of recruitment. The negative connotation of the recruitment process aims at eliminating those who are not suitable for the respective posts as per the respective recruitment procedure.
- It also eliminates any sort of political interference in the recruitment process and also prevents favoritism.
- From the positive perspective of recruitment, it aims in filling up the posts lying vacant with the best suitable and deserving candidates.
- Recruitment is not just a single act or event which deals in appointing people for jobs but it is a long process which has a particular start and ends.
- For efficient recruitment of suitable persons for appropriate jobs, the recruitment process should be strictly adhered without compromise.
- There are two types of recruitment i.e. the direct recruitment and the indirect recruitment.
- Direct recruitment means filling up the posts which are lying vacant in the civil service by candidates which are suitable and qualified from the open market. It is made through open competitive examination conducted by the recruiting agencies.
- The indirect recruitment means filling up the vacant posts by suitable and experience candidates who are already in the service of the government.

- Recruitment is one of the important processes in any organization. It is the medium engaging new people for certain specific tasks.
- It also provides the people an opportunity to join service in which they get better pay and other conditions of service. However, if we observe the public recruitment system, we will find that it is not free from defects.



4.8 FURTHER READING

1) Avasthi & Maheswari (2017). *Public administration*. Agra: Lakshmi Narain Agarwal.
2) Basu, R. (2010). *Public administration: Concepts and theories*. New Delhi: Sterling Publishers Private Limited.
3) Murkhi, H.R. (2010). *Comparative public administration*. New Delhi: SBD Publishers.



4.9 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: True

Ans to Q No 2: Recruited

Ans to Q No 3: Glenn Stahl explains the recruitment process as the "corner-stone of the whole public personnel structure. Unless recruitment policy is soundly conceived, there can be little hope for building a first rate staff."

Ans to Q No 4: The features of recruitment are:

- Recruitment is not just a single act or event which deals in appointing people for jobs but it is a long process which has a particular start and ends.
- Recruitment is an activity which is responsible for establishing links between employer and employees.
- Recruitment is basically a positive event which sorts out the persons who are eligible for particular jobs from a large number of people together seeking jobs.

- Recruitment is always a two way process. The process includes a recruiter and recruited.

Ans to Q No 5: True

Ans to Q No 6: Union Public Service Commission

Ans to Q No 7: The problems of indirect recruitment process includes:

- The lack of equal opportunities to all the qualified persons for entry into public service which contradicts democratic norms.
- It narrows the area of recruitment and restricts the entry of skilled and qualified persons from universities to public service.
- It also stagnate the environment of public office.
- It is not suitable for technical posts as it requires persons with updated knowledge and skill and many more.

Ans to Q No 8: Some of the drawbacks that involves with direct recruitment system are:

- It results in selection and appointment of persons with no prior administrative experiences.
- The prolonged and intensive training becomes expensive.
- It creates an atmosphere of jealously and unhealthy completion when senior and experienced employees are placed under young and inexperienced persons.
- It also increases the burden of the recruiting agencies as they are required to handle many applicants.

Ans to Q No 9: True

Ans to Q No 10: rule of three

Ans to Q No 11: Selection, which is choosing from the eligible candidates by the government, takes place here followed by appointment or issuing the formal letter of appointment by the government to the concerned candidate.

Ans to Q No 12: False

Ans to Q No 13: General and Special

Ans to Q No 14: Placement and orientation is a noticeable problem which exists in the recruitment process. There are problems of non-matching of assignments with the person been recruited. A wrong

assignment to a wrong person is always a waste of talent and energy both for the organization and officers. The Public Service Commission recommends the names of the eligible persons in order of merit in general abilities.

However, it is wise to give consideration to other factors like interest and personality by the authority while categorizing cadres for jobs. Moreover, it has also been the case that orientation has been just a formal procedure before handling jobs. These should always be looked upon. The contemporary public administration is a complex framework and the new comers must realize and understand it so that they do not lacks enthusiasm in the long run for the works they required to perform and deliver.



4.10 POSSIBLE QUESTIONS

A) Very Short Questions

Q. 1 : Recruitment is basically a _____event which sorts out the persons who are eligible for particular jobs from a large number of people together seeking jobs. (Fill in the blank)

Q. 2 : A just and transparent system of recruitment always helps in bringing in the best talents into the system. (True/False)

Q. 3: Define recruitment.

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

Q. 1 : Describe in brief any four features of recruitment.

Q. 2 : Explain the difference between direct and indirect recruitment.

Q. 3 : Describe in your own words whether direct or indirect recruitment is suitable for Indian administration.

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

Q. 1 : Explain the different problems associated with the recruitment process.

Q. 2: Critically discuss the methods of recruitment.

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UNIT 5: TRAINING: (INDIA, UK)

UNIT STRUCTURE

5.1 Learning Objectives

5.2 Introduction

5.3 Meaning of Training

5.4 Methods and Techniques of Training (India and UK)

5.5 Let Us Sum Up

5.6 Further Reading

5.7 Answers to Check Your Progress

5.8 Possible Questions

5.1 LEARNING OBJECTIVES

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

- know about the meaning of training
- explain the methods and techniques of training with a focus on India and UK.

5.2 INTRODUCTION

In the previous chapters, we have already discussed about the essence of a sound public administration. And for an efficient public administration which is essential for public good, needs strong and skilled people in the different public positions. For this, recruitment on the basis of merit serves the purpose. But, this is not the end of the process. As soon as the people are selected, training becomes vital. This is because training empowers the trainees with the knowledge and skill regarding their area of performance. In other words, training make sure that the one who is vested with a particular job can actually become competent to perform the task smoothly. However, the training methods may not be same for every organization. But, still the principles remain same. This unit involves in explaining the meaning of training and also it brings to the foreground different method and techniques of training with special reference to India and UK.

5.3 MEANING OF TRAINING

- **What is Training?**

One of the most important aspects of public service is training. In fact, the entire efficiency of the service depends upon the quality of training receive by the cadres. As such, the idea of training has assumed a lot of significance nowadays in the recruitment process. The functions of government nowadays has become very much technical, complex and specialized. The public servant must therefore be well prepared for handling their jobs in the best effective way. Training is an integral part of public administration both at the in-service level and post-service level.

However, one must not understand training as the synonym of education. Both are different in scope. Training is narrower whereas education is a wider field. But, both are closely related and overlapped at times. Education is the complete upbringing of the individual from childhood till the formation of character, habits, manners and physical and mental aptitude. Training in that sense implies educating individual to perform specific tasks which will enable them to be fit for the appointment and responsibilities that they need to perform ahead.

Training is a process intended to develop a particular skill by fixed instructions and practices. In this regard, *Gorwala* provided a substantiate argument. He remarked, 'in one sense, training means the imparting of knowledge of facts and their interrelations, knowledge essentially of specialized or professional nature. In another sense, training involves the teaching of techniques which require the coordinated handling of tools and appliances and physical faculties rather than of ideas. In still another sense, training entails the formation of mental and physical habit patterns to ensure that the same stimuli would always produce the same automatic responses, finally training implies what the good gardener does to the growing sapling.'

Simon explains that training encompasses those deliberative initiatives which are mainly directed in order to bring an improvement or

development of the ability and power of an individual and also to enhance the skills, beliefs and values. In similar lines, another thinker who has provided an explanation on the idea of training is *William G. Torpey*. According to him, training is 'the process of developing skills, habits, knowledge, and aptitudes in employees for the purpose of increasing the effectiveness of employees in their present government positions as well as preparing employees for future government positions.'

Avasthi and *Maheswari,* writes that training is the process which bring competencies in the public services for which it rely on knowledge of professional nature, providing a broader vision of the system and also teaches the expected patterns of behavior and attitude. Moreover, it is a continuous process. *S.L. Goel* believes that training is an action process in which the capabilities of the personnel can be improved in order to meet the need of the organization in terms of their attitude and skills in order to perform the organizational tasks and functions within the specific period of time.

- **Objectives of Training**

The primary aim of training is to bring about a change in the behavior of the individuals who undergoes the training process. This is done in order to make them more equipped with all the skills required to perform their specified public responsibilities. According to *Edwin D. Flippo*, training should be able to bring the required change in the knowledge, skills and attitudes of the trainee. Training is an essential part of public administration not only to bring effectiveness of administration but also training provides ample scope for broadening the perspective and vision of the employees. As such, it is highly responsible for developing precision, making the trainee self-reliant and independent in decision making and judgment especially under critical situations.

The role of training has explained very objectively as the main goal of training by the *Assheton Committee Report* (1944). According to the report which was submitted to the British Chancellor of the Exchequer, 'in any large-scale organization, efficiency depends on two elements, the technical efficiency of the individual to do the particular work allotted to

him and the less tangible efficiency of the organization as a corporate body derived from the collective spirit and outlook of the individuals of which the body is composed. Training must have regard to both elements.'

The report has stressed on producing civil servant who is so efficient to carry on the daily business with clarity and precision. It is really difficult when inefficient people are charged of making decisions at the contemporary times when government administration has become a complex affair. Next, the report also wanted to shift training towards the goal in which the civil servants are trained in such a manner which will enable them to cope up with the changing environment. Moreover, with the development of information technology, public administration demands a sound and aware mind regarding the globalized world including the contemporary public administration. The trainees need to be equipped with a positive and open mindset and be acquainted with new methods of the modern times. The report also focused in developing resistance to the danger of civil servants becoming mechanized by the machine. It means that the civil servants need not required acting like machine rather they should be provided training in a manner which will make them more community conscious. The trainees should be made aware that the work that they will be going to perform during their service will not only benefit their departments but also it will directly affect the community.

The training of the public officials aims not only for the job that lies immediately at hand. Training must be directed not only at enabling an individual to perform his current work more efficiently, but also at fitting him for other duties and, where appropriate, developing his capacity of higher work and greater responsibilities. Another and most important aspect of training is to develop the trainees morally. It aims to induct values in the future officials. The public cadres must understand that they are actually the public servants and not public masters. At all time, they need to be accountable and responsible to the people at large.

- **Significance of Training**

The aims of training clearly explain the significance of the process of training. As soon as the training starts, it also start the inculcation of

the skills required for the occupation. It also provides knowledge, making the trainee familiar with the objectives of the department and prepares them for fulfilling the departmental goals.

Another important aspect that training provides is the acquaintances of the trainee with the new environments. It has been observed that the public offices and legislations are under constant changes with the changing conditions of society and state. As such, training is very much essential for the newly recruited as well as in service officials to gain familiarity with such changes.

Training fills up any deficiencies which exist in the recruits. The public service is such a domain which also needs to be well concerned with the personnel requirements from the existing supply. Training helps in providing a definite shape to the existing resources in order to provide a good administration.

It is also the responsibility of the government to impart training in activities and occupations which are peculiar to it and have no parallel in the private enterprise. In order to provide an efficient public administration, it is essential that the officials and employees are well skilled. In this knowledge world, the employees need to be well informed regarding any kind of development in their field.

Training lastly, is essential because training helps to understand the code of work by the employees. Since, most of the people may have been recruitment from different background, therefore, it is essential to train all of them and bring a homogeneity and uniformity among them. This will definitely create a long lasting efficient administration.



CHECK YOUR PROGRESS

Q.1: The role of training has explained very objectively as the main goal of training by the Assheton Committee Report (1944). (True/False)

.....

Q.2: According to ……., training should be able to bring the required change in the knowledge, skills and attitudes of the trainee. (Fill in the blanks)

Q.3: Training helps to fill up any deficiency that exists in the trainees. Elucidate.

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Q.4: List out the importance of training.

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5.4 Methods and Techniques of Training (INDIA, UK)

- **India**

In India, training of civil servant started effectively since post-independence. In 1956, the Home Ministry urged all state government to provide refresher courses to the officers of All India Service and Central Services (Class I). In 1957, a refresher course at the IAS Staff College, Shimla was started. In 1958, a full-fledged National Academy of Training came into existence. Later on the Home Ministry of India decided to amalgamate two sister institutions of Training that are the IAS Training School, Delhi and IAS Staff College, Shimla and to start the National Academy of Administration since 1972 which is today popularly known as the *Lal Bahadur Shastri* National Academy of Administration (LBSNAA) at Mussoorie. The other agencies and body for training in India includes the National Police Academy, National Forest Academy, Foreign Service Institute, Institute of Secretariat Training and Management, Indian Institute of Public Administration and National Institute of Rural development.

There are different methods or types of training. It includes the pre-service, post-service, on job and off job training. However, one can categorize all

of them under two main divisions. One is the informal method of training and the other is the formal method of training.

- **Informal Training**

Informal training method includes training which is given by performing the work and learning throughout the process and by making mistake. This type of training atmosphere helps in the acquisition of administrative skills through practice. The informal way of training helps to leave an adequate impression of all the activities in the minds of the trainee since he/she is actively engaged in the work. This training includes all daily interactions between the employee and superior, in official meetings, publication houses, professional associations and etc. Since, the entire process remains informal, there are no such tensions or frictions associated with it. The trainees remain mentally free and motivation is always positive in nature.

The informal method of training provides entirely a direct expose to real life situations. This tradition was very much popular in the British administration in India. The newly joined trainee was encouraged to build close contact with the collector. They used to work together for a definite period of time. This enabled the art of administration by actually practicing it by observing the senior's behavior and skills. As such, *Gorwala* remarked that 'a good collector house was often a second home to the young Assistant Collector.'

Trevelyan, mentioned that 'the real education of the civil servant (in India) consists in the responsibility that devolves on him at an early age which brings out whatever good there is in a man; the obligation to do nothing that can reflect dishonor on the service; the varied and attractive character of his duties and the example and precept of his superior who regards him rather as a younger brother than a subordinate officer.' However, the relevance of this method of training is now doubtful as the senior officers are too engage with the activities of the department since government affairs have become more complex than earlier.

- **Formal Training**

The formal training is just opposite of the informal training in its nature. It also aims to impart administrative skills and knowledge but through a well-structured course at a particular stage of the professional career. It does not negate the idea of informal training rather it recognizes the importance of training under an informal mode but it believes in supplementing the informal training by formal training. As such, in more literary term, formally training can be signified as the training which is imparted in an orderly manner through pre-arranged and well defined courses under expert guidance and supervision. To sum up, formal training involves approaches which are mainly based on a training programme, very precise and which have a definite start and a definite end. It is a direction which is solely managed by the provider of the training. There is a fixed teaching material and the presence of experts and specialists of the different subjects of training are readily available.

The formal training mainly includes- the pre-entry training, orientation training, induction training, in-service training, vestibule training, circular training, refresher training, retraining, post-entry training, short-term and long-term training, departmental and central training, and skill and background training.

- **Pre-entry training**

The pre-entry training is the training which is provided to the candidates who aim to get into the public services. In a very simple explanation, it involves the process of gathering knowledge of various professional and vocational skills in different colleges and institute which will enable the candidates to get into the services. In India, since 1960, Rajasthan is the place where such training is imparted. Moreover, in this particular state, candidates who have Junior Diploma Courses in Secretariat and Business Training are directly recruited as Upper Divisional Clerk.

- **Orientation Training**

Whenever for the first time a new entrant enters the public service, he/she is required to undertake an induction training where he is

acquainted with the new work environment. In India, the National Institute of Rural Development located at Hyderabad provides induction programme to the newly recruited cadres of rural development administration.

- **Induction Training**

Induction programme is more or less similar to the orientation training. It also takes place on the entry of the candidates into the training program of public administration. However, its scope is wider than the orientation training which is just a basic introduction and familiarity to the domain of administration. But, under induction, specified job-centric training is provided. The trainee not only learns about the basics of work but also the standard procedures, drafting and regulations of different magnitudes.

- **In-Service Training**

After the entry of the candidates into the service, the in-service training begins. It helps them to work in the best efficient way by improving their skills and abilities. It includes the vestibule training, circular training, refresher training, and retraining. Vestibule training is an introductory training which is accompanied by firsthand knowledge of the practical field. In India, the senior officers of Indian Forest Service deal in such a training. The circular training involves providing of assignments to the trainees which ranges from simple to complex. Refresher training helps to understand new developments in the field, both in knowledge and skills. Since 1985, in India the IAS officers are obligatory to attend one-week refresher course conducted by the LBS National Academy of Administration, Mussoorie. Lastly, retraining is a training which is imparted when the officers are assigned new or complex tasks.

- **Post-Entry Training**

This type of training is not related to the job rather it focuses on enhancing general abilities of the employees. The government of India since 1961, provides study leave as a part of post-entry training.

- **Short-term and Long-term Training**

As the name suggest, when training courses are for a few weeks, month or two, it is regarded as short-term training and when it lasted for

six months or a year is called as the long-term training. In Indian Foreign Service, the long-term training lasted up to three years.

- **Departmental and Central Training**

When training is organized departmentally, it is the department training and when it is centrally organized and open to all, it is central training. In India, the SVP National Police Academy conducts departmental training and LBS National Academy of Administration conduct central training.

- **United Kingdom (UK)**

Training in United Kingdom is based on the principle of learning by doing and learning from mistakes. It is therefore a training which is based on both theoretical understanding and on practical reality. The *Assheton Committee* was a landmark in the history of development of training for public officials. The committee recommended opening the Division of Training and Education which was constituted in the Treasury. This particular body was responsible to carry out central courses for the members of administrative, professional and scientific classes of their public careers, departmental instructors and other groups.

For the rest, training takes place within the departments with a proper care to different needs and requirements. There are training officers for each of the bigger departments who is assigned with the task of organizing technical and general courses of training. In the year 1945, a school came into existence to train the officials. It was in 1951, the school was abolished due to some economic reasons. Later in early seventies, again a civil service college (or National School of Government) was set up on *Fulton Committee* recommendations and it was functioning effectively. However, in 31st March, 2012, the school was closed and only few main functions have been taken by a new body known as Civil Service Learning, which is a part of the Cabinet office.

The methods adopted especially by the Civil Service College, UK deals in the following:

- **Open Program Training**

These programmes are ready-to-go and take place in our London venue at St James's Park. This type of training is suited for individuals who want to have the opportunity to network with other delegates in a variety of organisations and learn from each other's experiences. Many clients prefer this type of delivery as it removes delegates from their normal work surroundings which can help delegates focus on learning and keep everyday distractions to a minimum.

- **In-house Training**

In house training deals in training right at the premises. This can often make it easier for busy staff to attend and eliminates travel and accommodation costs. When providing In-house training, it is easier to customise and tailor ready-to-go programmes to suit respective organisation's particular needs.

There are different techniques of training of public personnel which is common to both United Kingdom and India. This includes the lecture technique, syndicate technique, case study technique, incidence technique, role play, and sensitivity training.

- **Lecture**

It is one of the oldest technique which involves the delivering of lectures by specialist, experts and senior academicians or officers. The lectures help the trainee to get a deep insight to the various aspects of the job. This technique is one of the simple means to impart knowledge to the trainees, especially when facts, concepts or principles, attitudes, theories and problem solving abilities are to be taught. This method is also useful when a very large group is to be trained within a short period of time.

- **Syndicate**

The origin of this particular technique was at the Administrative Staff College, Henley-on-Thames in the United Kingdom (UK). It involves

assignment of a study project to a small group of three to five trainees. The group is required to make an in-depth study of that subject under the guidance of the faculty members. Knowledge gathering and problem solving are the main tasks of the training technique.

- **Case-Study**

It involves the undertaking of an intensive and in-depth study of a particular subject by narration of actual cases by persons who have firsthand experience of the case under study. This technique helps in enhancing the understanding level of the civil servants. The case study is based upon the belief that administrative competence can best be attained through the study, contemplation and discussion for concrete cases.

- **Incidence**

It is basically a method which deals in finding the solution to a particular problem which has been assigned. The trainees provide the decisions and also to justify the decisions. This technique directly helps to enhance decision making abilities of the trainees.

- **Role Play**

This type of technique helps to provide the demonstration of actual events. The trainees are put under real life situations and they are asked to play their roles. Moreover, discussions on the behavior of the participants are also an essential part of this technique. Role playing primarily involves employer-employer relationships, hiring and firing, discussing a grievances procedure, conducting a post appraisal interview or disciplining a subordinate or a citizen making representation to a collector.

- **Sensitivity**

This is the technique which helps in providing an opportunity for self-analysis and self-development for the trainees. It is also called the T-Group training that was first developed by *Chris Argyris*. Through these techniques, trainees exposes their unconventional behavior to their fellow trainee through mutual interactions.

The institute where all fresh recruits go first is the Lal Bahadur Shastri National Academy of Administration (LBSNAA) in Mussoorie, Uttarakhand. Here, irrespective of the service, i.e., whether officers are inducted into the IAS, IFS, IPS, IRS, etc., the initial training called the 'Foundation Course' which runs for four months is held. This is done to instill a sense of 'equality' among all the recruits. After this initial training period, the probationers move on to their respective training institutions depending on their service.



LET US KNOW

The IAS trainees remain at the LBSNAA to continue their training which lasts for about two years. This period includes their Bharat Darshan and stint with the Bureau of Parliamentary Studies in New Delhi. The Indian Police Service (IPS) trainees move on to the Sardar Vallabhbhai Patel National Police Academy in Hyderabad. The Indian Forest Service (IFS) officers go to the Indira Gandhi National Forest Academy in Dehradun for their training. Other group-A Central Services officers such as the Indian Foreign Service (IFS) proceed to the Foreign Service Institute (FSI) India located in New Delhi. Indian Revenue Services (IRS) officers move on to either the National Academy of Direct Taxes, Nagpur or the National Academy of Customs, Excise & Narcotics, Faridabad depending on the branch they are allocated to go. (There are two branches of the IRS: IRS - Income Tax; and IRS - Customs and Central Excise).



ACTIVITY 5.1

Try to list out and figure whether the mentioned methods and techniques are available in the training process of Indian Civil Servants.



CHECK YOUR PROGRESS

Q.5: *Lal Bahadur Shastri* National Academy of Administration (LBSNAA) is located at Mussoorie. (True/False)

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Q.6: The government of India since …… provides study leave as a part of post-entry training. (Fill in the blank)

Q.7: Write a short note on pre-entry training.

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.....

Q.8: Formal training aim to impart administrative skills and knowledge but through a well-structured course at a particular stage of the professional career. In the light of the above statement, explain the idea of formal training.

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5.5 LET US SUM UP

- Training is one of the most important aspects of public service. In fact, the entire efficiency of the service depends upon the quality of training receive by the cadres.
- Training is not the synonym of education. Both are different in scope. Training is narrower whereas education is a wider field. But, both are closely related and overlap at times.
- According to *Edwin D. Flippo*, training should be able to bring the required change in the knowledge, skills and attitudes of the trainee. Training is an essential part of public administration not only to bring

effectiveness of administration but also training provides ample scope for broadening the perspective and vision of the employees.

- It is highly responsible for developing precision, making the trainee self-reliant and independent in decision making and judgment especially under critical situations.
- The training of the public officials aims not only for the job that lies immediately at hand. Training must be directed not only at enabling an individual to perform his current work more efficiently, but also at fitting him for other duties and, where appropriate, developing his capacity of higher work and greater responsibilities.
- Training provides knowledge, making the trainee familiar with the objectives of the department and prepares them for fulfilling the department goal.
- In India, training of civil servant started effectively since post-independence. In 1956, the Home Ministry urged all state government to provide refresher courses to the officers of All India Service and Central Services (Class I). In 1957, a refresher course at the IAS Staff College, Shimla was started. In 1958, a full-fledged National Academy of Training came into existence.
- The Home Ministry of India decided to amalgamate two sister institutions of Training that are the IAS Training School, Delhi and IAS Staff College, Shimla and to start the National Academy of Administration since 1972 which is today popularly known as the *Lal Bahadur Shastri* National Academy of Administration (LBSNAA) at Mussoorie.
- There are different methods or types of training. It includes the pre-service, post-service, on job and off job training. However, one can categorize all of them under two main divisions. One is the informal method of training and the other is the formal method of training.



5.6 FURTHER READING

1) Avasthi & Maheswari (2017). *Public administration.* Agra: Lakshmi Narain Agarwal.

2) Basu, R. (2010). *Public administration: Concepts and theories.* New Delhi: Sterling Publishers Private Limited.

3) Mukhi, H.R. (2010). *Comparative public administration.* New Delhi: SBD Publishers.



5.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: True

Ans to Q No 2: *Edwin D. Flippo*

Ans to Q No 3: Training fills up any deficiencies which exist in the recruits. The public service is such a domain which needs to also be well concerned with the personnel requirements from the existing supply. Training helps in providing a definite shape to the existing resources in order to provide a good administration.

Ans to Q No 4: Training helps in the following ways,

- Inculcation of the skills required for the occupation
- Training provides is the acquaintances of the trainee with the new environments.
- Training fills up any deficiencies which exist in the recruits.
- Training is essential because training helps to understand the code of work by the employees.

Ans to Q No 5: True

Ans to Q No 6: 1961

Ans to Q No 7: The pre-entry training is the training which is provided to the candidates who aim to get into the public services. In a very simple explanation, it involves the process of gathering

knowledge of various professional and vocational skills in different colleges and institute which will enable the candidates to get into the services. In India, since 1960, Rajasthan is the place where such training is imparted. Moreover, in this particular state, candidates who have Junior Diploma Courses in Secretariat and Business Training are directly recruited as Upper Divisional Clerk.

Ans to Q No 8: The formal training is just opposite of the informal training in its nature. It also aim to impart administrative skills and knowledge but through a well structured course at a particular stage of the professional career. It does not negate the idea of informal training rather it recognizes the importance of training under an informal mode but it believes in supplementing the informal training by formal training. As such, in more literary term, formally training can be signified as the training which is imparted in an orderly manner through pre-arranged and well defined courses under expert guidance and supervision. To sum up, formal training involves approaches which are mainly based on a training programme, very precise and which have a definite start and a definite end. It is a direction which is solely managed by the provider of the training. There is a fixed teaching material and the presence of experts and specialists of the different subjects of training are readily available.



5.8 POSSIBLE QUESTIONS

A) Very Short Questions

Q. 1 : Informal training method includes training which is given by performing the work and learning throughout the process and by making …… (Fill in the blank)

Q. 2 : Formal training involves approaches which are mainly based on a training programme. (True/False)

Q. 3: What is the difference between case study and role play method of training?

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

Q. 1: Define training.

Q. 2: Explain the different methods of training.

Q. 3: Describe in your own words whether training helps in building up an efficient administration.

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

Q. 1: Explain the objectives and significance of training.

Q. 2: Differentiate between formal and informal training.

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UNIT 6: PROMOTION: MEANING AND PRINCIPLES (INDIA AND UK)

UNIT STRUCTURE

6.1 Learning Objectives

6.2 Introduction

6.3 Meaning of Promotion

6.4 Principles of Promotion

- 6.4.1 Principle of Seniority
- 6.4.2 Principle of Merit

6.5 Types of Promotion in India

6.6 Types of Promotion in UK

6.7 Importance of Promotion

6.8 Let Us Sum UP

6.9 Further Reading

6.10 Answers to Check Your Progress

6.11 Possible Questions

6.1 LEARNING OBJECTIVES

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

- explain the meaning and principles of promotion
- discuss the types of promotion in India
- describe the types of promotion in UK.

6.2 INTRODUCTION

The system of reward and punishment is crucial so as to achieve the desired goals in any organizational setup. In this regard, public administration is of no difference. Punishment cautioned members of any organizational setup from involving in malpractice of power and position; as such reward motivates them to employ their best possible efforts in a given task. In public administration, promotion is a system through which persons of lower grades or sections are lifted up to higher grades or

sections endowing with higher degree of responsibility and duty and an increase in position and status. It is an incentive to the employees for their commendable job in their own field of duty. Thus, it serves as a reward for the employees. The reward of possible promotion keeps employees stick to their task and also encourages them for hard work and faithful service.

The incumbents spent their life time in administrative service after joining in it that means it is a career service for them. It is the possible opportunity of promotion which keeps an incumbent in service right from joining to retirement in the service. L.D. White remarks that 'It is (promotion), one of the means of holding in government service the best qualified men and women in service who enter the lower grades and is thus an important phase of a career service. Conversely, delay in promotion may become one of the surest means of driving them out.' Hence promotion is one of the important and integral parts of service.

6.3 MEANING OF PROMOTION

The word ‘promote’ has come from a Latin word ‘promovere’ which means’ to move forward’. In the words of William G. Torpey, promotion means “the movement of an employee from one position to another position having higher grade or higher minimum salary. A promotion involves increased duties and responsibilities for the employee.” According to Flippo, Promotion involves a change from one job to another that is better in terms of status and responsibility.’ L.D. White more appropriately said that “promotion means an appointment from a given position to a position of higher grade, involving a change of duties to a more difficult type of work and greater responsibility, accompanied by change of title and usually an increase in pay.” A synthesis of these definitions gives us a better understanding that promotion is the advancements of employee to a higher post, status, prestige and pay to which higher degree of responsibilities is attached. Change in duties and responsibility is a fundamental character of promotion.

- **Essentials of promotion system**

W.F. Willoughby has identified the following essential conditions upon which a promotion system should be based on:

- Adoption of standard specifications settings forth the duties and qualifications required for all promotions in the government service.
- The classifications of these promotions into distinct classes, salaries, grades and service.
- The inclusion within this classification of all the higher administrative promotions except those having a practical character.
- The adoption, so far as possible, of the principle of recruitment from within for filling up of higher posts.
- The adoption of the principle of merit in determining the promotion of employees.

The provision of adequate means for determining the relative merits of employees eligible for promotion.

[1] L.D. White, Introduction To The Study Of Public Administration, p. 379



CHECK YOUR PROGRESS

Q.1: Promovere' is a word of which language? What is its meaning?

.....

Q.2: What do you mean by promotion?

.....

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.....

Q.3: Write two essential conditions of promotion put forwarded by W. F. Willoughby.

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6.4 PRINCIPLES OF PROMOTION

Here, a question arise regarding promotion that on what ground the employees should be prompted or what should be the basis of promotion? As the promotion posts are always limited hence, every one cannot be promoted. So, to determine the eligibility criteria of the employees for promotion, a well-developed set of principles is necessary.

Generally, two widely accepted principles are there to determine the eligibility for promotion. One is Seniority principle and the other is merit principle.

6.4.1 Principle of Seniority

As a method of promotion in the government services, the seniority principle is widely prevalent. In this principle, seniority or the length of service of employees is taken into consideration for promotion. This means, an employee who has been serving in a post for long time compared to other employees is promoted to higher position or grade. In the words of Dr. Finer, ' it is automatic, and avoids the need for making invidious distinctions between one person and another, of placing the young over the old, of measuring the responsibility for the result of promotion.'

The principle of seniority has always been favoured by the employees as it can be a protection against any kind or of injustice regarding promotion. Under this system, the senior most employees automatically get promoted as and when any post of higher grade lies vacant.

- **Advantages of seniority principle**

The seniority principle of promotion has the following advantages for which it is it is well accepted most of the time by the employees.

- Seniority is a matter of fact that none can deny hence it is easy to find out seniority of an employee. So it is an object test.

- A senior employee is more experienced. Experience is counted everywhere and it is considered as a greater qualification for promotion.
- It is a just principle where everyone gets an opportunity for promotion.
- As the principle of seniority gives certainty for promotion, better persons are attracted to public offices.
- Once seniority is practiced, favouritism in matters of promotion ceased to be exist.
- In this method, there is no heartburning and jealousies on the part of the employees as promotion is automatic and young ones are not placed over the heads of the old.

- **Disadvantages of seniority principle**

The principle of seniority is not free from drawbacks. Following are the major flaws of this principle:

- Senior employees may not be more competent always comparing to the young staff. There is no guarantee of efficiency of the seniors.
- Employees will not make any effort to be efficient and self-development if the seniority alone is given preference for promotion.
- It may leads to demoralization and complacency in service among the more talented employees.
- This principle encourages mediocrity which is not a good sign for any organization.

The seniority principle may be favourable for senior employees but it is dangerous for any organization as it prevents the efficient and talented young employees to come up to the office of higher responsibility. Talent and efficiency cannot measure in the line of age. It is even practically witnessed many a time that young and dynamic employees are more capable in matters of using scientific

tools and application in administrative function than that of seniors. With the advent of science and technology in the administrative process, the young employees are seen to be more efficient while the seniors are masters in manual work. In the words of Piffner, "A system of promotion by seniority will frequently result in rising to supervisory and directing positions, person who have 'Crank complexes'… seniority alone will tent to fill the higher place with incompetent persons. It will discourage the ambitions and remove those incentives which develop personality, courage self-reliance and progressive outlook. It will foster self-satisfaction, a dead level of mediocre performance, and that general let-down which goes with seniority." The principle of seniority may be successful in lower level but for the higher ones special type of qualities may be required.

6.4.2 Principle of Merit

As the seniority principle of promotion suffers from some major drawbacks, Merit principle is an alternative to promotion system. According to this principle, merit should be the sole basis of promotion. It put strong emphasis on the merit of employees and considers merit as the main criteria for promotion. This means Employees should be promoted to higher position on the basis of their qualification, efficiency, talent and achievements, and not on the length of their service. Flippo remarks that 'Merit-rating is a systematic, periodic and so far as humanly possible, an impartial rating of employee's excellence in matters pertaining to his present job and to his potentials for a better job.'

- **Methods of testing Merit**

  Following are the methods by which merit of employees are tested.

A. Examination for Promotion

It is the first objective method to test an employee's ability for promotion. The examination may be of three kinds as follows-

a) **Open Competition:** In this kind of competition, anyone irrespective of in service or outsiders can compete for promotion.

b) **Limited Competition:** Under this, only those who are already in the department or service can appear in the examination. This is also known as closed system.

c) **Pass Examination:** Here, a candidate just needs to pass the examination to prove his/her minimum attainments. Accordingly, promotions are made from amongst the pass candidate as and when vacancies arise.

B. Efficiency Ratings or Service Records

It is another significant method of testing merit for promotion. The capability of an employee for performing his job is evaluated through his/her service record. By this method, the level of intelligence, capability for taking responsibility, conduct, behaviour, power of understanding, interest in the office work, the extent of cooperation with colleagues etc. of an employee is evaluated to make promotion.

C. Personal Judgment of the Head

The head of the office keeps direct contact or remain in direct touch with the employees hence, his recommendation and suggestion should be taken into consideration when promotion is made. In judging employee's level of quality for promotion, judgment based on personal association is believed to be more valuable than the other methods.

- **Advantages of merit principle**

The Merit principle of promotion is widely accepted and practiced due to because of the following advantages:

- The merit principle is scientific and rational as it is based on the personal quality of the employees.

- Merit principle can better ensure the efficiency of employees as it examines the personal quality, talent or efficiency of those employees.
- Possibility of corruption is lesser in merit principle as promotions are made only on the basis of merit.
- This encourages employees to work hard so that they can get an opportunity of promotion.
- It increases productivity as employees are satisfied that their talent and efficiency will be evaluated appropriately and none will get promoted on the basis of mere length of service.
- Under this, the chances of grudge and grumble are minimum and all tries to maximize their performance.

- **Disadvantages of merit principle**

  Although the merit system has many advantages, but it also suffers from some limitations. The major limitations are as follows:

  - The principle of merit is not free from favouritism and nepotism.
  - The personal judgment of head to test merit is subjective. It may encourage nepotism. Those liked by the head can easily get promoted.
  - The efficiency rating method is also said to be undependable because quality and efficiency may vary from person to person. Quality and efficiency does not have a universal ranking.

To comment on examination system, it can be said that an intellectual person may not be a good administrator. Quality of a person may not be measured properly by mere examination.



CHECK YOUR PROGRESS

Q.4: Write two merits and two demerits of seniority principle of promotion.

.....

.....

Q.5: Write two merits and two demerits of the principle of merit.

.....

.....

Q.6: In which principle the 'Personal Judgment of the Head' is related to?

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.....

.....

6.5 TYPES OF PROMOTION IN INDIA

Till the independence of India, promotions under British India government were mainly held on the basis of seniority or what we called length of service. The charter Act of 1793 had accepted the principle of seniority to make promotions. But, after the independence of India, a number of changes have been taken place that replaced the promotion system under British government in India. The first pay commission, in 1947 recommended a combination of direct recruitment and promotion system for filling up the positions of civil service. The second pay commission, in 1959 put emphasized on the merit principle for fulfilling the posts of higher level and the principle of merit cum fitness for the middle and lower level posts. In 1969, the Administrative Reforms Commission in its report on Personnel Administration has recommended the principle of seniority cum merit for promotions.[1] Thus In our country, basically the following three principles are followed for making promotions:

a. Promotions by merit;

b. Promotions on the basis of seniority subject to rejection or unfits; and

c. Promotions by merit-cum-seniority or seniority cum merit.

So far the promotions are concerned, the only constitutional provision in our country is that regarding the principles to be followed for making promotions, the Public Service Commission shall be consulted. Central and State government makes promotions on the recommendation of the department and sometime with the approval of Union Public Service Commission. To make recommendation from department's side, provision for establishment of Departmental Promotion Committee are there. These committees are comprised of a member of Union Public Service Commission or State Public Service Commission and senior officers of the department or Ministry. The departmental promotion committees take accounts all the information of the candidates for promotion. It evaluates the service records and scan through the confidential reports of the candidates. On the basis of the evaluation, the committee prepares a list of eligible candidates and accordingly from the list, promotions are made.

- ***Promotion in Central Services and Promotion from State Service to All India Services***

In group - B central services, approximately 45 percent posts are filled by promotion from lower grades. In group – B services, almost 65 percent posts are reserved to be filled by promotion. In railway department, a minimum of 10 percent posts of grade – c are filled by the eligible employees of Group – D through promotion.

In matters of All India Services, there are provisions of promotion to it from the State Civil Service Commissions. On fulfilling of certain eligibility conditions, Civil Servants of State Service can be promoted to All India Services. For example, officers who have served for 8 years as Deputy Collector or Deputy Superintendent of police are eligible for Promotion to the cadres of All India Service. For the promotion of these kind, there are separate promotional board who considers all the matters of eligible candidates and put forward a panel list to UPSC for promotion. **(Footnotes)**

[1] B.L Fadia, Dr. Kuldeep Fadia 'Public Administration : Administrative Theories And Concepts' p.478

6.6 TYPES OF PROMOTION IN UK

In UK, promotions are made partly through competitions conducted centrally and partly departments. A combination of merit principle and seniority principle is followed to make promotions. Till 1919, there was no established formal rule and regulations for promotion. No practice of service records maintenance were there to assess the performance of the employees. It was the whitley report of 1921, upon which the present system of promotions is based. The report made following provisions for promotion:

1. Departmental promotional board in every department, and
2. Annual reports.

The heads of each department appoints the departmental promotional board. These boards make recommendations for promotion. Although the board acts as an advisory body but its recommendations are accepted. After the formal orders for promotion are issued by the head of the departments, the promotion boards weights carefully all the confidential reports and the recommendations of the immediate superior officers who acts as supervising officer of the candidates along with all other available information. The boards may also interview the candidates to assess their merits and eligibilities. After assessing all these reports, information and so on, the boards recommend the names of the eligible candidates to the head of the departments. The candidature for promotion does not depend solely on seniority principle. Any employee dissatisfied with the decision of the board has the right to appeal against it.

Apart from departmental promotions, competitions are also held for making promotion. Those who perform better than other get promoted. Since 1986, numbered grades have been introduced in UK like Grade 1, grade 2 till grade 7. From grade 7 to grade 4, principle of seniority is applied. Likewise, performance appraisals combined with seniority is applied in grade 3 and grade 4. Grade 1 and grade 2 are on political and merit basis.

6.7 IMPORTANCE OF PROMOTION

A well developed, scientific and regular promotion policy is very essential in Public Personnel administration. It is an incentive to the efficient employees which keeps them motivated in their functions. As it is an ensured reward, hence all the employees shows their interest in doing their job. Unless a proper promotion policy, an organization may fail to attract efficient persons. Moreover, in the absence of it, the employees may not remain stick to their job which will lead to demoralization of the organization. Thus, a proper promotion policy is not only essential for the interest of employees but also for the employers as well. In this regard, W. Proctor remarked that, "Promotions is of direct significance to the management as much as the rewards given to the employees and the incentive held out to them react in important ways on practically all of the phase of employment administration." Hence, to keep the employees contented, disciplined, efficient and most importantly devoted to the cause of the organization, the system of promotion is of utmost important.



CHECK YOUR PROGRESS

Q.7: In UK, what principle is used for making promotion?

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Q.8: In which year 'The First Pay Commission' put forwarded its recommendation?

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Q.9: What is the recommendation of second pay commission regarding promotion?

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.....



6.8 LET US SUM UP

- In public administration, promotion is a system through which persons of lower grades or sections are lifted up to higher grades or sections endowing with higher degree of responsibility and duty and an increase in position and status.
- It is an incentive to the employees for their commendable job in their own field of duty. Thus, it serves as a reward for the employees.
- The word 'promote has come from a Latin word 'promovere' which means' to move forward'.
- There are two widely accepted principles to determine the eligibility for promotion. One is Seniority principle and the other is Merit principle.
- In the seniority principle seniority or the length of service of employees is taken into consideration for promotion. According to the merit principle merit should be the sole basis of promotion.
- Examination for promotion, efficiency ratings or service records and personal judgment of the head are the method by which the merit of employees can be tested for promotion.
- In UK, promotions are made partly through competitions conducted centrally and partly departments. A combination of merit principle and seniority principle is followed to make promotions.
- In UK, the heads of each department appoints the departmental promotional board. These boards make recommendations for promotion. Along with departmental promotions, competitions are also held for making promotion.
- Till the independence of India, promotions under British India government were mainly held on the basis of seniority. The charter Act of 1793 had accepted the principle of seniority to make promotions.
- In India, basically three principle are followed for making promotions. Those are: Promotions by merit; Promotions on the basis of seniority subject to rejection or unfits; and Promotions by merit-cum-seniority or seniority cum merit.

- Central and state government makes promotions on the recommendation of the department and sometime with the approval of Union Public Service Commission.
- In India, there are also provisions of promotion from State Service to all India Service.



6.9 FURTHER READING

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6.10 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: 'Promovere' is a word of Latin Language.

Ans to Q No 2: In public administration, Promotion is a system through which persons of lower grades or sections are lifted up to higher grades or sections endowing with higher degree of responsibility and duty and an increase in position and status. It is an incentive to the employees for their commendable job. It refers to the advancement of employee to a higher post, status, prestige and pay to which higher degree of responsibilities is attached.

Ans to Q No 3: Two essential condition of Promotion put forwarded by W.F. Willoughby are:

a) Adoption of standard specifications settings forth the duties and qualifications required for all promotions in the government service.

b) The classifications of these promotions into distinct classes, salaries, grades and service.

Ans to Q No 4: Two merits and two demerits of seniority principle of Promotion:

Merits:

1. Seniority is a matter of fact that none can deny hence it is easy to find out seniority of an employee. So it is an object test.
2. A senior man employee is more experienced. Experience is counted everywhere and it is considered as a greater qualification for promotion.

Demerits:

1. Senior employees may not be more competent always comparing to young staff. There is no guarantee of efficiency of the seniors.
2. Employees will not make any effort to be efficient and self-development if the seniority alone is given preference for promotion.

Ans to Q No 5: Two merits and two demerits of the principle of merit are:

Merits:

1. The merit principle is scientific and rational as it is based on the personal quality of the employees.
2. Merit principle can better ensure the efficiency of employees as it examines the personal quality, talent or efficiency of those employees.

Demerits:

1. The principle of merit is not free from favouritism and nepotism.
2. The personal judgment of head to test merit is subjective. It may encourage nepotism. Those who are favoured by the head can easily get promoted.

Ans to Q No 6: 'Personal Judgment of the Head' is related to merit principle of promotion.

Ans to Q No 7: In UK, a combination of merit principle and seniority principle is followed to make promotions.

Ans to Q No 8: In 1947

Ans to Q No 9: According to Second Pay Commission, merit principle should be followed for fulfilling the posts of higher level and the principle of merit cum fitness for the middle and lower level posts.



6.11 POSSIBLE QUESTIONS

A) Very Short Questions

Q. 1 : Write L.D White's definition on promotion.

Q. 2: Mention a character of promotion system.

Q. 3 : State the meaning of promotion.

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

Q. 1 : Mention the essential conditions of promotion identified by W.F. Willoughby.

Q. 2 : What are the two widely accepted principles of promotion?

Q. 3 : What are the methods by which the merit of a candidate is tested for promotion?

Q. 4 : Write a short note on the importance of promotion.

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

Q. 1 : What is merit principle? Discuss its advantages and disadvantages.

Q. 2 : Make a critical appraisal of seniority principle of promotion.

Q. 3 : Discuss the promotion system of UK.

Q. 4 : Prepare a note on the promotion system of India.

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UNIT 7: CLASSIFICATION PLAN (INDIA AND USA)

UNIT STRUCTURE

7.1 Learning Objectives

7.2 Introduction

7.3 Rank and Position Classification (India and USA)

7.4 Let Us Sum Up

7.5 Further Reading

7.6 Answers to Check Your Progress

7.7 Possible Questions

7.1 LEARNING OBJECTIVES

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

- know about the concept of Rank and Position Classification
- explain the Rank and Position Classification Plan of India and USA.

7.2 INTRODUCTION

Public administration is an important element of every state in order to carry out the day to day business of the government as well as the state. There are many officials who are appointed after a process of recruitment and later on during their service they were given different responsibilities and functions to perform. To prevent any confusion creating out of the appointment and vesting of responsibilities and functions to the employees, an efficient system of classification is very much essential. There are two main ways of classifying the people and assigning them their roles. These include the rank classification and position classification. The USA, Japan, Taiwan, Philippines and Canada have adopted the system of position classification. On the other hand, UK, France, India, Malaysia, Pakistan, Laos, and Germany have adopted the system of rank classification. Both the system however, have their own advantages and disadvantages. This

unit, therefore focuses in explaining both the classification plan i.e. the rank classification and position classification with special emphasis on India and USA.

7.3 RANK AND POSITION CLASSIFICATION (INDIA AND USA)

- **Meaning**

Rank and position classification are one of the most important aspects of personnel administration. The recruitment process which at the end induces many individuals into the system in order to perform different public task gets a systematic orientation with the classification of their rank and position. It is one of the inalienable part of the merit system. The rank and position classifications help to provide a ground of rationale standards or norms which is required in order to select personnel for civil service. The classification is essential in order to bring uniformity and prevent chaos while sorting out different types of jobs especially when budgetary matters are involved regarding the salary and scale of the employees.

The system of classification, therefore based on the principle of equal status and equal pay for equal work which in turn brings cohesiveness among the employees in particular and administration in general. In other words, classification in civil service is the arrangement or distribution of functions and responsibilities as well as status among the employees. It is one of the essential tools of human resource management in the field of public administration.

The area of public administration is such a domain which encounters different problems and challenges from day to day life. However, all the problems can be easily solved with the presence of a well-defined rank and position system of classification which would definitely bring a functional specialization and dignity in the jobs of the personnel. To note, the prevailing bases of classification of positions are based on the qualifications of the employees, their ability to perform a particular job, level of responsibility vested upon them, the personal status, etc.

From country to country, the system of classification may observe some uniqueness. For instance, the system of rank and position classification is different in both India and USA which will be studied in the later parts of this unit. The USA, Japan, Taiwan, Philippines and Canada have adopted the system of position classification. On the other hand, UK, France, India, Malaysia, Pakistan, Laos and Germany have adopted the system of rank classification. Before going forward, let us study some of the important definitions provided in regard to classification of services.

- **Definitions**

It was *W.F. Willoughby,* who have stressed on the need of an efficient classification plan. He said, 'classification and standardization of public employment constitutes, indeed, the starting point or the basis upon which the whole personnel structure must rest.'

According to *Dr. H. Finer,* the public administration to work efficiently needs an efficient system of classification and for this, there should be efficient system of recruitment. Moreover, there should also be a promotional system based rationality and equitable treatment of people working in various departments.

L.D. White believes that the position classification plan is nothing but a skeleton on which the basic requirements of personnel administration are based. The plan helps to define and analyze the different varieties of works and responsibilities which need to be vested on the public officials during their public service career.

In the words of *Dimock & Dimock,* the classification plan is involved in a process of systematic sorting and ranking of the different positions based on a hierarchical order on the basis of individual efficiency and competency. Each position is bestowed with different responsibilities.

According to *Morstein Marx,* classification is the 'grouping of position on the basis of similarities of duties and qualifications required.'

- **Classification Plan of USA (Position Classification)**

In the United States of America (USA), the US federal employees are categorized under three main divisions. The system is purely based on

the position classification. The first category includes the service known as the competitive service. It includes majority of civil servants positions where the service holder is selected by holding a rigorous competitive exam on the basis of merit and they are recruited to the positions which are open to all the applicants.

The second category comprises of the senior executive service or SES. This is the category of service where recruitment is not based on competitive lines. Here, senior leadership positions filled by career employees or political appointments which includes the Cabinet members and ambassadors.

The third category of service is known as the excepted service or unclassified service. This is also a non-competitive zone which includes certain federal agencies which mainly performs security and intelligence tasks. These positions are authorized to be filled up by hiring employees by the agency itself on the basis of their own hiring policies. They are not subjected to most appointment, pay and classification laws.

The position classification system also has an alternative name. It is also known as the classification based on duties or duties classification. The position classification in simple terms refers to the method of classification which involves the grouping of positions on basis of the duties, responsibilities and qualifications. In other words, a position is classified in accordance with the nature of job rather than the person holding the position. Therefore, under the system of position classification, a civil servants salary is depended on the position that h/she occupies.

The position classification plan as such focuses on a job-oriented career. It has already been mentioned above that the USA, Japan, Taiwan, Philippines and Canada have adopted the system of position classification. In these countries, the position classification plan regards the position of each one as central and give due importance to the nature of work performed. These are the core elements for establishing an efficient organization and enhancing motivation level of the cadres. The position serves as the basic organizational unit by bringing administrative

accountability to it. It is because the position helps to define very clearly and accurately the duties and responsibilities which are assigned with the different work positions.

The position classification is not an end in itself. It moves forward to create classes. In other words, a number of positions which are similar in nature when combine together forms a class. This has been well explained by *Glenn Stahl,* who argues the class to be a group of positions. These positions are very much similar to one another in regard to their responsibilities and duties. He further believed the class to be the operating unit, if we regard positions as the raw material on any organization. In a class however, all positions covers the same qualification needed for recruitment and also the same pay scale.

Glenn Stahl also have put forwarded four steps which are essential in position classification. These includes- analyzing, grouping, defining, and installing. The first step is grouping. This means that to classify the employees in position classification, it is essential that firstly there must be analysis of the nature of duties that need to be performed and also recording the basic characteristics of the different positions which comes under the classification. In other words, it also involves the process of describing the positions.

The second step is to group the positions into different classes. However, it must be noted that such a grouping of positions into classes must be on the basis of the similarities of their duties and responsibilities. Thirdly, defining the boundaries of the positions. These definitions of positions and its boundaries would serve to understand the limitations of each position. It also serves as an important toll in holding examination to the position or carrying forward the recruitment process. And the last step according to *Stahl* is installation by allocating individual positions to the classes.

The position classification has many advantages. It provides a functional specialization system. The system makes the responsibilities and functions of an employee very clear and also provides adequate

authority to carry out their duties. The service holder is very much acquainted with the main objectives that he/she needs to achieve being in his/her position. The second advantage of the position classification system is that it brings about a competitive atmosphere of work. This is because the position classification is purely based on merit rather than seniority. Moreover, it upholds the principle of 'equal pay for equal work'. This is the only reason that the civil servants under this system are paid adequately in respect to their level of work and responsibility. The system of position classification helps to provide the clear understanding of the nature of the job. This result in the performance appraisal of the employees to rational as well as objective.

Position classification serves at higher degree in bringing efficiency in the process of recruitment, promotion, training, career development, planning of manpower, etc. The system as mentioned upholds the idea of merit rather than seniority which helps to provide a conducive environment for human resource development. Moreover, the system also prohibits political influence in matters of recruitment, service and promotion because all employees receive equal and fair treatment in the position or class they belong. Lastly, the system of position classification also helps in lateral entry into the civil service from outside the government sector that is the private.

The position classification plan in spite of having a number of advantages, still suffers from some drawbacks. The plan brings rigidity in personnel administration. It becomes monotonous in nature and also hinders any kind of drastic change along with hindering the horizontal and vertical mobility. The classification on basis of position is not that economic affair. It is costly as well as time consuming. It takes a lot of efforts to detail the classification into positions and classes. One of the limitations is also regarding the static nature of the entire system which results it to be outdated in a short period. This requires revision of the system to prevent stagnation and keep it updated. It also makes the employees feel insecure about his/her status and compensation. Hence, there is always a constant pressure from the employees in order to secure favorable job descriptions and also to remain update continuously.

In regard to the developing societies, we must note that this system of classification on basis of position is not suitable in order to achieve socio-economic transformation in a rapid speed. This is because, for example, the duties and responsibilities of many officials like District Collector in India not easy to define in a proper manner, as such the position system serves no purpose in India. Lastly, the system suffers from the emerging difficulty of the administer as the system demands various types of technical skills which are sophisticated in nature and which goes missing on the part of many administrative system of the countries which follows the position system of classification.

- **Classification Plan of India (Rank Classification)**

The Indian Civil Service or the All India Services are the classic example of the system of rank classification. In short, India adopted the rank classification system. The Civil Service Rules of 1930 governs the classification of the services in India and also amended from time to time as and when required. At present, the civil services in India are classified into many categories. This includes- the All-India-Services, Central Services, Class I (Group –A), Central Services, Class II (Group –B), Central Services, Class III (Group –C), Central Services, Class IV (Group –D), Central Secretariat Services, Class I, II, III and IV (Groups A, B, C and D), Specialist Services and State Services, Class I, II, III and IV. The civil services are also further classified into gazette class and non-gazette classes. Usually, Class 1 (Group-A) and Class-II (Group-B) Services are gazette classes while Class-III (Group-C) and Class-IV (Group-D) services are non-gazette class.

The rank classification system is just opposite of the position system. In case of position system of classification, we have learned that the main base of classification is the position whereas in the rank classification, the main basis is the rank of an employee and the personal status. In other words, the hierarchical order is followed under the rank classification. Here, employees are classified and not the job. As mentioned above, UK, France, India, Malaysia, Pakistan, Laos, and Germany, have adopted the system of rank classification.

In rank classification, a man's salary and status are determined with reference to the service he is assigned after recruitment. It does not depend upon the position he holds or work he does. Each employee is placed in a particular class. In other words, the civil service is organized around the incumbent who is a member of a broadly defined group or service, and not the position or post. Moreover, the salary and also the status of the service holders do not depend on the nature of posting but depend upon the ranking in a group or service.

Therefore, the salary and service under the rank classification system, are determined with reference to the service he/she is assigned after the recruitment process is over. For example, we can mention that a member of the Indian Administrative Service (IAS) after recruitment may serve either in the State Secretariat or Central Secretariat or any other organization. But, in regard to his salary, he draws the same salary and also holds the same status similar to the other in the service.

The rank system of classification has many advantages in regard to the classification system. The first advantage is that the system is very easy and simple to understand. Therefore, it does not create unnecessary confusion while administering in the practical field. Moreover, this system is also beneficial because this system provides greater security of job because the service holder remains unaffected by any changes that takes place in his/her duties and responsibilities. The system of rank clarification also provides flexibility in the service by providing interdepartmental transfer. The rank classification of service helps in promoting mobility in the civil services. This is only possible due to the transfer facility within the services. This also results in a smooth operation of service.

The classification on the basis of rank is more suitable for the generalist cadres of civil services. This is because, it lays more emphasis on the generalist qualities in an employee and not on the specialist qualities. Unlike the position classification which is a timely and costly affair of classification, rank classification is less costly and less time consuming. As a result, different career opportunities are availed by the

employees. The civil servants become more loyal towards the service as a whole rather than focusing on the position. Lastly, rank classification provides a ground for attracting competent and promising personnel to the civil services.

The system of rank classification also suffers from lacunas. There are certain limitations which have compelled many nations like USA to adopt the position system of classification. The rank classification plan does not promote much specialization among the civil servants. Hence, there is hardly any room for specialist services. The system is also responsible for violating the principle of 'equal pay for equal work'. This is because under this system, employees are paid regardless of the difficultly and responsibility of their job. The post which are identical are seen to carry different emoluments. The requirements of the job and qualifications of the incumbent do not match many a times. Lastly, the rank classification system do not allow to develop a conducive atmosphere which could lead to emergence of scientific principles on which recruitment, promotion, transfer, posting and career upliftment and progress.

LET US KNOW



The Fifth Pay Commission (1994-1997) has recommended the adoption of functional classification in the place of the existing Group System (class system). In other words, the present status-based classification is to be replaced by a function-based one. It also suggested that the distinction between gazette and non-gazette officers should be abolished. Under the new proposed classification, the prevailing grades are to be recognized into Top Executives (it includes the Secretaries, Special Secretaries, Additional Secretaries), Senior Executives (it includes the Joint Secretaries and DIGs), Executives (it includes all others in Group A), Supervisory Personnel, Supporting Personnel, and Auxiliary Personal.



ACTIVITY 5.1

Try to list out and figure whether the status and position of the Indian civil service and the classification plan.



CHECK YOUR PROGRESS

Q.1: According to *Morstein Marx*, classification is the 'grouping of position on the basis of similarities of duties and qualifications required.' (True/False)

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Q.2: The position classification is not an end in itself. It moves forward to create ……. (Fill in the blanks)

Q.3: The position of the officials is more important under position classification. Elucidate.

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Q.4: Write the main advantages of rank classification.

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7.4 LET US SUM UP

- Public administration is an important element of every state in order to carry out the day to day business of the government as well as the state. There are many officials who are appointed after a process of recruitment.
- To prevent any confusion creating out of the appointment and vesting of responsibilities and functions to the employees, an efficient system of classification is very much essential.

- Rank and position classifications are one of the most important aspects of personnel administration. The recruitment process which at the end induces many individuals into the system in order to perform different public task, gets a systematic orientation with the classification of their rank and position.
- It is one of the inalienable part of the merit system. The rank and position classification help to provide a ground of rationale standards or norms which is required in order to select personnel for civil service.
- From country to country, the system of classification may observe some uniqueness. For instance, the system of rank and position classification is different in both India and USA.
- The USA, Japan, Taiwan, Philippines, and Canada have adopted the system of position classification. On the other hand, UK, France, India, Malaysia, Pakistan, Laos, and Germany, have adopted the system of rank classification. Both the system have its own advantages and limitations.
- In the United States of America (USA), the US federal employees are categorized under three main divisions. The system is purely based on the position classification.
- The Indian Civil Service or the All India Services are the classic example of the system of rank classification. In short, India adopted the rank classification system.
- The Civil Service Rules of 1930, governs the classification of the services in India and also amended from time to time as and when required. At present, the civil services in India are classified into many categories.
- The civil services in India includes- the All-India-Services, Central Services, Class I (Group -A), Central Services, Class II (Group -B), Central Services, Class III (Group -C), Central Services, Class IV (Group -D), Central Secretariat Services, Class I, II, III and IV (Groups A, B, C and D), Specialist Services and State Services, Class I, II, III and IV.

- The civil services are also further classified into gazette class and non-gazette classes. Usually, Class 1 (Group-A) and Class-II (Group-B) Services are gazette classes while Class-III (Group-C) and Class-IV (Group-D) services are non-gazette class.



7.5 FURTHER READING

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7.6 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q No 1: True

Ans to Q No 2: Classes

Ans to Q No 3: The position classification system also has an alternative name. It is also known as the classification based on duties or duties classification. The position classification in simple terms refers to the method of classification which involves the grouping of positions on basis of the duties, responsibilities and qualifications. In other words, a position is classified in accordance with the nature of job rather than the person holding the position. Therefore, under the system of position classification, a civil servants salary is depended on the position that h/she occupies.

Ans to Q No 4: The following are the main advantages of rank classification:

a) The rank system of classification has many advantages in regard to the classification system. The first advantage is that the system

is very easy and simple to understand. Therefore, it does not create unnecessary confusion while administering in the practical field.

b) Moreover, this system is also beneficial because it provides greater security of job and the service holder remains unaffected by any changes that takes place in his/her duties and responsibilities.

c) The system of rank clarification also provides flexibility in the service by providing interdepartmental transfer. The rank classification of service helps in promoting mobility in the civil services. This is only possible due to the transfer facility within the services. This also results in a smooth operation of service.

d) The classification on basis of rank is more suitable for the generalist cadres of civil services. This is because, it lays more emphasis on the generalist qualities in an employee and not on the specialist qualities.

e) Unlike the position classification which is a timely and costly affair of classification, rank classification is less costly and less time consuming. As a result, different career opportunities are availed by the employees. The civil servants become more loyal towards the service as a whole rather than focusing on the position.

f) Lastly, rank classification provides a ground for attracting competent and promising personnel to the civil services.



7.7 POSSIBLE QUESTIONS

A) Very Short Questions

Q. 1 : Nation, like USA has adopted …… classification. (Fill in the blank)

Q. 2 : Position classification serves at higher degree in bringing efficiency in the process of recruitment, promotion, training, career development, planning of manpower and etc. (True/False)

Q. 3 : What is the difference between rank classification and position classification?

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

Q. 1 : Describe in brief the limitations of position classification.

Q. 2 : Explain the merits and demerits of rank classification.

Q. 3 : Describe in your own words which system of classification is suitable to bring efficiency in administration.

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

Q. 1 : Explain the rank classification plan of India.

Q. 2 : Discuss the rank and position classification plan of USA.

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UNIT 8: EMPLOYER-EMPLOYEE RELATIONS (UK AND INDIA)

UNIT STRUCTURE

8.1 Learning Objectives

8.2 Introduction

8.3 Scope of Employer-Employee Relationship

8.4 Machinery for Negotiations regarding Employer-Employee Relationship in UK and India

- 8.4.1 Whitley Council in United Kingdom (UK)
- 8.4.2 Staff Council in India
- 8.4.3 Joint Consultative Machinery (JCM) Sheme in India

8.5 Let Us Sum Up

8.6 Further Reading

8.7 Answers To Check Your Progress

8.8 Possible Questions

8.1 LEARNING OBJECTIVES

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

- explain the scope of employer-employee relationship
- discuss various mechanism that exists in UK and India for negotiations regarding employer-employee relationship, like -Whitley Council in the UK, Staff Councils of India, Joint Consultative Machinery (JCM) in India.

8.2 INTRODUCTION

The success of an organization is heavily dependent on the nature of employer employee relationship in the organization. A healthy employer employee relationship brings efficiency in the organization.In this unit we shall discuss thescope of employer-employee relationship in an organization. This unit shall also focus on various administrative mechanism that exists in UK and India for negotiations regarding employer-employee relationship.

8.3 SCOPE OF EMPLOYER-EMPLOYEE RELATIONSHIP

Modern democratic governments with large-scale administrative organizations, committed to the all-round development of the society cannot carry out their policies and programmes without the active cooperation and participation of the employees. Therefore, harmonious employer employee relations are absolutely necessary for administrative efficiency. To ensure a healthy employer employee relationship, government should maintain some effective mechanism for negotiations with the employees for redressal of their grievances and settlement of issues regarding the conditions of service of its employees. The main objectives of employer -employee relationship in any organization are-

i) To achieve and maintain good human relationships within an organization.

ii) To enable each person to make his or her maximum personal contribution to the effective working of the organization.

iii) To ensure respect for human personality and the well-being of the individual.

iv) To ensure maximum individual development of personnel.

v) To ensure satisfaction of various needs of individuals for achieving their maximum contribution towards organizational goals.

- **Scope of Employer-Employee Relationship:**

  While discussing the scope of employer-employee relationship, it can be said that an organization must contain following components-

  a) Right to form association

  b) Right to strike

  c) Machinery for negotiation and settlement of disputes.

  - **Right toform Association:**

  In every democratic country the public employees are given the right to form association. In India Article 19(A) of the Indian Constitution recognizes the right to form associations by its citizens subject to

reasonable restrictions imposed by the State. Thus, In India the public servants shall have the right to form their associations duly recognized by the Government. The recognition of the Government to such associations is subject to some conditions. Some of suchconditions are-

a) That no person who is not a Government servant is connected with the affairs of the Association,

b) That the executive of the Association is appointed from amongst members only,

c) That the Association shall not support the cause of individual Government servant,

d) That it shall not maintain any political fund or propagate the views of any political party or politician.

It is clear from the above that the right of civil servants in India to form the Associations is subject to stringent conditions. Membership of an association, unrecognized by the Government, is subject to disciplinary action for the civil servants.

The public employee's associations can be categorized into professional associations and trade unions. Professional Associations are basically formed for the exchange of information and experiences for the betterment of their profession. These associations are formed by the higher categories of government employees. For example, there are associations like Central Secretariat Service Associations, Income Tax Gazetted Officers Association, Indian Audit and Accounts Service Association, Teachers' Associations, Association of Civil Services etc.

The Trade Unions, on the other hand, are basically formed by lower level employees. These associations are basically formed to secure better service conditions like salary and other benefits. The trade unions go to strike to meet their demands. Some examples of trade union are All India Postmen Union, All India Railway Employees Union, and College Teachers' Union etc.

Generally, the objectives of the employees' associations are-

1. To put pressure on the government to improve the service conditions.
2. To make suitable opportunity for employees to exchange ideas and experiences.
3. To heighten the morale of the members.
4. To express opinions for the improvement of the service of the organization etc.

➢ **Right to Strike:**

Right to strike of the public employees is a very debatable issue. In India the July 1960 strike of as well as 1968 (abortive) strike of the Central Government Employees has focused public attention on this important problem. The position of the government in this respect varies from one country to the other.

In United Kingdom, there is no law prohibiting strikes by the civil servants. However, striking is a disciplinary offence there, and the Government is free to take any disciplinary action if any government servants go for strike.

In United States of America, the civil servants are prohibited by law to engage in strike. The Labour Management Relations (Taft-Hartley) Act 1947 makes it unlawful for any employee of the Government of the United States of America or any of its agencies including government corporations to resort to strike against the Government. The penalty provided for strikeinclude discharge from employment, forfeiture of civil service status and ineligibility for re-employment for three years. Further, the ban has been made more stringent by a law passed in 1955.

In India, a strike by the Government servants is not prohibited by law; it only constitutes breach of discipline. The Central Civil Services (Conduct) Rules, 1955, forbids a Government servant from participating in any demonstration or resorting to any form of strike in connection with any matter pertaining to his or her conditions of service. However, no such restriction is applicable to industrial staffs, except those under the Railways and Railway staffs.

There is difference of opinion in India regarding public employee's right to strike. Some peoples favour the grant of full Trade Union rights to the Civil Servants including the right to strike. The second view point recommends a total ban on strikes by public servants.The third view point suggests prohibit of only certain types of strikes by the civil servants.

The Second Pay Commission of India is of the opinion that the civil servants should not resort to strike. However, it felt that right to strike need not be prohibited by law. It recommends that adequate machinery should be set up for negotiation, redressal of grievances and settlement of disputes so that the civil servants will not go for strike. In the year 1968, the Essential Services Maintenance Act (ESMA) was passed by the Indian Parliament which empowered the Government to outlaw strikes in any essential service of the country. The Administrative Reforms Commission (1966-1970), set up by the Central Government of India, recommended complete prohibition of strikes by civil servants.

Thus, the weight of opinion from different sections appears in favour of prohibition of strikes in case of civil servants. However, mere banning it is not a remedy. While it is true that the strikes by the public employees causes misery to the people, but it also remains true that strikes are not resorted to in vacuum and without sufficient ground. Strikes would be lessened if proper service conditions are provided and the authorities listen to the views of the employees patiently and redress their grievances in proper time. Hence orderly processes have to be developed and adequate machinery for redressal of grievances should be set up to solve these problems.

- **Machinery for negotiation and settlement of disputes:**

Government of different countries have adopted various mechanism to negotiate and provide settlement to the disputes that take place between employers and employees. In United Kingdom Whitley Council exists for this purpose. Like India has Joint Consultative Machinery which look after the grievances in the organisations.



CHECK YOUR PROGRESS

Q.1: Mention any two objectives of employees' associations.

…

.....

Q.2: In which year was the Labour Management Relations (Taft-Hartley) Act passed in the United States of America?

.....

Q.3: The Administrative Reforms Commission (1966-1970), set up by the Central Government of India, recommended complete prohibition of strikes by civil servants. (True/False)

.....

8.4 MACHINERY FOR NEGOTIATIONS REGARDING EMPLOYER-EMPLOYEE RELATIONSHIP IN THE UK AND INDIA

In this section, we shall discuss various mechanism that exist in the UK and India for addressing the different issues associated with employer-employee relationship.

- **Whitley Council in United Kingdom (UK):**

Whitleyism is a method of periodical discussion at various levels between representatives of the State as employers (the official side) and representatives of civil servants as employees (the staff side). The system of Whitley Councils has been in existence in the Civil Service of the U.K. since 1919. The spirit of Whitleyism is a readiness on both sides to make the machinery of joint discussion work, to aim at reaching the best possible settlements amicably and to the satisfaction of both sides. The main objectives of the whitleyism are-

1. To get full cooperation between management and staff with a view to increase the efficiency of the public service combined with the well-being of those employed;
2. To provide machinery for dealing with grievances, and

3. To bring together in the solving of problems the experience and different points of view of many kinds of civil servants.

- **Organisation of the Whitley Council:**

The Whitley machinery consists of -

a) National Whitley Council for general classes of the Civil Services,

b) Departmental Councils for staff peculiar to a Department,

c) District or Regional Committees which deal with purely local problems of the staff distributed throughout the country.

The National Whitley Council has a total membership of 54, equally divided between the official and staff sides. The official side was originally appointed by the Cabinet, but now a days vacancy are filled by the Treasury. Members are not appointed for any specified term of office and continue to serve until they resign or retire. The official side consists mainly of Heads of Departments, with a few Deputy Heads and Treasury Officers of lower rank. The Staff side members are appointed by the major groups of staff associations. The Staff side seats are distributed to the different associations to be represented on it. The Council has a Chairperson and a Vice-Chairperson. The Chairperson belongs to the official side and the Vice-Chairperson to the staff side. There are four Secretaries for the Council. Each side appoints two of its members to act as Secretaries.

Like the National Council, the Departmental Council has both sides- the Official side and Staff Side. The official side consists normally of serving civil servants of senior rank in the department concerned. They are appointed by the Ministry or by the Head of the Department. The Chairperson is usually the Head of the Department, and the Secretary usually a member of the Establishment Division. The Staff side is appointed in the first place by the associations represented in the Department which are called together for the purpose by the Head of the Department, and like the National Staff side, fills its own vacancies and decides how many seats are to be held from time to time by the different associations.

The District or Regional Whitley Committees are formed in the same principles as the Departmental Councils.

There is no hierarchical connection between these Councils. However, the National Council must, approve all Departmental Council constitutions; and it is kept informed of departmental developments which seem to be inconsistent with national agreements or to have application or consequences beyond the department concerned.

- **Proceedings:**

  The ordinary meetings of the National Council, according to the Constitution, "shall be held as often as necessary and not less than once a quarter. A special meeting of the Council shall be called by the Chairperson or the Vice-Chairperson as required". The decisions of the Council are arrived at by agreement between the two sides and have to be signed by the Chairperson and the Vice-Chairperson. They are, then, reported to the Cabinet, and with its consent become operative. If the two sides disagree, decision can not be reached within the Whitley mechanism.

- **Functions:**

  The scope of National Council comprises all matters affecting the conditions of service of the staff. Its functions include the following:

  1. Formulation of provision of the best means for utilizing the ideas and experience of the staff.
  2. Developing means for securing to the staff a greater share in and responsibility for the determination and observance of the conditions under which their duties are carried out.
  3. Determination of the general principles governing conditions of service e.g. recruitment, hours of work, promotion, discipline, tenure, remuneration and retirement. In promotional matters, the National Council discuss about the general principles only, individual matters are not taken into consideration by the Council.
  4. The Council encourages further education of civil servants and their training in higher administration and organisation.

5. Improvement of office machinery and organisation, and the provision of opportunities for the full consideration of suggestions by the staff on this subject.
6. The Council also proposes legislation so far as it has a bearing upon the position of civil servants in relation to their employment.

- **Limitations of the Whitley Council System:**

There are certain limitations on the scope of the functions of the Council. Such are-

1. The authority of the Whitley Council is merely advisory. They cannot relieve the Government from its responsibility to the Parliament. The Government cannot surrender its liberty of action in the exercise of its authority and the discharge of its responsibilities in the public interest. If agreements are not reached in the Whitley Council, the matter will be reported to the Minister and the Head of the Department is free to act according to his or her own discretion.
2. The Higher level officers don not attempt to discuss their issues in the Whitley machinery. Only the officers upto certain level in the hierarchy are concerned with the Whitley Council.
3. The questions of class or grade remuneration are more often dealt with by direct negotiations than by Whitley Council. The Whitley system does not restrict the Civil Service Associations having direct negotiations with the Department or the Treasury on a matter which is exclusively of its own interest.
4. The Councils have not generally interested themselves in the bigger, non-economic problems of administration. Thus, matters like the policy on security measures and civil rights are Government's responsibility and beyond the jurisdiction of the Whitley Councils. The Council only discuss the practical application of this policy within the framework of the Government directives.

5. The Councils do not consider individual cases nor discuss the merits of particular cases.

- **Working of Whitley System:**

The Whitley system in the United Kingdom has greatly contributed to the harmonious relationship between the staff and the Government. It provides a common meeting ground for the employer and the employees to sit together and discuss matters of common importance and have created better understanding among both. Douglas Houghton rightly described the role of Whitley Council in his lecture at the Indian Institute of Public Administration, New Delhi in 1957 when he said that most of the formal procedures have been dispensed with and there is a good deal of informal discussions. The Chairperson of the official side may contact the Vice- Chairperson of the staff side before the formal meeting and discuss informally how matters stand on a particular claim. Similarly the leaders of the staff side may contact the official side for informal consultations. These informal discussions save a lot of time in formal meetings as each side knows the other's viewpoint.

However, there are some sections in United Kingdom who have criticized Whitleyism also. Some trade associations have criticized Whitleyism on the grounds that it restricts the full operation of trade unionism in the civil service. The Fulton Committee also criticized it on the grounds that it reduces the flexibility of management. In spite of all these criticism Whitleyism in civil service has made anvaluable contribution to good staff relations in the United Kingdom.

- **Staff Council in India:**

In India, it was the First Pay Commission of 1946 in its report clearly underlying the urgency of machinery for negotiating and settling questions relating to conditions of service which may arise out of differences between Government and its employees, but no action was taken for several years in this direction. It was

only in 1954 the matter was taken to implement and the Ministry of Home Affairs, Government of India issued a circular to all the Ministries to establish Staff Committees. Later on the Home Ministry altered the name of the Staff Committees to Staff Councils. There are two Staff Councils in each Ministry- Senior Staff Council for the cadres of Class-I, II and III, and a Junior Staff Council for the Class-IV employees.

The structure of Senior Staff Council is-

a) One Chairperson, who acts as Secretary or Joint Secretary of the Ministry concerned, nominated by the Minister-in-Charge.

b) Government representatives who were nominated by the Ministry from amongst its officials not below the rank of Under Secretary. In addition to that the Head of each attached Office will be nominated by the Minister as member.

c) Staff representatives were elected from amongst the members of the following grades separately- Section Officers, Assistants, Stenographers and Clerks, in the proportion of one representative for twenty members or fraction thereof.

d) A Secretary nominated by the Chairperson from the Staff representatives.

The Junior Staff Council consists of one Chairperson who is the Deputy Secretary of the Ministry concerned, and the other Government Representative members (not below the rank of senior Assistant) nominated by the Government. The Staff representatives are in the proportion of one representative for every twenty members elected from the groups of jamadars, peon and sweepers. The Secretary of the Junior Staff Council will be nominated by the Chairperson from the Staff side in consultation with the representatives.

The functions of the Staff Councils are-

a) To consider suggestions for improving the standards of work.

b) To facilitate personal contact between officers and staff with a view to develop cordial relation between them and encourage the staff to work efficiently

c) To provide a machinery to the staff to express their views to the Government particularly on matters related to their service conditions.

However, the workings of these Councils are not satisfactory. The employees had rejected these Councils and disassociated with it. It was because they understand it very well that these Councils are merely an advisory body and have no power and means for any effective settlement. Even it was also stated that some officers representing the machinery did not have the right attitude towards the machinery. The meetings of the Staff Council were not held regularly. Due to these inefficiencies the Second Pay Commission therefore, recommended for setting up of a Joint Consultative Machinery on the lines of Whitley Council of the United Kingdom along with a provision for compulsory arbitration. The recommendations of the Second Pay Commissions are-

a) The establishment of a Central Joint Council to cover both the industrial and non-industrial Civil Services.

b) There should be departmental Joint Councils also.

c) The setting up of compulsory arbitration tribunals to deal with matters like pay, hours of work, leave etc.

d) The Ministry of Labour should be closely associated with important matters concerning staff relations.

- **Joint Consultative Machinery (JCM):**

On October 10, 1960, the Government of India announced a scheme to bring the Staff Councils in line with the Whitley Councils of the United Kingdom. As per the scheme, the Joint Consultative Machinery is athree-tier machinery consisting of Local or Regional Councils, Departmental Councils and the National Council.The Local or Regional Councils shall deal with

matters pertaining to all Government Offices in the particular region. The Departmental Councils shall deal with matters concerning a particular department and each Ministry shall have a Council. The National Council shall consider the matters relating to the working conditions of the employees with special reference to schemes for their general welfare. There will be an Arbitration Committee consisting of one representative each of the Government and the employees. The members are to be chosen from a penal of five names submitted by the two parties. Any disputes which the National Council is not able to settle will be referred to the committee. In September 1963, the Government announced to establish these bodies on a non-statutory basis. Finally, in October 1966, the Government of India inaugurated the Joint Consultative Machinery and Compulsory Arbitration for the Central Government employees.

- **Objectives:**

The main objectives of the Joint Consultative Machinery are -

a) To promote harmonious relations between the Government and its employees.

b) To secure co-operation between the Government and the general body of its employees in matters of common concern.

c) To increase the efficiency of the public services.

The Joint Consultative Machinery(JCM) discusses matters relating to conditions of services and work, welfare of the employees and improvement of efficiency and standards of work and general principles in regard to recruitment, promotion and discipline. It is strictly excluded from discussing individual cases.

- **The National Council:**

The National Council is the apex level body of the Joint Consultative Machinery, consisting of the official side and the staff side. The Cabinet Secretary is the Chairperson of the National Council. The official side consists of 25 members who are appointed by the Central Government. The staff side has a

maximum membership of 60 who are nominated by the recognized Staff Associations, the distribution of seats fixed by the Chairperson of the Council in consultation with them. The staff side elect a leader from among its members.

The National Council deals with matters generally affecting the government employees. The National Council does not deal with matters of interest to employees of a single department.

- **The Departmental Council:**

The Joint Consultative Machinery Scheme provides for a Departmental Council for each department but there can be a single Council also for 2 or more small departments under a Ministry. The Department of Personnel and Administrative Reforms has a Council to deal with the matters affecting the personnel of the Central Secretariat Services. The Departmental Councils are concerned with the problems of employees who are working in a Ministry/Department and the subordinate and attached offices of the Department. The Secretary of the Ministry concerned represents the official side and is the Chairperson of the Departmental Council. The official side is nominated by the Government and may not have more than 10 members. The staff side has membership ranging between 20 and 30, the exact number depending upon the total strength of the staff and the number of grades and services in the department. The staff side is elected by the staff associations for a term of 3 years. A Departmental Council meets once in 3 or 4 months.

- **Regional or Local Council:**

Regional or Local Councils deal with only regional or local matters relating to condition of work, welfare, improvement of efficiency and standards of work of employees and are set up only where the structure of a department permits such a course. The Local Council consists of not more than 5 members on the official side and 8 members on the staff side.

It should be pointed out that these various tiers are distinct and separate ones. They are in no way hierarchically integrated bodies.

The Joint Consultative Scheme provides for compulsory arbitration in the event of a disagreement between the two sides. But the compulsory arbitration is limited to - (i) pay and allowances, (ii) weekly hours of work, and (iii) leave of a class or grade of employees. The awards of the Board of Arbitration are binding on both sides subject to the over-riding authority of the Parliament.

Though the Fourth Pay Commission (1986) and the Fifth Pay Commission (1991) expressed satisfaction over the functioning of the Joint Consultative Machinery, yet there are many shortcomings in the functioning of the scheme. Unlike the Whitleyism in the U.K., the Joint Consultative Machinery is lacking the very spirit of give and take, because the Government has not always taken the staff side into confidence with the result that unimportant matters are seen to crowd the agenda of the Councils, whereas important subjects get excluded from discussion. On the other hand, the staff side also not serious and responsible enough in making their demands to the Councils. The meetings of the Councils are very irregular and the agenda for discussions is compiled in a somewhat casual way. Moreover, the Joint Consultative Machinery has not been fully implemented.Only 14 Departmental Councils have been set up by the Government so far.

CHECK YOUR PROGRESS



Q.4: Mention any two objectives of theWhitley Councils.

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Q.5:In which year the Government of India established the Joint Consultative Machinery and Compulsory Arbitration for the Central Government employees?

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Q.6:Write briefly about the composition of the National Council ofthe Joint Consultative Machinery of India.

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Q.7:Mention any two objectives of the Joint Consultative Machinery.

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8.5 LET US SUM UP

- The success of an organization is heavily dependent on the nature of employer employee relationship in the organization. A healthy employer employee relationship brings efficiency in the organization.To ensure a healthy employer employee relationship, government should maintain some effective mechanism for negotiations with the employees for redressal of their grievances and settlement of issues regarding the conditions of service of its employees.
- While discussing the scope of employer-employee relationship, it can be said that an organization must contain following components - right to form association, right to strike, machinery for negotiation and settlement of disputes.
- Government of different countries have adopted various mechanism to negotiate and provide settlement to the disputes that take place between employers and employees. In United Kingdom Whitley Council exists for this purpose. Like India has Joint Consultative Machinery which look after the grievances in the organisations.
- In the United kingdom,Whitley Councilis the mechanism that exist for addressing different issues associated with employer-employee relationship. Whitleyism is a method of periodical discussion at various

levels between representatives of the State as employers (the official side) and representatives of civil servants as employees (the staff side).

- The Whitley machinery consists of -National Whitley Council for general classes of the Civil Services,Departmental Councils for staff peculiar to a Department,District or Regional Committees which deal with purely local problems of the staff distributed throughout the country.
- In October 1966, the Government of India inaugurated the Joint Consultative Machinery and Compulsory Arbitration for the Central Government employees.
- The Joint Consultative Machinery is a three-tier machinery consisting of Local or Regional Councils, Departmental Councils and the National Council.



8.6 FURTHER READING

1) Arora, Ramesh. K. and Goyal,Rajni.(1996).*Indian Public Administration, Institutions and Issues.*New Delhi: WishwaPrakashan.

2. Avasthi, Dr. Amreshwar. and Maheswari, Dr. Shriram.(2002).*Public Administration*. Agra: Lakshmi Narain Agarwal Publication.

3. Bhagwan, Vishnoo. and Bhushan,Vidya.(2007).*Public Administration*. New Delhi: S. Chand and Co. ltd.



8.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q. No. 1: (i) To put pressure on the government to improve the service conditions. (ii)To make suitable opportunity for employees to exchange ideas and experiences.

Ans to Q. No. 2: 1947

Ans to Q. No. 3: True

Ans to Q. No. 4: (i) To get full cooperation between management and staff with a view to increase the efficiency of the public service

combined with the well-being of those employed;

(ii) To bring together in the solving of problems the experience and different points of view of many kinds of civil servants.

Ans to Q. No. 5: 1966

Ans to Q. No. 6: The National Council is the apex level body of the Joint Consultative Machinery, consisting of the official side and the staff side. The Cabinet Secretary is the Chairperson of the National Council. The official side consists of 25 members who are appointed by the Central Government. The staff side has a maximum membership of 60 who are nominated by the recognized Staff Associations, the distribution of seats fixed by the Chairperson of the Council in consultation with them.

Ans to Q. No. 7: a) To promote harmonious relations between the Government and its employees.

(b) To secure co-operation between the Government and the general body of its employees in matters of common concern.



8.8 POSSIBLE QUESTIONS

Q. 1 : Mention two main objectives of the employer employee relationship in any organization.

Q. 2 : Where the Whitley Council system exists?

Q. 3 : Write about the scope of the employer employee relationship.

Q. 4 : Write about the Staff Council in India.

Q. 5 : Write about the weaknesses of the Staff Council system.

Q. 6 : What is the importance of effective employer employee relation in public administration? Discuss the importance of employees right to Association.

Q. 7 : Discuss the Whitley System in U.K.

Q. 8 : Discuss the scheme of Joint Consultative Machinery in India.

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UNIT 9: BUDGETARY PROCEDURE AND PRACTICE (INDIA, UK AND USA)

UNIT STRUCTURE

9.1 Learning Objectives
9.2 Introduction
9.3 Budgetary Procedures and Practices in India and the UK
  9.3.1 Background of Budgetary Procedures
  9.3.2 Budgetary Procedures and Practices in India and the UK
9.4 Budgetary Procedures and Practices in the USA (Zero Based Budgeting, Planning Programming Budgeting)
  9.4.1 Zero Based Budgeting
  9.4.2 Planning Programming Budgeting
  9.4.3 The British and the Indian Budgetary Systems compared with that of the USA
9.5 Let Us Sum Up
9.6 Further Reading
9.7 Answers to Check Your Progress
9.8 Possible Questions

9.1 LEARNING OBJECTIVES

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

- discuss the meaning of budget and the background of budgetary procedures
- explain the budgetary procedures in India and the UK
- explain the budgetary procedures and practices in the USA with reference to Zero Based Budgeting and Planning Programming Budgeting
- Compare the budgetary systems of India, the UK and the USA

9.2 INTRODUCTION

Finance occupies a very prominent place in the study of public administration. Of the several factors that enter into the problem of efficient

administration, one of the greater importance is financial administration.Finance is the life-blood of a government and fuel for the engine of public administration.

The success of administration depends upon the availability of finance. Nothing can be done without the expenditure of money. From the payment of salary or wage of the official or employee money is a major factor. Financial operations may be designed to develop and promote particular public policies, e.g., tariffs may be so levied as to provide protection to the home industries, or taxation may be so imposed as to bring economic equality.

9.3 BUDGETARY PROCEDURES AND PRACTICES IN INDIA AND THE UK

9.3.1 Background of Budgetary Procedures

The nineteenth century witnessed the growth of the problem of public finance on a large scale. On the one hand, the functions of the State become manifold in all directions and on the other hand, the necessity of checks in financial administration to prevent fraud and waste and to secure the highest possible results from public expenditures was felt. To solve this vexed problem, there arose the budget system in England which was absolutely non-existent until 1803. The budget thus became a very important tool of financial administration.

The word 'budget' is derived from a French word, 'Bougette', which means a leather bag or wallet. The term was used for the first time in 1773 in a satire entitled 'Opening the Budget'. The Chancellor of the Exchequer in the UK used to carry a leather bag containing papers on the financial plans for the country to the House of Commons. So when he set off to place his financial plans before the House, he used to open his 'budget', that is, the bag, and it is because of this association of the financial plan with the 'bougette' that the financial statement of a country has come to be known as budget. The term budget, in modern times, therefore, denotes that document

which contains estimates of revenue and expenditure of a country, usually for the fixed period of one year.

Fiscal managementis central to effective financial development which is indispensable for keeping the state on the path of socio-economic development. A sound fiscal management involves a chain of operations viz., Preparation of budget; Legislation of the budget; Execution of the budget and audit.

Fiscal management is a dynamic process involving a continuous chain of operations which are:

i) Preparation of the budget, i.e. of the estimates of revenue and expenditure for the ensuing financial year;
ii) Securing legislative sanction for these estimates;
iii) Execution of the budget,i.e., regulation of the expenditure and raising the revenue;
iv) Treasury management, i.e., safe custody of the funds raised and due arrangements for the necessary payments to meet the liabilities; and
v) Rendering of the accounts by the executive and the audit of these accounts.

The above operations regarding fiscal management are carried outby the following agencies:

a) The executive assisted by the central department or departments concerned mainly with financial administration;
b) The legislature;
c) The principal financial officers in the administrative departments;
d) The audit organization; and
e) The committees of the legislature.

9.3.2 Budgetary Proceduresand Practices in India and the UK

A brief discussion of the budgetary procedures in India and the UK could be made with reference to the agencies mentioned in the previous section as follows :

1) The Executive:

The chief executive is responsible for formulation of the financial policy of the government and the preparation of the estimates of expenditure and revenue for the ensuing financial year. He is assisted in this job by a centraldepartment which in Britain is called the Treasury and in India is known as the Ministry of Finance. The estimates prepared by the disbursing officers are reviewed by the head of the department. These are then forwarded to the Finance Department which gives to these estimates final shape and puts them in the budget.

2) The Legislature:

According to the democratic principle no tax can be levied or collected and no expenditure can be made by the Government except with the previous consent of the Parliament. The executive makes the demands incorporated in the budget and the legislatures grants them. The power of authorising expenditure and collection of taxes is usually vested in the popular or lower chamber of the legislature, for example, in the House of Commons in England and the Lok Sabha in India. The Upper Houses in both these countries do not have much say in the matter. In parliamentary countries, the legislatures performs its financial functions under the leadership of the executive. In the U.S.A. the legislature is not subject to any such control by the executive. It may do with the budget proposals whatever it likes.

3) Heads of Departments:

As soon as the budget is passedby the legislature, the 'controlling officer' who is usually the head of the department allocates funds to the disbursing officers who are responsible for the disbursement of money. In England, the head of a department is also nominated as the Accounting Officer by the Treasury but in India the heads of departments are not responsible for account keeping. In India, this work is done by the Comptroller and Auditor General of India .

4) Audit:

A very important agency of financial administration is the Audit Department. In India the audit agency is headed by the Comptroller and Auditor General of India who is a constitutional authority .In the UK, the Comptroller and Auditor General is an officer of the House of Commons and is the head of the National Audit Office, the body that scrutinises central government expenditure.

5) Parliamentary Committees:

Finally two committees of the Indian parliament, namely, the Estimates Committee and the Public Accounts Committee exercise financial control on behalf of the legislature. In the UK, the Committee of Public Accounts or the Public Accounts Committee which is a select committee of the British House of Commons responsible for overseeing government expenditures and to ensure they are spent appropriately.

The agencies mentioned above are employed for financial administration. These agencies have to see that the tax payer's money is rightly and properly used. Public money is a trust, and financial administration should see to it that even a rupee is not spent for personal gain of any individual, but for the good of the people as a whole. Efficient financial administration is the pride of the administrative system of a country.



CHECK YOUR PROGRESS

Q.1: The word 'budget' is derived from which French word ?

.....

Q.2: Mention any two agencies which are tasked to carry out operations with regard to fiscal management.

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9.4 BUDGETARY PROCEDURES AND PRACTICES IN THE USA (ZERO BASED BUDGETING, PLANNING PROGRAMMING BUDGETING)

9.4.1 Zero Based Budgeting

Zero-based budgeting was developed in 1969 in the USA and later applied in government budgeting, notably in the State of Georgia. Zero-based budgeting(ZBB) is a method of budgeting in which all expenses must be justified for each new period. The process of zero-based budgeting starts from a zero base,' and every function within an organization is analyzed for its needs and costs. Budgets are then built around what is needed for the upcoming period, regardless of whether each budget is higher or lower than the previous one.

ZBB allows top-level strategic goals to be implemented into the budgeting process by tying them to specific functional areas of the organization, where cost can be first grouped and measured against previous results and current expectations.

The ZBB technique involves a critical review of every scheme before a budgetary provision is made.The Z BB requires each organization to evaluate and review all its programmes and activities current or new on the basis of cost as well as performance. A scheme will not be funded merely on the ground that it was in operation during the earlier year, for the next year allocation its utility, justification and performance will have to be established. The fundamental idea behind Z BB is that the agency should justify its entire budget from ground up each year. The traditional budget assumes that there was zero budgeting base for a scheme that is guaranteed and the only question is how much more moneyor increment will be given for that scheme. In contrast Z BB assumes that there was a zero budgeting base for a scheme and in order to get a budgetary allocation it must established its utility and justification in terms of its achievements and performance. In other words, two questions are required to be answered:

i) Are the current activities effective and efficient?

ii) Should current activities be eliminated or reduced to allocate funds to higher priority programmes or to reduce the current budget?

The Z BB techniques require a large mass of quantitative data regarding the objectives, targets, performance evaluation and a comparison among divergent programmes. Z BB is a pragmatic approach which offers a flexible management tone. It can lead to substantial savings, particularly in the Indian context. It can improve programme effectiveness and make administration more responsible and responsive.

In India, Shri V.P. Singh, the former Union Finance Minister in the Rajiv Gandhi Government, told a Parliamentary Consultative Committee that the government would be introducing zero-based budgeting at first in a small way in 1986-87 and thereafter in full, in the budget formulation in 1987-88.

9.4.2 Planning Programming Budgeting

Planning Programming Budgeting was first introduced in the Department of Defense in the USA in 1961 by Robert McNamara, and subsequently in all departments in 1965 until 1975.

Budgeting is an instrument forshort-term as well as long-term planning. The relation between planning and budgeting is very close. The programming, planning, and budgeting staff in the various government agencies must work as a team to exercise continuing surveillance of the respective programmes. The programmes must be reviewed and evaluated at the departmental level in relation to the objectives of the department, not only in terms of the needs of today or next fiscal year, but also in terms of the overall departmental goals at least for several years ahead. Programmes established many years ago must be re-evaluated in the light of conditions of today and the years ahead. Evaluation must be made between "desirable"

programmes and "essential" programmes. Non-essentials programmesmust be eliminated.

In the words of Thavaraj: "The marriage of 'planning' and 'budgeting' must begin at 'grass roots' level in the respective departments and agencies."

Mr. Sachin Chaudhuri, while presenting the Budget proposals for 1966-67 to the Indian Lok Sabha on February 28, 1966, said: "The Budget of the Government of India is a major instrument for implementing our plans and policies. It has to be framed, therefore, in response to current economic trends as well as the long-term requirements of the economy"(Source: 1Bhagwan, Vishnoo. &Bhushan, Vidya. (2007): Public Administration. Nineteenth Edition, S. Chand & Company Ltd: New Delhi.pp.590).

9.4.3 The British and the Indian Budgetary Systems compared with that of the USA

Broadly speaking, the British budgetary process is same as the Indian, but certain differences may be noted between the two:

i) Firstly , Britain has always had only one Budget. In India there used to be a separate railway budget until it was merged with the Union budget from the year 2017-18.

ii) Secondly , the budget speech in India is made by the Finance Minister as soon as the budget is laid on the Table of the House, but in the UK the budget speech is made by the Chancellor of Exchequer at a later stage when the revenue part of the budget is introduced in the Committee on Ways and Means.

iii) Thirdly, in India the budget is laid before both the Houses of Parliament and is discussed in both the Houses but in the UK it is not introduced and discussed in the House of Lords.

iv) Fourthly , in the UK, the voting of demands and of revenue is done in the Committee of the Whole House known as the Committee of Supply and the Committee of Ways and Means respectively but in India the House does not sit as a Committee

of the Whole House. The Lok Sabha itself takes up and passes the budget.

v) Fifthly, in India the budget reaches the President 14 days after it has been passed in the Lok Sabha, while in the UK it is presented to the Queen 30 days after it has been passed by the House of Commons.

For the rest, the budgetary procedure in Britain has the same features as that in India. As a matter of fact, the former is the model on which the latter is based.

Unlike India, in the USA there is no budget speech, because on account of separation of powers, the American executive is not represented in the Congress.

The budgetary process in the USA is largely disintegrated and un-coordinated. Instead of a single Appropriation Bill and a single Finance Bill, there are several such bills. The separate bills make it difficult for the Congress to view the year's programme as a whole. Secondly, any member of the Congress may propose an addition to expenditure. This is not so in India or Britain. The Parliament can refuse to reduce a demand but it cannot increase a demand.

Thus, the financial systems of the USA, India,and Britain differ in several respects on account of their different political systems.

Budget today has become one of the primary tools of financial administration. It is the master financial plan of the Government. It brings together estimates of anticipated revenues and proposed expenditures implying the schedule of activities to be undertaken and the means of financing these activities.

Apart from budget being a "tool of administration" on the basis of an orderly finance, it has now become a very powerful instrument of social and economic policy. The modern states are welfare states and as such budget is used as means for the promotion of welfare objectives. Besides realizing the plans for higher production in various sectors, the government aims at correcting the inequalities in the distribution of wealth by higher taxation for the rich and proportionately

lower taxation and sometimes even exemption for the poorer section of community through the instrumentality of budget. In the days of laissez- faire, budget was a simple statement of estimated income and expenditure, but mow in the modern social welfare states it has become an instrument of promoting the social and economic welfare of the people.

The budget is awaited anxiously by the people. It has wide ramifications. It plays a vital role in the economy of a state. Every citizen is interested in it. From the budget the citizens can know what benefits they are going to derive and how much tax they will have to pay. The taxation policy of the Government in the Budget may lead to narrowing down of the class distinctions and inequalities. The production policy as reflected in the budget may help in removing poverty, eradicating unemployment and avoiding unequal distribution of wealth. The budget has a great social and economic impact on modern states and hence it is more than a mere balance- sheet.



CHECK YOUR PROGRESS

Q.3: Write briefly about PlanningProgramming Budgeting.

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Q.4: Point out two differences between the budgetary procedures of the UK and India.

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9.5 LET US SUM UP

- The word 'budget' is derived from a French word, 'Bougette', which means a leather bag or wallet. The term was used for the first time in 1773 in a satire entitled 'Opening the Budget'.

- The Chancellor of the Exchequer in the UK used to carry a leather bag containing papers on the financial plans for the country to the House of Commons. So when he set off to place his financial plans before the House, he used to open his 'budget', that is, the bag, and it is because of this association of the financial plan with the 'bougette' that the financial statement of a country has come to be known as budget.
- The term budget, in modern times, therefore, denotes that document which contains estimates of revenue and expenditure of a country, usually for the fixed period of one year.
- Fiscal management is central to effective financial development which is indispensable for keeping the state on the path of socio-economic development. A sound fiscal management involves a chain of operations viz., Preparation of budget; Legislation of the budget; Execution of the budget and audit.Fiscal management is a dynamic process involving a continuous chain of operations.
- The operations regarding fiscal management are carried out by a number of agencies.
- A brief discussion of the budgetary procedures in India and the UK could be made with reference to these agencies
- The chief executive is responsible for formulation of the financial policy of the government and the preparation of the estimates of expenditure and revenue for the ensuing financial year. He is assisted in this job by a central department which in Britain is called the Treasury and in India is known as the Ministry of Finance.
- According to the democratic principle no tax can be levied or collected and no expenditure can be made by the Government except with the previous consent of the Parliament. The executive makes the demands incorporated in the budget and the legislatures grants them. The power of authorising expenditure and collection of taxes is usually vested in the popular or lower chamber of the legislature, for example, in the House of Commons in England and the Lok Sabha in India.

- In the U.S.A. the legislature is not subject to any such control by the executive. It may do with the budget proposals whatever it likes.
- As soon as the budget is passedby the legislature, the 'controlling officer' who is usually the head of the department allocates funds to the disbursing officers who are responsible for the disbursement of money. In England, the head of a department is also nominated as the Accounting Officer by the Treasury but in India the heads of departments are not responsible for account keeping. In India, this work is done by the Comptroller and Auditor General of India .
- A very important agency of financial administration is the Audit Department. In India the audit agency is headed by the Comptroller and Auditor General of India who is a constitutional authority .In the UK, the Comptroller and Auditor General is an officer of the House of Commons and is the head of the National Audit Office, the body that scrutinises central government expenditure.
- Finally two committees of the Indian parliament, namely, the Estimates Committee and the Public Accounts Committee exercise financial control on behalf of the legislature. In the UK, the Committee of Public Accounts which is a select committee of the British House of Commons responsible for overseeing government expenditures and to ensure they are spent appropriately.
- Zero-based budgeting was developed in 1969 in the USA and later applied in government budgeting, notably in the State of Georgia. Zero-based budgeting (Z BB) is a method of budgeting in which all expenses must be justified for each new period.
- The process of zero-based budgeting starts from a zero base,' and every function within an organization is analyzed for its needs and costs. Budgets are then built around what is needed for the upcoming period, regardless of whether each budget is higher or lower than the previous one.
- Planning Programming Budgeting was first introduced in the Department of Defense in the USA in 1961 by Robert McNamara, and subsequently in all departments in 1965 until 1975.

- Budgeting is an instrument forshort-term as well as long-term planning. The relation between planning and budgeting is very close. The programming, planning, and budgeting staff in the various government agencies must work as a team to exercise continuing surveillance of the respective programmes.
- Broadly speaking, the British budgetary process is the same as that of India with certain differences. However, the budgetary process of the USA is fundamentally different from those of India and the UK.



9.6 FURTHER READING

1) Fadia, B. L., &Fadia, K. (2015). *Public Administration : Administrative theories and Concepts* (12th ed.). Agra, Uttar Pradesh: SahityaBhawan.
2. Sharma, M. P., Sadana, B. L., & Kaur, H. (2013). *Public Administration in Theory and Practice* (49th ed.). Allahabad, Uttar Pradesh: Kitab Mahal.
3. Milakovich, M. E., & Gordon, G. J. (2013). *Public administration in America*. Boston, MA: Wadsworth/Cengage Learning.
4. Dahiya, S.S., Singh, Ravindra (2014) *Comparative Public Administration,* New Delhi, Sterling Publishers



9.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q. No. 1: Bougette

Ans to Q. No. 2: (a) The executive assisted by the central department or departments concerned

mainly with financial administration.

(b) The legislature.

Ans to Q. No. 3: Planning Programming Budgeting was first introduced in the Department of Defense in the USA in 1961 by Robert McNamara, and subsequently in all departments in 1965 until 1975.

Budgeting is an instrument forshort-term as well as long-term planning. The relation between planning and budgeting is very close. The programming, planning, and budgeting staff in the various government agencies must work as a team to exercise continuing surveillance of the respective programmes. The programmes must be reviewed and evaluated at the departmental level in relation to the objectives of the department, not only in terms of the needs of today or next fiscal year, but also in terms of the overall departmental goals at least for several years ahead. Programmes established many years ago must be re-evaluated in the light of conditions of today and the years ahead. Evaluation must be made between "desirable" programmes and "essential" programmes. Non-essentials programmesmust be eliminated.

Ans to Q. No. 4:

(a) The budget speech in India is made by the Finance Minister as soon as the budget is laid on the Table of the House, but in the UK, the budget speech is made by the Chancellor of Exchequer at a later stage when the revenue part of the budget is introduced in the Committee on Ways and Means.

(b) In the UK, the voting of demands and of revenue is done in the Committee of the Whole House known as the Committee of Supply and the Committee of Ways and Means respectively but in India the House does not sit as a Committee of the Whole House. The Lok Sabha itself takes up and passes the budget.



9.8 POSSIBLE QUESTIONS

Q. 1 : Discuss the general background of Budgetary Procedures

Q. 2 : Explain the budgetary procedures in India and the UK

Q. 3 : Write about Zero Based Budgeting in the context of the USA

Q. 4 : Compare the budgetary procedures among India, UK and U.S.A.

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UNIT 10: LEGISLATIVE CONTROL OVER ADMINISTRATION (INDIA AND USA)

UNIT STRUCTURE

10.1 Learning Objectives

10.2 Introduction

10.3 Legislative control over Administration in India (Techniques)

10.4 Legislative control over Administration in USA (Techniques)

10.5 Let Us Sum Up

10.6 Further Reading

10.7 Answers to Check Your Progress

10.8 Possible Questions

10.1 LEARNING OBJECTIVES

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

- explain the means of legislative control over administration in India
- explain the limitations of legislative control over administration in the parliamentary system of government in India
- explain the methods of legislative control over administration in the USA

10.2 INTRODUCTION

The civil servants play a vital role in the modern social welfare states. The public servant today is not a mere docile executor of public policy but the mainspring of administration. He or she supplies the expert knowledge to the administration and being an expert he or she controls the administration. Administration is a means of public welfare. The people have a live interest in seeing that public administration is both responsible and efficient. The public officials should be made responsible to appropriate authorities.

There are two main types of controls, namely, i) external (or political) controls, and ii)internal (or administrative) controls. The external controls

operate upon the administration from outside. They work within the general constitutional structure and may differ from country to country. The internal controls are those who operate within the administration itself. Both the types of controls, external and internal, are supplementary and complementary.

10.3 LEGISLATIVE CONTROL OVER ADMINISTRATION (INDIA AND USA)

10.3.1 Legislative Control over Administration in India

In all systems, parliamentary or presidential, control of the administration by the legislature is important. In a parliamentary system, such as in India, it is of primary importance because all state activities emanate from the legislature. The cardinal principle of parliamentary system is the responsibility of the executive to the legislature. The executive therefore cannot afford to be irresponsible. It has to be responsible for each and every act of its civil servants. The responsibility of the administration is thus indirect because it is enforced through the executive. The official cannot be called to the floor of the House to explain his or her act. It is the Minister who shoulders the responsibility for the administrative acts of the department. If he or she is unable to satisfy Parliament, he has to quit office. Sometimes, the entire ministry may have to quit office because ministerial responsibility in a parliamentary system is collective. Thus the legislature's control on administration is indirect, i.e., through the political executive.

The various means through which the legislature in the parliamentary form of government in India enforces responsibility on the part of the executive and thereby exercises control over the administration are the following:

- **Law-making process:**

  The legislature makes the law which determines the organization, functions and procedures of public administration. A new

department may be created to give effect to a particular law enacted by the Parliament. However, the legislature's control through the law-making process is very general. Generally, the task of laying down the detailed rules is left to the executive which is known as 'Delegated Legislation'.But the executive makes the rules within the ambit of its authority delegated by the legislature. It cannot transgress the limits of its authority. Sometimes, the legislature may require these rules made by the executive to be placed before it for approval.

In India, we have a committee on Delegated Legislation to examine these rules made by the executive and report back to the House about their authenticity. Just as the legislature may create new powers and functions, similarly it may make changes in them. It may also give the executive the power to make essential adjustments. Thus in a general way the organization of public administration is determined by the legislature. Thus, the legislature has control over administration.

- **Question- Hour:**

In the parliamentary system, especially in India and Britain, the ministers are the members of the legislatures. They attend its sessions and are present in the House to reply to the questions put by the members of the legislature. In every parliamentary system, there is the practice of setting apart one hour of Parliament's meeting time for questions which is called 'Question-Hour'. The members may ask questions regarding any act or omission of administrative authorities, from the highest to the lowest. The Ministers concerned prepare their answers and reply to the questions on the floor of the House. In addition to it, supplementary questions may also be put.

Through questions, public grievances can be ventilated, administrative lapses may be brought to notice and information on any matter may be solicited. The questions keep the civil

servants alert. They have to brief their Minister to enable him or her to answer the questions. This necessitates the careful record-keeping of every transaction or case, for there is no knowing about what matter a question may be tabled.

The question hour exercises a very healthy check on administration. The question hour has been described as a search- light, which play an important part in the mechanism of control over Public Administration. Therefore, we can see that the legislature has control over the administration in a parliamentary form of government.

- **Budgetary System:**

A more effective means of control over administration by the Legislature in India is through the budgetary system. We have seen earlier that budgetary system places control of the administration in the hands of the executive. However, at the same time it enables the legislature also to exercise a varied control over administration. The legislature passes the budget every year and authorizes expenditure. No money can be spent by the administration without proper authorization from the legislature. With its control over the national purse the legislature defines closely the activities which the departments may undertake. When the budget is before the Parliament, the members get an opportunity to review the functioning of administration. The members criticize the policies of the government and bring to light its failures. The ministers take note of such criticisms and make necessary changes in the administration. They make the necessary changes and control the administration to make the budget.

- **Audit and Report:**

The activities of government are now-a-days so widespread that legislature does not have time for detailed investigation of

the financial transaction of administration. This is done by the Auditor and Comptroller- General who in India is a creation of the Constitution. He functions independentlyof executive control. He or she audits all expenditure from the revenues of the Union or States, incurred in and outside India and ascertains whether moneys shown in the accounts as having been disbursed were legally available for and applicable to the service or the purpose to which they have been applied or charged. Audit brings to the notice of the Parliament procedural and technical irregularities and lapses on the part of administration. The officials are held to account for such irregularities and lapses on their part.

The Public Accounts Committeeof the Indian Parliament thereafter scrutinizes the Report and reviews the financial dealings of the different departments of the Government. It reports back to the Parliament and the legislature discusses Auditor General's Report according to the findings of the committee.

- **Debates and Discussions:**

Debates and discussions are a very important occasion for the Parliament to examine and scrutinize the activities and efficiency of various governmental agencies. The inaugural address of the President of India , the Budget Speech, introduction of a bill for amendment of an act or enactment of new law, introduction of Motions or Resolutions provide an occasion for debates and discussions. In the course of discussion the members of Parliament criticizes the administration for its lapses and failures. The Budget Speech of the Finance Minister of In provides another opportunity to the Parliament to review and criticizethe functioning of administration. Budget debates, it may be said, are very important from the viewpoint of parliamentary control over administration.

There are several other devices of drawing the attention of the Government to a problem pertaining to administration. Among such devices include different motions such as No-confidence Motion, Adjournment Motion, Censure Motion and Call- Attention Motion. The meaning of No-confidence Motion is simple. It is a motion expressing lack of confidence in the Ministry on account of some of its serious lapses, failures and inefficiency. If passed, it will lead to resignation of the Government. The Adjournment Motion is introduced to discuss a definite issue of urgent public importance. Something very grave which affects the whole country, its safety, its interests and all that is happening must have occurred to substantiate the urgency of the Motion. A censure motion can be moved against the Ministry or an individual minister or a group of ministers for their failure to act or not to act or for their policy, expressing regret, indignation or surprise of the House. A Call- Attention Motion may be introduced by a member of the Parliament with the permission of the chair to draw the attention of a Minister to a matter of urgent public importance and request him to make a statement thereon.

In the Indian Parliament, there are two other occasions for discussing the administrative activities of a department. These are: i) Half-an-hour discussion, and ii) Short Discussion. The half-an-hour discussion follows the Question-Hour. When a member feels dissatisfied with the answer given to his or her question, he or she may request the chair to allow Half-an-Hour discussion on the particular matter which was the subject of his Question. During the short discussion of half-an-hour, the House may extract more information on the subject, may seek further clarification of the policy, and may put more pressure on the government to modify the policy to ventilate the public grievances.

The Business Rules of the Indian Parliament also provide for short discussions on a matter of urgent public importance for a short time not exceeding two and a half hours.

The value of debates and discussion is that they compel the Governmentto explain and defend particular issues of their policy at length. It also enables the opposition to expose the weak points of administration. Thus, debates and discussion are a means of legislative control over administration.

In India we see debates and discussions as a means of control over administration.

c) Appointment of Committees:

The appointment by the legislature of committees from its own membership is another method of exercising control over administration. In the Indian Parliament there is a Committee on Assurances. The Ministers make some promises or assurances on the floor of the House in the course of debates, discussions and questions. It is the duty of the parliament to see that the assurances given to the parliament are implemented by the Government. Before the setting up of the Committee on Assurances it was left to the individual members to keep a watch whether promises were being implemented. But since the creation of this Committee, it is the function of the Committee to see that the promises made by the House are fulfilled. The Committee scrutinizes the assurances, promises and undertakings given by the Ministers from time to time on the floor of the House and reports on

a) the extent to which such assurances, promises, undertakings have been implemented, b) whether the promises have been implemented within necessary time.

The establishment of the Committee on Assurances has greatly strengthened the machinery of legislative control over the administration.

The other Committees which help the Parliament to keep close watch over administration are the Estimates Committee, the Public Accounts Committee, the Committee on Public Undertakings are mainly concerned with financial administration.

The Committee on Subordinate Legislation (sometimes referred to as secondary legislation or subsidiary legislation is a process by which the executive authority is given powers by primary legislation to make laws in order to implement and administer the requirements of that primary legislation) scrutinizes and examines the administrative legislation. The subordinate committee examines the rules, orders and regulations made by the executive in pursuance of the power delegated to it by the Parliament. The Committee has performed very useful functions and keeps subordinate legislation under control.

In addition to the above committees, the Parliament also appoints special committees from time to time to conduct inquiries into any particular matter. These Committees interview officials and members of the public, gather evidence, collect materials and report back to the House. Their report is discussed in the House which again throws the administration open to criticism. These Legislative Committees are thus a highly effective means of exercising control over administration.

The above are the methods or techniques of legislative control over administration in a Parliamentary system in India .

- **Limitations of legislative control over administration in the parliamentary system of government in India**

According to certain critics, the role of the legislature in this regard is quite limited on account of following reasons:

First, the size of the legislature is very large. On account of its large size, it cannot exercise effective control.

Second, the members of the legislature are laymenwhereas the members of administration are very technical and specialized.

Third, its decisions are general and it is greatly dependent upon the executive for the content of legislation.

Fourth, the majority of the members belong to the ruling party and there are few chances of no-confidence motion or censure motion being passed against the government.

Fifth, the financial committees do post-mortem work. They check the expenditure after it has been incurred.

Sixth, in parliamentary system the legislature is a tool in the hands of the cabinet.

These are some of the criticisms of legislative control over administration.

Whatever the limitations, the legislator enjoys a privileged position. By way of free and unfettered discussions on the floor of the House, he or she can exercise healthy influence upon the administration.

Thus, the legislature in India can exercise control over the administration through the above mentioned techniques.

10.3.2 Legislative Control over administration in the USA

Whatever has been said above is the legislative control over administration in the parliamentary system. Under the Presidential system of government of USA, the legislative control is different. Since there exists separation of powers between all three branches of the government in the USA, the US Congress can neither put questions to the secretaries nor it can pass a No-confidence or censure Motion against the government. The executive does not sit in the Congress.

Under thepresidential system of government in the USA, the Congress can exercise control over administration through the following methods:

i) It defines the organization, powers and duties of the administrative authorities.

ii) It appoints legislative committees for investigation of administration;

iii) It makes laws laying down policies, methods and procedures;

iv) It controls the national purse, sanctions expenditure through appropriation acts, fixes the purpose and amounts of expenditure, passes tax legislation and examines the accounts audit;

v) It has the power of impeachment of the President. The House of Representatives frames the charges and the Senate sits as a Court of trial. Two -third in both the Houses is essential to remove the President from office.



CHECK YOUR PROGRESS

Q.1: Mention any four means of legislative control over administration in India?

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Q.3: Write about Question-Hour as a means of legislative control over administration.

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Q.4: Mention any four methods through which the Congress can exercise control over administration in the USA ?

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10.4 LET US SUM UP

- The legislature makes the law which determines the organization, functions and procedures of public administration. A new department may be created to give effect to a particular law enacted by the Parliament. However, the legislature's control through the law-making process is very general.
- Generally, the task of laying down the detailed rules is left to the executive which is known as 'Delegated Legislation'. But the executive makes the rules within the ambit of its authority delegated by the legislature.
- In India, we have a committee on Delegated Legislation to examine these rules made by the executive and report back to the House about their authenticity. Just as the legislature may create new powers and functions, similarly it may make changes in them.
- In the parliamentary system, especially in India, the ministers are the members of the legislatures. They attend its sessions and are present in the House to reply to the questions put by the members of the legislature.
- In every parliamentary system, there is the practice of setting apart one hour of Parliament's meeting time for questions which is called 'Question-Hour'. The members may ask questions regarding any act or omission of administrative authorities, from the highest to the lowest.
- The Ministers concerned prepare their answers and reply to the questions on the floor of the House. In addition to it, supplementary questions may also be put.
- Through questions, public grievances can be ventilated, administrative lapses may be brought to notice and information on any matter may be solicited. The questions keep the civil servants alert.

- The questionhour exercises a very healthy check on administration.
- A more effective means of control over administration by the Legislature in India is through the budgetary system.
- No money can be spent by the administration without proper authorization from the legislature. With its control over the national purse the legislature defines closely the activities which the departments may undertake.
- When the budget is before the Parliament, the members get an opportunity to review the functioning of administration. The members criticize the policies of the government and bring to light its failures.
- The ministers take note of such criticisms and make necessary changes in the administration and issues directions to it.
- The activities of government are now-a-days so widespread that legislature does not have time for detailed investigation of the financial transaction of administration. This is done by the Auditor and Comptroller- General who in India is a creation of the Constitution.
- Audit brings to the notice of the Parliament procedural and technical irregularities and lapses on the part of administration. The officials are held to account for such irregularities and lapses on their part.
- The Public Accounts Committee of the Indian Parliament thereafter scrutinizes the Report and reviews the financial dealings of the different departments of the Government. It reports back to the Parliament and the legislature discusses Auditor General's Report according to the findings of the committee.
- Debates and discussions are a very important occasion for the Parliament to examine and scrutinize the activities and efficiency of various governmental agencies. The inaugural address of the President, the Budget Speech, introduction of a bill for amendment of an act or enactment of new law, introduction of Motions or Resolutions provide an occasion for debates and discussions.
- The value of debates and discussion is that they compel the Government to explain and defend particular issues of their policy at

length. It also enables the opposition to expose the weak points of administration. Thus, debates and discussion are a means of legislative control over administration.

- In India we see debates and discussions as a means of control over administration.
- The appointment by the legislature of committees from its own membership is another method of exercising control over administration. In the Indian Parliament there is a Committee on Assurances. The Ministers make some promises or assurances on the floor of the House in the course of debates, discussions and questions.
- It is the duty of the parliament to see that the assurances given to the parliament are implemented by the Government
- The establishment of the Committee on Assurances has greatly strengthened the machinery of legislative control over the administration.
- The other Committees which help the Parliament to keep close watch over administration are the Estimates Committee, the Public Accounts Committee, the Committee on Public Undertakings are mainly concerned with financial administration.
- In addition to the above committees, the Parliament also appoints special committees from time to time to conduct inquiries into any particular matter. These Legislative Committees are thus a highly effective means of exercising control over administration.
- Under the Presidential system of USA, the Congress can exercise control over administration through such methods as : defining the organization, powers and duties of the administrative authorities, appointing legislative committees for investigation of administration; It making laws laying down policies, methods and procedures; controlling the national purse; wielding the power of impeachment of the President.



10.5 FURTHER READING

1) Fadia, B. L., &Fadia, K. (2015). *Public Administration : Administrative theories and Concepts* (12th ed.). Agra, Uttar Pradesh: SahityaBhawan.

2) Sharma, M. P., Sadana, B. L., & Kaur, H. (2013). *Public Administration in Theory and Practice* (49th ed.). Allahabad, Uttar Pradesh: Kitab Mahal.

3) Milakovich, M. E., & Gordon, G. J. (2013). *Public administration in America*. Boston, MA: Wadsworth/Cengage Learning.

4) Dahiya, S.S., Singh, Ravindra (2014) *Comparative Public Administration,* New Delhi, Sterling Publishers.



10.6 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q. No. 1: (a) Law-making process

(b) Question- Hour

(c)Audit and Report

(d) Debates and Discussions

Ans to Q. No. 2: In the parliamentary system, especially in India, the ministers are the members of the legislatures. They attend its sessions and are present in the House to reply to the questions put by the members of the legislature. In every parliamentary system, there is the practice of setting apart one hour of Parliament's meeting time for questions which is called 'Question-Hour'. The members may ask questions regarding any act or omission of administrative authorities, from the highest to the lowest. The Ministers concerned prepare their answers and reply to the questions on the floor of the House. In addition to it, supplementary questions may also be put.

Through questions, public grievances can be ventilated, administrative lapses may be brought to notice and information on any matter may be solicited. The questions keep the civil servants alert. They have to brief their Minister to enable him or her to answer the questions. This necessitates the careful record-keeping of every transaction or case, for there is no knowing about what matter a question may be tabled.

The question hour exercises a very healthy check on administration. The question hour has been described as a search- light, which play an important part in the mechanism of control over Public Administration. Therefore, we can see that the legislature has control over the administration in a parliamentary form of government.

Ans to Q. No. 4: Four methods through which the Congress can exercise control over administration under the Presidential system of USA are :

(a) It appoints legislative committees for investigation of administration;

(b) It makes laws laying down policies, methods and procedures;

(c) It controls the national purse, sanctions expenditure through appropriation acts, fixes the purpose and amounts of expenditure, passes tax legislation and examines the accounts audit;

(d) It has the power of impeachment of the President. The House of Representatives frames the charges and the Senate sits as a Court of trial. Two -third in both the Houses is essential to remove the President from office.



10.7 POSSIBLE QUESTIONS

Q. 1 : Discuss briefly the means of legislative control over administration in India?

Q. 2 : Write about debates and discussions as a means of legislative control over administration.

Q. 3 : Explain the limitations of the legislature in exercising control over administration in India.

Q. 4 : Explain legislative control over administration in USA.

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UNIT 11: LEGISLATIVE CONTROL OVER EXPENDITURE (INDIA and USA)

UNIT STRUCTURE

11.1 Learning Objectives

11.2 Introduction

11.3 Legislative Control over Expenditure in India

- 11.3.1 Public Accounts Committee
- 11.3.2 Estimates Committee
- 11.3.3 Committee on Public Undertakings
- 11.3.4 Audit by Comptroller and Auditor General of India

11.4 Legislative control over expenditure in the United States

- 11.4.1 Appropriations Committee

11.5 Let Us Sum up

11.6 Further Reading

11.7 Answers to Check Your Progress

11.8 Possible Questions

11.1 LEARNING OBJECTIVES

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

- discuss the role of Public Accounts Committee (PAC), Estimates Committee and Committee on Public Undertakings of the Indian Parliament with regard to legislative control over expenditure in India
- explain the membership, functions and other aspects regarding the Public Accounts Committee, Estimates Committee and Committee on Public Undertakings of the Indian Parliament
- explain the similarities and differences between PAC and Estimates Committee of the Indian Parliament
- discuss the role of Appropriations Committee with regard to legislative control over expenditure in the USA

11.2 INTRODUCTION

Parliament is called upon to vote large sums of taxpayers money from time to time. In the interest of the taxpayers, it is expected that parliament should satisfy itself that the money voted are directed for the purposes intended and are spent prudently and economically. It may be noted, the effects of the administration itself can ensure efficiency and economy. But the present setup of Administration as it is, there is a necessity to have some agency of the House itself to assure it that its wishes are carried out, that government is conducted honestly and faithfully, and that where business is not transacted efficiently, there is a fair chance that notice will be taken of. It is neither necessary not practicable to defect every inefficient or unwise action, even if it was possible to say accurately on every occasion what is inefficient and unwise. But the House, through its own agency, as J.S Mill long ago contended, is expected " to watch and control the government to throw the light of publicity on its acts, to compel a full exposition and justification of all of them which anyone considers questionable, to censure them if found condemnable." Government expenditure are required to be administered with utmost thrift and frugality so that the Government gets the full return for every rupee it spends. And this calls for control over public expenditure.in a democratic form of government, be it parliamentary or presidential, the Legislative agencies have proper built in mechanisms top regulate governmental spending. Of these mechanisms, the committee system of the Legislature has been playing an effective role in financial scrutiny and administration.

11.3 LEGISLATIVE CONTROL OVER EXPENDITURE IN INDIA- PUBLIC ACCOUNTS COMMITTEE, ESTIMATES COMMITTEE, COMMITTEE ON PUBLIC UNDERTAKINGS

It is a fundamental principle that a democratically constituted legislature exercises the most important control over the public finances.

Likewise, in the administration of finance in India, legislature plays the key role. All other agencies of financial administration act on behalf of the legislature and are responsible to it for all their activities. Thus, responsibility for the sound administration of finances of the country lies with the legislature.

The financial system of India consists of two branches: revenue and expenditure.

As regards **revenue**, it is laid down by the Constitution of India that no tax shall be levied or collected except by authority of law. The executive cannot impose any tax without legislative action.

As regards **expenditure**, the pivot parliamentary control is the Consolidated Fund of India. No money can be issued out of this Fund unless the expenditure is authorised by an Act of Appropriation passed by the Parliament. It means that the executive cannot spend the public revenue without parliamentary sanction.

While an Act of Appropriation ensures that there cannot be any expenditure of the public revenues without the sanction of Parliament, Parliament's control over the expenditure cannot be complete unless it is able to ensure economy in the volume of expenditure. Therefore, Effective parliamentary control over the governmental expenditure requires that, first, the Parliament should satisfy itself that the appropriations have been utilised economically for the approved purposes within the framework of the grants; and secondly, it should undertak a detailed examination of the annual budget estimates of the government to suggest possible economies in the implementation of plans and programmes embodied therein.Both these functions are oof pivotal importance in making parliamentary control over governmental expenditure complete. The Parliament constituted as it is, at present, has not the time and energy to perform these functions. It therefore, constitutes committees to devote themselves to these functions. The most important among them are: 1) Public Accounts Committee 2)Estimates Committee 3) Committee on Public Undertakings.

11.3.1 Public Accounts Committee

Public Accounts Committee (PAC) is one of the standing parliamentary committees, which was first established in 1921 under the Government of India Act 1919 provisions. This committee examines the manners and results of spending the public funds.

- **Members**

  Public Accounts Committee has 22 members of which 15 are from Lok Sabha while 7 from Rajya Sabha. The members are "elected" by members of Parliament amongst themselves via a system of proportional representation by means of single transferable vote; so that all parties get due representation in it. Members are elected for a period of one year. A minister cannot be a member of PAC.

- **Chairman**

  Chairman of PAC is appointed by Speaker from its members. The chairman used to be of ruling party till mid 1960s, however, now the chairman of PAC is from opposition by convention.

- **Functions**

  The function of the Committee is the examination of accounts of the government in all its financial transactions. The committee should satisfy itself:

  i) that the moneys shown in the accounts and having been disbursed legally available for and applicable to the service of purpose to which they had been applied or charged;

  ii) that the expenditure conforms to the authority which governs it; and

  iii) that every reappropriation has been made in accordance with provisions made in this behalf under rules framedd by competent authority.

It shall also be the duty of the Public Accounts Committee:

i) to examine, in the light of the report of the Comptroller and Auditor General, the statement of accounts showing the

income and expenditure of state corporations, trading and manufacturing schemes and projects, together with the balance sheets and statements of profit and loss accounts, which the President may have required to be prepared or are prepared under the provisions of the statutory rules regulating the financing of a particular corporation, trading concern, project;

ii) to examine the statement of accounts showing the income and expenditure of autonomous and semi autonomous bodies, the audit of which may be conducted by the Comptroller and Auditor General of India under the directions of the President or by a statute of Parliament; and

iii) to consider the report of the Comptroller and Auditor General in cases where the president may have required him to conduct an audit of any receipts or to examine the accounts of stores and stocks.

- **Public Accounts Committee and the CAG**

The Committee sets out to perform these functions making the report of the Comptroller and Auditor General as its base. The report is taken up ministry wise, and the secretaries are obliged to appear as witnesses explain the points raised in the audit . The Committee is, thus, enabled to reach its conclusions and finalize its recommendations. It has at its disposal the services of the Comptroller and Auditor General. He, in fact, is the guiding hand all along.

The Committee examines the report of the Comptroller and Auditor General to find out that the money voted by the parliament has been utilised by the government within the scope of the demand. The phrase ' within the scope of the demand' means-

i) the public expenditure must not exceed the appropriations granted by the Parliament without its prior approval;

ii) the grant is utilised for the purpose for which it was sanctioned by Parliament; and

iii) the nature of items of expenditure compiled against a demand should justify they are being so compiled

The Committee also reviews the form and details in which the estimates are composed in order to arrest any tendency to reduce the number of votes or to include large lump sum provisions, since these are regarded as diminishing the control of Parliament over the estimates.

- **Limitations**

Though the committee is empowered to act upon the audit reports of the CAG, and also to keep a tab on the union government's expenses, there are still a few limitations on it which it should adhere to. The limitations of the Public Accounts Committee are given below:

1. Broadly, it cannot intervene in the questions of policy
2. It can keep a tab on the expenses only after they are incurred. It has no power to limit expenses.
3. It cannot intervene in matters of day-to-day administration.
4. Any recommendation that the committee makes is only advisory in nature. They can be ignored by the ministries.
5. It is not vested with the power of disallowance of expenditures by the departments.
6. Being only an executive body; it cannot issue an order. Only the Parliament can take a final decision on its findings.

- **Critical Evaluation**

The Committee may send for persons, papers and records. The conclusions of the Committee are submitted to parliament in the form of a report. To enable intensive examination, the committee is now a days taking resort to the practice of constituting study groups, dealing with specified departments, such as, Defence, Railways, etc. These study groups submit

the reports to the committee. To make the work of the committee more effective, the Comptroller and Auditor General now submits interim reports to it. The Committee considers them and makes recommendations to the government in anticipation of the final report, which is placed before the House. The arrangement is in response to the general criticism that by the time the public accounts are scrutinized, the issue becomes old and stale. A convention has evolved that the recommendations of the committee are accepted by the government. If, however, the government feelss that a particular recommendation is not acceptable to it on certain grounds, it requests for reconsideration of the recommendation. Most of the issues are, thus, settled through mutual discussion and exchange of views. If, however, a specific issue defies any solution in this way and the committee and government continue to take different positions, the final arbiter is the parliament. This, however, is an unlikely situation.

At best, the Public Accounts Committee's probe relates to transactions completed and to damage done. It conducts the postmortem examination of public accounts. The Committee's findings are, nevertheless, of value as guidance and warning. It would be appropriate to recall the Public Accounts Committee is not an executive body. It is not vested with any executive power, and its function is limited to scrutiny of the public expenditure. It is to be hoped that the Committee will emerge as an effective force in the control of public expenditure. However, regular recurrence and ever changing pattern of official neglect or default brought to light, yeah after year, does suggest that the value of the Public Accounts Committee's deliberations is limited.

11.3.2 Estimates Committee

Estimates Committee was first established during British Era in 1920s but Independent India's first Estimates Committee was

established in 1950. This committee examines the estimates included in the budget and suggests 'economies' in public expenditure.

- **Members**

  The Estimates Committee has 30 members and all these members are from Lok Sabha. There is no Rajya Sabha member in Estimates Committee. The members are elected by Lok Sabha members from amongst themselves every year by principles of proportional representation by means of a single transferable vote, so that all parties get due presentation in it. A minister cannot be elected as member / Chairman of estimates committee. The chairman is appointed by the Speaker and chairman is always from ruling party or coalition.

- **Functions**

  The functions of the Estimates Committee have been laid down In the rules of the procedure and directions issued from time to time by the speaker of Lok Sabha. In general, the Estimates Committee has been entrusted with the following functions :

  i) to report what economies, improvements in organisation, efficiency and administrative reforms, consistent with the policy underlying the estimates, may be effected;

  ii) to suggest alternative policies in order to bring out efficiency and economy in administration;

  iii) To examine whether the money is well laid out within the limits of the policy implied in the estimates; and

  iv) to suggest the form in which the estimates shall be presented to Parliament.

- **Limitations**

  In the Indian Constitution, there are a few limitations put forth for the Estimates Committee. Those limitations are given below:

  - The power to examine the budget estimates is not an absolute one. The committee can only examine the budget after it is voted upon and not before that.

- Nowhere the power to question the policies of the Parliament has been conferred upon the committee.
- All the recommendations made by the committee are advisory in nature and stand non-binding for the parliament.
- In a year, the committee does not examine the budgets of all the ministries/departments. It chooses a few departments whose budget it wants to examine. Therefore, budget estimates of all the ministries/departments are examined over a period of years and not in one year.

➢ **An Appraisal**

Estimates Committee performs an undoubtedly useful role in Indian government system. It keep the machinery of public administration under parliamentary scrutiny, which is a very wholesome feature.

i) by highlighting the shortcomings and mistakes of public organisations, it acts as a kind of standing committee on administrative improvement. This role is quite significant, for most of the recommendations made by it are generally accepted by the government

ii) Secondly, the fear of possible exposure by this committee keeps the civil servants more cautious and careful in the administrative functions. The Estimates Committee's work is, no doubt, in the nature of a post mortem, but in the process its arms do reach the evildoers and their names and deeds are publicized. This has a deterrent effect.

iii) Thirdly, the Estimates Committee publishes its report, and the wide publicity given to its findings and recommendations influences and shapes public opinion. A democratic government is always responsive to it.

➢ **Similarities between PAC and Estimates Committee**

- Both are financial committees and both are standing committees of parliament

- Both find their origin in British era.
- Members of both are elected and chairmen of both are nominated by speaker.
- A minister cannot be member or chairman of any of them.

➢ **Differences between PAC and Estimates Committee**

- While PAC has 22 members, Estimates Committee has 30 members.
- While PAC members belong to both houses of parliament, Estimates Committee members belong to only Lok Sabha
- While PAC chairman is from opposition, Estimates Committee Chairman is always from ruling party or dispensation
- While Estimates committee scrutinizes the Estimates, PAC scrutinizes the appropriationand manner of spending. Thus, work of Estimates Committee is ex-ante analysis (based on forecasts) while that of PAC is ex post facto analysis (after the actual spending has taken place).

11.3.3 Committee on Public Undertakings

Committee on Public Undertakings examines the reports and accounts of the PSUs and the CAG audit reports related to PSUs. This committee was established in 1964 on recommendations of Krishna Menon Committee.

➢ **Members**

Committee on Public Undertakings has 22 members from both the houses of parliament {15 from Lok Sabha and 7 from Rajya Sabha}. These members are elected by the members of parliament from amongst themselves via principle of proportional representation by means of a single transferable vote, so that all parties get due representation. Term of the members is one year. However, the chairman of this committee, appointed by Lok Sabha speaker is always from Lok Sabha. A minister cannot become chairman of this committee also.

- **Functions**

The Committee performs the following functions

1. Reports and Accounts of Public Sector Undertakings (PSUs) are examined by the committee
2. Comptroller and Auditor General's reports on PSUs is also taken up by this committee
3. The committee checks upon the credibility of the business of public sector undertakings.
4. It checks the efficiency and autonomy of PSUs
5. It performs those functions related to PSUs that are given to it by the Lok Sabha speaker

There are a few functions that the committee on public undertakings is not to perform:

- The committee cannot examine any reports of government related to policies which are not concerned with PSUs.
- It has no role in matters of day-to-day administration.
- The committee also cannot take up reports of any such public sector undertakings which are established by a special statute and for which another machinery is responsible to report.

- **Limitations**

The limitations of the Committee on Public Undertakings are given below:

1. There is a cap on the number of PSUs it can examine reports of. The committee cannot take upon reports of more than 10-12 PSUs in a year.
2. It only examines the reports. It has no role in deciding the functioning of PSUs. Hence, its work is only in the nature of a post-mortem.
3. The committee is not concerned with any technical matters of PSUs as there are no technical experts as members of the committee.

4. All the recommendations put forward for by the committee are advisory in nature and ministers are not bounded by any of those.

11.3.4 Audit by Comptroller and Auditor General of India

The control of Parliament over expenditure is complete only when it can assure itself that the funds were spent by the executive for the purposes for which they were granted. This is ensured by the provision of audit of the accounts by an independent-authority, viz. the Comptroller and Auditor General of India. He audits all expenditures of the union and the States and ascertains whether moneys shown in the accounts as having been disbursed were legally available for and applicable to the purposes for which they have been used. He audits all other accounts of the Centre and the States. He submits his audit report to the President and the Governors to be placed before Parliament and the State legislature. He reports on any waste and inefficiency. ~e comments clearly on matters of accounting or financial principle which are in dispute, transactions where heavy losses have occurred or.might occur, expenditure on new services and departure from settled precedents and procedures. To ensure a thorough audit and full report to the Parliament the Comptroller and Auditor General of India has been given an independent status by the Constitution.



CHECK YOUR PROGRESS

Q.1: When was the Public Accounts Committee established?

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Q.2: Mention two limitations of the Estimates Committee.

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Q.3: Discuss the role of Public Accounts Committee in control of public expenditure.

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11.4 LEGISLATIVE CONTROL OVER EXPENDITURE IN THE UNITED STATES OF AMERICA- HOUSE OF REPRESENTATIVES' POWER OF THE PURSE AND COMMITTEE ON APPROPRIATIONS

The framers of the American Constitution were unanimous that Congress, as the representatives of the people, should be in control of public funds-not the President or executive branch agencies. Pursuant to Article I of the American Constitution, **"Congress-and in particular, the House of Representatives-is invested with the 'power of the purse,'** the ability to tax and spend public money for the national government." As Elbridge Gerry, a Massachusetts delegate and Vice President, stated at the Federal Constitutional Convention (1787), "the House 'was more immediately the representatives of the people, and it was a maxim that the people ought to hold the purse-strings."

The American Congress is the custodian of federal finances. It controls the national purse. The Bureau of Budget helps the President to prepare the budget. It is presented by President to the Congress. The Congress then passes the budget with all the amendments that it deems fit. It alone has the power to tax. It passes the budget and appropriates the revenue. It decides the quantum of foreign aid that the U.S.A gives to other states. The Executive is fully dependent upon the Congress for finances needed to run the administration of the state. In the sphere of financial control, the House of Representatives is much more powerful as money bills can only

originate in this House. The budget too, has to be introduced in this house first.Both the money bills and the budget mandatorily have to be passed by this house thereafter, these go to the Senate for the final shaping.

The power of the purse plays a critical role in the relationship of the United States Congress and the President of the United States, and has been the main historic tool by which Congress has limited executive power. One of the most prominent examples is the Foreign Assistance Act of 1974, which eliminated all military funding for the government of South Vietnam and thereby ended the Vietnam War. Other recent examples include limitations on military funding placed on Ronald Reagan by Congress, which led to the withdrawal of United States Marines from Lebanon.

11.4.1 The Committee on Appropriations

The Committee on Appropriations was created on December 11, 1865, when the U.S. House of Representatives separated the tasks of the Committee on Ways and Means into three parts.[2] The passage of legislation affecting taxes remained with Ways and Means. The power to regulate bankingwas transferred to the Committee on Banking and Commerce. The power to appropriate money-to control the federal pursestrings (financial resources) -was given to the newly created Appropriations Committee. The constitutional basis for the Appropriations Committee comes from Article one, Section nine, Clause seven of the U.S. Constitution, which says

No money shall be drawn from the treasury, but in consequence of appropriations made by law; and a regular statement and account of receipts and expenditures of all public money shall be published from time to time.

The United States House Committee on Appropriations is a committee of the United States House of Representatives. The committee is responsible for passing appropriation bills along with its Senate counterpart. The bills passed by the Appropriations Committee regulate expenditures of money by the government of the United

States. As such, it is one of the most powerful of the committees, and its members are seen as influential. They make the key decisions about the work of their committees-when their committees meet, which bills they will consider, and for how long. The jurisdiction of the committee extends to all matters directly and principally relating to the expenditures of the national government including payment of public indebtedness, creation or abolition and classification of positions in government, and the determination of salaries, allowances and benefits of government personnel. The Appropriations committee is widely recognized by political scientists as one of the "power committees" since it holds the power of the purse. It is one of the exclusive committees of the House, meaning its members typically sit on no other committee. Under House Rules, an exception to this is that five Members of the Appropriations Committee must serve on the House Budget Committee-three for the Majority and two for the Minority. Much of the power of the committee comes from the inherent utility of controlling spending. Its subcommittee chairmen are often called "Cardinals" because of the power they wield over the budget.



CHECK YOUR PROGRESS

Q.4: Which article of the American Constitution vests Congress especially, the House of Representatives with the power of the purse?

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Q.5: "The American Congress is the custodian of federal finances"- Discuss

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.....

Q.6: Discuss the function of the Committee on Appropriations.

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Joint responsibility of the political executive to the Parliament is an essential feature of Parliamentary democracy. The most important control exercised by the Parliament over the executive is its control on the pursestrings. The executive cannot spend any money without authorisation from the Parliament. In all recognised democracies, as we have witnessed in the present chapter, there are appropriate mechanisms in place to control the public exchequer. The Public Accounts Committees and Estimates Committees in India and the UK along with the American Congress delineate an elaborate picture of a well functioning system of legislative control over financial administration in these countries.



11.5 LET US SUM UP

- It is a fundamental principle that a democratically constituted legislature exercises the most important control over the public finances.
- Public Accounts Committee (PAC) is one of the standing parliamentary committees, which was first established in 1921 under the Government of India Act 1919 provisions. This committee examines the *manners and results of spending the public funds.*
- The Public Accounts Committee examines the report of the Comptroller and Auditor General to find out that the money voted by the parliament has been utilised by the government within the scope of the demand.
- Estimates Committee was first established during British Era in 1920s but Independent India's first Estimates Committee was established in 1950. This committee examines the estimates included in the budget and suggests 'economies' in public expenditure.
- Committee on Public Undertakings examines the reports and accounts of the PSUs and the CAG audit reports related to PSUs.
- The framers of the American Constitution were unanimous that Congress, as the representatives of the people, should be in control

of public funds-not the President or executive branch agencies. Pursuant to Article I of the American Constitution, "Congress-and in particular, the House of Representatives-is invested with the 'power of the purse,' the ability to tax and spend public money for the national government."



11.6 FURTHER READING

1) Fadia, B. L., &Fadia, K. (2015). *Public Administration : Administrative theories and Concepts* (12th ed.). Agra, Uttar Pradesh: SahityaBhawan.

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3) Milakovich, M. E., & Gordon, G. J. (2013). *Public administration in America*. Boston, MA: Wadsworth/Cengage Learning

4) Dahiya, S.S., Singh, Ravindra (2014) *Comparative Public Administration,* New Delhi, Sterling Publishers



11.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q. No. 1: 1921

Ans to Q. No. 2: Two limitations of the Estimates Committee-

- The power to examine the budget estimates is not an absolute one. The committee can only examine the budget after it is voted upon and not before that.
- All the recommendations made by the committee are advisory in nature and stand non-binding for the parliament.

Ans to Q. No. 3: Public Accounts Committee (PAC) is one of the standing parliamentary committees, which was first established in 1921 under the Government of India Act 1919 provisions. This committee examines the manners and results of spending the

public funds.The function of the Committee is the examination of accounts of the government in all its financial transactions. The committee should satisfy itself:

i) that the moneys shown in the accounts and having been disbursed legally available for and applicable to the service of purpose to which they had been applied or charged;

ii) that the expenditure conforms to the authority which governs it; and

iii) that every reappropriation has been made in accordance with provisions made in this behalf under rules framedd by competent authority.

It shall also be the duty of the Public Accounts Committee:

i) to examine, in the light of the report of the Comptroller and Auditor General, the statement of accounts showing the income and expenditure of state corporations, trading and manufacturing schemes and projects, together with the balance sheets and statements of profit and loss accounts, which the President may have required to be prepared or are prepared under the provisions of the statutory rules regulating the financing of a particular corporation, trading concern, project;

ii) to examine the statement of accounts showing the income and expenditure of autonomous and semi autonomous bodies, the audit of which may be conducted by the Comptroller and Auditor General of India under the directions of the President or by a statute of Parliament; and

iii) to consider the report of the Comptroller and Auditor General in cases where the president may have required him to conduct an audit of any receipts or to examine the accounts of stores and stocks.

Ans to Q. No. 4: Article 1

Ans to Q. No. 5: The American Congress is the custodian of federal finances. It controls the national purse. The Bureau of Budget helps the President to prepare the budget. It is presented by

President to the Congress. The Congress then passes the budget with all the amendments that it deems fit. It alone has the power to tax. It passes the budget and appropriates the revenue. It decides the quantum of foreign aid that the U.S.A gives to other states. The Executive is fully dependent upon the Congress for finances needed to run the administration of the state. In the sphere of financial control, the House of Representatives is much more powerful as money bills can only originate in this House. The budget too, has to be introduced in this house first.Both the money bills and the budget mandatorily have to be passed by this house thereafter, these go to the Senate for the final shaping.

Ans to Q. No. 6: The Committee on Appropriations was created on December 11, 1865, when the U.S. House of Representatives separated the tasks of the Committee on Ways and Means into three parts.[2] The passage of legislation affecting taxes remained with Ways and Means. The power to regulate bankingwas transferred to the Committee on Banking and Commerce. The power to appropriate money-to control the federal pursestrings (financial resources)-was given to the newly created Appropriations Committee. The constitutional basis for the Appropriations Committee comes from Article one, Section nine, Clause seven of the U.S. Constitution, which says"No money shall be drawn from the treasury, but in consequence of appropriations made by law; and a regular statement and account of receipts and expenditures of all public money shall be published from time to time."

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influential. They make the key decisions about the work of their committees-when their committees meet, which bills they will consider, and for how long. The jurisdiction of the committee extends to all matters directly and principally relating to the expenditures of the national government including payment of public indebtedness, creation or abolition and classification of positions in government, and the determination of salaries, allowances and benefits of government personnel. The Appropriations committee is widely recognized by political scientists as one of the "power committees" since it holds the power of the purse.



11.8 POSSIBLE QUESTIONS

Q. 1 : What do you mean by legislative control over expenditure?

Q. 2 : Mention one function of the Estimates Committee of Indian Parliament.

Q. 3 : Mention one function of the Committee on Public Undertakings

Q. 4 : What do you mean by power of the purse?.

Q. 5 : Limitations of the Public Accounts Committee of the Indian Parliament..

Q. 6 : Write short notes on (a) Committee on Public Undertakings of the Indian Parliament (b) Dissimilarities between Public Accounts Committee and Estimates Committee of the Indian Parliament

Q. 7: Discuss the mechanisms of legislative control over expenditure in India.

Q. 8 : Discuss thescenario of legislative control over expenditure in U.S.A and India.

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UNIT 12: ADMINISTRATIVE REFORMS IN INDIA AND THE UK

UNIT STRUCTURE

11.1 Learning Objectives

12.2 Introduction

12.3 Administrative Reforms in India before Independence

- 12.3.1 Macaulay Committee (1854)
- 12.3.2 Aitchison Commission (Public Service Commission) (1886)
- 12.3.3 Islington Committee (1912)
- 12.3.4 Montagu-Chelmsford Report (1918)
- 12.4.5 Lee Commission (1923)

12.4 Administrative Reforms in India after Independence

- 12.4.1 First Administrative Reforms Commission (ARC), 1966
- 12.4.2 Second Administrative Reforms Commission (ARC), 2005

12.5 Administrative Reforms in the UK (Citizen's Charter)

- 12.5.1 Committee on the Civil Service or Fulton Committee
- 12.5.2 Next Step Agencies (Executive Agencies)
- 12.5.3 Citizen's Charter

12.6 Let Us Sum Up

12.7 Further Reading

12.8 Answers to Check Your Progress

12.9 Possible Questions

12.1 LEARNING OBJECTIVES

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

- discuss the various initiatives in the pre-indepdence period to bring about administrative reforms in India with reference to the Macaulay Committee (1854); Aitchison Commission (Public Service

Commission) (1886); Islington Committee (1912); Montagu-Chelmsford Report (1918); and Lee Commission (1923)

- discuss the matter of administrative reforms in India after Independence
- explain the First Administrative Reforms Commission (ARC), 1966 and the Second Administrative Reforms Commission (ARC), 2005
- discuss the matter of administrative reforms in the UK with reference to the Committee on the Civil Service or Fulton Committee; Next Step Agencies (Executive Agencies); and Citizen's Charter

12.2 INTRODUCTION

In the field of public administration, the administrative apparatus of any country must remain ever capable of responding to and coping with the changing needs and aspirations of the society. In developing countries, the existing administrative system was traditionally geared to suit the needs of the erstwhile colonial government which is why there is always a constant need for administrative reforms in these countries. Again, globalisation and liberalisation have also necessitated administrative reforms. As a matter of fact, the administrative machinery of even developed countries must remainupdated to be able to respond effectively the needs and exigenciesof the changing timers. Thus, administrative reforms are necessary for both developing and developed countries. Accordingly, we shall discuss in this unit the administrative reforms in India and the UK.

12.3 ADMINISTRATIVE REFORMS IN INDIA BEFORE INDEPENDENCE

Before the independence of India many bodies were constituted by the British rulers starting from the era of the East India Company with a view to suggest certain reforms in the prevailing administrative system from time to time. Let us discuss some such reforms recommended by different committees and reports:

- **Macaulay Committee (1854) :**

  Until 1854 civil servants for the East India Company used to be nominated by the Directors of the Company and then sent to India. A committee was constituted by the British Governmentin 1854 under the chairmanship of Lord Macaulaywith regard to public servicesin India. Following Lord Macaulay's Report of the Select Committee of British Parliament, the concept of a merit based modern Civil Service in India was introduced in 1854. Lord Macaulay's Report recommended that patronage based system of East India Company should be replaced by a permanent Civil Service based on a merit based system with entry through competitive examinations. For this purpose, a Civil Service Commission was setup in 1854 in London and competitive examinations were started in 1855. Initially, the examinations for Indian Civil Service were conducted only in London. Maximum age was 23 years and minimum age was 18 years. The syllabus was designedin such a way that European Classics had a predominant share of marks. All this made it difficult for Indian candidates to be successful in the examinations. Nevertheless, in 1864, the first Indian, Shri Satyendranath Tagore brother of Shri Rabindaranath Tagore succeeded. Subsequently, three years later four other Indians succeeded. (Source: https://www.upsc.gov.in/sites/default/files/History%20of%20the%20Commission%20final%20%281%29_0.pdf)

- **Aitchison Commission (Public Service Commission) (1886) :**

  The Aitchison Commission (Public Service Commission) was set up in 1886 under the chairmanship of Sir Charles Umpherston Aitchison to recommend a scheme for providing opportunities to Indians to find employment in the higher public service and for investigating the overall problems of the civil services in India. It made the following recommendations in its report submitted in 1887:

  1. The two-tier classification of civil services into covenanted and uncovenanted should be replaced by a three-tier classification-Imperial, provincial and subordinate civil services.

2. The minimum and maximum age limitsfor entry into civil services should be 19 and 23 years respectively.
3. The statutory civil service system of recruitment should be abolished.
4. The competitive exam should not be held simultaneously in England and India.
5. Certain percentage of posts in the imperial civil service should be filled by promotion of the members of provincial civil service.

The above recommendations of the Aitchison Committee were accepted and the covenanted civil service came to be known as Civil Service of India. The provincial service was called after the particular province.

- **Islington Committee (1912)**

  Indians still petitioned for civil service examinations to be heldsimultaneously in both London and India and demanded a greater share in public services. Subsequently, the British Government set up a Royal Commission on Public Services In India underLord Islington in 1912. It recommended the following among other things:

  1. 25 per cent of the posts in the superior civil service should be filledfrom among Indians, partly by direct recruitment and partly bypromotion.
  2. The examination for the recruitment of civil servants should be held in India.

- **Montagu-Chelmsford Report (1918)**

  However, it was only after the First World War and the Montagu-Chelmsford reforms that the demand for holding simultaneous civil service examinations in both London and India was agreed to. In 1918 the Montagu-Chelmsford Report proposed that :

  1. India should be the venue for conducting examination for 33 percent of the superior posts and that this percentage should increase by 1.5 per cent annually.
  2. There should be no racial discrimination in matter of appointment.

3. There must be a system of appointment in India for all those publicservices for which there was recruitment in England, open to Europeansand, Indians alike.

These proposals were accepted and became the basis of appointment for about ten years.

From 1922 onwards the Indian Civil Service Examination began to be held in India also, first in Allahabadand later in Delhi with the setting up of the Federal Public Service Commission in the subsequent years.

The Examination in London continued to be conducted by the Civil Service Commission.

- **The Lee Commission (1923)**

The Royal Commission on the Superior Civil Services in India under Lord Lee was appointed in 1923. The Leecommission submitted its report in 1924. The major recommendations of the Lee Commission were as follows:

(i) 40% of future entrants to the civil services in India should be British and the rest of the 80% should be Indians with 40% Indians directly recruited and 20% Indians promoted from the provincial services.

(ii) A Public Service Commission with five full-fledged members should be appointed immediately.

The government accepted most of the Lee Commission Recommendations. Accordingly, the first Public Service Commission was set up on 1stOctober, 1926 under the chairmanship of Sir Ross Barker. Subsequently, a Federal Public Service Commission was established under the Government of India Act, 1935.



CHECK YOUR PROGRESS

Q.1: Mention any two recommendations of theAitchison Commission.

.....

.....

Q.2: Lord Macaulay's Report recommended that patronage based system of East India Company should be replaced by a permanent Civil Service based on a merit based system with entry through competitive examinations. (True/False)

.....

12.4 ADMINISTRATIVE REFORMS IN INDIA AFTER INDEPENDENCE

Since independence, several commissions and committees were set up at the central level with a view to bring about reforms in the administrative structures and processes. Some of these committees are the Secretariat Reorganisation Committee, 1947; the Economy Committee,1948; the Ayyangar Committee, 1949; and the Gorwala Report, 1951; to name a few. Besides these committees , some commissions were also set up so as to bring about administrative reforms such as the Administrative Reforms Commission , 1966; and the Second Administrative Reforms Commission, 2005 in order to make the administrative system ever responsive to challenges and changes. It is worthwhile to mention here that the First Administrative Reforms Commission (1966) and the Second Administrative Reforms Commission (2005) are very crucial inthe context of the efforts on the part of the Union Government to bring about reforms in the administrative structures and practices in India.

Let us therefore discuss the First Administrative Reforms Commission (1966) and the Second Administrative Reforms Commission (2005).

12.4.1 First Administrative Reforms Commission (ARC), 1966

OnJanuary 5, 1966,the Ministry of Home Affairs under the Government of India constituted the First Administrative ReformsCommission (ARC), for giving recommendations for the purpose of reviewing the public administrative system in India.This

commission was initially chaired by Morarji Desai, but when Morarji Desai became the Deputy Prime Minister of India, the charge was handed over to K.Hanumanthaiah to chair the commission. The basic purpose of setting up the ARC was to consider certain aspects relating to public administration in India and to bring about desired changes in the areas mentioned below-

A) Centre-State relationship

B) The mechanism for planning at all levels

C) Financial and economic administration

D) State level as well as district administration

E) Mechanismfor redressal of public grievances

F) The machinery of the Government of India and its procedure of work

G) Agricultural administration

Based on the above mentioned subjects the ARC, 1966 submitted 20 reports in all with 537 major recommendations ,some of which are as follows:

a) Unified grading structure in administration based on qualification and nature of duties and responsibilities.

b) Recruitment for Class I services should be made on the basis of single competitive examination with the age limit being raised to 26 years.

c) Discontinuation of direct recruitment to Class II services.

d) To recruit clerical staff, the nature of examination should be based on asimple objective type test.

e) Recruitment in certain posts under central government to be made from amongst the state government employees.

f) The commission recommended the maximum number of ministers in the union cabinet should be 16 including the Prime Minister and that the strength of the Council of Ministers should be 40 and in no case should exceed 45.

g) The commission also recommended the abolition of the office of the parliamentary secretaries and suggested that the three tier system of the ministerial set up to be constituted.

h) A new post of Deputy Prime Ministeris created to provide institutional supprot to the office of the Prime Minister.

i) A policy advisory committee should be constituted to assist each and every department so as to formulate all long term policies of major importance.

j) The ARC, 1966 also recommended the establishment of a civil service tribunal for hearing appeals from government employees against major punishments.

➢ **Implementation of the Recommendations of the ARC, 1966**

Most of the recommendations made by the ARC was of a procedural nature. In consonance with these recommendations, the government implemented some and accordingly certain measures were taken, such as-

(a) The government consented to introduce the desk officer system of staffing and functioning in the central secretariat.

(b) The government also accepted the recommendations of raising the upper age limit for competitive examinations from 24 to 26 years.

(c) The government also accepted the recommendations of recruiting Class I engineering posts through competitive examinations and not through interview.

The ARC of 1966 deserves appreciation for playing a significant role in terms of suggesting measures for making an attempt to raise the standards of efficiency and integrity in public administration.

12.4.2 Second Administrative Reforms Commission (ARC), August 31, 2005

The Second Administrative Reforms Commission (ARC), 2005 was constituted on August 31, 2005 by the Government of India with

the basic purpose of preparing a detailed blueprint for revamping the public administrative systemin view of the changed circumstances of the modern day world.The commission was chaired by VeerappaMoily, former Chief Minister of Karnataka with several other members. The commission was given the responsibility for suggesting a sustainable and accountable government, which also at the same time is proactive, efficient and responsive. The commission was asked to suggest recommendations on the following areas of administration, namely, organisational structure of the government, matters relating to federal polity, crisis management ,measures relating to effective district administration, local-self government,citizen centric administration , strengthening of financial management systems, social capital, ethics in government and refurbishing of personnel administration.

The commission was however directed to exclude from its purview to make recommendations in matters related to military, defence, railways, external affairs, security and intelligence, centre-state relations, judicial reforms, etc. Based on the subjects mentioned above, the commission presented 12 reports for consideration. Some of the recommendations of ARC, 2005 are mentioned below:

- Setting up an effective mechanism for redressal of citizens' grievances in terms of effective implementation of the Right to Information Act, 2005.
- Devising a mechanism for meeting crisis situations arising out of natural and man-made disasters.
- Undertaking measures to ensure justice for each and peace for all.
- To usher in ethics in governance.
- To focus on the need for effective decentralisation of democratic polity.
- To undertake effective steps for reducing conflicts and adopting strategies for peace resolution.
- Promoting e-governance.
- Recommendations for combating terrorism.

- To undertake measures for improving social capital.
- Recommendations were made in matters relating to recruitment, training, placement of civil servants.
- To device mechanisms for setting up special institutions at national and state commissions so as to safeguard the rights of the vulnerable sections of the society.
- To strengthen financial management system.
- Recommendations were made relating to maintenance of public order and ensuring justice for each.
- Recommendations were made for reforming the structure of the government in India so as to make the administrative system proactive, efficient as well as flexible.
- To undertake measures by the state as well as district administration,so as to keep pace with modernisation, encourage people's participation, effective grievance handling system etc.

In view of the recommendations of the ARC 2005 as stated above,the Government of India constituted a Group of Ministers (GoM) on March 30, 2007, to consider the recommendations of the ARC, 2005 and to implement the same, after due process of review. The decisions made by theGoMwith respect to these reports are at various stages of implementation.



CHECK YOUR PROGRESS

Q.3: In which year did the Ministry of Home Affairs under the Government of India constituted the First Administrative ReformsCommission (ARC).

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Q.4: The Administrative Reforms Commission, 2005 recommended setting up an effective mechanism for redressal of citizens' grievances in terms of effective implementation of which Act ?

.....

.....

12.5 ADMINISTRATIVE REFORMS IN THE UK (CITIZEN'S CHARTER)

Let us discuss the matter of Administrative Reforms in the UK :

12.5.1 Committee on the Civil Service or Fulton Committee

On 8th February, 1966, the Committee on the Civil Service was appointed under the chairmanship of Lord Fulton 'to examine the structure, recruitment and management, including training, of the Home Civil Service, and to make recommendations'. The committee became known as the Fulton Committee after the name of the chairman of the committee.

- **The Findings of the Fulton Committee**

In the first chapter of the its Report, the Fulton Committee stated that the Civil Service of the day was fundamentally the product of the nineteenth-century philosophy produced by the Northcote-Trevelyan Report; whereas the tasks the Civil Service faced were those of the twentieth century. The findings of the Fulton Committee were as follows :

(a) The Civil Service was essentially based on the cult of the amateur or generalist. This feature was most evident in the administrative class which dominated the service. Administrative class officials were regarded as amateur because they were moved too frequently from job to job and had no specific professional education or formal training for their work.

(b) The system of classes impeded the work of the Civil Service. The Fulton Committee was critical of the classification system, which it considered had caused the Civil Service to become rigid and had made it difficult for staff to move among the various classes. The Committee also took the view that the word 'class' in Britain had developed social

connotations which could produce feelings of inferiority. As an alternative, the Committee proposed occupational 'groups' and 'categories', together with a simplified pay structure.

(c) Many scientists, engineers and other professional specialists were not given the responsibility or authority they deserved. The Committee therefore recommended that these specialists be given more policy-making and management opportunities, and training to equip them for their new work. The Committee recommended the creation of a new Civil Service College to provide this training and to meet the other training needs identified in the report.

(d) The Committee considered that the Civil Service lacked skilled managers. To improve management skills, the Committee recommended that administrators should become more specialised, and more training in management should be given to scientists and specialists. The Committee also recommended that the principles of 'accountable management' be introduced.To improve management even further, the Committee recommended several more innovations: the establishment of a new Civil Service Department; the creation of a management services unit in each department to promote new management techniques; a planning and research unit to undertake major long term planning; and the creation of departmental planning units to acquire facts and to consider and administer policy. The head of the planning unit would be the Senior Policy Adviser to the Minister.

(e) The Committee considered that there was not enough contact between the Civil Service and the rest of the community. This was partly because Civil Servants were expected to spend their entire working lives in the Service, and partly

because the administrative process was surrounded by too much secrecy. The Committee therefore recommended greater openness in Government, less anonymity for officials, and greater mobility of staff into and out of the service. They recommended the use of short term appointments, temporary interchange with industry and commerce, and more flexible pension arrangements.

(f) The Committee also took the view that within the Civil Service there were major defects in personnel management. There was not enough career planning, and communication was bad between the Civil Service Commission, departmental establishment divisions and the Treasury. The Committee therefore recommended the creation of a new Civil Service Department, within which the Civil Service Commission would continue to operate, and the adoption of new recruitment procedures for administrators and high fliers.

(Source: https://publications.parliament.uk/pa/ld199798/ldselect/ldpubsrv/055/psrep05.htm)

12.5.2 Next Steps Agencies (Executive Agencies)

One of the far reaching reforms in public administration practices in the UK has been the establishment of "Next Steps" (now referred to as executive agencies) . In 1987, the British government published a report entitled "Improving Management in Government: The Next Steps". Under the reforms suggested by the report, the civil service was disaggregated into a series of distinct agencies, each responsible for delivering a particular public service. These agencies (first referred to as Next Steps agencies, but now described as executive agencies) would be responsible to the respective ministries of government. These agencies work as business units within the government departments with the sole purpose of delivering services , either directly to citizens or to

business or to other public sector organisations. Thus, the Next Step agencies in the UK have provided a framework for new public management ensuring increasing efficiency and accountability in the delivery of public services.

12.5.3 The Citizen's Charter

The Citizen's Charter was an initiative launched in 1991 by the then British Prime Minister John Major as part of his 'commitment to quality' public sector reform agenda.

- **Importance of Citizen's Charter**

1. To make administration accountable and citizen friendly.
2. To ensure transparency.
3. To take measures to improve customer service.
4. To adopt a stakeholder approach.
5. To save time of both Administration and the citizen.

- **Principles of the Citizens' Charter**

The six principles of the Citizens' Charter movement as originally framed were:

1. Quality: Improving the quality of services
2. Choice: Wherever possible
3. Standards: Specify what to expect and how to act if standards are not met
4. Value: For the taxpayers' money
5. Accountability: Individuals and Organisations
6. Transparency: Rules/ Procedures/ Schemes/Grievances

Subsequently, the above principles were elaborated by the Labour Government as following nine principles of Service Delivery (1998):

1. Set standards of service
2. Be open and provide full information

3. Consult and involve
4. Encourage access and the promotion of choice
5. Treat all fairly
6. Put things right when they go wrong
7. Use resources effectively
8. Innovate and improve
9. Work with other providers

(Source: https://www.civilsdaily.com/citizens-charter-importance-objective-features-problems-faced-in-implementation-guidelines/)

The Citizen's Charter programme sought to bring about a sustained focus on customer service and improved quality in public services. It was a drive for greater openness and for transparency around performance standards and measures.

(http://www.statskontoret.se/globalassets/publikationer/2000-2005-english/200123.pdf)



CHECK YOUR PROGRESS

Q.5: Mention any two findings of the Fulton Committee with regard to the functioning of the civil service.

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.....

Q.6: Mention the six principles of the Citizens' Charter movement as originally framed.

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12.6 LET US SUM UP

- Before the independence of India many bodies were constituted by the British rulers starting from the era of the East India Company with a view to suggest certain reforms in the prevailing administrative system from time to time. Let us discuss some such reforms recommended by different committees and reports:
- Until 1854 civil servants for the East India Company used to be nominated by the Directors of the Company and then sent to India. A committee was constituted by the British Government in 1854 under the chairmanship of Lord Macaulay with regard to public services in India.
- Following Lord Macaulay's Report of the Select Committee of British Parliament, the concept of a merit based modern Civil Service in India was introduced in 1854. Lord Macaulay's Report recommended that patronage based system of East India Company should be replaced by a permanent Civil Service based on a merit based system with entry through competitive examinations.
- For this purpose, a Civil Service Commission was setup in 1854 in London and competitive examinations were started in 1855. Initially, the examinations for Indian Civil Service were conducted only in London.
- The Aitchison Commission (Public Service Commission) was set up in 1886 under the chairmanship of Sir Charles Umpherston Aitchison. Some of the following recommendations of the Commission include : the two-tier classification of civil services into covenanted and uncovenanted should be replaced by a three-tier classification- Imperial, provincial and subordinate civil services; the minimum and maximum age limits for entry into civil services should be 19 and 23 years respectively, etc.

- The recommendations of the Aitchison Committee were accepted and the covenanted civil service came to be known as Civil Service of India. The provincial service was called after the particular province.
- The British Government set up a Royal Commission on Public Services In India under Lord Islington in 1912. It recommended among others : 25 per cent of the posts in the superior civil service should be filled from among Indians, partly by direct recruitment and partly by promotion; the examination for the recruitment of civil servants should be held in India.
- In 1918 the Montagu-Chelmsford Report was submitted and some of its recommendations included: India should be the venue for conducting examination for 33 per cent of the superior posts and that this percentage should increase by 1.5 per cent annually; there must be a system of appointment in India for all those public services for which there was recruitment in England, open to Europeans and, Indians alike; etc.
- These proposals were accepted and became the basis of appointment for about ten years.
- From 1922 onwards the Indian Civil Service Examination began to be held in India also, first in Allahabad and later in Delhi with the setting up of the Federal Public Service Commission in the subsequent years. The Examination in London continued to be conducted by the Civil Service Commission.
- The Royal Commission on the Superior Civil Services in India under Lord Lee was appointed in 1923. The Lee commission submitted its report in 1924. The major recommendations of the Lee Commission were:40% of future entrants to the civil services in India should be British and the rest of the 80% should be Indians with 40% Indians directly recruited and 20% Indians promoted from the provincial services; a Public Service Commission with five full-fledged members should be appointed immediately.

- The government accepted most of the Lee Commission Recommendations. Accordingly, the first Public Service Commission was set up on 1st October, 1926 under the chairmanship of Sir Ross Barker. Subsequently, a Federal Public Service Commission was established under the Government of India Act, 1935.
- Since independence, several commissions and committees were set up at the central level with a view to bring about reforms in the administrative structures and processes. The First Administrative Reforms Commission (1966) and the Second Administrative Reforms Commission (2005) are very crucial in the context of the efforts on the part of the Union Government to bring about reforms in the administrative structures and practices in India.
- The First Administrative Reforms Commission (ARC), for giving recommendations for the purpose of reviewing the public administrative system in India. This commission was initially chaired by Morarji Desai, but when Morarji Desai became the Deputy Prime Minister of India, the charge was handed over to K.Hanumanthaiah to chair the commission.
- The basic purpose of setting up the ARC was to consider certain aspects relating to public administration in India and to bring about desired changes in the areas such as - centre-state relationship; the mechanism for planning at all levels; financial and economic administration; state level as well as district administration; mechanism for redressal of public grievances, etc.
- Based on the above mentioned subjects the ARC, 1966 submitted 20 reports in all with 537 major recommendations.
- The Second Administrative Reforms Commission (ARC), 2005 was constituted on August 31, 2005 by the Government of India with the basic purpose of preparing a detailed blueprint for revamping the public administrative system in view of the changed circumstances of the modern day world. The commission was chaired by VeerappaMoily, former Chief Minister of Karnataka with several other members.

- The commission was given the responsibility for suggesting a sustainable and accountable government, which also at the same time is proactive, efficient and responsive. The commission was asked to suggest recommendations such areas of administration as organisational structure of the government, matters relating to federal polity, crisis management ,measures relating to effective district administration, local-self government, citizen centric administration , etc.
- The commission was however directed to exclude from its purview to make recommendations in matters related to military, defence, railways, external affairs, security and intelligence, centre-state relations, judicial reforms, etc. Based on the subjects mentioned above, the commission presented 12 reports for consideration.
- In view of the recommendations of the ARC 2005 as stated above, the Government of India constituted a Group of Ministers (GoM) on March 30, 2007, to consider the recommendations of the ARC, 2005 and to implement the same, after due process of review. The decisions made by the GoM with respect to these reports are at various stages of implementation.
- On 8th February, 1966, the Committee on the Civil Service was appointed under the chairmanship of Lord Fulton 'to examine the structure, recruitment and management, including training, of the Home Civil Service, and to make recommendations'. The committee became known as the Fulton Committee after the name of the chairman of the committee.
- Some of the findings of the Fulton Committee included: the Civil Service was essentially based on the cult of the amateur or generalist.; the system of classes impeded the work of the Civil Service. As an alternative to the word "class" , the Committee proposed occupational 'groups' and 'categories', together with a simplified pay structure; Many scientists, engineers and other professional specialists were not given the responsibility or authority they deserved. ; the Committee considered that the Civil Service lacked skilled managers, etc.

- In 1987, the British government published a report entitled "Improving Management in Government: The Next Steps". Under the reforms suggested by the report, the civil service was disaggregated into a series of distinct agencies, each responsible for delivering a particular public service. These agencies (first referred to as Next Steps agencies, but now described as executive agencies) would be responsible to the respective ministries of government and work as business units within the government departments with the sole purpose of delivering services
- in 1991 by the then British Prime Minister John Major as part of his 'commitment to quality' public sector reform agenda to make administration accountable and citizen friendl; to ensure transparency; to take measures to improve customer service; to adopt a stakeholder approach; to save time of both Administration and the citizen.
- The six principles of the Citizens' Charter movement as originally framed were: Quality; Choice; Standards; Value; Accountability; Transparency.
- Subsequently, the above principles were elaborated by the Labour Government.



12.7 FURTHER READING

1) Bhattacharya, Mohit. 2007. *Public Administration*. Kolkata : The World Press Private Ltd.

2) Mehta, Vinod. 2000. *Reforming Administration in India*. Har-Anand Publications.



12.8 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q. No. 1: (a) The two-tier classification of civil services into covenanted and uncovenanted should be replaced by a three-tier classification-Imperial, provincial and subordinate civil services.

(b) The minimum and maximum age limits for entry into civil services should be 19 and 23 years respectively.

Ans to Q. No. 2: True

Ans to Q. No. 3: 1966

Ans to Q. No. 4: Right to Information Act, 2005

Ans to Q. No. 5: (a) The system of classes impeded the work of the Civil Service. The

Fulton Committee was critical of the classification system, which it considered had caused the Civil Service to become rigid and had made it difficult for staff to move among the various classes. The Committee also took the view that the word 'class' in Britain had developed social connotations which could produce feelings of inferiority. As an alternative, the Committee proposed occupational 'groups' and 'categories', together with a simplified pay structure.

(b) The Committee considered that the Civil Service lacked skilled managers. To improve management skills, the Committee recommended that administrators should become more specialised, and more training in management should be given to scientists and specialists. The Committee also recommended that the principles of 'accountable management' be introduced.

Ans to Q. No. 6: 1) Quality

2) Choice

3) Standards

4) Value

5) Accountability

6) Transparency



12.9 POSSIBLE QUESTIONS

Q. 1 : Write briefly about the Macaulay Committee (1854).

Q. 2 : Write briefly about the recommendations of the Lee Commission (1923).

Q. 3 : Mention four recommendations of ARC, 1966.

Q. 4 : Mention four recommendations of ARC, 2005.

Q. 5 : Write briefly about the Next Step agencies (executive agencies) in the UK.

Q. 6 : Discuss the Citizen's Charter in the UK.

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UNIT 13: ETHICS IN ADMINISTRATION (INDIA, UK)

UNIT STRUCTURE

11.1 Learning Objectives

13.2 Introduction

13.3 Integrity, Transparency and Accountability - Principles and Practice : India

13.3.1 Integrity in Administration in India: Framework and Provisions

13.4.2 Transparency and Accountability in Administration in India

13.4 Integrity, Transparency and Accountability - Principles and Practice : The UK

13.4.1 Integrity in Administration in the United Kingdom

13.4.2 Transparency and Accountability in Administration in the United Kingdom

13.5 Let Us Sum Up

13.6 Further Reading

13.7 Answers to Check Your Progress

13.8 Possible Questions

13.1 LEARNING OBJECTIVES

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

- explain the meaning of integrity in administration
- explain the meaning of transparency and accountability in administration
- examine the legal framework to maintain that exists in India and the Untied Kingdom to maintain integrity in administration
- discuss the issues of transparency and accountability in administration in India and the UK.

13.2 INTRODUCTION

The concepts of integrity, transparency and accountability are very important in administration of a country. Good governance can be ensured by maintaining integrity, transparency and accountability in administration. In this unit we shall discuss the issues of integrity, transparency and accountability in administration in India and the United Kingdom.

13.3 INTEGRITY, TRANSPARENCY AND ACCOUNTABILITY - PRINCIPLES AND PRACTICE : INDIA

13.3.1 Integrity in Administration in India : Framework and Provisions

- **Meaning of Integrity**

  The dictionary meaning of the term Integrity is "soundness of moral principles; the character of uncorrupted virtue; uprightness; honesty; sincerity." Integrity is, in fact, most essential attribute of good governance. Usually the principle of integrity demands that a professional exercise his or her tasks adequately, carefully and responsibly, taking into account all relevant interests. Some theorists have stressed that the term integrity refers to strict adherence of the principles of incorruptibility, honesty, impartiality and accountability. Deviation from moral standards or lack of integrity in public officials may take various shapes in the form of corruption, patronage (based on communalism, sectarianism, nepotism and favoritism etc.) and undue influence. Anyone wasting public money lacks integrity. Similarly a person who personalizes the power and authority he or she wields in his or her official capacity is also called as lack of integrity. Thus, in general, lack of integrity stands for deliberate and intentional exploitation of one's position, status or resources, directly or

indirectly, for personal aggrandizement, whether it be in terms of material gain or enhancement of power, prestige or influence beyond what is legitimate or sanctioned by commonly accepted norms to the detriment of the interests of other persons or the community as a whole.

- **Existing Legal Framework to maintain integrity in administration in India**

  The following enactments and institutional arrangements have been provided in India to investigate corruption cases and take legal action:

  (i) The Indian Penal Code, Section 161

  ii) The Prevention of Corruption Act, 1947

  iii) Government Servants Conduct Rules

  iv) Central Vigilance Commission (CVC)

  v) State Vigilance Commission

  vi) Central Bureau of Investigation (CBI)

  vii) Lokpal and Lok Ayuktas in State

- **The Prevention of Corruption Act 1947:** The Prevention of Corruption Act, 1947 defines the following acts as the offence of criminal misconduct in the discharge of his or her duty by the public servants and subject to rigorous imprisonment-

  a) If he/she habitually accepts or obtains or agrees to accept for himself/herself or attempts to obtain from any person for himself or for any other person, any gratification (other than legal remuneration) as a motive or reward as mentioned in Section 161 of the Indian Penal Code;

  b) If he/she habitually accepts or obtains or agrees to accept or attempts to obtain for himself/herself or for any other person, any valuable thing without consideration or for a consideration which he/she knows to be inadequate from any person whom he/she knows to have been, or to be

likely to be concerned in any proceeding or business transacted or about to be transacted by him/her, or having connection with the official functions of himself/herself or of any public servant to whom he/she is subordinate, or from any person whom he/she knows to be interested in or related to the person concerned;

c) If he/she dishonestly or fraudulently misappropriates or, otherwise abuses his/her position as a public servant, obtains for himself/herself or any other person any valuable thing or pecuniary advantage.

The Prevention of Corruption Act, 1947 was amended in 1988 to tighten its provisions. The term 'public servant' is now more broadly defined which includes elected representatives like ministers and members of the Parliament.

- **Civil Service Conduct Rules:**

The Government servants (Central as well as State) are abide by the Conduct Rules i.e. All-India Service (Conduct) Rules 1954, Central Civil Services (Conduct) Rules, 1955 etc. The Government has also made rules or issued instructions from time to time for the public servants.

- **Central Bureau of Investigation (CBI):**

To deal with the issue of corruption of civil servants the Delhi Special Police Establishment Act, 1946 set up the Special Police Establishment. In 1963 the Central Bureau of Investigation (CBI) was established replacing the Special Police Establishment.

The CBI is headed by a Director who is assisted by additional directors, joint directors, superintendents of police, deputy superintendents of police and others. Today CBI deals with three broad categories of criminal cases, such as- crimes of corruption, economic crimes including frauds, special crimes such as terrorism, bomb blasts.

- **Central Vigilance Commission (CVC):**

  The Central Vigilance Commission (CVC) was formed in 1964 to act as the watchdog organisation to check corruption and promote integrity in the government services. The CVC is entrusted with the following main functions:

  1. The Commission undertakes inquiry into any transaction in which a public servant is suspected or alleged to have acted for an improper purpose or in a corrupt manner.
  2. To investigate into any complaint against a civil servant who has exercised or refrained from exercising his or her powers against improper or corrupt purposes, and any complaint of corruption, misconduct, lack of integrity or other kind of malpractices on the part of a public servant.
  3. To initiate a review of procedures and practices of administration relating to the maintenance of integrity in administration.
  4. To ask for reports from other agencies to exercise check and supervision over the vigilance and anti-corruption work.
  5. The Commission has been authorised to take over under its direct control complaints for further action. Such action can pertain to either a) to ask the CBI to register a regular case and investigate it, or b) to enlist it for enquiry by the CBI or the agency concerned.

- **Lokpal and Lok Ayuktas:**

  The Government of India passed the Lokpal Bill in 2013 and came into effect from 16th January 2014. Lokpal and Lokayukta institutions are mandated to check the corruption at the higher levels of administration which includes Ministers also.

  - **Jurisdiction of the Lokpal:**

    Jurisdiction of Lokpal include Prime Minister, Ministers, Members of Parliament, Groups A, B, C and D officers and officials of Central Government. The Lokpal shall inquire

any matter involved in, or arising from, or connected with, any allegation of corruption made in a complaint in respect of the following, namely:-

(a) Prime Minister, provided any such allegation of corruption against the Prime Minister shall not related to international relations, external and internal security, public order, atomic energy and space.

(b) Minister of the Union Government.

(c) Member of either House of Parliament.

(d) any Group 'A' or Group 'B' officer or equivalent or above, from amongst the public servants defined in sub-clauses (i) and (ii) of clause (c) of section 2 of the Prevention of Corruption Act, 1988 (49 of 1988) when serving or who has served, in connection with the affairs of the Union.

(e) any Group 'C' or Group 'D' official or equivalent, from amongst the public servants defined in sub-clauses (i) and (ii) of clause (c) of section 2 of the Prevention of Corruption Act, 1988 (49 of 1988) when serving or who has served in connection with the affairs of the Union.

(f) any person who is a chairperson or member or officer or employee in any body or board or corporation or authority or company or society or trust or autonomous body (by whatever name called) established by an Act of the Parliament or wholly or partly financed by the Central Government or controlled by it.

(g) any person who is or has been a director, manager, secretary or other officer of every other society or association of persons or trust (whether registered under any law for the time being in force or not), by whatever name called, wholly or partly financed by the Government and the annual income of which exceeds such amount as the Central Government may, by notification, specify;

(h) any person who is or has been a director, manager, secretary or other officer of every other society or association of persons or trust (whether registered under any law for the time being in force or not) in receipt of any donation from any foreign source under the Foreign Contribution (Regulation) Act, 2010 (42 of 2010) in excess of ten lakh rupees in a year or such higher amount as the Central Government may, by notification, specify.

The Lokpal will inquire into any act or conduct of any person if such person is involved in the act of abetting, bribe giving or bribe taking or conspiracy relating to any allegation of corruption under the Prevention of Corruption Act, 1988.

❍ **Powers of Lokpal:**

The Lokpal has following powers:

(i) It has supervisory powers and can give direction to CBI.

(ii) If it has referred a case to CBI, the investigating officer in such case cannot be transferred without approval of Lokpal.

(iii) It has powers to authorise the CBI for search and seizure operations connected to such case.

(iv) The Inquiry Wing of the Lokpal has been vested with the powers of a civil court.

(v) Lokpal has powers of confiscation of assets, proceeds, receipts and benefits arisen or procured by means of corruption in special circumstances.

(vi) Lokpal has powers to recommend transfer or suspension of public servant connected with allegation of corruption.

(vii) Lokpal has power to give directions to prevent destruction of records during preliminary inquiry.

Lok Ayuktas are the institutions for the States to deal with corruption. Some states governments have set up the Lokayuktas. They have their own investigating machinery and have jurisdiction over the ministers.

Some Suggested Remedies for Maintaining Integrity in Administration

The Santhanam Committee recommended the following important measures for prevention of corruption:

a) Greater care should be taken in selecting officers for appointment to higher administrative posts.

b) Promotion to higher and more responsible positions should be guided by the consideration of integrity of the personnel.

c) Enquiry-cum-reception offices should be established to promptly identify the problems of corruption.

d) A clear distinction should be made as to what information should be treated secret and what should be made freely available to the public.

e) The annual confidential reports should include a column for the comments of the superiors on the integrity of the officer.

f) Ban on government servants accepting private, commercial and industrial employment for a period of two years after retirement.

g) Widespread publicity of dismissals and removal and compulsory retirement of corrupt officers should be made.

Some other suggestions given by different scholars for maintain integrity in administration are - simple laws and administrative procedures, better pay structure and strict supervision of official, strict and quicker punishment for the improper use of public authority, restructuring and re-orienting the government machinery, enhancing public awareness etc.

12.3.2 Transparency and Accountability in Administration in India

Transparency in administration is needed to bring accountability of the civil servants. In fact, transparency is closely associated with the accountability and integrity of the administration.

➢ **Meaning of Transparency**

Transparency is the basic principle of good governance. It implies the right of the public to know the work of the administrative organisations. Transparency implies that citizens should be enabled to get the information about the administration, thus setting up of proper mechanism for the access of information about the administrative works. Transparency in administration has given the public greater access to governmental information, thereby increasing the accountability of civil servants and administrators. It makes the decision making process in administration more open. Transparency stands for openness and thus opposes all forms of secrecy and privacy.

Transparency in administration is the right of the people. People have the right to know about the details of decisions and procedure of administration. Thus, people have the right to seek information regarding the functioning of any department or wing of administration. This constitutes the right to information. This right to information is a universally recognised right. In fact, the UNO has recognised the freedom of information of the people. This right to information induces deep trust on the actions of the government.

In India, several mechanisms exist to ensure transparency in administration. These are discussed below:

➢ **Right to Information Act 2005:**

In India the Right to Information Act,2005 (RTI) has been enacted which mandates that public bodies have an obligation to disclose information and every member of the public has a corresponding right to receive information which may be available in any form held by a public body. The main features of the Act are-

❍ **Objectives of RTI Act are :**

a. To set out a practical regime of citizen's right to information;

b. To enable the citizens to secure access to information which is held under the control of the Government or the public authorities;

c. To promote accountability and transparency in the administration of the Government and public bodies;

d. To constitute a Central Information Commission and also State Information Commissions for implementation of the Act and Rules made thereunder, and its monitoring;

e. To make an endeavour to curb corruption at its roots and make the Government agencies accountable to the people;

f. To impose a proactive duty on public authorities to make as much information available to the public as possible.

❍ **Definition of Information:**

The Act define "Information" as any materials or information relating to the affairs, administration, decisions or conduct of public authorities and includes any document or record relating to the affairs of public authorities.

❍ **Public Authority and its Obligation:**

The Act defines 'Public Authority' as any authority or body or institution of self-government established or constituted by or under the Constitution or by any law of the Parliament or State Legislature. The Act makes the Public Authority responsible for dissemination of information and for responding to the requests for access to information by the citizens.

❍ **Administrative Mechanism- Information Commission:**

The Act provides that every public authority shall designate as many Public Information Officers (PIO) in all its administrative departments as may be necessary to provide information on request of the information seekers. The Act also provides for constitution of Central Information Commission and the State Information Commission.

❍ **Information Exempted from Disclosure:**

There are some information which are exempted from being disclosed such are matters related to sovereignty and integrity of India, security of the country, relation with foreign State,

information which may constitute contempt of Court, information which may breach privilege of the Parliament or the State Legislature etc.

❍ **Right to Appeal:**

An applicant whose request for information is rejected or not given the information within the prescribed time limit or is aggrieved by the decision of the Central Public Information Officer (CPIO) or State Public Information Officer (SPIO), as the case may be, may appeal to such Officer senior in rank to CPIO or SPIO in each Public Authority. Appellate authority for deciding appeals is generally notified by the States under the RTI law.

❍ **Penalty for refusal, incorrect or delay in Information:**

The Public Information Officer (PIO) and the Assistant Public Information Officer (APIO) is responsible for furnishing the information within the specified period of time, on failure to provide such information are held personally liable in terms of fine or departmental action. According to the RTI Act,2005, every PIO will be liable for fine of Rs. 250/- per day, upto a maximum of Rs. 25000/- for-

i) not accepting the application for request of information;

ii) delaying information release without any reasonable cause;

iii) *malafide* denial of information;

iv) knowingly giving incomplete, incorrect or misleading information;

v) destroying information that has been requested, and

vi) obstructing furnishing of information in any manner.

The RTI Act, 2005 is a special legislation empowering the citizens of the country to know the every details related to the public authorities of the country. It is a powerful tool at the hands of the citizens to make the public officials accountable in their duties. Moreover, it also helps in maintaining integrity of public officials while doing their works.

Administrative accountability in a democratic country like India is very important, because the Government derives its legitimacy from the people. Administrative accountability has to be understood in terms of the public policies and its implementation. Accountability is the contributing factor to administrative efficiency.

- **Meaning of Accountability**

Generally, accountability means objective responsibility that connotes the responsibility of a person or an organisation about some kind of performance to someone else means outside of self. It is considered to be closely akin to answerability. Accountability therefore means that the administration has to be accountable for the exercise of authority which it possesses. It is an evaluation of performance in terms of its goals.

In a Parliamentary form of Government accountability connotes the government's obligation to clarify and justify its policies and their implementation to the legislature, which oversees and scrutinises governmental activities so as to satisfy itself that public policies so framed are in accordance with the needs and aspirations of the people and are being executed efficiently in the best interest of the public. Thus, accountability mainly aims at increasing efficiency and effectiveness of administrative process. In a developing country, with the expansion of developmental activities, the power vested in public administration is spontaneously growing and there are many chances of its abuse. Therefore, it is imperative to introduce appropriate provisions so as to make the administration accountable to the people.

In the following, we will discuss the practices in India through which the administrative accountability is maintained.

- **Parliamentary Control over Administration:**

The Parliament of India plays an important role in making administration accountable. There are several means through which

the Parliament exercises control over public administration. Some of the important means are: questions, discussions and debates, motions and resolutions on specific administrative actions and matter of grave concern. The Members of the Parliament, through financial control by the budget and parliamentary committees, can call attention motions to draw the attention of the minister concerned to a matter of urgent public importance. Parliamentarians also get opportunity to hold administration accountable through budgetary process at the time of general discussion on the budget, discussion and voting of demands for grants and consideration and passing of both the appropriation bill and the financial bill. In this way, the legislature, through its power over the public purse, seeks to ensure administrative accountability. Besides there are standing committees of the Parliament, such as- Public Accounts Committee on subordinate legislation, Committee on government assurances and so on facilitate the exercise of the power of administrative accountability. The Committees are empowered to ask for files, information and other documents from government officials. Even the officials may be called for evidence.

Besides, the system of post-audit of the governmental accounts is also among the important means of control and ensuring accountability as it seeks to ensure that the funds sanctioned by the legislature are spent by the approved authorities for the same purpose for which they are appropriated.

- **Executive Control over Administration:**

In India the executive exercises control over administration through many ways. Some of these are-

- Political or Ministerial Control: The executive branch of the government consists of Ministers as members of the Cabinet and the permanent civil servants. Each Minister is individually in charge of a portfolio consisting of one or more department and thus, he or she is the chief executive so far

as that portfolio is concerned and is responsible for the official working of the subjects under his or her charge. In running the administration of concerned department the concerned Minister has to control the actions of civil servants of that particular department so that they may help in implementation of the policies.

- Administrative Control within the Hierarchy: There is a hierarchical command structure in the permanent executive. The administrative head of department is secretary. The department is divided into wings, under the charge of joint or additional secretary; a wing is sub-divided into divisions headed by deputy secretaries; each division is further divided into branches, under the charge of under secretaries; and then comes the section, headed by section officer. Each superior officer controls and command the subordinate offices and wings.
- Personnel Management Control: An important means of control is the centralization of establishment. The chief executive has a centralized personnel office. This office controls the methods of recruitment, salaries, promotions, conditions of service etc. Uniformity in personnel matters throughout the administrative organisation of the government is maintained.
- Budgetary Control: To carry out the functions of the government the budget provides necessary finances. The activities of the administrative departments can be controlled by controlling the finances made available to them through budget.
- Control by Staff Agencies: There are two important staff agencies which also exercise control over various ministries, departments and other administrative agencies. These agencies are- NITI Aayog (formerly Planning Commission

of India) and the Department of Administrative Reforms which now comes under the Ministry of Personnel, Public Grievances and Pensions.

- Professional or Administrative Ethics: Every profession develops a code of conduct and behavior for its members. Public services have also become a professional career and in many countries it has evolved its own code of ethics. In India there is a very voluminous of code of conduct for civil servants. It lays down in great details what a civil servant should do and should not do.

- **Judicial Control over Administration:**

In a democratic country, the judiciary restricts the discretion and arbitrariness of both the executive and administrative agencies, safeguards the rights and liberty of the citizens. It helps in redressal of the grievances of the citizens, curbs corruption in government and administration and can declare the acts of the government and administration ultra vires in case they exceed their jurisdiction. Thus, if some administrative actions cause loss to the citizen, the concerned person may knock at the door of the judiciary for redressal of his or her grievances. Judiciary can exercise the control over the administration through the following means:

a) Judicial review of administrative acts and decisions,

b) Statutory appeals to the courts against the administrative acts and decisions,

c) Suits against the Central or State governments by a private party for enforcing contract or torts,

d) Criminal suits against public servants by private parties,

e) extraordinary remedies such as habeas corpus, mandamus, injunction, certiorari, prohibition and quo warranto.

Apart from the above mentioned means Lokpal and Lokayuktas also exercise as an means to ensure accountability in administration. The Government of India has enacted the institution of Ombudsmen since 2014. The institution Lokpal is mandated to look after the cases of corruption at the higher level including the Prime Minister, Ministers, M.P.s and other public officials. The institution of Lokayukta is mandated to work against the cases of corruption at the State level.



CHECK YOUR PROGRESS

Q.1: In which year was the Central Vigilance Commission (CVC) formed?

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Q.2: Mention any two powers of the Lokpal.

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Q.3: Write briefly about any two means through which the executive exercises control over administration.

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Q.4: Mention any two objectives of the Right to Information Act.

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13.4 INTEGRITY, TRANSPARENCY AND ACCOUNTABILITY - PRINCIPLES AND PRACTICE: THE UK

13.4.1 Integrity in Administration in the United Kingdom

➢ **Committee on Standards in Public Life (CSPL)**

In the UK, the Committee on Standards in Public Life (CSPL) which was established in advises the Prime Minister on ethical

standards of public life. It is an advisory non-departmental public body of the United Kingdom Government. The committee promotes a code of conduct called the Seven Principles of Public Life. These seven principles are as follows:

1. **Selflessness :** Holders of public office should act solely in terms of the public interest.
2. **Integrity :** Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.
3. **Objectivity :** Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.
4. **Accountability :** Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.
5. **Openness :** Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.
6. **Honesty :** Holders of public office should be truthful
7. **Leadership :** Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

These Seven Principles apply to those elected or appointed to public office, nationally or locally; those appointed to work in the civil service, local government, the police, courts and probation services, Non Departmental Public Bodies, and in the health,

education, social and care services; and those in the private sector delivering public services.

13.4.2 Transparency and Accountability in the United Kingdom

- **Citizen's Charter**

To maintain transparency and accountability in administration, the United Kingdom has adopted the Citizen's Charter about which we have learnt in the previous unit. The Citizen's Charter was an initiative launched in 1991 by the then British Prime Minister John Major as part of his 'commitment to quality' public sector reform agenda. The Citizenn;s Charter laid emphasis on Accountability and Transparency as core principles of the Charter. Accountability in terms of Individuals and Organisations working for the government and Transparency in terms of Rules/ Procedures/ Schemes/ Grievances . The Citizen's Charter programme was a drive for greater openness and for transparency in the delivery of public goods and services.

- **The Freedom of Information Act, 2000**

The Freedom of Information Act, 2000 provides public access to information held by public authorities.

It does this in two ways:

a) Public authorities are obliged to publish certain information about their activities; and

b) Members of the public are entitled to request information from public authorities.

The Act covers any recorded information that is held by a public authority in England, Wales and Northern Ireland, and by UK-wide public authorities based in Scotland. Information held by Scottish public authorities is covered by Scotland's own Freedom of Information (Scotland) Act 2002.

Public authorities include government departments, local authorities, the National Health Service (NHS), state schools and police forces. However, the Act does not necessarily cover every organisation that receives public money. For example, it does not cover some charities that receive grants and certain private sector organisations that perform public functions.

Recorded information includes printed documents, computer files, letters, emails, photographs, and sound or video recordings.

However, there are certain types of information which are exempted from the purview of the Act like defence and national security matters.

(Source: https://ico.org.uk/for-organisations/guide-to-freedom-of-information/what-is-the-foi-act/)



CHECK YOUR PROGRESS

Q.5: What are the seven principles of public life promoted by the Committee on Standards in Public Life (CSPL) ?

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Q.6: Write briefly about the Freedom of Information Act, 2000 of the United Kingdom.

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13.5 LET US SUM UP

- The dictionary meaning of the term Integrity is "soundness of moral principles; the character of uncorrupted virtue; uprightness; honesty;

sincerity." Integrity is, in fact, most essential attribute of good governance. Usually the principle of integrity demands that a professional exercise his or her tasks adequately, carefully and responsibly, taking into account all relevant interests. Some theorists have stressed that the term integrity refers to strict adherence of the principles of incorruptibility, honesty, impartiality and accountability.

- In India a number of measures have been adopted to maintain integrity in administration. Some of these measures are- the Indian Penal Code, Section 161, the Prevention of Corruption Act, 1947, Government Servants Conduct Rules, Central Vigilance Commission (CVC), State Vigilance Commission, Central Bureau of Investigation (CBI), Lokpal and Lok Ayuktas in State.
- To maintain integrity in administration, the United Kingdom has adopted some important measures. One such measure was the Citizen's Charter. The Citizen's Charter was an initiative launched in 1991 by the then British Prime Minister John Major as part of his 'commitment to quality' public sector reform agenda. The Citizen's Charter programme sought to bring about a sustained focus on customer service and improved quality in public services. It was a drive for greater openness and for transparency around performance standards and measures.
- Accountability is the contributing factor to administrative efficiency. Generally, accountability means objective responsibility that connotes the responsibility of a person or an organisation about some kind of performance to someone else means outside of self. It is considered to be closely akin to answerability. Accountability therefore means that the administration has to be accountable for the exercise of authority which it possesses.
- In India the Parliament, executive and judiciary exercises various practices through which the administrative accountability is maintained.
- Transparency is the basic principle of good governance. It implies the right of the public to know the work of the administrative organisations.

Transparency implies that citizens should be enabled to get the information about the administration. Transparency in administration has given the public greater access to governmental information, thereby increasing the accountability of civil servants and administrators. It makes the decision making process in administration more open.

- In India the Right to Information Act has been enacted in 2005 to ensure transparency in administration.
- In the UK, the Committee on Standards in Public Life (CSPL) which was established in advises the Prime Minister on ethical standards of public life. It is an advisory non-departmental public body of the United Kingdom Government. The committee promotes a code of conduct called the Seven Principles of Public Life.
- To maintain transparency and accountability in administration, the United Kingdom has adopted the Citizen's Charter. The Citizen's Charter laid emphasis on Accountability and Transparency as core principles of the Charter.
- The Freedom of Information Act, 2000 of the United Kingdom provides public access to information held by public authorities.



13.6 FURTHER READING

1) Arora, Ramesh K. and Goyal, Rajni. (1996). *Indian Public Administration- Institutions and Issues.* New Delhi: Wishwa Prakashan.

2) Avasthi, Dr. Amreshwar and Maheswari, Dr. Shriram. (2002). *Public Administration*. Agra: Lakshmi Narain Agarwal Publication.

3) Bhagwan, Vishnoo and Bhushan, Vidya. (2007). *Public Administration*. New Delhi: S. Chand and Co. ltd.

4) Sharma, Dr. M. P. and Sadana, Dr. B.L. (2010). *Public Administration in Theory and Practice*. Allahabad: Kitab Mahal.

13.7 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q. No. 1: 1964

Ans to Q. No. 2: (i)The Inquiry Wing of the Lokpal has been vested with the powers of a civil court.

(ii) Lokpal has powers of confiscation of assets, proceeds, receipts and benefits arisen or procured by means of corruption in special circumstances.

Ans to Q. No. 3: (i) Political or Ministerial Control: The executive branch of the government consists of Ministers as members of the Cabinet and the permanent civil servants. Each Minister is individually in charge of a portfolio consisting of one or more department and thus, he or she is the chief executive so far as that portfolio is concerned and is responsible for the official working of the subjects under his or her charge. In running the administration of concerned department the concerned Minister has to control the actions of civil servants of that particular department so that they may help in implementation of the policies.

(ii) Personnel Management Control: An important means of control is the centralization of establishment. The chief executive has a centralized personnel office. This office controls the methods of recruitment, salaries, promotions, conditions of service etc. Uniformity in personnel matters throughout the administrative organisation of the government is maintained.

Ans to Q. No. 4: (a) To enable the citizens to secure access to information which is held under the control of the Government or the public authorities.

(b) To promote accountability and transparency in the administration of the Government and public bodies.

Ans to Q. No. 5: The importance of the Citizen's Charter can be justified by the following points- (a) To make administration accountable and citizen friendly, (b) To ensure transparency in administration, (c) To take measures to improve customer service, (d) To adopt a stakeholder approach, (e) To save time of both Administration and the citizen.

Ans to Q. No. 6:

1. Selflessness
2. Integrity
3. Objectivity
4. Accountability
5. Openness
6. Honesty
7. Leadership

Ans to Q. No. 7: The Freedom of Information Act, 2000 provides public access to information held by public authorities. The Act covers any recorded information that is held by a public authority in England, Wales and Northern Ireland, and by UK-wide public authorities based in Scotland. Information held by Scottish public authorities is covered by Scotland's own Freedom of Information (Scotland) Act 2002. Public authorities include government departments, local authorities, the National Health Service (NHS), state schools and police forces. However, the Act does not necessarily cover every organisation that receives public money. For example, it does not cover some charities that receive grants and certain private sector organisations that perform public functions. Recorded information includes printed documents, computer files, letters, emails, photographs, and sound or video recordings. However, there are certain types of information which are exempted from the purview of the Act like defence and national security matters.



13.8 POSSIBLE QUESTIONS

Q. 1 : Write the meaning of accountability.

Q. 2 : When was the Right to Information (RTI) Act passed in India?

Q. 3 : What is meant by transparency in administration?

Q. 4 : Write about judicial control over administration.

Q. 5 : Discuss various means of controlling exercises in India to maintain accountability in administration.

Q. 6 : Discuss the Citizen's Charter of the United Kingdom.

Q. 7 : Discuss the existing legal framework to maintain integrity in Indian administration.

Q. 8 : Discuss the Right to Information Act, 2005.

Q. 9 : Write about the Central Vigilance Commission as agency to maintain integrity in administration in India.

Q. 10: Write about the Committee on Standards in Public Life (CSPL) with reference to integrity in administration in the UK.

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UNIT 14: GOOD GOVERNANCE, e-GOVERNANCE (INDIA AND USA)

UNIT STRUCTURE

11.1 Learning Objectives

14.2 Introduction

14.3 Good Governance: Principles and Features

14.4 Good Governance in India

14.5 Good governance in the United States of America

14.6 e-Governance in India

14.7 e-Governance in the United States of America

14.8 Let Us Sum Up

14.9 Further Reading

14.10 Answers to Check Your Progress

14.11 Possible Questions

14.1 LEARNING OBJECTIVES

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

- explain the meaning of the concept of good governance and application
- discuss the practices of good governance in India and the U.S.A
- examine the status of e-governance in India and the U.S.A.

14.2 INTRODUCTION

Good governance as a concept in public administration is associated with efficient and effective administration in a democratic framework.It is equivalent to purposive and development oriented administration which is committed to improvement in quality of life of the people.It is also related to the capacity of the centre of power of political and administrative system to cope up with the emerging challenges of the society.It refers to adoption of new values of governance to establish greater efficiency, legitimacy and credibility of the system.Good governance, is, thus a function of installation

of positive virtues of administration and elimination of vices of dysfunctionalities.In short, it must have the attributes of an effective, credible and legitimate administrative-- that is citizen- friendly, value-caring and people-sharing.

The concept of good governance derives its relevance in the context of misgovernance. Misuse of power and funds are systematically perpetrated by the leaders of government and their unions. Mis-governance is found all around, especially in the developing countries, in rampant degree. the concept of good governance becomes attractive as a remedy against this state of affairs.

Good governance aims at providing environment in which all citizens irrespective of the differences can develop their full potential. in addition, good governance also aims at providing public services effectively, efficiently and equitably to the citizens. The four pillars on which the edifice of good governance rests, in essence are:

- Ethos (of service to the citizen),
- Ethics (honesty, integrity and transparency),
- Equity (treating all citizens alike with empathy for the weaker sections), and
- Efficiency (speedy and effective delivery of service without harassment and using ICT increasingly).

14.3 GOOD GOVERNANCE: PRINCIPLES AND FEATURES

Good governance shares or aims at the ethos of a cohesive and responsible democratic society. Good governance provides moral legitimacy, apart from constitutional validity, and credibility to the goals as well as instrumentalities of government. The main constituents or attributes of good governance,thus, are basically rule of law, accountability, decentralization, honesty or probity in public affairs, independence of judiciary, human rights, people's participation, equality of treatment as needed in a pluralistic society, absence of discrimination on the basis of,

colour, race, language, faith, sex, region, etc., administrative responsiveness, social sensitivity, ethical approach or conduct, effectiveness, willingness to learn and having an urge to improve as well as evolve capability to anticipate the nature and direction of change to cope with the challenges as they arise from time to time.

Let us take a look at some of the agenda items of good governance. They can be listed as follows:

(i) Enhancing effective and efficient administration;

(ii) Improving quality of life of citizens;

(iii) Establishing legitimacy and credibility of institutions;

(iv) Making administration responsive, citizen-friendly and citizen-caring;

(v) Ensuring accountability;

(vi) Securing freedom of information and expression;

(vii) Reducing cost of governance;

(viii) Making every department result-oriented;

(ix) Improving quality of public services;

(x) Improving productivity of employees;

(xi) Eradication of corruption to re-establish credibility of government;

(xii) Removal of arbitrariness in exercise of authority; and

(xiii) Use of IT based services to improve the citizen- government interface.

- **Features of Good Governance**

An institutional setup that ensures good governance usually has the following features:

a) **Participation:** Men, women and third gender should have a voice in decision making process, either directly or through legitimate intermediate institutions that represent their interests. Such participation is built on freedom of association and speech, as well as capacities to participate constructively.

b) **Rule of Law:** Legal frameworks should be fair and enforced impartially, particularly laws on human rights.

c) **Transparency:** Transparency is built on the free flow of information. Processes, institutions and information are directly accessible to those concerned with them, and enough information should be provided to understand and monitor them.

d) **Responsiveness:** Institutions and processes try to serve all stakeholders.

e) **Consensus Orientation:** Good governance mediates differing interests to reach a broad consensus on what is in the best interest of the group and where possible, on policies and procedures.

f) **Equity:** All men and women have opportunities to improve or maintain their well-being.

g) **Effectiveness and efficiency:** Processes and Institutions produce results that make the best use of resources.

h) **Accountability:** Decision makers in government, the private sector and civil society organisations are accountable to the public, as well as to the institutional stakeholders. This accountability differs depending on your organisation and whether the decision is internal or external to an organisation.

i) **Strategic vision:** Leaders and the public have a broad and long term perspective on good governance and human development, along with a sense of what is needed for such development. There is also an understanding of the history, culture and social complexities in which that perspective is grounded.



CHECK YOUR PROGRESS

Q.1: What are the four pillars of good governance.

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Q.2: Write briefly about two features of an institutional setup that ensures good governance.

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14.4 GOOD GOVERNANCE IN INDIA

The idea of good governance is as old as Indian civilization. 'Raj Dharma' was the supreme code of conduct or the rule of law that governed all the actions of the ruler. This description of good governance is found in ancient Indian scriptures such as the Mahabharata, Shukracharyas'sNitisar, Panini's Ashtadhyayi, Valmiki's Ramayana and especially in Kautilya'sArthashastra. However, while the traditional view of governance was that a good government must preserve the rule of law, engage in physical and social infrastructure development, provide an enabling environment for growth and ensure civil and political freedoms; today accountability, transparency, inclusiveness, equitability, sustainable development etc. have become the key ingredients of 'good governance'. The Twelfth Five Year Plan (2012-2017) defines good governance as an essential element of any well-functioning society. It defines good governance as 'the public administration process that maximizes public interest'.

The right to good governance is considered as an essential part of the citizens' rights. Accordingly, a number of initiatives have been taken by the Government of India to incorporate citizens' concerns as inputs in the formulation of policy as well as in the quality and reliability of services. These can be brought through various tools, including the Citizen's Charters, Right to Information, e-Governance, Citizen Report Cards and Social Audits.

Initiatives Taken for Good Governance in India

A number of steps have been taken for improving the quality of governance in India. Some of these are-

- **Citizen-centric Platforms:** The Government of India has launched websites like mygov@nic.in and india.gov.in to promote active participation of Indian citizens in their country's governance and development. These are citizen centric platforms to empower people to connect with the Government and contribute towards good governance. It provides a common platform for Indian citizens to 'crowdsource governance ideas' where citizens can join the discussion to share, debate and adds value to various government projects and plans.
- **Participatory Budgeting:** Participatory budgeting is the process by which citizens deliberate and negotiate over the distribution of public resources. It creates opportunities for engaging, educating and empowering citizens, which can equip and advance a more vibrant civil society. This process helps citizens to voice their opinions and decide on how to allocate part of a municipal or public budget for the betterment of their neighbourhoods. It is an opportunity in which the common citizens can decide on the allocation and distribution of public expenditure in their areas or regions.

  So far only a few cities in India namely Bangalore, Mysore and Pune have experimented with participatory budgeting. In 2001, Bangalore became the first city in India to implement participatory budgeting due to efforts by a local NGO, Janaagraha. Initiatives taken in India for ensuring Transparency and Accountability in Governance are-

- **The Right to Information Act, 2005:** This Act ensures the legal right for a citizen to access the information that they want (Except issues related to national security and interest). Right to Information law not only requires governments to provide information upon request, but also impose a duty on public bodies to actively disclose, disseminate and publish, as widely as possible, the information of general public interest even before it has been requested (as per section 4(1)(b) of the Act). Thus the RTI Act is a tool through which citizens can examine, audit, review and assess the government works and decisions to

ensure that these are consistent with the principles of public interest, integrity and justice. Under the Right to Information Act, public servants can also be questioned on their conduct and thus, it makes them accountable. Right to information therefore promotes openness, transparency and accountability in administration by making the government more open to public scrutiny

- **Citizen's Charter Act:** Under the Right of Citizens for Time Bound Delivery of Goods and Services and Redressal of their Grievances Act, 2011 every public authority is required to publish a Citizens Charter specifies the category of goods supplied and services rendered by it, the time frame within which such goods shall be supplied or services be rendered; to establish information and facilitation centre for efficient and effective delivery of services and redressal of grievances.
- **Social Audit:** Social audits refer to a legally mandated process where potential and existing beneficiaries evaluate the implementation of a programme by comparing official records with ground realities. These audits were first made statutory in the 2005 Rural Employment Act. The objectives of social audits include providing accurate identification of requirements; prioritization of developmental activities as per requirements; proper utilization of funds; the conformity of the developmental activity with the stated goals and; quality of service. The involvement of people in developmental activities through social audit ensures that money is spent where it is actually needed along with reduction of wastages and corruption. It promotes integrity and a sense of community among people and leads to improved standard of governance.
- **Ombudsman:** Also known as the Lokpal and the Lokayukta, it is an anti-corruption authority constituted at the national and state levels respectively. It investigates allegations of corruption and mal-administration against public servants and is tasked with speedy redressal of public grievances. The public can directly approach the

Lokayukta with complaints of corruption, nepotism or any other form of mal- administration against any government official. A Lokayukta inquiries into allegations of corruption, misuse of authority and wrong doings of public functionaries, including the Chief Minister, Ministers and MLAs.

- **e-Governance:** The National e-Governance Plan aims at electronic delivery of all public services to citizens through common service delivery outlets. It ensures greater efficiency, transparency & reliability of such services at affordable costs to realize the basic needs of the common people.
- **AADHAAR:** It is a document that carries a 12-digit identification number provided by the Unique Identification Authority of India (UIDAI). The number acts as an evidence of address and identity of people across all parts of India. Linking their Aadhaar numbers with a host of services, including mobile SIM cards, bank accounts, the Employee Provident Fund, and a large number of welfare schemes such as Mahatma Gandhi National Rural Employment Guarantee Act, Public Distribution System, and old age pensions etc., the citizens can avail efficient delivery of public services.

Initiatives for ensuring efficient Public Service Delivery in India are-

- **Digital India Plan:** Leveraging the power of information technology brings with it the advantage of transparency and speed for the benefit of the citizens. In this regard the Government has embarked upon a time bound Digital India Plan. The Ministry of Panchayati Raj has moved into 100% e-Office platform.
- **Sevottam:** It is an administrative measure to improve the quality of public services in India. The term 'Sevottam' comes from the Hindi words 'Seva' and 'Uttam' and means excellence in service delivery. This citizen-centric approach includes the following components:

  (a) Citizen Charter and Service Standards: Citizen Charter is the document where a public sector organization declares its key services along with delivery timelines and requirements.

(b) Public Grievances: This includes the receipt, redressal and prevention of grievances.

(c) Service Delivery Enablers: This includes customer feedback, employee motivation and infrastructure development.

- Direct Benefit Transfer: It aims at 100% direct cash transfer to facilitate disbursements of government entitlements. Under this program, subsidies are directly transferred to the people through their bank accounts. Launched in January 2013, this scheme leverages the JAM (Jan Dhan, Aadhaar and Mobile) trinity to usher in greater transparency and improve targeting, eliminate wastage, reduce delays and enhance efficiency.

Initiatives which aim at achieving Equity and Inclusive Governance in India are-

- **Right to Work:** In 2005, the National Rural Employment Guarantee Act (NREGA) was enacted for implementing the provision of Right to Work. It is the largest social welfare scheme of its kind in the world that guarantees 100 days of unskilled work to every rural household whose adult members volunteer to do the work. It is an excellent example of the importance of critical linkages between governance and development.
- **Right to Education Act:** Illiteracy is the major hurdle in the way of good governance. The 86th Constitutional Amendment Act of 2002 popularly known as RTE made free and compulsory education a fundamental right for all children in the age group of 6-14 years, along with a provision for reservation of 25 percent seats in the unaided private schools for the underprivileged students.
- **Right to Food Act:** The enactment of the National Food Security Act, 2013 for wiping out hunger and malnutrition from the country, is another step to establish good governance in India. It provides a large majority of its people, the deprived and the disadvantaged, a legal right to demand food from the state.

- National Health Mission: It is another initiative undertaken with aim at increasing public spending on health and promoting equity, efficiency, quality and accountability in the public health sector.
- Ayushman Bharat: It is a National Health Protection Scheme, which will cover over 10 crore poor and vulnerable families (approximately 50 crore beneficiaries) providing coverage upto 5 lakh rupees per family per year for secondary and tertiary care hospitalization.

14.5 GOOD GOVERNANCE IN THE UNITED STATES OF AMERICA

Democratic values, transparency, responsiveness, probity, inclusiveness, accountability, accessibility, efficiency, effectiveness, respect for human rights are some core values that form the basis of American public administration and administrative thinking.

Initiatives Taken for Good Governance in the United States of America

The United States of America has given utmost importance on good governance and it has taken a number of measures in this regard. The different steps in the quest for good governance in the United States of America can listed as follows:

- **Freedom of Information:** Holding government officials accountable for their actions and that of others is crucial to democratic governance, even more so when substantial responsibility is entrusted to nonelected (administrative) personnel. This rationale underlies the need for openness in government operations, public scrutiny, and freedom of information (FOI). Freedom of Information (FOI) law was passed by the Congress and some state legislatures establishing procedures through which private citizens may gain access to a wide variety of recordsand files from government agencies. Thus Freedom of Information (FOI) law is a principal instrument for breaking down bureaucratic secrecy in American public administration. Congress passed the Freedom of Information Act (FOIA) in 1966, based on the principle that the "timely provision

of information to the American people, upon their own petition, is a requisite and proper duty of government. The law presumed a right to know, with some limitations on information to be made available (most relating to national security). The effect of this statute was to increase the potential for citizen access to a wide variety of government records and files.

- **Sunshine Laws:** Sunshine Laws are Acts passed by the Congress and by some states and localities requiring that various legislative proceedings (especially those of committees and subcommittees) and various administrative proceedings be held in public rather than behind closed doors. It serves as an important device for increasing openness and accountability.
- **Sunset Laws:** Such laws add another dimension to accountability. These are provisions in laws that governmentagencies and programs have a specific termination date. By requiring positive legislative action to renew agency mandates, there is a virtual guarantee that some examination of agency performance will take place.
- **Community Control:** They are legal requirementsthat groups affected bypolitical decisions must be represented on decisionmakingboards andcommissions. This device is mainly focused on neighborhood management of schools and delivery of other essential urban services.
- **Regularised participation of Public Interest Groups (PIGs):** Public Interest Groups(PIGs) are organized lobbying groups thatrepresent collectiveinterests, for instance,nonbusiness or labor, ininfluencing public policy.Examples of such groups are CommonCause and Greenpeace.
- **Government Performance and Results Act (GPRA) of 1993:** This was a major step towards enhancing performance management in the public sector. Commonly known as the Results Act, this 1993 Act requires federal managers to plan and measure performance in new

ways. With the full implementation of GPRA, there has been a much greater emphasis on the execution of results measurement programs (outcomes, outputs, and results) than on traditional policy analysis. This has led to "demonstration" projects in state and local governments, as well as more effective use of expenditures because ineffective programs will be either improved or terminated.

- **National Partnership for Reinventing Government (NPRG) (1997):** This effort was launched with the slogan-"America@Its Best" (which intentionally read like an e-mail address),to emphasize the commitment to greater public access through the expandeduse of electronic government, information technology (IT), and the Internet.Reform efforts focused on partnerships with twenty-nine "high-impact"federal agencies to achieve measurable goals of customer service. These "reinventionimpact centers" consisted of federal agencies that employ 1.1 millionof the 2.4 million civilian employees and have the most contact with the publicand businesses, including the Internal Revenue Service (IRS), EnvironmentalProtection Agency (EPA), Federal Aviation Administration (FAA), Foodand Drug Administration (FDA), Federal Emergency Management Agency(FEMA), Occupational Safety and Health Administration (OSHA) and SocialSecurity Administration (SSA). New technology was used to gather publiccomments on goals, to communicate directly with citizens and to distributereports from high-impact agencies on their progress toward reaching goals.
- **Customer Service Standards:**Former American President Clinton issued Executive Order 12862 in September 1993,18 mandating that all federal agencies identify their customers, find out what those customers want, and develop customer service standards and means to achieve them. The order emphasized that the quality of government services should equal or exceed the best service available in the private sector, and in order to reach that goal it described actions that needed to be taken by the agencies.



CHECK YOUR PROGRESS

Q.3: When was the Right to Information Act passed in India?

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Q.4: In which year was the Freedom of Information Act (FOIA) passed in the United States of America?

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Q.5: Write briefly about any two initiatives taken in India for ensuring transparency and accountability in Governance.

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Q.6: Write briefly about any two measures adopted in the United States of America to ensure good governance.

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14.6 e-GOVERNANCE IN INDIA

The "e" in e-Governance stands for 'electronic'. Thus, e-Governance is basically associated with carrying out the functions and achieving the results of governance through the utilization of ICT (Information and Communications Technology). While Governance relates to safeguarding the legal rights of all citizens, an equally important aspect is concerned with ensuring equitable access to public services and the benefits of economic growth to all. It also ensures government to be transparent in its dealings, accountable for its activities and faster in its responses as part of good governance. However, this would require the government to change

itself - its processes, its outlook, laws, rules and regulations and also its ways of interacting with the citizens. It would also require capacity building within the government and creation of general awareness about e-Governance among the citizens.

In India, the main thrust for e-Governance was provided by the launching of NICNET in 1987 - the national satellite-based computer network. This was followed by the launch of the District Information System of the National Informatics Centre (DISNIC) programme to computerize all district offices in the country for which free hardware and software were offered to the State Governments. NICNET was extended via the State capitals to all district headquarters by 1990. In the ensuing years, with ongoing computerization, tele-connectivity and internet connectivity, the Government of India has adopted a large number of e-Governance initiatives, both at the Union and State levels. Some of these initiatives are discussed below-

- **National e-Governance Plan (NeGP):**

  The 11th report of the Second Administrative Reforms Commission, titled "Promoting e-Governance - The Smart Way Forward", established the government's position that an expansion in e-Governmentwas necessary in India. The ARC report was submitted to the Government of India on 20 December 2008.The National e-Governance Plan was formulated by the Department of Electronics and Information Technology (DEITY) and Department of Administrative Reforms and Public Grievances (DARPG) in 2006. The NeGP aims at improving delivery of Government services to citizens and businesses with the vision- "Make all Government services accessible to the common people in their locality, through common service delivery outlets and ensure efficiency, transparency & reliability of such services at affordable costs to realise the basic needs of the common people". The Government of India approved the National e-Governance Plan (NeGP), comprising of 27 Mission Mode Projects and 8 components, on May 18, 2006. In the year 2011,

4 projects - Health, Education, PDS and Posts were introduced to make the list of 27 MMPs to 31Mission Mode Projects (MMPs). The Government has accorded approval to the vision, approach, strategy, key components, implementation methodology and management structure for NeGP. However, the approval of NeGP does not constitute financial approval(s) for all the Mission Mode Projects (MMPs) and components under it. The existing or ongoing projects in the MMP category, being implemented by various Central Ministries, States, and State Departments would be suitably augmented and enhanced to align with the objectives of NeGP. In order to promote e-Governance in a holistic manner, various policy initiatives and projects have been undertaken to develop core and support infrastructure. The major core infrastructure components are State Data Centres (SDCs), State Wide Area Networks (S.W.A.N), Common Services Centres (CSCs) and middleware gateways i.eNational e-Governance Service Delivery Gateway (NSDG), State e-Governance Service Delivery Gateway (SSDG) and Mobile e-Governance Service Delivery Gateway (MSDG). The important support components include core policies and guidelines on Security, Citizen Engagement, Social Media as well as Standards related to Metadata, Interoperability, Enterprise Architecture, Information Security etc. New initiatives include a framework for authentication, viz. e-Pramaan and G-I cloud, an initiative which will ensure benefits of cloud computing for e-Governance projects.

LET US KNOW



Cloud computing is the on-demand availability of computer system resources, especially data storage and computing power, without direct active management by the user. The term is generally used to describe data centers available to many users over the Internet. (Source: Wikipedia)

- **Direct Cash Transfer:**To facilitate disbursements of Government entitlements like MGNREGA, Social Security Pension, Handicapped Old Age Pension etc. of any Central or State Government bodies, using Aadhaar and authentication thereof as supported by UIDAI.
- **Aadhar Enabled Payment System (AEPS):** AEPS is a bank led model which allows online interoperable financial inclusion transaction through the Business correspondent of any bank using the Aadhaar authentication. This has helped in financial inclusion. The four Aadhaar enabled basic types of banking transactions are -Balance Enquiry, Cash Withdrawal, Cash Deposit, Aadhaar to Aadhaar Funds Transfer.
- **Digital India Program:** This programme has been envisaged by the Department of Electronics and Information Technology. The vision of Digital India aims to transform the country into a digitally empowered society and knowledge economy. The programme will be implemented in phases from the current year till 2018. The Digital India is transformational in nature and would ensure that Government services are available to citizens electronically. It would also bring in public accountability through mandated delivery of government's services electronically, a Unique ID and e-Pramaan based on authentic and standard based interoperable and integrated government applications and data basis. The program aims at providing digital infrastructure as a utility to every citizen as well as high-speed internet as a core utility in all gram panchayats. The overall scope of this program is "to prepare India for a knowledge future", "to make technology central to enabling change" and "to become an umbrella program covering many departments".

14.7 e-GOVERNANCE IN THE UNITED STATES OF AMERICA

The dawn of the era of e-governance in the United States of America was marked by the National Partnership for Reinventing Government (NPRG) (1997).This effort was launched with the slogan-"America@Its

Best", to emphasise the commitment to greater public access through the expandeduse of electronic government, information technology (IT), and the Internet.

However, the most important landmark in the quest for e-governance in America is the E-Government Act of 2002 which establishes in the Office of Management and Budget (OMB),an Office of Electronic Government, headed by an Administrator appointed by the American President. The Act requires the Administrator to assist the Director and Deputy Director for Management and work with the Administrator of the Office of Information and Regulatory Affairs in setting strategic direction for implementing electronic Government in the country. The Act defines "electronic Government" (E-Government) as the use by Government of web-based internet applications and other information technologies, combined with processes that implement these technologies, to: (1) enhance the access to and delivery of government information and services; and (2) bring about improvements in government operations.The Act directs the Administrator to work with offices within OMB to oversee implementation of E-Government in areas including- (1) capital planning and investment control for information technology (IT); (2) the development of enterprise architectures; (3) information security;(4) privacy; (5) access to, dissemination of, and preservation of government information; and (6) accessibility of IT for persons with disabilities.It also directs the Administrator to assist the Director by performing e-government functions, including-(1) advising on the resources required to develop and effectively administer e-government initiatives; (2) recommending changes relating to government-wide strategies and priorities for e-government; (3) providing overall leadership and direction to the executive branch on e-government; (4) promoting innovative uses of IT by agencies; (5) overseeing the distribution of funds from and ensuring appropriate administration and coordination of the E-Government Fund (established by this Act); (6) coordinating with the Administrator of General Services regarding programs undertaken by the General Services Administration (GSA) to promote e-government and the efficient use of information technologies by agencies; (7) leading the activities of the Chief

Information Officers Council (established by this Act) on behalf of the Deputy Director for Management (who shall chair the Council); (8) assisting in establishing policies which shall set the framework for Government IT standards developed by the National Institute of Standards and Technology (NIST) and promulgated by the Secretary of Commerce.

The spur of e-governance initiatives around nations today is a part of the larger mission of good governance ideal that every democratic and welfare nation seeks to achieve. Irrespective of the type and nature of processes involved in public management systems, it is an indisputable fact that IT can be effectively used as an enabling technology to enhance the performance of the administrators. With all its related components, it provides competitive advantage, financial gains, better delivery of services, besides assuring authenticity, accountability, transparency and speed to the working of administrators.



CHECK YOUR PROGRESS

Q.7: State the meaning of e-governance.

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Q.8: In which year was the National e-Governance Plan formulated?

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Q.9: Which Act establishes in the Office of Management and Budget (OMB)?

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14.8 LET US SUM UP

- Good governance as a concept in public administration is associated with efficient and effective administration in a democratic framework.It is equivalent to purposive and development oriented administration

which is committed to improvement in quality of life of the people.It is also related to the capacity of the centre of power of political and administrative system to cope up with the emerging challenges of the society.It refers to adoption of new values of governance to establish greater efficiency, legitimacy and credibility of the system.

- The main constituents or attributes of good governance are basically rule of law, accountability, decentralization of power, honesty or probity in public affairs, administrative responsiveness, social sensitivity, ethical approach or conduct, effectiveness etc.
- A number of initiatives have been taken by the Government of India to incorporate citizens' concerns as inputs in the formulation of policy as well as in the quality and reliability of services. These can be brought through various tools, including the Citizen's Charters, Right to Information, e-Governance, Citizen Report Cards and Social Audits.
- Democratic values, transparency, responsiveness, probity, inclusiveness, accountability, accessibility, efficiency, effectiveness, respect for human rights are some core values that form the basis of American public administration.
- e-Governance is basically associated with carrying out the functions and achieving the results of governance through the utilization of ICT (Information and Communications Technology).
- The Government of India has adopted a large number of e-Governance initiatives, both at the Union and State levels. Some of these initiatives are-National e-Governance Plan, Direct Cash Transfer, Aadhar Enabled Payment System, Digital India Programetc.
- The dawn of the era of e-governance in the United States of America was marked by the National Partnership for Reinventing Government (NPRG) (1997).This effort was launched with the slogan-"America@Its Best", to emphasise the commitment to greater public access through the expandeduse of electronic government, information technology (IT), and the Internet. The most important landmark in the quest for e-governance in America is the E-Government Act of 2002 which

establishes in the Office of Management and Budget (OMB), an Office of Electronic Government, headed by an Administrator appointed by the American President.



14.9 FURTHER READING

1) Fadia, B. L., &Fadia, K. (2015). *Public Administration: Administrative Theories and Concepts* (12th ed.). Agra, Uttar Pradesh: SahityaBhawan.

2) Sharma, M. P., Sadana, B. L., & Kaur, H. (2013). *Public Administration in Theory and Practice* (49th ed.). Allahabad, Uttar Pradesh: Kitab Mahal.

3) Milakovich, M. E., & Gordon, G. J. (2013). *Public Administration in America*. Boston, MA: Wadsworth/Cengage Learning.



14.10 ANSWERS TO CHECK YOUR PROGRESS

Ans to Q. No. 1: The four pillars on which the edifice of good governance rests are- ethos (of service to the citizen), ethic (honesty, integrity and transparency), equity (treating all citizens are like with empathy for the weaker sections), and efficiency (speedy and effective delivery of service without harassment and using ICT increasingly).

Ans to Q. No. 2: (i) Participation: Men, women and third gender should have a voice in decision making process, either directly or through legitimate intermediate institutions that represent their interests. Such participation is built on freedom of association and speech, as well as capacities to participate constructively.

(ii) Rule of Law: Legal frameworks should be fair and enforced impartially, particularly laws on human rights.

Ans to Q. No. 3: in 2005.

Ans to Q. No. 4: in 1966.

Ans to Q. No. 5: (i) Citizen's Charter Act: Under the Right of Citizens for Time Bound Delivery of Goods and Services and Redressal of their Grievances Act, 2011 every public authority is required to publish a Citizens Charter specifies the category of goods supplied and services rendered by it, the time frame within which such goods shall be supplied or services be rendered; to establish information and facilitation centre for efficient and effective delivery of services and redressal of grievances.

(ii) Social Audit: Social audits refer to a legally mandated process where potential and existing beneficiaries evaluate the implementation of a programme by comparing official records with ground realities. These audits were first made statutory in the 2005 Rural Employment Act. The objectives of social audits include providing accurate identification of requirements; prioritization of developmental activities as per requirements; proper utilization of funds; the conformity of the developmental activity with the stated goals and; quality of service. The involvement of people in developmental activities through social audit ensures that money is spent where it is actually needed along with reduction of wastages and corruption.

Ans to Q. No. 6: (i) Community Control: They are legal requirements that groups affected by political decisions must be represented on decision makingboards andcommissions. This device is mainly focused on neighborhood management of schools and delivery of other essential urban services.

(ii) Regularised participation of Public Interest Groups (PIGs):Public Interest Groups(PIGs) are organized lobbying groups thatrepresent collectiveinterests, for instance,nonbusiness or labor, ininfluencing public policy.Examples of such groups are CommonCause and Greenpeace.

Ans to Q. No. 7: The "e" in e-Governance stands for 'electronic'. Thus, e-Governance is basically associated with carrying out the functions and achieving the results of governance through the utilization of ICT (Information and Communications Technology).

Ans to Q. No. 8: 2006.

Ans to Q. No. 9: E-Government Act of 2002.



14.11 POSSIBLE QUESTIONS

Q. 1 : State the meaning of good governance.

Q. 2: What is the AADHAR?

Q. 3 : Discuss briefly the E-Government Act of 2002 of US.

Q. 4 : Write short notes on (a) Sunshine and Sunset laws(b) Social Audit.

Q. 5 : Explain the features of good governance.

Q. 6 : Discuss the status of E-governance in the United States of America.

Q. 7 : Discuss the practices of good governance in India with special emphasis on the E-governance initiatives.

Q. 8 : Examine good governance practices in the context of American administration.

*** ***** ***



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2. Bhattacharya, Mohit. 2007. Public Administration. Kolkata : The World Press Private Ltd.
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Name of the Paper: .....
Course Code: .....

Centre for Internal Quality Assurance (CIQA)
Krishna Kanta Handiqui State Open University
City Office: Housefed Complex, Guwahati-781006

Learner's Feedback on Course

Dear Learner,

Regarding the course as mentioned above, we would like to know your opinions and comments so as to improve the quality of self learning materials in future. Please respond to the following statements by ticking the number you feel most reflect your opinion. After completion of the additional comments, please detach the page and send/mail the same to us at the address given below.

The Director, Centre for Internal Quality Assurance, KKHandiqui State Open University
Housefed Complex, Dispur, Guwahati-781006
(E-mail id: ciqa@kkhsou.in)

1) Approximately how many hours did you spend for studying the units in the course? ☐☐☐

2) Please give your opinions (by ✓ mark) to the following items based on your reading of the block:

Sl. No.	Statements	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
I)	The SLMs of the course fulfil the learning objectives set out in the beginning of each unit					
II)	The units of the SLM could satisfy my academic needs and expectations					
III)	The Unit writers have excellent knowledge about the course contents					
IV)	Language and contents of the units were presented at a level which I could readily understand					
V)	Ample opportunity for participation in the activities provided in the units					
VI)	Used enough Illustrations (Diagrams, tables etc.) for conceptual clarity					
VII)	Quality of content is engaging, relevant, and up-to-date					
VIII)	The self check questions are very helpful					
IX)	The Possible/model questions and the answers to check my progress have benefited me a lot					

Additional Comments: *(Please feel free to provide your open comments)*

1) Which aspects of the SLM, according to you, worked well?

.....

.....

2) What sort of changes/improvements do you feel KKHSOU could implement to improve the overall quality of the SLM?

.....

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Thank you for taking the time to complete this form.