

**DIRECTORATE OF DISTANCE EDUCATION  
UNIVERSITY OF NORTH BENGAL**

**MASTER OF ARTS-POLITICAL SCIENCES  
SEMESTER -IV**

**ADMINISTRATIVE THEORY**

**ELECTIVE 404**

**BLOCK-2**

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## UNIVERSITY OF NORTH BENGAL

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## **FOREWORD**

The Self Learning Material (SLM) is written with the aim of providing simple and organized study content to all the learners. The SLMs are prepared on the framework of being mutually cohesive, internally consistent and structured as per the university's syllabi. It is a humble attempt to give glimpses of the various approaches and dimensions to the topic of study and to kindle the learner's interest to the subject

We have tried to put together information from various sources into this book that has been written in an engaging style with interesting and relevant examples. It introduces you to the insights of subject concepts and theories and presents them in a way that is easy to understand and comprehend.

We always believe in continuous improvement and would periodically update the content in the very interest of the learners. It may be added that despite enormous efforts and coordination, there is every possibility for some omission or inadequacy in few areas or topics, which would definitely be rectified in future.

We hope you enjoy learning from this book and the experience truly enrich your learning and help you to advance in your career and future endeavours.

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# **ADMINISTRATIVE THEORY**

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## **BLOCK-1**

- Unit 1: Public /Politics and Administration Organization - Meaning
- Unit 2: Nature and Typologies of Organisation
- Unit 3: Development and Growth of Administrative Theories
- Unit 4: Rationality in administration behavior: Behavioral Approach
- Unit 5: Decision making Approach
- Unit 6: Organization and Social environment Bureaucracy
- Unit 7: Organization of Concept features of Weberian construction

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# **BLOCK 2: ADMINISTRATIVE THEORY**

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## **Introduction to the Block**

Unit 8 deals with Accountability and representative bureaucracy. Bureaucracy is an instrument and a means of Public administration. But - because of its double, stable nature and expertise, it becomes a repository of history and power in the state.

Unit 9 deals with Responsibility of committed bureaucracy. The term bureaucracy refers to the body of employees in a large-scale organisation. More specifically, it refers to a body of employees in authority relationship within an organisation.

Unit 10 deals with Administrative management. In the previous unit we have discussed about the Taylor's contribution towards the scientific management approach. In this unit we will discuss the important contributors towards administrative management. While Taylor focused on shop floor management the later writers like Gulick and Urwick have focused on the organisation as a whole.

Unit 11 deals with O & M Programme Evolution. Organization is a principle of life. We seek the help of organizations to meet our day to day requirements such as to feeding, clothing, educating , entertaining, protecting etc. However, organizations are not contemporary creations

Unit 12 deals with Management information system. The unit emphasizes 'Systems Thinking;' i.e., the conceptualization of Information Systems as structured configurations of elements behaving cooperatively to dish up the information needs of an organization.

Unit 13 deals with Public Management. Public administration and management is vital to efficient running of the government. As a specialised academic field, it deals essentially with the machinery and procedures of government.

Unit 14 deals with Public Policy Analysis. Public policies are as old as governments. Whatever be the form, oligarchy, monarchy, aristocracy, tyranny, democracy etc., - whenever and wherever governments have existed, public policies have been formulated and implemented.

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# **UNIT 8: ACCOUNTABILITY AND REPRESENTATIVE BUREAUCRACY**

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## **STRUCTURE**

- 8.0 Objectives
- 8.1 Introduction
- 8.2 Accountability Bureaucracy
- 8.3 Meaning of Representative Bureaucracy
- 8.4 Why Representative Bureaucracy.
- 8.5 Situation in U.K. and U.S.A.
- 8.6 Situation in India
- 8.7 Limits to Representativeness
- 8.8 Let us sum up
- 8.9 Key Words
- 8.10 Questions for Review
- 8.11 Suggested readings and references
- 8.12 Answers to Check Your Progress

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## **8.0 OBJECTIVES**

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After this unit, we can able to know:

- To know about the Accountability Bureaucracy
- To discuss the Meaning of Representative Bureaucracy
- Why Representative Bureaucracy.
- To describe Situation in U.K. and U.S.A.
- To highlight the Situation in India
- To find put the Limits to Representativeness

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## **8.1 INTRODUCTION**

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Bureaucracy is an instrument and a means of Public administration. But - because of its double, stable nature and expertise, it becomes a repository of history and power in the state. The political executive cannot do without the help of .bureaucracy. Thexitizens have more contacts with it than with the members of the political executive, Political democracy

entails the attributes of responsiveness, responsibility and representativeness for the bureaucracy. The first two attributes have been realised, but the representativeness is difficult to realise and factors in the sociological composition and economic structure of the society underline the environment for its realisation., Bureaucracy, as an organised, systematic institution of the state as a part of the democratic, political structure, has come into existence first in the West and later in other polities. In this unit we shall discuss about the concept of representative bureaucracy.

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## **8.2 ACCOUNTABILITY BUREAUCRACY**

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### **Bureaucratic Accountability**

Let's face it; America's federal **bureaucracy**, the administrative organization that handles the day-to-day business of the government, is huge. By some estimates, it employs about four million people. Like a team of Clydesdale horses pulling a large wagon, the bureaucracy has lots of power, lots of energy, and lots of momentum. When it gets rolling, it can be hard to stop.

The bureaucracy also faces plenty of hazards as it travels along its daily routine. It can easily fall into the potholes of red tape (overly complex rules and procedures), waste, duplication, conflict, and imperialism (taking on a life of its own). To minimize such risks, the government must somehow rein in the bureaucracy, like a driver reins in a team of horses. It does so through a process called **bureaucratic accountability**, which is the ability of the government, especially the president, Congress, and the courts, to hold the bureaucracy responsible for its performance and its actions.

Let's take a closer look at this process.

### **Presidential Scrutiny**

The president has the power to rein in the bureaucracy in several ways. First off, he is authorized to appoint about 4,000 higher-level bureaucrats, including cabinet secretaries, top officials in bureaucratic agencies, and some assistants. These bureaucrats have the president to thank for their jobs, and they are often committed to his vision and goals.

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Further, the president can reorganize bureaucratic agencies and departments as he sees fit. In doing so, he can get rid of duplication (agencies doing pretty much the same thing), cut down on conflict and waste, and basically keep the bureaucracy from getting too big for its britches. One political scientist has even called reorganization the 'cod liver oil of government - an all-purpose cure for whatever ails the body politic.'

Finally, the president's **Office of Management and Budget** helps him keep a close eye on the bureaucracy. It frequently monitors and evaluates the performance of various agencies and departments, taking a close look at their efficiency, growth, budgets, and organization. Based on the Office's recommendations, the president makes decisions about budget allocations, appointments, and reorganization.

In these three ways, then - appointments, reorganization, and monitoring by the Office of Management and Budget - the president helps rein in those big bureaucratic Clydesdales and holds the bureaucracy accountable for its actions.

### **Congress Keeps an Eye on Things**

Congress places a second pair of hands on the reins and assists the president in keeping the bureaucracy out of trouble. It does so in several different ways.

1. Congress establishes bureaucratic agencies and departments and is, therefore, able to limit their numbers and functions.
2. Congress creates the bureaucratic budget and can limit how much money the bureaucracy receives.
3. Congress also appropriates funds to the bureaucracy; it only hands out so much money at a time.
4. Congress has the power to confirm the president's bureaucratic appointments, double-checking to make sure the appointee is qualified to do the job.
5. Congress puts its stamp of approval or rejection on new bureaucratic programs or shifts in focus.
6. Congress conducts investigations when the bureaucracy is accused or suspected of wrongdoing.



7. Congress can reprimand bureaucratic officials as necessary.

Along with all these ways of keeping the bureaucratic horses under control, Congress also has the ability to pass laws that affect bureaucratic procedures. The sunshine laws, for instance, require bureaucratic agencies to be open to the public by holding regular meetings. The sunset provisions, on the other hand, set expiration dates on bureaucratic programs and the agencies that implement them, making sure that no part of the bureaucracy outlives its usefulness.

Accountability is a social relationship in which an actor feels an obligation to explain and to justify his or her conducts to some significant other. A key definition of accountability is “a social relationship in which an actor feels an obligation to explain and to justify his or her conducts to some significant other” (Bovens 2010). Accountability can also be defined differently based upon social, political, cultural, and institutional conditions. In order to explain and to justify their conduct, public organizations release information about their actions to the public. Thus, accountability is often seen as “transparency” of information. This study follows the concept of accountability as managing and meeting public and other expectations for performance and for bureaucratic, legal, professional, and political responsiveness (Kearns 1996; Romzek and Dubnick 1987). In addition to definitions of the concept, a variety of accountability frameworks for understanding accountability and its relationships has developed. The majority talks about a conflicting nature of accountability to which managers have to respond. The important implication is not solving the tension inherent in the need to address conflicting expectations but rather managing to “fulfill the public’s expectations,” which provides a more “realistic picture” of today’s organizations and their environments. Romzek and Dubnick’s model is useful as a framework for understanding and to measuring accountability reflecting this implication. Their four accountability schemes are: 1. Bureaucratic/hierarchical accountability, in which administrators’ behavior is tightly controlled by superiors within an organization. Legal accountability, in which administrators’ and agencies’ behavior is closely controlled by legally empowered external

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principals, such as legislators. Professional accountability, in which technically expert administrators are expected to exercise considerable discretion, guided by shared professional norms and standards 4. Political accountability, in which administrators and agencies are expected to employ their judgment in responding directly to the expectations of the individuals or groups comprising the agency's political constituencies Koppell's (2005) concept of accountability is also helpful. Koppell operates with five dimensions of accountability in order to reflect multiple characteristics of accountability: transparency, liability, controllability, responsibility, and responsiveness. This more or less covers the comprehensive meaning of accountability mentioned by the scholars defining the concept. The five dimensions of accountability are made to accommodate Romzek and Dubnick's idea of managing the expectations and environment. The first two kinds of accountability (transparency and liability) can be thought of as foundations that underpin accountability in all of its manifestations. There is greater tension between the three substantive conceptions of accountability – controllability, responsibility, and responsiveness. Bovens et al. (2008) formulate a comparable set of perspectives on public accountability in a constitutional democratic state with the three criteria of public accountability: information, debate, and consequence. The democratic perspective stresses the importance of control by citizen's elected representatives. Secondly, the constitutional perspective aims at the prevention of corruption and abuse of power. Public accountability should withstand the constant tendency toward concentration and abuse of power. Lastly, the learning perspective should enhance government effectiveness. Public accountability provides feedback to increase effectiveness and efficiency. Theories or frameworks show that public accountability represents many dimensions of the proper functioning of the government and a democratic society.

### **Formal and Informal Accountability**

Accountability could be understood further in terms of formal and informal types, which may influence performance differently. Raelin (2011) defines formal accountability as a bureaucratic mechanism and

informal accountability as a post bureaucratic process through norms and trust. Formal accountability lies with the organizational structure and institution, while informal accountability emerges from the unofficial expectations and discretionary behaviors. This distinction is important because accountability could be either a problem or an opportunity for performance depending on the emphasis of either accountability mechanism. Since the Friedrich-Finer debate (Friedrich(1940) advocated a robust exercise of expert professional judgment/discretion; Finer (1941), by contrast, argued for obedience/responsiveness to explicit instructions.) in the 1940s, a literature discussing the impact of the internal and external(The terms “internal” and “external” are, respectively, compatible with “informal” or “implicit,” and “formal” or “explicit.”) environment over the bureaucratic behavior has developed. A number of scholars have concluded that the integration of individual practice and organizational environment is crucial in managing accountability in public organizations (Cooper 2012). Cooper (2012,p. 163) argues that the full responsibility of public managers must derive from a balance between internal and external control. Similarly, Mulgan (2000) contends that both internal and external factors should be considered as a single mechanism to understand why public servants decide and behave as they do. In short, it has become a common knowledge that public managers do not just passively respond to external pressures but they make judgments about what is the best for citizens. Bovens (2010) recently suggested two ways of thinking about accountability: as a mechanism (formal) and as a virtue (informal). This perspective summarizes effectively this architecture of accountability. Bovens argues that these are not contradictory but complementary (p. 962).As such, most students studying accountability seem to agree that the crucial theme of managing accountability is balancing between formal(responsiveness to explicit instructions or mechanism) and informal (bureaucratic professionalism and discretion or virtue) accountability.

**While the traditional perspective on bureau-cratic behavior has largely assumed that bureau- cratic decisions, outputs, and outcomes**

are determined by external political controls, the “balance” perspective mentioned above gets support.

Recent studies have demonstrated that bureaucratic values are as or even more important in explaining bureaucratic decision and behaviour than external factors and show more the role of informal.

For example, Dunn and Legge Jr. (2001) found empirically that managers in local governments identify responsibility and accountability as a combination of internal and external controls, yet internal controls are slightly stronger factors than external ones.

Reflecting this trend, the study of the significance of informal accountability in management rises to the surface (Romzek et al. 2012). Romzek et al. (2012) argue that informal dynamics are far less understood. Much literature on street-level bureaucracy also focuses on informal factors, such as organizational norms and worker attitudes, as powerful factors explaining behavior and performance.

While the traditional perspective on bureaucratic behavior has largely assumed that bureaucratic decisions, outputs, and outcomes are determined by external political controls, the “balance” perspective mentioned above gets support. Recent studies have demonstrated that bureaucratic values are as or even more important in explaining bureaucratic decision and behavior than external factors and show more the role of informal. For example, Dunn and Legge Jr. (2001) found empirically that managers in local governments identify responsibility and accountability as a combination of internal and external controls, yet internal controls are slightly stronger factors than external ones. Reflecting this trend, the study of the significance of informal accountability in management rises to the surface (Romzek et al. 2012). Romzek et al. (2012) argue that informal dynamics are far less understood. Much literature on street-level bureaucracy also focuses on informal factors, such as organizational norms and worker attitudes, as powerful factors explaining behavior and performance.

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### **8.3 MEANING OF REPRESENTATIVE BUREAUCRACY**

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As stated by political scientist Samuel Krislov, representative bureaucracy is a notion that “broad social groups should have spokesman and officeholders in administrative as well as political positions”. With this notion, representative bureaucracy is a form of representation that captures most or all aspects of a society’s population in the governing body of the state. (Krislov, Samuel. (2012). Representative Bureaucracy. Quid Pro Books)

The term representative bureaucracy is generally attributed to J. Donald Kingsley’s book titled Representative Bureaucracy that was published in 1944. In his book, Kingsley calls for a “ liberalization of social class selection for the English bureaucracy," due to the "Dominance of social, political, and economic elites within the British bureaucracy" which he claimed resulted in programs and political policy that did not meet the needs or interests of all social classes.<sup>[1]</sup> To solve this issue, Kingsley states that “representative bureaucracy is necessary because there must be at least some administrators sympathetic to the programmatic concerns of the dominant political party”. Despite criticism at the time of publication, years later, political scientist Samuel Krislov echoed Kingsley's sentiments in his book also called Representative Bureaucracy and this has been expanded upon since then by a number of scholars all over the world.

In Samuel Krislov’s book, he states that in much, if not all, of bureaucracy’s history, the perception of bureaucracy has had the identification of being entities covered in red tape and having an antagonistic approach to the public. Also with the association of these ideals heavily ingrained into the public, it is hard to think of the positive aspects of such representation. ( Krislov, Samuel. (2012). Representative Bureaucracy. Quid Pro Books)

There is some degree of disagreement over what constitutes representative bureaucracy as there is a lot of literature that exists on the subject as it has a long history. Scholars Groeneveld and Walle state that there are three dimensions of representative bureaucracy, the first is a historical one, the second is from the perspective of public administration, and the third is in literature on diversity management.

U.S. levels of government

### **Local**

At the local level different studies and surveys have been conducted to evaluate the theory of representative bureaucracy studies and surveys have been done to evaluate whether or not the employees who worked for these government agencies share values with each other across race, sex, gender, age, political ideology, as well as whether or not these employees share values with the citizenry across the same variables. The studies were done to see if these bureaucracies are truly representative of the social groups that make up their citizenry.<sup>[4]</sup> According to one survey there are great differences in the way black and white administrators and citizens view different issues. The survey found that race plays a huge role in how administrators and citizens view certain issues.<sup>[4]</sup> There are drastic differences between white and black administrators views and the views of black and white citizens. The study claims black administrators are more similar to their citizen counterparts, white administrators tended to be out of touch with the views of their citizen counterparts.<sup>[4]</sup> The study found that passive representation can lead to active representation as more individuals of diverse backgrounds work for these local agencies and represent the minorities in the community.

A study by Mark Bradbury and J. Edward Kellough found that black administrators are more likely than white administrators to take on the role as a representative of the minority black community, although they concede that this was for one local government and it is unclear whether or not this translates across racial lines to other ethnic and racial groups, on top of the fact that historical, cultural, and socioeconomic factors were not accounted for.

### **State**

Studies of state run government agencies were performed to see whether passive representation of nonwhites and women is linked to active representation, meaning whether or not having a diverse group of people working and running the agencies means that the interests of those

peoples' larger group (women, nonwhites) will translate into policy outcomes.

One of the studies suggests that to a large degree, the heads of the agencies are responsible for setting the tone for their organization, influencing the culture and agendas of the institutions, establishing the agencies' mission and purpose.<sup>[6]</sup> As they have so much influence on what the agency does, studies were done to see how different groups (race/ethnicity, sex) place importance on values or an agenda compared to others. The values that the agency heads hold regarding organizational objectives and goals are integral for them defining their jobs as state executives. The studies of 93 different state agencies found that there are differences between the attitudes and values of different ethnic groups, men, and women. Each group places different emphasis of importance on series of different characteristics of the organization. According to the studies, as a group, nonwhites placed more of an emphasis on goals of growing the organization and budget stability, and women placed greater emphasis on values pertaining to organizational proficiency.

The people with the power to appoint agency heads and senior administrative positions can have a direct effect on the direction an agency is taken in under its head.

### **Federal**

The United States federal bureaucracy is broadly representative of the American people in terms of age, income, education, and the income of the father (used as a variable because it is a good predictor of where one will end up in life). When looking at the civil service from a view of positions held, the bureaucracy becomes less representative. Most decisions are made at the senior and upper levels, so the unrepresentative nature of the elites of the federal government could be grounds to dismiss the idea that the U.S. federal bureaucracy is representative. As one moves through the ranks of the federal bureaucracy one finds that it becomes less and less representative as the positions get higher. From the positions of GS1-GS4 the bureaucracy is fairly representative however from the positions of GS5 - GS14 and above the bureaucracy is significantly unrepresentative. The percentage of nonwhites decreases as

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one ascends the bureaucratic hierarchy, the same can be said for women. 40% of the American civil service are women and 75% of lower level positions are filled by women, with only 3% of women holding high civil service jobs. Compared to the U.K., Denmark, France, Turkey, and India, the U.S. is the most representative overall and is the best at representing the middle status occupations of countries surveyed.

In *Bureaucracy and Constitutionalism* by Norton Long, he contends that the American civil service is representative enough to make up for the fact that the political branches of government are not representative.<sup>[11]</sup> A study by Kenneth Meier agrees that the civil service is the most representative branch of the U.S. government followed by the military, political executives, and lastly the foreign service. Meier indicates that Long's proposal is only weakly supported, as the bureaucracies are not representative at the decision making level. Meier states this is far from a conclusive study.

### **Bureaucratic representation**

Bureaucratic representation is when it is expected that public administrator and government officials in a bureaucracy represent and conduct duties that are of concern for the interest of the individuals and groups they represent and serve. Studies have shown that there are an endless list of variables linking active and passive representation such as class, race, gender, ethnicity, as well as cultural traits such as language and religion. A number of studies have demonstrated a possible linkage between active and passive representation. Active representation is a process while passive representation is a characteristic. The possible linkage between active and passive is one that is complex and perplexing.

### **Active**

Active representation is a function that concludes represented groups benefit from representative bureaucracies. Most active representation is concerned with how representation influence policymakers and implementation and assumes that bureaucrats will act purposely on behalf of their counterparts in the general population. An example being,



women and men working beside one another within a bureaucracy, women are more likely to actively promote issues and agendas that benefit women in the general population. Potential barriers to active representation are peer pressures that appear within work environments as well as social ones. The pressures placed on bureaucratic of a primary group to conform are notorious within any environment.

### **Passive**

Representative bureaucracy in the passive sense is the degree to which the social characteristics of the bureaucracy reflect the social characteristics of the populations the bureaucracy serves. Studies of passive representation examine whether the composition of bureaucracies mirror the demographic composition of the general population. Passive representation exists when bureaucracy's demographic characteristics demonstrate the demographic characteristics of the population.

Effects on society

### **Positive**

- Representative bureaucracy has been proven to help build relationships between employees and their respectable employers. Studies show that people tend to relate more to those who share similar characteristics with. These characteristics include but are not limited to: demographic, age, ethnicity, and socioeconomic status. When representative bureaucracy is utilized, this enables relationships to flourish due to the attempt of even representation of all the previously listed characteristics. In government programs, officials are thought to favor those they can relate to and discriminate others. This can discourage certain ethnicity from applying or receiving benefits. Representative bureaucracy helps to prevent this by providing checks and balances that prevent the favoritism. Representative bureaucracy helps to prevent the bias that is associated with benefits/programming. Although laws do not allow for discrimination, people often subconsciously favor people that resemble them.

### Negative

Some criticisms that are associated with representative bureaucracy are:

- Representative bureaucracy may be too focused on representation instead of productivity. A focus on if everyone is equally represented could lead to a lack of quality out of fear of not being able to achieve equal representation.
- Scholars believe that focusing solely on representation of all people could lead to an easier platform for racism. This focus has a potential to create more hate between ethnicity.

### Law enforcement

- Gender representation in police departments can influence an individual's ability to determine an agency's performance.<sup>[17]</sup> A study conducted at Rutgers University determined that the active representation of female officers positively influenced agency performance, job performance, trustworthiness, and fairness of the agency. Citizens are thus able to be more likely to be cooperative in the conduction of public safety outcomes. Within the domestic violence unit (DVU), a significant change in citizen behavior was seen towards the agency ability to execute and deliver public safety measures. Although there is no difference for male and female agents in filing reports and pursuing suspects, the "...character of the bureaucrat may nonetheless change encourage the client to actively solicit his or her services.." in a more effective manner.
- Women play an integral role with discretion, implementation, and the enforcement of policies specifically in regards to sexual assault policies. As law enforcement agents are considered street-level bureaucrats, their need to "...exercise discretion, their attitudes, values, and predispositions..." make policy implementation an integral process. The representation of women and minorities within bureaucratic agencies, specifically law enforcement, make immediate positive changes in regards to their targeted demographic groups.
- Studies have shown that racial representation has little effect with street level bureaucrats.

**Education**

- Research conducted at the University of Kansas investigated the “...impact of minority bureaucratic and political representation on the distribution of disciplinary measures in public schools...” as compared to students within gifted and talented programs.
- Educational institutions are inherently bureaucratic in function and deal with issues regarding a discrepancy in disciplinary action and gifted and talented placement with minorities.
- There is a noticeable difference within gifted and talented school programs about the lack of student representation. Oftentimes educators look over minorities or low-income students and request gifted and talented testing for Caucasian and Asian students. Selection for this program is not contingent upon one teacher, but rather higher up school administrators. In this case, a call for minority administrator representation within educational institutions would be more effective than minority teacher placement.
- Representative bureaucracy within education also focuses on teacher representation. Studies show that having “...a greater presence of black teachers does yield more beneficial outcomes for minority students...” due to the fact that teaching consists of two distinct roles. The first being an allotment of education and second being the execution of discipline.

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**8.4 WHY REPRESENTATIVE BUREAUCRACY.**

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As is widely understood, the theory of representative bureaucracy suggests that diversity within the public workforce, especially in terms of characteristics such as race and ethnicity, will help to ensure that the interests of diverse groups are represented in policy formulation and implementation processes. (1) Stated more formally, the theory holds that "passive representation, or the extent to which a bureaucracy employs people of diverse demographic backgrounds, will lead to active representation, or the pursuit of policies reflecting the interests and

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desires of those people" (Selden 1997b, 5; see also Krislov 1967; Krislov and Rosenbloom 1981; Mosher 1968). (2) This connection occurs, according to the theory, because the demographic and social backgrounds of individual bureaucrats influence their socialization experiences and the development of attitudes, values, and opinions that ultimately affect their decisions on policy issues (Meier 1993b; Saltzstein 1979). As a result, the theory suggests that when the bureaucracy is representative of the public, policy decisions will, in general, be broadly reflective of the public interest. (3) An important group of empirical studies has confirmed the linkage between passive and active representation (see Hinderer 1993a, 1993b; Keiser et al. 2002; Meier 1993a; Meier and Stewart 1992; Selden 1997b), but this research has necessarily been limited to the examination of contexts where (1) minority interests are known or can be inferred, (2) specific minority decision makers can be identified, and (3) decisions on issues relevant to minority interests can be isolated and linked back to particular decision makers. Because of these limitations, the full extent of active representation may be greater than that revealed by earlier work. An absence of identifiable policy outcomes favoring minority interests, for example, does not necessarily mean that active representation did not occur. It may have taken place but was unsuccessful. It may also be the case that active representation produces outcomes that are not easily observed or have impacted a particular policy area by altering the terms of debate or discussion rather than producing immediate and tangible effects. The present study seeks to build on earlier research, therefore, by looking for bureaucratic attitudes consistent with active representation rather than seeking evidence of policy outcomes in line with the interests of specific groups. Our focus, therefore, is on assessing the potential for active representation. In conducting this work, we examine the idea of a "minority representative role," introduced into the representative bureaucracy literature by Selden (1997b). This concept refers to the willingness of bureaucrats to see themselves as advocates for, or representatives of, minority interests. Selden (1997b, 140) found that administrators who adhered to that role were more likely than others to make decisions consistent with interests of the minority community.

Selden also demonstrated that while minority racial or ethnic status was an important determinant of minority representative role adherence, nonminority bureaucrats also often shared that role perception. Indeed, Selden (1997b) and Selden, Brudney, and Kellough (1998) found that it was a bureaucrat's adoption of the minority representative role, rather than race or ethnicity itself, which directly produces the active representation of minority interests. In our research, we first examine the connection between the race of individual bureaucrats and attitude congruence with African-American citizens and then explore the link between such attitude congruence and the extent to which bureaucrats view themselves as representatives of African-American interests. Evidence of these connections allow for a fuller elaboration of the linkages between passive and active representation.

### **REPRESENTATIVE BUREAUCRACY AND ACTIVE REPRESENTATION**

In some of the earliest empirical work to explore the connection between passive and active representation, Meier and Stewart (1992) and Meier (1993a) found that the presence of minority public school teachers was positively associated with constructive educational outcomes for minority students. Meier (1993a, 411) focused specifically on the ability of Latino teachers to represent the interests of Latino students and found strong support for the idea that passive representation did indeed lead to active representation. In other work, Hinderer (1993a, 1993b) examined the effects of the passive representation of African-Americans in Regional Offices of the Equal Employment Opportunity Commission (EEOC) on the percentage of total charges filed on behalf of African-American employees or applicants in those regions. Hinderer (1993b) found that charges benefiting African-Americans were filed more frequently as the percentage of African-American investigators employed within the Regional Offices increased. A more recent analysis of the EEOC, however, revealed that the introduction of new goals and priorities led to a decline in the extent of active representation of African-Americans (Meier, Pennington, and Eller 2005). In her study of the US Department of Agriculture's Farmers Home Administration,

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Selden (1997b, 139) concluded that the passive representation of African-Americans, Hispanics, and Asians positively influenced the allocation of loans favoring those groups in the Farmers Home Administration's Rural Housing Loans program. Selden (1997a, 36) asserted that such findings are "particularly important because active representation is found in an agency whose primary mission does not emphasize minority issues, that historically has employed low percentages of minorities, and that has implemented policies that have adversely affected minorities." In addition, as noted earlier, Selden (1997b) also concluded that attitudes, beliefs, and values lead, for some public administrators, to the formation of a "minority representative role perception" that, in turn, leads to the formation of decisions consistent with minority interests. Selden found that "administrators who perceive their role as that of an advocate or representative of minority interests are more likely to make decisions that benefit the minority community" (140). Selden further demonstrated that while minority racial status was an important determinant of the minority representative role, non-minority bureaucrats also often shared that role perception. In related work, Selden, Brudney, and Kellough (1998, 717) reported that "race, education, age, party identification, years employed by the federal government, and perceived work obligations" collectively affect the likelihood that administrators will view themselves as representatives of minority concerns, and as was observed previously, it is the adoption of the minority representative role, rather than race or ethnicity itself, which explains the active representation of minority interests.

More recently, Wilkins and Keiser (2006) found evidence of the passive-active link in child support enforcement for women. Similarly, Meier and Nicholson-Crotty (2006) found that the percentage of women in local law enforcement is positively related to the number of reports and arrests for sexual assault. Interestingly, however, Wilkins and Williams (2005) concluded that a higher percentage of African-American police officers led to an increase in racial profiling of African-American citizens. Thus, passive representation may affect policy outcomes but not always in the expected direction (see Andrews et al. 2005; Pitts 2005). In general, all the research finding evidence of active representation of minority

interests assumes the presence of minority administrator attitudes consistent with those of minorities in the general population. But to date, only a relatively small number of unique organizations have been examined, and the work is necessarily conducted within specific, narrowly defined circumstances described above. It seems likely, however, that active representation, in the sense of minority public administrators "press[ing] for the interests and desires of those whom they are presumed to represent" (Mosher 1968, 12), could be more common than current research suggests. An examination of the extent to which minority administrators exhibit attitudes, values, or beliefs congruent with those of minority citizens should help us to understand this possibility. Specifically, we shall be interested in observing whether the attitudes, values, and beliefs of African-American administrators are congruent with those of African-American citizens.

### **THE POTENTIAL FOR ACTIVE REPRESENTATION**

As we have observed, theory suggests that administrative attitudes consistent with those of minorities in the population and adherence to a minority representative role are important and necessary preconditions for active representation by minority bureaucrats. Only a limited amount of work has examined bureaucratic values as a precursor to active representation, however, and much of that is now 30 years old. Given the fact that values may shift over time, it is important that we continue to reexamine the degree to which key differences between minority and nonminority public administrators are present on a range of salient issues and whether congruence on those same issues exists between minority bureaucrats and minority citizens. In the 1970s, work by a few scholars documented a significant amount of attitude congruence between minority public administrators and minorities in the population on issues directly related to minority interests, and major differences of opinion were found between minority and non-minority administrators. For example, Thompson (1976) found substantial differences by race on support for affirmative action programs, with minority group members, both in the population generally and among administrators, more supportive than whites. Similarly, Thompson (1978, 342) concluded that

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while most social characteristics of public personnel administrators were poor predictors of "how receptive to hiring minorities a civil servant will be," both minorities and women were significantly more receptive to hiring minorities than non-minority men.

In other work, Rosenbloom and Kinnard (1977, 38) explored the attitudes of high-ranking personnel at the Department of Defense on "the extent to which they felt a responsibility toward and sought to aid minority group members in obtaining placements with the federal bureaucracy." Again, significant attitude differences were found for different racial groups, with minority administrators being more supportive than nonminority administrators, but attitudes were also influenced by such factors as age, seniority, education, and position. In another study, Rosenbloom and Featherstonhaugh (1977) directly compared the attitudes of federal administrators and citizens on several measures of political participation. They found that, regardless of organizational position, African-American administrators held significantly different attitudes than white administrators, but when compared to the attitudes of whites, African-American bureaucrats and African-American citizens tended to hold similar views. Their analysis "strongly suggests that passive bureaucratic representation can serve as a prerequisite for greater active representation" (879). More recently, Dolan (2002) found that women and men differed significantly in their opinions regarding government spending priorities on a variety of social programs. These differences were present between men and women in the general population and between men and women in the federal Senior Executive Service (SES). In addition, the preferences of SES women were consistent with those of women in the general population, suggesting that organizational socialization had not eroded the potential for women in high-level positions to act as representatives of women generally. It would be useful to continue this line of inquiry. No studies on attitude congruence have been conducted at the local level where, arguably, public officials interact more closely with the people. In addition, the significance of individual attitudes and values may, as mentioned earlier, derive from the fact that they lead some administrators to adopt a minority representative role that makes them more likely than



other public servants to press for the interests of minority communities (Selden 1997a, 1997b; Selden, Brudney, and Kellough 1998). This idea is consistent with Herbert's (1974) argument that minority administrators feel a sense of responsibility and pressure to adopt an administrative orientation that serves minority communities. (4) It would be helpful, therefore, to also look for the presence of the minority representative role as an indicator of the potential for active representation in local government.

**Check Your Progress 1**

Note: a) Use the space provided for your answer

b) Check your answers with those provided at the end of the unit

1. How do you know about the Accountability Bureaucracy?

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2. Discuss the Meaning of Representative Bureaucracy.

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3. Why do you need for Representative Bureaucracy?

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**8.5 SITUATION IN U.K. AND U.S.A.**

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**Situation in U.K**

The social composition of the administrative class in Britain is elitist though the working class and lower middle class entrants to it have increased in number with the spread of higher education among them. Philosopher Bertrand Russel, therefore, wrote about the public school as the "appropriate educational instrumental' of the ruling oligarchy. But the progressive diffusion effect of the Education Act of 1944 is now in evidence in the pupils of the working classes receiving university

## Notes

education in growing numbers. Some of the recent university graduate, from working classes are now entering the higher civil service through open competition, besides being promoted from subordinate grades. It is true that during the post-war years even scholars of working class origin were educated at these prized universities with the help of state scholarships. The scholars from other universities also failed to appear at the competitive examinations either because their courses did not equip them for this as well as Oxford students or they felt less confident at the interview in the competitive examination. An analysis of the applicants for appointment as administrative trainees in the 1971-75 periods has shown that a fifth of all applicants but half of the successful applicants possessed Oxbridge degrees. To an extent, the Oxbridge lead in the open competition to the administrative class does imply denial of representation to the other universities and their students in the most prestigious civil service of Great Britain. In 1966, a significant component of the total membership of the administrative class to the extent of 40% were promoted from lower ranks, compared with only 13% of the permanent secretaries and deputy secretaries. This factor of the situation has also somewhat lessened the elitist heights of the administrative class in Britain. In Britain the representativeness of bureaucracy or higher civil service is affected or reduced by two factors :

- (i) Predominance in the higher civil service of the honours - graduates of the universities of Oxford and Cambridge (of Oxford after the Second World War) among whom there is a large percentage of students from select public schools, to the neglect of honours graduates from other British Universities.
- (ii) Over representation of the upper and higher middle classes in the higher civil service in comparison with their proportion in the country's working population resulting in the under representation of the lower social strata of the population.

### **Situation in U.S.A**

Even in the United States of America with its more egalitarian educational system the bureaucracy is not representative. In U.S.A.

Public Administration, at three levels\* Federal, State and Local, have not been as attractive as the jobs in the private-sector. Self-employment in business, industry, shopkeeping and independent professions has also been favoured as being in keeping with the independent spirit of the Americans. Further, a unified career civil service in U.S.A. is of recent origin, and even now it engages a very small percentage of the total number of middle level jobs in Public Administration. Specialist and technical jobs in Public Administration are in majority, and officials holding these frequently move in and out. In Britain and U.S.A. there is under-representation of the manual workers in public administrative higher level services in comparison with their share in the total working population of the country.

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## **8.6 SITUATION IN INDIA**

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The researches conducted on the sociological profiles of the higher civil services, particularly the Indian Administrative Service, are very few. But by and large, these studies have brought out that the higher civil services-generalist as well as specialist-contain a large representation of upper castes, higher income level families and urban dwellers. The lower castes and classes, and rural dwellers are represented in them in smaller numbers. The principal reasons are three. Firstly, the spread of higher education among the lower castes and classes is slow, although after independence it has picked up in extent and pace. Secondly, the proportions of drop-outs from primary to secondary, and from secondary to university level have still been high mainly due to economic reasons. Thirdly, the minimum educational standard for eligibility for the competitive examinations at the higher services is graduation. But the preparation for the competitive examination takes couple of years more after the passing of the first graduation: B.A., B.Sc., B.Com. etc. Several concessions have been given to the scheduled castes and tribes by the central and state governments. The normal age of recruitment for various services is relaxed by a few years in favour of these weaker sections. Application and examination fees are exempted for them. Migration Certificate is issued to the SC/ST persons irrespective of whether the

state to which they have migrated has or has not recognized their caste as scheduled. Coaching classes have been set up by government and universities at various places in the count to prepare the candidates of these sections for appearing at the competitive examinations conducted by the union and state governments, nationalized banks and other public authorities. Scholarships are liberally granted to the candidates of these communities to enable them to avail the coaching provided at these classes. Arrangements have been made for orientation/appreciation training for their knowledge of the safeguards in regard to recruitment prescribed by various governments. Inservice training is also imparted to them for the improvement of their efficiency in service. Machinery has been set up for the redressal of their grievances in these respects. The Commission for Scheduled Castes and Scheduled Tribes set up by the Government of India in 1978 has established field officers to investigate into and report the status in this regard all over the country. These field offices have been authorized to establish contacts with the various government departments and agencies to ensure the observance of the reservation and other safeguards, concessions and facilities by them in regard to services, social, economic and legal treatment and execution of development schemes and programs.

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## **8.7 LIMITS TO REPRESENTATIVENESS**

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Though in principle the plea for representative bureaucracy has been accepted, a number of practical difficulties stand in way of its realization. The Generalist service personnel are selected on the basis of educational qualification, say a bachelor's degree of a university, and within an age limit preferable at a young age of twenties. For specialist services, requisite specialist, i.e., technical, professional or scientific, qualifications are necessary. In cases of senior posts, experience in respective areas, say engineering, statistics, computer programming, etc., is called for. The members of the lower classes in society are not in a position to receive university education, mostly because their parents/guardians cannot afford to send their children/wives to the colleges/universities. In some cases the drop-out of pupils belonging to backward sections is due to age-old social and cultural backwardness. In

reskct of specialist posts it is still more difficult for the socially and economically backward sectib;ns to compete because they have not been able to receive specialist degrees, as for example in engineering, medicine, agronomy, etc. If they could not receive specialist degrees, acquiring experience in such specialist positions is not possible for them. The government se,wice requires skills and training,different from those needed by the society. Chester Bernard, for example, has argued that the introduction of technological innovation requires managerial capability. Managerial functions are not routine and cannot be undertaken by anyone. It needs the ability to act under pressure, and officials must assume responsibility under conditions of risk. These skills are not developed in the society. The administrators also require greater training in the specialised functions like the police or public enterprises or welfare programmes, etc. It also requires special qualities and attributes like possessing prescribed height which is a pre-requisite for police service., These skills and attributes are important to carry out the assigned tasks which put limits on the representativeness of bureaucracy. The governments may make 'adjustments and give relaxation in these skitls and attributes, but one has to acdept that limits exist in a bure'aucracy qnd total representativeness is not possible. rn a plural society, the representative bureaucracy will have adverse consequences. Insistence on representation of different social, ethnic or geographical groups is but an invitation to parochial and narrow mindedness.

The bureaucracy in such a case woblđ ' represents devisive forces than becoming a homogeneous and integrated system. Again, merit bureaucracy is the result of limitations in the recruitment based on ascriptive # considerations. If bureaucracy is to be representative it is an invitation to ascriptive groups which undermine rationality and logic on which the present system of merit bureaucracy is based. Bureaucracy is dased on professionalism, rationality and homogeneity. Introducing representativeness is 'to introduce heterogeneity into the bureaucratic system. Thus representative bureaucracy, by definition, becomes a contradicți6n in terms. Representative bureaucracy is a concept associated with the realisation of the political ideal of representative democracy. In both the popular democracies of the world polity, Britain

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which is the mother of parliamentary democracy and the United States of America which is the largest democracy in terms of geographical extent, the concept of, representative bureaucracy is not fully realised. Even in the Soviet Union, marked for the extension of economic and social equality, the ideal, of representative buteaucracy has not been fully realised. The realisation of economic and social equality among individuals in society in a political system would not wipe out varying intellectual abilities and mental aptitudes of different persons, arnonR the aspirants for.the administrative positions at various levels of government and administration. In,a counuy like India and tribal communities an secluded from the kivilissd gtmnts of the political community, resulting in their cultural, social, economic and educational backwadness.

Along with the attribute of npnsenrlng the material aspirations of the society, the burnewracy has to be efficient and effective in the performance of its varied functions towards the different sections and strata of the society. The efficient and effectne performance of administrative functions requires selection of bureaucracy on the basis of merit and aptitude. This also brings in another constraint on the full realisation of the concept of representative bureaucracy.

### Check Your Progress 2

Note: a) Use the space provided for your answer

b) Check your answers with those provided at the end of the unit

1. Describe Situation in U.K. and U.S.A.

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2. Highlight the Situation in India.

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3. How do you find out the Limits to Representativeness?

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## 8.8 LET US SUM UP

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Since few studies have been conducted to examine the role of accountability in a relationship with other public values or objectives, the effect of accountability on performance remains to be explored. In order to go beyond the inherent circumstances –the competing nature of accountability –discussed above, Acar et al.(2008) argue that “the accountability-performance link may have something to do with how man-agers respond to accountability pressures and transform the pressures into management strategies”(p. 17, emphasis added). This perspective supports the increased attention to accountability (Hwang 2016; Hwang and Han 2017).The increased focus on accountability as an independent variable and relationship with performance is attributable to the transition of accountability studies. The discussion of account-ability has been changed from the traditional con-cept of control, which is simply giving an accountafter the event, to the concept of strategic respon-siveness. As Forrer et al. (2010) posit, publicaccountability historically has been largely about“control”because representation is up to electedrepresentatives (such as members of the legisla-ture or the president) to ensure that administratorsserve the needs of the people (p. 477). However,“control”is too strong a term for the accountabil-ity relationship when the bureaucracy has becomean important component of good governance asthe administrative state developed. Better under-standing on the relationship between accountabil-ity and performance is imperative in the field ofpublic administration in order to manage thediverse expectations and respond to constituents.

The theory of representative bureaucracy suggests that a public workforce representative of the people in terms of race, ethnicity, and sex will help ensure that the interests of all groups are considered in bureaucratic decision-making processes. The theory posits that the active representation of group interests occurs because individual bureaucrats reflect the views of those who share their demographic backgrounds.

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Research in the public administration literature, however, includes only a relatively small number of studies providing evidence consistent with active representation. In addition, that literature is, for the most part, composed of studies that are conducted at an organizational level, making it impossible for us to draw inferences about the behavior of individual bureaucrats without committing an ecological fallacy. Researchers in the field of criminal justice studies, on the other hand, have long tested the relationship between workforce demography and government outcomes and have done so at the individual level and in contexts that allow confidence that the outcomes observed are indeed the product of action by minority or female public servants. Those studies are reviewed, and their findings provide the first definitive evidence of a connection between the presence of diversity in the public workforce and the representation of minority interests.

Representative bureaucracy makes a modest contribution to the stability of the political institutions by ensuring that the general feeling and interests of all groups are taken into consideration by the bureaucracy while formulating policies and implementing them. But the fact that bureaucratic responsiveness to the public is influenced less by the representative character and more by other factors should not be overlooked. What is important is that bureaucracy should be responsive, responsible and efficient in every country, more so in developing countries regardless of whether it is representative or not. There are two important assumptions behind the concept of representative bureaucracy. Firstly, every group has equal political rights in accordance with their proportion. Secondly, civil servants carry the attitudes and prejudices of their class into the bureaucratic positions. But both the assumptions are questionable. Firstly, in no society is political power equally shared by all groups. Similarly the behavioural patterns of individual civil servants are not found merely based on his location in a social group. Behaviour, it is generally agreed, is shaped by the dominant influences like experience, education, socialisation, etc. This is evident from what V. Subramaniarn says on the subject: "We are familiar with aristocrats and rich heirs who have passionate sympathy for the working class. On the other hand, the proportion of deviants among' the members of the lower



classes who work their way up is held by many observers to be high ..... It has been suggested that the men who climb out of the lower classes, the upward-mobiles, ' under present conditions anyway, shed their class sympathies either at the beginning of the climb itself or halfway through. The proven existence of deviants from class norms and the probability of their high proportion among recruits from the lower classes shake the foundations of the basic argument for representative bureaucracy."

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## 8.9 KEY WORDS

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**Accountability:** In ethics and governance, accountability is answerability, blameworthiness, liability, and the expectation of account-giving. As an aspect of governance, it has been central to discussions related to problems in the public sector, nonprofit and private and individual contexts.

**Representative:** Representative democracy is a type of democracy founded on the principle of elected officials representing a group of people, as opposed to direct democracy.

**Egalitarian:** Upholding the doctrine of the equality of mankind

**Elite:** The most powerful, rich or gifted members of a group, community etc.

**Oligarchy:** Government by a small group of people

**Plural Society:** A society having groups of distinct ethnic origin, Cultural forms, religion etc.

**Repository:** Place where things are stored or may be found

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## 8.10 QUESTIONS FOR REVIEW

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1. How do you know about the Accountability Bureaucracy?
2. Discuss the Meaning of Representative Bureaucracy.
3. Why do you need for Representative Bureaucracy?
4. Describe Situation in U.K. and U.S.A.
5. Highlight the Situation in India.
6. How do you find out the Limits to Representativeness?

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## 8.11 SUGGESTED READINGS AND REFERENCES

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## 8.12 ANSWERS TO CHECK YOUR PROGRESS

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### Check Your Progress 1

1. See Section 8.2
2. See Section 8.3
3. See Section 8.4

### Check Your Progress 2

1. See Section 8.5
2. See Section 8.6
3. See Section 8.7

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# **UNIT 9: RESPONSIBILITY OF COMMITTED BUREAUCRACY**

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## **STRUCTURE**

- 9.0 Objectives
- 9.1 Introduction
- 9.2 Expanding Role of the State and Bureaucracy
- 9.3 Role of Bureaucracy in Policy Formulation
- 9.4 Role of Bureaucracy in Policy Implementation
- 9.5 Review of the Projects and Programs
- 9.6 Problems of Bureaucratization
- 9.7 Let us sum up
- 9.8 Key Words
- 9.9 Questions for Review
- 9.10 Suggested readings and references
- 9.11 Answers to Check Your Progress

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## **9.0 OBJECTIVES**

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After this unit, we can able to know:

- To Expanding Role of the State and Bureaucracy
- To know about the Role of Bureaucracy in Policy Formulation
- To discuss the Role of Bureaucracy in Policy Implementation
- To discuss the Review of the Projects and Programs
- To find out if any Problems of Bureaucratization

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## **9.1 INTRODUCTION**

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The term bureaucracy refers to the body of employees in a large-scale organisation. More specifically, it refers to a body of employees in authority relationship within an organisation. Thus every large business organisation has its bureaucracy; in the government there are civil and military bureaucracies. In the literature of Public Administration, the term civil bureaucracy has a wider connotation than the term civil service. Thus, while employees of autonomous corporations are not

counted among civil servants, they are said to belong to the bureaucracy. It is notable that the bureaucracy does not include elected politicians: it consists only of appointed employees. In common usage, the term bureaucracy is sometimes also used to refer to routine and delay in official work. However, in the study of Public Administration, while routine and delay are taken into account, the term bureaucracy is used to refer only to appointed officials. The term development is generally used to refer to economic, political and social changes such as increase in national income, industrialisation, strengthening of the nation state, urbanisation, spread of education and wider use of mass media such as newspapers, radio and television. The bureaucracy, both governmental and business, participates in bringing about these changes and, so, is said to be an important instrument of development. However, there is a big debate about this conception of development, and hence about the role of the bureaucracy. Thus, Mahatma Gandhi maintains that such development, modelled on Western Civilisation, accentuates selfishness and violence, leads to concentration of power and wealth, and puts emphasis on material needs instead of spiritual development. His ideal society would, therefore, do away with all concentration of power and wealth, and hence also with bureaucracy. Karl Marx is also opposed to concentration of power and wealth. In his view, this concentration reaches its maximum in capitalist society; the supersession of capitalism would in the course of time, do away with the bureaucracy also. Max Weber maintains that the bureaucracy is an efficient instrument for implementing policies of state. But it is also a source of alienation in the society. We thus, note that both, the conception of development and the role of bureaucracy, are highly controversial matters. In studying the role of the bureaucracy in development, therefore, we should be careful to note.

The federal bureaucracy performs three primary tasks in government: implementation, administration, and regulation.

When Congress passes a law, it sets down guidelines to carry out the new policies. Actually putting these policies into practice is known as implementation. Often, policy directives are not clearly defined, and bureaucrats must interpret the meaning of the law. The bureaucracy often

has some flexibility, known as administrative discretion, in actual implementation.

The routine of bureaucracy — collecting fees, issuing permits, giving tests, and so on — is the administration of its defined purpose.

The federal bureaucracy makes regulations (the rules by which federal and state programs operate) through an administrative process known as rule making. Regulations can be challenged in court, and they are not put into effect until the legal issues are resolved.

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## **9.2 EXPANDING ROLE OF THE STATE AND BUREAUCRACY**

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The people in developing societies suffer from a number of problems, such as poverty, unemployment, bad health, illiteracy, corruption and authoritarianism. The state is considered to be the main agency for dealing with these, or, in other words, for bringing about development. Hence the state has to shoulder more and more responsibility. Since the state functions through the government, and the government, in turn depends to a large extent upon the bureaucracy, the bureaucracy's role also keeps expanding. We shall briefly examine the contribution of bureaucracy in the various aspects of development.

### i) Role of Bureaucracy in Economic

Development In the eighteenth and nineteenth centuries it was believed that the state should restrict itself to the country's defence and the maintenance of law and order, and that it should intervene in the economy as little as possible. This view changed, particularly after the Great Depression of the 1930s, in which millions of people became unemployed the world over. Nowadays, all governments are expected to regulate the economy so as to bring about an increase in production, a high level of employment, moderate prices of commodities, and check over monopolies and unhealthy trade practices. The need for such regulation of the economy is all the more at in developing countries like India due to widespread poverty and unemployment on the one hand, and the great power of monopolists on the other. The government regulates the economy through fiscal policies (by modulating taxes), and monetary

policies (by modulating money supply). Planning, which means resource allocation through a centralised administrative process, is resorted to for achieving economic growth. The government develops means of transport and communication. It provides loans and raw materials to industrialists and farmers. All these governmental activities are performed by government departments, nationalised banks and other public undertakings through their officials. Hence the bureaucracy has a very important new role, namely that of functioning as the agent of economic development. More and more economists, statisticians and trained managers are needed for the proper performance of this role.

### ii) The Role of Bureaucracy in the Welfare State

In recent times there has been a tendency for entrusting the state with more and more responsibility for social services, such as the provision of education, health care, employment, labour welfare, the welfare of the blind and other handicapped persons, and the welfare of widows and orphans. So much importance is attached to these new functions that the state has been renamed as the welfare state. The provision of such varied social services requires large numbers of different types of specialists, such as teachers, doctors, nurses, labour officers and social workers. With their recruitment as members of the bureaucracy, the nature of the bureaucracy tends to change: the new role requires a new kind of bureaucracy.

### iii) The State and Bureaucracy as Agents of Social Change

In old days prophets and saints like Gautam Buddha, Jesus Christ, Guru Nanak and Swami Dayanand called for changing various social practices, norms and rituals. Nowadays, however, many such changes are sought to be brought about with the help of laws. Thus, untouchability, bigamy, child marriage and dowry system have been declared illegal.

### iv) The State and Bureaucracy as Agents of Political Development

The emotional bonds of nationalism are often weak in new nations. However, unless these bonds are strengthened, the nation is in danger of falling apart, as happened, for example, in Pakistan from which

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Bangladesh broke away. The state and its bureaucracy play an important part in strengthening these emotional bonds. Thus national integration is sought to be promoted through education, radio and television programmes development of native languages, publication of good quality literature in native languages, cultural and sports activities in which persons from all parts of the nation participate, and so on. These programmes are often conducted by members of the bureaucracy.

In a country where the national bonds are weak, having a bureaucracy which is centrally recruited and whose members serve in different parts of the country, also helps to hold the nation together. Political development is also promoted by strengthening interest groups, such as labour unions. Legislation which sanctions and supports trade union activity thus helps to bring about political development. Insofar as the bureaucracy participates in the formulation and implementation of such legislation, it has a role in political development. Political parties also constitute an important part of the political system. In some countries nowadays political parties are provided with election funds by the state. This reduces the dependence of the parties on the rich, helps to curb corruption, and promotes political development. Elections constitute an important part of the democratic political process. They must be conducted with honesty and impartiality; otherwise the people will lose faith in the system and it is likely to collapse sooner or later. Insofar as the bureaucracy conducts elections honestly and efficiently, it helps to maintain and develop the political system; for, it is through elections that new parties and leaders come to power and implement programmes of social change desired by the people.

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

### **Implementation of Governmental Policies and Laws:**

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



**Role in Policy-Formulation:**

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

**Running of Administration:**

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

**Advisory Function:**

One of the important functions of the Bureaucracy is to advise the political executive. The ministers receive all the information and advice regarding the functioning of their respective departments from the civil servants. Sometimes the ministers have little knowledge about the functions of their departments. They, therefore, depend upon the advice of bureaucracy. As qualified, experienced and expert civil servants working in all government departments, they provide expert and professional advice and information to the ministers.

**Role in Legislative Work:**

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

**Semi-judicial Work:**

The emergence of the system of administrative justice, under which several types of the cases and disputes are decided by the executive, has further been a source of increased semi-judicial work of the bureaucracy.

The disputes involving the grant of permits, licenses, tax concessions, quotas etc. are now settled by the civil servants.

### **Collection of Taxes and Disbursement of Financial Benefits:**

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

### **Record-Keeping:**

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

### **Role in Public Relations:**

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

### **CONTROL OVER BUREAUCRACY:**

The rise of modern welfare state and increase in its functions has been a source of big increase in the powers and role of Bureaucracy. It has, therefore, given rise to an additional need for exercising control over

bureaucracy. An effective control system has become essential both for preventing the civil servants from abusing their powers as well as for ensuring their active and positive role. In fact, every state maintains a system of internal and external control over Bureaucracy.

### **Internal Control:**

It means control applied from within the organization i.e. by the administrative machinery. The administrative organization is hierarchical and is divided into wings, divisions, branches and sections. There are present some internal controls in its every section. The tools of control are budgeting, accounting, auditing, reports, inspections, efficiency surveys, personnel control, code of conduct, and discipline and leadership control.

In particular, regular internal inspections, auditing of accounts and evaluation of the performance of each civil servant act as main means of internal control over Bureaucracy. Internal control is necessary for keeping the bureaucracy efficient and productive of desired results.

### **External Control:**

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

## **BUREAUCRATIC PROBLEMS**

Following are the major problems with bureaucracies:

### **Red Tape:**

Red tape is the existence of complex rules and procedures that must be followed to get something done. Any large organization must have some way of ensuring that one part of the organization does not operate out of step with another.

### **Duplication:**

Duplication occurs when two government agencies seem to be doing the same thing, such as when the Customs Service and the Drug

## Notes

Enforcement Administration both attempt to intercept illegally smuggled drugs.

### **Imperialism:**

It refers to the tendency of agencies to grow without regard to the benefits their programs confer or the costs they entail. Because government agencies seek vague goals and have vague mandates from legislature, it is not surprising that they often take the broadest possible view of their powers. If they do not, interest groups and judges may prod them into doing so.

### **Waste:**

Waste occurs when an agency spends more than is necessary to buy some product or service.

### **Status Quo / Absence of Profits:**

Unlike businesses, bureaucracy do not have the direct and powerful goal of earning profits. That has a deep effect on efficiency and improvement. Without the profit goal, organizations have little reason to restrain costs and stem wasteful spending. Nor do organizations have a strong incentive to improve the quality of their services or the effectiveness of their management. It is easier for organizations to live the quiet life than to take risks and try to enhance performance.

### **Absence of Losses:**

Poorly performing bureaucratic organizations do not go ruined, so there is no built-in mechanism to end low-value activities. There is no automatic corrective to programs that have rising costs and falling quality. In the private sector, businesses abandon activities that no longer make sense, but "the moment government undertakes anything, it becomes fixed and permanent.

### **Monopoly:**

Adding to the problem caused by the absence of profits and losses, many bureaucratic activities are monopolies. That further reduces incentives to

restrain costs and improve quality. It also means there are no alternative sources of information for people to gauge the efficiency of a government activity. In competitive markets, people can compare the performance of different companies and products, but with monopolies, poor performance is harder to identify.

**Rigid Compensation:**

Bureaucratic employee's compensation is based on standardized scales generally tied to longevity, not performance. The rigid salary and benefits structure makes it hard to encourage improved employee efforts or to reward outstanding achievements. Rigid pay scales reduce morale among the best workers because they see the poor workers being rewarded equally. With rigid pay scales, the best workers have the most incentive to leave, while the poor workers will stay, decade after decade.

**Corruption/Nepotism/Favoritism:**

Corruption is a major problem in Bureaucracy, especially in South Asian states. Bureaucrats use their authority and connections for different activities beyond laws. Many of them prefer and facilitate their friends and relatives at the cost of law or other common peoples. Malpractices, favoritism, nepotism, undue favors, intellectual dishonesty, indiscipline, misconduct, invisible corrupt practices in financial matters etc. are few evils which are manifest in some of the officers and staff of Public Services.

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### **9.3 ROLE OF BUREAUCRACY IN POLICY FORMULATION**

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Till about fifty years ago it was believed that in democratic government while politicians formulated policy, the bureaucracy implemented it. However, research work has shown that this is not wholly true. The making and implementation of policy are so deeply interconnected that it is impossible to separate them. Thus the formulation of new policy requires an understanding of the reasons for the successes and failures in regard to earlier policies. This feedback can best be provided by members of the . bureaucracy due to their wide experience and

knowledge. In other words, since members of the bureaucracy often stay in their jobs longer than politicians, and since they have more detailed information, their advice on policy matters comes to constitute a valuable contribution. Their role in policy formulation has tended to gain importance also due to the expansion of the role of the state, as discussed above. Thus, now it is well recognised that both in developed and developing countries, the bureaucracy plays an important role in policy formulation. What is notable is that its role in policy formulation is much greater in developing countries than in developed ones. We shall now discuss the reasons for this.

### **i) Bureaucracy as a Channel of Communication**

The society consists of different sections, such as those of farmers, landlords, workers, small businessmen, big businessmen, and so on. Their interests conflict to some extent. It is the function of the state to bring about a balance among their interests, so that the interests of each section are fulfilled as far as practicable in the given economic situation. Hence the aspirations, needs, problems and grievances of each section have to be communicated to the government. This communication between the government and the various sections of the society takes place, to a large extent, through the bureaucracy. Thus, if the farmers in an area suffer from some problem, such as lack of water for irrigation, they generally approach officials like the Deputy Commissioner, who communicates the problem to higher level of the administration: they may make proposals for irrigation facilities in the five year plan and the budget. In this way communication through the bureaucracy may help in the formulation of policy proposals for meeting the needs of the people. In developed countries there is another channel also. This channel, between the people and the government, runs through interest groups and political parties. An interest group may be an association for putting forward the interests of a certain section. Thus a trade union is an interest group for articulating the interests of workers. After the demands of the various sections have thus been articulated, they are considered and collected together by political parties in their election manifestos. Such aggregation of interests workers, as articulated by trade unions and

aggregated by political parties, have led to labour laws in many countries. These laws contain the labour policies. In this way, communication through interest groups and political parties leads to the formulation of policies for fulfilling the demands of the various sections of the people. In developing countries, however, interest groups and political parties are often either weak or non-existent. Thus in India, there are hardly any associations of landless labour, or of artisans such as weavers and carpenters. Most political parties exist in villages only in name. In towns also their offices seem to crop up only at the time of elections. Due to such weaknesses of interest groups and political parties, articulation and aggregation of interests is often not possible through them. Hence the bureaucracy often remains the only mechanism for the conversion of demands into policies. In this way, the bureaucracy plays a more important role in policy formulation in developing countries than in developed ones.

#### **ii) The Bureaucracy as a Repository of Information**

The formulation of policy requires a lot of information. Thus one needs to know why certain policies failed earlier. For example, suppose the policy of expanding secondary education in villages failed earlier mainly because of poverty, boys and girls had to earn their own upkeep and so parents could not afford to send them to school. This information helps in devising a new policy which combines training in productive work with literary education, so that the youth earn while they learn. The bureaucracy has the advantage of long experience, while politicians come and go. The experience of the bureaucracy makes it a repository of information about the past. Further, the bureaucracy has access to information which is contained in records, such as files. Such information can be much older than what any person can remember. Since officials consult these records often, they know about old cases also. We also need information about differences in the various regions, so that the policy may provide for these. Thus, irrigation facilities in the hills may have to be different from those in the plains. Since officials are transferred from place to place, they come to know about different areas. What is even more important, members of the bureaucracy have access

to secret information, it can be information relating to control of smuggling, conduct of foreign affairs and regulation of the economy. Since such secret information is essential for policy formulation, the bureaucracy comes to have an important role. Thus we note that since the bureaucracy has access to often secret information relating to different timeframe and areas, its advice is considered by ministers to be weighty, and thus it comes to have an important role in policy formulation.

### **iii) Bureaucracy as a Group of Technical Advisers:**

The bureaucracy comes to have an 'important role in policy formulation also because of the technical knowledge possessed by it. There are three main reasons for it:

- a. growth of science and technology,
- b. expanding role of the state, and
- c. increasing complexity of the administration.

The growth of science and technology changes the nature of agricultural and industrial production. Thus agriculture nowadays requires the use of chemical fertilisers, pesticides, and high yielding varieties of seeds, pump-sets and tractors. The formulation of agricultural policy requires knowledge of these. Such knowledge is possessed by specialists in agricultural science. Similarly, specialists are required in areas like health, education, industry, control of crime, and so on. Hence specialists of almost all kinds are nowadays recruited as members of the bureaucracy and their advice is depended upon in the formulation of policies. The expansion in the role of the state makes for dependence upon economists, accountants, lawyers and others since their advice is needed for regulation of the economy: checking the growth of monopolies, providing employment, controlling prices, and so on. As the role of the state expands, the administration tends to become bigger and more complex. Maintenance of administrative effectiveness and efficiency, then, requires persons having specialised knowledge and experience of administration and management. Thus specialists of various kinds in the bureaucracy come to influence policy formulation. It needs to be emphasised that policies often take the shape of laws. Thus



the sale of high yielding varieties of seeds is controlled through the Seeds Act. Labour policy is contained in laws like the Industrial Disputes Act. The policy relating to income-tax is contained in the Income-Tax Act. Hence giving concrete shape to a policy often only deciding upon its ingredients but also formulating it in thekmdAtws\* The drafting of laws and rules necessarily requires specialists in the substantive area (such as agriculture, health or economics) and also in law. Hence policy formulation, or giving the shape of laws and rules to policies, is largely done by specialists. It is true that laws and rules drafted by specialist members of the bureaucracy are later examined and modified by ministers and legislators. However, ministers and legislators often do not have understanding of the intricacies of scientific and legal matters. Therefore they have to depend to a large extent upon specialists in the bureaucracy. In this way the bureaucracy comes to influence policy formulation.

**v) Bureaucracy as an Impartial Adviser**

The society is made up of several sections, whose interests to some extent conflict. Thus higher wages are in the interest of workers, but not in the interest of industrialists. The government is expected to maintain a balance between these conflicting interests. This is what the government tries to achieve through its policies. Hence the formulation of policies requires the advice of persons who are impartial, or neutral, between the different sections. Members of the bureaucracy are expected to function in this impartial or neutral manner; hence they come to be depended upon for advice relating to policies. The bureaucracy is neutral in another sense also. Politicians come and go with elections, both as legislators and as ministers. However, civil servants continue to serve governments of different parties. They are expected to serve and advise every government for bringing about a balance between different interests. Hence civil servants are considered to be neutral in a dual sense: between contending interests and between political parties. Their advice on policy is considered to be especially valuable for being impartial.

**Check Your Progress 1**

## Notes

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

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

1) What is the contribution of bureaucracy to the various aspects of development?

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2) Explain the statement: "Bureaucracy acts as a channel of communication".

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3) "Bureaucracy acts as a neutral adviser". Discuss.

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## **9.4 ROLE OF BUREAUCRACY IN POLICY IMPLEMENTATION**

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The main function of the bureaucracy is policy implementation, that is, giving effect to policies after they have been approved by the executive and legislative branches of the government. This function also is performed under the overall control and supervision of politicians in the executive and legislative branches; however, members of the bureaucracy have to bear much of the responsibility for implementation. Policy implementation has four stages, as follows:

1) Formulation of projects and programmes

2) Project planning

3) Making provision in the five year plan & the budget, and

#### 4) Execution of the programmes

We shall now deal with these stages one by one.

##### 1) Formulation of Projects and Programmes

For implementation, a policy has to be broken up into projects, and each project into programmes. Thus, for implementing the policy of rural development, there are projects like that of Community development. Under the Community Development Project, there are various programmes. Similarly, under the new education policy, there is the project of Navodaya Vidyalaya. Each Navodaya Vidyalaya constitutes a programme. The sizes of projects and programmes can vary: some are very large while others are small. What is notable, however, is that the implementation of a policy requires activities of various kinds. Some of these are chosen and given the name of projects. Again, each project requires action under various heads and at different places. Some of these are chosen and given the name of programmes. Which of these should come first and which later, is decided mainly by specialist civil servants on technical grounds; thus irrigation facilities have priority over fertilisers.

##### 2) Project Planning

It must be distinguished from economic planning. While economic planning refers to allocation of resources among different sectors and areas, project planning means administrative planning for the implementation of a single programme, such as that of malaria eradication in a given area, or the setting up of a hospital. The first step in planning a project is the collection of the necessary information and statistical data from the field. Thus while setting up a hospital or a school, we have to decide where exactly it should be located. This requires information about the concentration of population so that the school is built near the residence of most children; about roads in the area so that the school may be reached easily; about the utilisation of land in the area so that infertile land, rather than good agricultural land, is used for the purposes of the school; and so on. With the help of such

data a study of the / feasibility, or practicability, of the programme in the area is made. For example, its cost-benefit analysis is made: in other words, the costs and benefits of different locations, sizes, and functions are calculated and compared. Once the functions, size and locations, sizes, and functions are calculated and compared. Once the functions, size and location have been decided upon, estimates of the cost of land and buildings, of the necessary equipment, of the additional personnel required, and of the time it would take to set up, are prepared. The making of these analysis and estimates requires expert and specialist civil servants. On the basis of these, a proposal is prepared and submitted for examination and approval to overhead agencies, like the Ministries of Planning and Finance.

### 3) Preparation of Plan and Budget

The economy may be divided into sectors of agriculture, industry and services (such as health and education). It has to be decided how much money and other resources should be spent on the development of each sector. Broad decisions relating to such allocation of resources are taken for a five year period since many of the projects and programmes take several years. Thus it may take several years to build a dam. Hence a five year plan is prepared for allocating resources among different sectors, and also among different areas, some of which may be less developed than others. More detailed allocation of resources is made every year for each department, project and programme through the budget. The activities of every department are important and each one of them asks for more and more money. However, the total amount at the disposal of the government is limited. Since all the demands of all the departments cannot be met, money is provided for the more important projects and programmes, and the less important ones are left out. This process of selection involves the comparative evaluation of projects, and within each project, of programmes. Apart from such selection, there is the detailed scrutiny of each head of expenditure under a programme. These functions of planning and budgeting are performed by agencies like the Planning Commission, the Ministry of Planning and the Ministry of Finance. The activities of analysis, evaluation, comparison and scrutiny

of proposed expenditures relating to various departments, projects and programmes requires a lot of expertise and experience. Civil servants, who possess such expertise and experience, are therefore dependent upon for performing these activities and drawing up the five year plan and the annual Budget. It must be noted, however, that they are prepared under the over-all control and supervision of Ministers. Finally, the Plan and the Budget require the approval of Parliament. Members of Parliament and Ministers are elected representatives of the people. They control the preparation of the Plan and the Budget so that these reflect the needs and aspirations of the people. Such control is a condition of democracy. At the same time, efficiency of administration is achieved through the application of specialised knowledge and experience possessed by the bureaucracy.

#### 4) Execution of the Programmes

Execution means carrying a programme into effect. It has to be done in stages. Thus if a school is to be built, the first step is to acquire the land and to construct the building. Then the teachers and other staff members have to be recruited; they may also be transferred from other schools. Some of them may have to be sent for training. The equipment for classrooms and laboratories has also to be acquired. These activities of acquiring land and equipment, getting buildings constructed, and arranging for trained teachers, are all performed by specialised & experienced civil servants. Thus building construction may be the responsibility of engineers in the Department of Public Works, and provision of attendance registers may be the responsibility of officials in the Department of Printing and Stationery. After such basic requirements have been met, officials of the Education Department would arrange for the teachers. Thus civil servants in various departments have to function in a coordinated manner for carrying out various programmes. To ensure such coordination and the execution of programmes within the given time frame, all officials are required to submit reports to their seniors about their achievements periodically. By examining the reports, officers at high levels are able to exercise control over the execution of

programmes. Thus execution is mainly the responsibility of the bureaucracy.

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### **9.5 REVIEW OF THE PROJECTS AND PROGRAMS**

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To ensure that the objectives of a policy have been fulfilled and there has been no wastage of money and other resources, the implementation of every project and programme is periodically reviewed. Review is done at several levels. Within every Ministry, each programme is reviewed after its completion. At the time of the preparation of the budget, every year, achievements with regard to all programmes are reviewed, both, by the Ministry concerned and the Finance Ministry, at the time of the preparation of the budget. The Comptroller and Auditor General makes a review of all programmes in the course of auditing expenditures. The Planning Commission makes a review of the implementation of all the policies over the past five years while preparing a new five year plan. It also reviews their implementation in the middle of the five year period. All these reviews are made, initially, by specialised and experienced civil servants, who thus help to ensure effectiveness and efficiency.

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### **9.6 PROBLEMS OF BUREAUCRATIZATION**

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While on the one hand the use of the bureaucracy leads to efficiency, on the other, it gives rise to certain problems. Thus bureaucratisation results in an emphasis on routine and detail, leads to red tape (delay), and gives rise to complaints of unresponsiveness of the bureaucracy to the people. The bureaucracy has a tendency to expand, so that in the course of time a large portion of the expenditure on a programme goes for paying the bureaucracy instead of meeting the objectives. Thus in a programme for the development of fisheries, the help given to fishermen may turn out to be less than the salaries and allowances drawn by the bureaucracy. Other, more important problems are related to the power of the bureaucracy. The power of the bureaucracy arises from its role in policy formulation and implementation. In developing countries, because of the weakness of

interest groups and political parties, the bureaucracy often comes to play an important role. While politicians may be amateurs, they represent the people and have to take into account their needs and aspirations. Bureaucrats, however, are under no such compulsion they often pay more attention to their own interests. Hence it is a condition of democracy that the bureaucracy should remain firmly under the control of the elected representatives of the people. In most developing countries, however, the bureaucracy tends to be too powerful. Indeed, in many of these countries the military and the civil bureaucracy together assume full power, remove the democratically elected rulers and themselves become rulers. Such dictatorships are in existence in many developing countries. The way to deal with these problems is to make the people aware of their rights and power by educating them, organising them in associations and political parties, and to develop bodies of local self-government through which the people can rule themselves with less dependence on the bureaucracy.

**Check Your Progress 2**

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

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

1) Discuss the various stages of policy implementation.

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2) Explain the role of bureaucracy in programme planning.

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3) Describe the role of bureaucracy in the execution of programmes.

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4) Critically evaluate the problems of bureaucratisation.

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## **9.7 LET US SUM UP**

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The role of the state and its bureaucracy in bringing about economic, social and political development is expanding. The bureaucracy participates in policy formulation by functioning as a channel of communication, a repository of information, as a group of specialists and as an impartial adviser. It implements a policy by breaking it up into projects and programmes, by planning each programme, by preparing the five year plan and the budget, and by executing the programmes. The bureaucracy in each Ministry, and also in overhead agencies like, the Finance Ministry and the Planning Commission, periodically reviews the implementation of each programme. The problems of bureaucratisation emerge due to the unnecessary emphasis on routine, red tape, unresponsiveness to the people, increasing cost of administration, the great power of the bureaucracy and the danger of dictatorship. These problems can be dealt with by educating the people, by organising them in associations and political parties, and by developing panchayats and municipal bodies of local self-government.

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## **9.8 KEY WORDS**

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**Budget:** A statement of financial position (e.g. of an organisation) for a definite period of time (e.g. the following year) based on estimates of expenditure, and income during the period.

**Bureaucracy:** The term bureaucracy has been derived from the word 'bureau' which means an office or post. Hence bureaucracy refers to officials holding a post or office exercising their power to carry on their constitutional duties and obligations.

**Navodaya Vidyalaya:** Navodaya Vidyalayas (Schools) are spread all over the country. They are organised by an autonomous organisation i.e.



Navodaya Vidyalaya Samiti under the Department of Education, Ministry of Human Resource Development, Government of India. Their broad aims are:

to serve the objective of excellence coupled with equity and should justice a to promote national integration by providing opportunities to talented children largely rural,

to live and learn together to develop their full potential and to become catalysts of a nation-wide programme of school improvement.

Review: The examination of the implementation of each programme, to find out whether the policy objectives have been fulfilled, and whether the implementation has been done efficiently.

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## 9.9 QUESTIONS FOR REVIEW

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1. Expanding Role of the State and Bureaucracy.
2. How do you know about the Role of Bureaucracy in Policy Formulation?
3. Discuss the Role of Bureaucracy in Policy Implementation
4. Discuss the Review of the Projects and Programs
5. How do you find out if any Problems of Bureaucratization?
6. Expanding Role of the State and Bureaucracy.
7. How do you know about the Role of Bureaucracy in Policy Formulation?
8. Discuss the Role of Bureaucracy in Policy Implementation
9. Discuss the Review of the Projects and Programs
10. How do you find out if any Problems of Bureaucratization?
11. What is the contribution of bureaucracy to the various aspects of development?
12. Explain the statement: "Bureaucracy acts as a channel of communication"
13. "Bureaucracy acts as a neutral adviser". Discuss.

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## 9.10 SUGGESTED READINGS AND REFERENCES

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- Riggs, Fred W., 1964. Administration in Developing Countries, Houghton Mifflin: Boston.

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## 9.11 ANSWERS TO CHECK YOUR PROGRESS

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### Check Your Progress 1

1) Your answer should include the following points: Role of bureaucracy in a welfare state  
Role of bureaucracy in economic development  
Bureaucracy as an agent of social change  
Bureaucracy as an agent of political development

2) Your answer should cover the following points: Through bureaucracy, communication takes place between the government and the various sections of the society. The channel between the people and the government runs through interest groups

3) Your answer should include the following points: Bureaucracy is expected to be neutral between the different sections of the society.  
Bureaucracy is expected to be neutral between the political parties.

### Check Your Progress 2

1) Your answer should include the following points:

- Formulation of projects and programmes
- Project planning
- Reparation of the five year plan and the budget
- Execution of the programmes

2) Your answer should include the following points:

- Bureaucracy collects data from the fields
- Makes a kasibility study
- Decides about the functions, size and location
- Prepares an estimate of the personnel and the cost involved.

3) Your answer should include the following points:

- Bureaucracy acquires the land Gets the building constructed
- Purchases the equipment
- Arranges the personnel
- Functions in a coordinated manner for carrying out various programmes

4) Your answer should include the following points:

- Bureaucratisation leads to red tape (delay)
- Unresponsiveness to the people
- Expansion in bureaucracy leads to increasing costs
- Fulfilment of its interests rather than policy objectives
- Dangers of dictatorship.

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# **UNIT 10: ADMINISTRATIVE MANAGEMENT**

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## **STRUCTURE**

10.0 Objectives

10.1 Introduction

10.2 Administrative Management Approach: Important Contributors

10.2.1 Henry Fayol

10.2.2 Mooney and Reiley

10.2.3 Gulick and Urwick

10.3 The General Principles of Administration

10.3.1 The Theory of Departmentalisation

10.3.2 The Single Top Executive or Unity of Direction

10.3.3 The Unity of Command

10.3.4 The Principle of Staff

10.3.5 The Principle of Delegation

10.3.6 The Principle of Matching Responsibility with Authority

10.3.7 The Principle of Span of Control

10.3.8 The Principle of Division of Work

10.3.9 The Principle of Coordination

10.3.10 The Principle of Hierarchy

10.4 Administrative Management Approach: Criticism

10.5 Administrative Management Approach: Relevance

10.6 Let us sum up

10.7 Key Words

10.8 Questions for Review

10.9 Suggested readings and references

10.10 Answers to Check Your Progress

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## **10.0 OBJECTIVES**

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After studying this unit, you should be able to:

- To know the important contributors of administrative management approach;
- To understand the general principles of administration;

- To discuss the criticism of administrative management approach; and
- To explain the relevance of administrative management.

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## 10.1 INTRODUCTION

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In the previous unit we have discussed about the Taylor's contribution towards the scientific management approach. In this unit we will discuss the important contributors towards administrative management. While Taylor focused on shop floor management the later writers like Gulick and Urwick have focused on the organisation as a whole. Taylor was concerned with worker and emphasized more on floor level activities to enable the management to make its workforce more productive. Taylor has not emphasized on supervisory levels and upwards. The later writers like Gulick and Urwick, who took managerial view of the administration rather than floor level administration, took this up. The rationalization on the floor (done by the scientific management) needed to be supplemented by rationalization through the whole enterprise, to run it profitably. Those who have taken up the managerial view did this. This approach is also known as 'administrative management approach'.

Administrative management approach is an important approach of organization. It was initiated in the first half of the 20th century by a group of writers whose interest was mainly in formal organization and the basic management process. Henry Fayol, Luther Gullick, L.F. Urwick, Mooney, A.C. Reiley, M.P. Follett and R. Shelton are the important proponents of this theory. This approach is also known as structural theory of organization, as it deal with formal organization. The most important concern of the formal organization theory is the formulation of certain universal principles of organization. It deals primarily with formal organization structure. The theory assumes that there are certain fundamental principles on the basis of which an organization can be established to achieve a specific objective.

The watch words of this approach are efficiency and economy, as it conceives that these principles, if fully adopted, can lead to maximum organizational efficiency and economy. The administrative management approach treats an organization as a closed system. Completely

unconnected with and uninfluenced by its external environment. It is more concerned with what ought to be and this kept it away from the study of actual behavior in organization. It underestimated the human factor and views that organization as a machine and human beings are cogs of this machine.

### **Contributions of Administration Management Approach**

Henry Fayol, Gullick, Urwick, Mooney and Reiley are the important contributors of the administrative management approach. Although there are many figures in the principle of administration, they agree on many basic points. **There are:**

- **Firstly**, they find out certain universal principles, which they think universally valid, as they are derived from experience of industrial organization.
- **Secondly**, they believe that the principles they have developed are scientifically valid, as these principles are based on empirical observation. They considered that the application of such principles would ensure greater economy and efficiency in the organization.
- **Thirdly**, they think about the structure of the administration or organization. They consider that without structure, organization cannot function. For them “Structure is a device through which the human beings working in an organization, are assigned the tasks and are related to each other. They believe that structure moulds the nature of human being according to the needs of organization.”
- **Henry Fayol:** Fayol is considered the father of administrative management theory with focus on the development of broad administrative principles applicable to general and higher managerial levels. He was a French mining engineer turned a leading industrialist and successful manager. He wrote a monograph in French in 1916, entitled “General and Industrial Administration.”

Fayol developed a set of principles relating to the function of management and the structuring of organization. Fayol wrote that all activities of business enterprises could be divided into six groups, technical, commercial, financial, accounting, security and administrative or managerial. His primary focus was on managerial activity because he felt managerial skills had been the most neglected aspect of business operations. He divided managerial functions into five elements they are planning, organization, command, coordination, and control. He propounded fourteen principles of organization i.e.,

- Division of work,
- Authority,
- Discipline,
- Scalar chain,
- Unity of command,
- Unity of direction,
- Generalization or decentralization,
- Subordination of individual interest to general interest,
- Remuneration,
- Order,
- Equity,
- Stability of tenure,
- Initiative,
- Esprit de corps.

Fayol believe that administration is a process that must be carried out on all levels of organization and it developed a set of principles relating to the functions of management and structuring of organization. He says, “All undertakings require planning, organization, command, coordination and control and in order to function properly, all must observe the some general principles.” Fayol’s principles have provided basis for the development of principles of administration by the later thinkers.

**Gullick and Urwick:** Gullick and Urwick were heavily influenced by Fayol. They gave more importance to the structure of administration, neglecting the role of human beings in the organization. They believe that it is possible to develop a science of administration based on principles. Gullick contributed ten principles of organization:

- Division of work or specialization,
- Departmental organization,
- Coordination through hierarchy,
- Coordination through committees,
- Delegation,
- Deliberate coordination,
- Decentralization,
- Unity of command,
- Line and staff,
- Span of control.

Among these ten principles of administration, Gullick lays special emphasis on division of work. He feels that division of work is the basis of organization indeed, the key for organization. Being influenced by Fayol's five elements of administration such as planning, organization, command, coordination and control. Gullick introduced seven functions of an administrator in the word "POSDCORB", each letter stands for a particular function. These are planning, organization, staffing, directing, coordinating, reporting and budgeting.

**Urwick was another important thinker who contributed to this approach. He identified eight principles of organization. These are:**

1. The principle of objectives,
2. The principle of coordination,
3. The principle of correspondence,
4. The principle of responsibility,
5. The principle of definition,
6. The principle of specialization,
7. The scalar principle,



8. The principle of span of control.

**Mooney and, Reiley:** developed the theory of organization in their work “Onward Industry”. In their work, they argued that all organizational structures are based on a system of superior subordinate relationships arranged in a hierarchical order. This they call “Scalar Principle” which constitutes the universal process of coordination, throughout the entire structure.

**Mooney and Reiley contributed four principles of organization:**

- The co-ordinative principle,
- The scalar principle,
- The functional principle,
- The staff line principle.

**Mary Parker Follett:** another important thinker of this theory. She contributed to the development of management thought, which differed, from that of other writer of her period. She said, organization is a social system and conflicts are inevitable in the organization. Conflict provides opportunities for good and bad results. She advised managers to use conflict in a constructive manner. She also suggested there ways of resolving or dealing organizational conflict. **These are:**

- Domination,
- Compromise,
- Integration.

### **Administrative Management Theory Definition**

**Administrative management theory** attempts to find a rational way to design an organization as a whole. The theory generally calls for a formalized administrative structure, a clear division of labor, and delegation of power and authority to administrators relevant to their areas of responsibilities.

### Administrative Management Theorists

- **Henri Fayol (1841-1925):** Fayol was born in France, where he worked for a coal-mining business. He developed 14 administrative principles for organizational structure and management.
- **James D. Mooney (1884-1957):** Mooney studied mechanical engineering and eventually became a key member of General Motors' top management team. In 1931, he wrote *Onward Industry!* The book is considered by many scholars to be a significant contribution to administrative management theory.
- **Luther H. Gulick (1892-1993):** Gulick is often considered the 'Dean of Public Administration.' He applied administrative management theory principles to government.

### Key Components of an Organization

Administrative management theory involves many important concepts, but these concepts can usually be placed into the following broad categories:

- **Formalized administrative structure** - According to this theory, you should design an organization using a very formalized structure with clear lines of authority from the top down. This is a **hierarchical structure**.

For example, consider a large corporation. At the top is the board of directors who give directions to the CEO, who in turn gives directions to the vice presidents of each corporate division. The vice presidents will then give directions to their middle managers, who in turn give directions to supervisors down to individual employees.

- **Division of labor** - A second key structural feature of an organization designed by administrative management theory is a clear division of labor between the organization's departments. Each

department is responsible for a particular aspect of the organization's activities towards the achievement of organizational goals.

The administrative approach performs the assessment from the perspective of a normal, authenticated system administrator. The assessment tool might require that it be launched by an authenticated administrative user or provided with a user account and password. These credentials can be used to detect missing patches, insecure configuration settings, and potentially vulnerable client-side software (such as e-mail clients and Web browsers).

This is a powerful approach for networks that consist of mostly Windows-based systems that all authenticate against the same domain. It combines much of the deep analysis of a host assessment with the network assessment's scalability advantages. Since almost all of the vulnerability tests are performed using either remote registry or remote file system access, there is little chance that an assessment tool using this method can adversely affect the tested systems. This allows assessments to be conducted during the day, while the systems are actively being used, without fear of disrupting a business activity.

The administrative approach is especially useful when trying to detect and resolve client-side vulnerabilities on a network of workstations. Many worms, trojans, and viruses propagate by exploiting vulnerabilities in e-mail clients and Web browser software. An assessment tool using this approach can access the registry of each system and determine whether the latest patches have been installed, whether the proper security settings have been applied, and often whether the system has already been successfully attacked. Client-side security is one of the most overlooked entry points on most corporate networks; there have been numerous cases of a network with a well-secured perimeter being overtaken by a network simply because a user visited the wrong Web site with an outdated Web browser.

Unfortunately, these products often have some severe limitations as well. Since the testing process uses the standard Windows administrative channels—namely, the NetBIOS services and an administrative user account—anything preventing this channel from being accessed will

result in inaccurate scan results. Any system on the network that is configured with a different authentication source (running in stand-alone mode, on a different domain, or authenticating to a Novell server) will not be correctly assessed. Additionally, these products may have issues similar to the issues of host-based assessment tools, network devices, and UNIX-based servers. IP-enabled phone systems may also be completely missed or return incomplete results.

Network and host-based firewalls can also interfere with the assessment. This interference is a common occurrence when performing assessments against a system hosted on a different network segment, such as a demilitarized zone (DMZ) or external segment behind a dedicated firewall. Additionally, network devices, UNIX-based servers, and IP-enabled phone systems might also be either completely missed or have only minimal results returned. An example of this is a certain Windows-based commercial assessment tool that will report missing Internet Information Server (IIS) patches even when the Web server has not been enabled or configured. This type of testing is very helpful to verify a networkwide patch deployment, but should not be relied upon as the only method of security testing. Microsoft's Security Baseline Scanner is the best example of an assessment tool that uses this approach alone. Many of the commercial assessment tool offerings were originally based on this approach and have only recently started to integrate different techniques into their vulnerability tests.

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## **10.2 ADMINISTRATIVE MANAGEMENT APPROACH: IMPORTANT CONTRIBUTORS**

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Scientific management is a theory of management that analyses and synthesizes workflows, improving labor productivity. The core ideas of the theory were developed by Frederick Winslow Taylor in 1880s and 1890s, and were first published in his monographs, *Shop Management* (1905) and *The Principles of Scientific Management* (1911). Taylor believed that decisions based upon tradition and rules of thumb should be replaced by precise procedures developed after careful study of an individual at work. Frederick Winslow Taylor (1856-1915), an engineer

known as “Father of Scientific management”, focused on analyzing and redesigning jobs more efficiently. He believed that many workers of his time performed below their true capacities.

Administrative management is one of the functions, departments or sections existing in any organization. The aim of the administrative function is to manage the information needs of the organization so that timely, relevant and accurate information can be given to managers at all the different levels, so enabling them to take meaningful decisions. Without such information it is not possible to manage any organization, function or process.

Administrative management also can be seen as managing information through people. The administrative function is that section in an organization that is responsible for the orderly collection, processing, storing, and distributing of information to decision makers and managers within the organization to enable them to execute their tasks as well as other role players outside the organization.

(Administrative Management, 2nd edition-2009, E.J Ferreira, A.W Erasmus, D. Groenewald )

The first expert of Administrative management theory was Henri Fayol (1841-1925). Fayol is called the “Father of modern management”. Henri Fayol was a French industrialist and a management consultant. He started the functional approach to management. In 1916, he wrote a book titled “Administration Industrielle et Generale”.

### **1.1 Scientific Management**

Scientific management is a theory of management that analyses and synthesizes workflows, improving labor productivity. Scientific Management is a modern management began in the late 19th century. Scientific management also is a philosophy that sought to increase productivity and makes the work easier by scientifically studying work method and establishing standards. It is about the relationships between people and work, not a technique or an efficiency device.

Besides that, scientific management also is based on a concern not only for the proper design of the job but also for the workers. Scientific Management also is a theory of management that analyzed and

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synthesized workflows. It is a term coined in 1910 to describe the system of industrial management and came to mean any system of organization that clearly spelled out the functions of individuals and groups.

Frederick Winslow Taylor (1856-1915), was one of the early practical manager theorists. He is an engineer known as “Father of Scientific management”, focused on analyzing and redesigning jobs more efficiently. He searched for the best way to maximize performance. As a result of his work, he developed several scientific management principles. He believed that many workers of his time performed below their true capacities.

Taylor developed these four principles of scientific management for managers to follow. It also known as “Taylorism”:

Develop a science for each element of an individual’s work, which will replace the old rule-of-thumb method.

Scientifically select and then train, teach, and develop the worker.

Heartily cooperate with the workers so as to ensure that all work is done in accordance with the principles of the science that has been developed.

Divide work and responsibility almost equally between management and workers. Management takes over all work for which it is better fitted than the workers.

**(Management, Pearson, eighth edition, 2005 – Stephen P. Robbins, Mary Coulter)**

According to Taylor, Scientific management was a complete mental revolution for both management and employees towards their respective duties and toward each other. It was a new philosophy and attitude toward the use of human effort. It emphasized maximum output with minimum effort through the elimination of waste and inefficiency at the operative level.

In Taylor view, the scientific study of work also emphasized specialization and division of labor. Thus, the need for an organizational framework became more and more apparent. The concepts of line and

staff were developed. In an effort to motivate workers, wage incentives were developed in most scientific management programs.

Scientific management fundamentally consists of certain broad general principles, a certain philosophy, which can be applied in many ways, and a description of what any one man or men believe to be the best mechanism for applying these general principles should in no way be confused with the principles themselves.

Under the management of “initiative and incentive”, practically the whole problem is “up to the workman”, while under scientific management fully one-half of the problem is “up to the management”.

**(Scientific Management, Dr A Khurana, 2009, Global India Publications Pvt. Ltd)**

Scientific management principles can improved productivity and had a substantial impact on industry. It also increased the monotony of work. Hence, scientific management is a thoughtful, organized, dual approach towards the job of management against hit or miss or Rule of Thumb. Taylor believed that if they were truly dependent on each other, cooperation would naturally follow.

In summary, Taylor and other scientific management pioneers believed employees could be motivated by economic rewards, provided those rewards were related to individual performance.

### **Administrative management**

According to Julian Paul Sidin, administrative management examines an organization from the perspective of the managers and executives responsible for coordinating the activities of diverse groups and units across the entire organization. Administrative management focus on how and what managers should do in their jobs. Administrative management also seeks to create an organization that leads to both efficiency and effectiveness.

The first expert of Administrative management theory was Henri Fayol (1841-1925). Fayol is called the “Father of modern management”. Henri Fayol was a French industrialist and a management consultant. He started the functional approach to management. In 1916, he wrote a book

titled “Administration Industrielle et Generale”. (Principles and Practices of Management, Julian Paul Sidin, 2011 Pearson)

Administrative management also can be seen as managing information through people. The administrative function is that section in an organization that is responsible for the orderly collection, processing, storing, and distributing of information to decision makers and managers within the organization to enable them to execute their tasks as well as other role players outside the organization.

Administrative management is one of the functions, departments or sections existing in any organization. The aim of the administrative function is to manage the information needs of the organization so that timely, relevant and accurate information can be given to managers at all the different levels, so enabling them to take meaningful decisions. Without such information it is not possible to manage any organization, function or process.

**(Administrative Management, 2nd edition-2009, E.J Ferreira, A.W Erasmus, D. Groenewald )**

Administrative managers are middle and senior managers and leaders who make certain that information flows and resources are employed efficiently across the whole organization. They ensure that all operations and system run smoothly and in the most effective manner.

Administrative management theory is identified on the following:

Management Oriented Theory: The management oriented theory does not give many attentions to the problems of the workers.

Lack of Important to Informal Organization: The administrative management theory gives importance only to the formal organization structure. It does not give any importance to informal organization or groups.

Concept Borrowed From Military Science: Administrative management theories were borrowed from military science. They tried to apply these concepts to the social and business organization.



**Mechanical Approach:** Administrative management theory has a mechanical approach. It does not deal to the important aspects of management such as motivation, communication and leading.

Henri Fayol identified five major functions of management: Planning, Organizing, Commanding (directing), Coordinating, Controlling.

Besides that, Fayol prefaced his famous definition of management by starting what he considered to be the key activities of any industrial undertaking. He outlines six such key activities: technical activities, commercial activities, financial activities, security activities, accounting activities, managerial activities. Example for technical activities is production, example for commercial activities is buying and selling, example of financial activities is securing capital, example of security activities is safeguarding property, example of accounting activities is providing financial information, and example of managerial activities is planning and organizing.

Furthermore, Henri Fayol also classified 14 principles of management: Division of work, Authority, Discipline, subordination of individual interest to General interest, Remuneration, Centralization, Equity, Initiative, Esprit De Corps, stability of Tenure of personnel, Unity of Direction, Scalar Chain, and Unity of command. According to Henri Fayol, a manager should require the following qualities and skills: Work experience, mental qualities, Moral qualities, General education, Special Knowledge, Physical Quality.

The important thinkers who have contributed to this approach are Henry Fayol, Mooney, Reiley, Gulick and Urwick. Mary Parker Follet is considered to be the last person to propagate this approach. These thinkers have certain common understanding and approach towards understanding of organisations. In other wards their theory is based on certain major premises. Firstly, they gave importance to the structure of the administration / organisation. They consider that without structure, organisation cannot function. For them 'structure is a device through which the human beings working in an organisation are assigned the tasks and are related to each other'. Since they have emphasized on the structure they are also known as structuralists. They believe that

effectiveness of organisations depend upon the type of organisation. Structure is basic for any group effort.

Structure moulds the nature of human being according to the needs of organisation. For Urwick, lack of design is illogical, cruel, wasteful and inefficient. Secondly, they assumed that there is universality of experience. These thinkers have developed certain principles of administration, which they think are universally valid. These principles are derived from the experience of industrial organisations. Mooney observed “there is no principle in industrial organisations as such that is not to be found in all other spheres”. Thirdly, they believe that the principles they have developed are scientifically valid. Since they are based on the industrial and military experience they cannot be considered to be imaginary. They are based on rigorous empirical observations. Hence they have a scientific validity. They considered that the application of such principles would ensure greater economy and efficiency in the organisation. These authors have sincerely believed that it is possible to develop a science of administration based on the experience of organisations.

### **10.2.1 Henry Fayol**

Fayol was born in 1841 in France. He worked as an engineer in a mining company. By 1888 he had raised to the position of Managing Director of the company. He was one of the successful managing directors under whom the company achieved great financial success. Based on his experience he wrote a book ‘General and Industrial Management’ (1916). His papers on ‘The Theory of Administration in the State’ (1923), is considered as a major contribution to the theory of public administration. Fayol is regarded as the founder of managerial approach. The later writers like Gulick and Urwick have been greatly influenced by this works. Fayol’s major contribution is his principles of administration. They are division of work; authority; discipline; unity of command; unity of direction; subordination of individual interest to the general interests; remuneration; centralization; line of authority; order; equity; stability of tenure; initiative and harmony. Fayol derived the managerial functions in

to five elements. They are: planning, organisation, command, coordination and control.

Though he has listed out certain principles, he himself was ambiguous in his writings as to what he means by these principles. Some of them describe managerial activity; others lay down what manager should do. Though they are limited in nature, the Fayol's principles have provided basis for the development of principles of administration by the later thinkers.

### **10.2.2 Mooney and Reiley**

Mooney and Reiley in their book 'Onward Industry' (1931), provided a central frame work laying down the principles of management. They have attempted to provide an elaborated historical account of genesis of management and management thought. Like Fayol there appears to be some confusion the use of the term 'principle' used by the Mooney and Reiley. They appear to be a set of statements showing importance of leadership, authority and coordination. Mooney in his article included in "Papers on Science of Administration" maintained that it was 'coordination' that is the fundamental principle of any human organisation. He further writes "the term organisation and the principles that govern it are inherent in every form of concerted effort, even where there are not more than two persons involved". He takes the example of the effort of two men to move a stone and says, 'here we have coordination, the first principle of organisation'. Mooney and Reiley also referred to the functional principle of organisation. According to them all jobs involve one of the three functions. They are determinative function (setting goals), the application function (acting purposively to achieve the goals) and the interpretative function (decision making). They argue that management must be aware of these functions to be prepared to discharge them when necessary. Thus, they have contributed to the development of managerial theory of administration.

### **10.2.3 Gulick and Urwick**

Luther Gulick was born in Osaka, Japan in the year 1892 and was educated in Columbia University. He served the National Defence

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Council during first World War. He was associated with the City Research Institute at New York. He also worked as administrator of New York City during 1954-56. He also served as a professor in several universities and consultant in administration for several countries. His important writings are 4 'Administrative Reflection from World War-II', and 'Papers on the Science of Administration' (1937), (jointly edited by Urwick) 'Modern Management for the City of New York'. Lyndall Urwick was born in Briton in 1891. He was educated at Oxford University. He was a Lt. Col. during the First World War in the British army, and he was considered to be an outstanding consultant on industrial management. Some of his important publications were 'A Management of Tomorrow', 'The Making of Science of Management', 'The Elements of Administration', (1943). He also edited along with Luther Gulick 'Papers on Science of Administration' (1937). Gulick and Urwick had a rich experience in the working of civil service and military and industrial organisations. With these two writers we see a coming together of public administration and business administration. Similar to other writers, in 'Formal Organisations' they were much influenced by Taylor and Urwick was to rationalize the work process by bringing work together in a centralized area. They have contributed to the development of classical theory of organisation, known as administrative management theory. They believed that it is possible to develop a science of administration based on principles. They felt that if the experience of administrators are processed it could be possible to develop a science of administration. Administration hither to remained an art and there is no reason why it can't be developed in to a science. They gave importance to structure of administration while almost neglecting the role of men in the organisation. Based on this approach and their experience they evolved certain principles of organisation. The principles enunciated by Gulick are

- (1) division of work or specialization
- (2) bases of departmental organisation

(3) coordination through hierarchy,

(4) deliberate coordination,

(5) coordination through committees,

(6) decentralization,

(7) unity of command,

(8) line and staff,

(9) delegation and

(10) Span of control. Gulick also coined an acronym 'POSDCORB' indicating the seven important functional elements of administration. They are planning, organisation, staffing, direction, coordination, reporting and budgeting.

Urwick identified eight principles of administration. They are

(1) the principle of objectives,

(2) the principle of correspondence,

(3) the principle of responsibility,

(4) the scalar principle,

(5) the principle of span of control,

(6) the principle of specialization,

(7) the principle of coordination and

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## 10.3 THE GENERAL PRINCIPLES OF ADMINISTRATION

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Based on the principles enumerated by the above authors, here some of the important principles are explained briefly:

### 10.3.1 The Theory of Departmentalisation

It is one of the important principles of administrative management. This theory addresses itself to the problem of bases on which the work may be divided in an organisation and departments are created. Luther Gulick identified four bases on which different departments are created. These bases are (I) Purpose, (II) Process, (III) Persons (clientele) and (IV) Place (territory). They were popularly described and known as 4P's of Gulick.

**Purpose:** In the first place the work may be divided on the basis of the major purpose or function. In order to create certain departments one has to identify the major functions and goals of organisation and create departments for each of the functions. For example, the welfare department was created based on the 'purpose' of looking after the welfare of the people. Similarly there may be other departments created based on other purposes. The advantage of such department is that they are self-contained organisations and low coordination costs are involved in running the department. Such departments are more certain of attaining the goals. The purpose-based departments however have, certain disadvantages, such as, lack of possibility of work division, failure to use update technology and there may not be enough work for specialist working in the department.

**Process or Skills:** Some departments are created based on the process or a skill involved in it's functioning. For example, the department of engineering may be considered as a 'process' based department. If process is accepted as basis, then all work based on similar process or skills should be grouped together since it involves use of same knowledge, skills and processes. According to Gulick the advantage of process-based department is, it brings together in a single office a large amount of each kind of work, it is possible to make use of the most

effective division of work and specialization. Secondly it makes possible maximum use of labour and machinery for mass production. The major disadvantage of this base is it results in purposeless division and growth of department.

Persons or Clientele: Specialisation of work according to the clientele served is the third basis of departmental organisations. For example, the 'old age welfare department' serves a particular kind of persons who need special attention. The people who work in this department acquire specialised skills over a period of time to serve that particular clientele. But the disadvantage of this department is the coordination between such organisations become difficult on account of overlapping and duplication.

Place or Territory: Place becomes base for some organisation such as 'district' administration or tribal area department. Here all functions performed in a given area are clubbed together and a department is created. This base is useful for intensive development of any area. The members of such departments also become area specialists. But such departments may suffer from lack of functional specialisation and growth. The theory of departmentalisation is criticized on the basis that the bases of departments are incompatible with each other. They are very vague; there is also overlap between them. For example the department of medicine can be categorized as a process based department because it involves skills. It can also be considered as a purpose based one, because there is a purpose behind the creation of this department.

### **10.3.2 The Single Top Executive or Unity of Direction**

This principle is based on the belief that one director or executive should head organisations. Urwick warned against the use of committees for purposes of administration. He thought, 'boards and commissions are turned out to be failures. They are inevitably slow, cumbersome wasteful and ineffective. They do not cooperate with other agencies. Well-managed administrative unit in the government are always headed by a single administrator'. Gulick who as a member of President's Committee on Administrative Management, probably felt like this in trying to

workout the principle of one man administrative responsibility in place of the structure of many boards and commissions in the United States Federal Government. (Betram Gross, p.145).

### **10.3.3 The Unity of Command**

The principle of 'unity of command' suggest that for the effective functioning of organisations the subordinates in the organisation should receive command from one superior only. Gulick agrees with Fayol who said, "a man can not serve two masters" (Betram Gross, p.145). Although rigid adherence to this principle may have its absurdities, these are unimportant in comparison with the certainty of confusion, inefficiency and irresponsibility, which arise from the violation of the principle. However, he has provided certain exceptions to this principle in the case of field office specialist. For example it may be inevitable for an engineer in a field office working under administrative supervision of the field office manager and under technical supervision of the chief engineer in the central office. In such situation the Gulick suggest the system of 'integrated dual supervision' (Betram Gross, p.145).

### **10.3.4 The Principle of Staff**

The principle of staff emphasises that in the performance of organisational activities the executive needs the help of large number of officials. This staff assistance to the executive deserves special attention. The staff is of two categories, (1) special staff and (2) general staff. The chief executive requires the help of the specialist as well as general staff. While general staff assist the chief executive in knowing, thinking and planning functions. The special staffs help the executive in carrying out the basic operations of the organisation. Drawing upon the military experience with line and staff arrangements, Gulick dealt with the problems regarding relation between general and special staff. As in military organisation, general staff may assist their supervisors in their central task of command, control and coordination. They should help to coordinate the work of specialist without themselves taking any specialised functions. 8 In doing so they act not on they're own but as representative of their superior and within the confines of decision made



by him. Thereby they relieve the top executive from the burden of day-to-day administration. They free him to concentrate upon the most important matters. Urwick also recognized that in a civilized life, assistant who act on behalf of top executive will often be regarded as “encroaching” upon the authority of senior official (Betram Gross, p.147). To overcome this problem Gulick suggest that the assistant to be men with a “passion for anonymity” (Betram Gross, p.147).

### **10.3.5 The Principle of Delegation**

The principle of delegation emphasizes on the need for administrators to keep the requisite authority with them to act and delegate the rest of it to their subordinates. In the absence of such delegation the subordinates cannot discharge their responsibility. Urwick maintains that “lack of courage to delegate properly and knowledge of how to do it is one of the most general causes of failure in organisation” (Betram Gross, p.147). Urwick felt that organisations do not function efficiently if executives do not delegate the functions to their subordinates. It is also emphasized the need to delegate responsibility of executives in whom authority is vested should be absolute and that they should be personally accountable for the actions of their subordinates.

### **10.3.6 The Principle of Matching Responsibility with Authority**

This principle maintains that the authority and responsibility must be coterminous, coequal and defined. While Fayol emphasized the need to promote a sense of responsibility, Urwick deals with both sides of authority-responsibility relationship. It is not enough to hold people accountable for certain activities, it is also essential to delegate them the necessary authority to discharge that responsibility. The responsibilities of all persons exercising authority should be absolute within the defined terms of that authority. The persons exercising authority should be personally accountable for all actions taken by subordinates.

### **10.3.7 The Principle of Span of Control**

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The principle of span of control emphasises that a supervisor cannot control more than a certain number of subordinates. In this regard Urwick felt that “no supervisor can supervise directly the work of more than five, or at the most six subordinates whose work interlocks” (Betram Gross, p.148). This principle is based on the psychological conception of “span of attention”. When the number of subordinates increase arithmetically, there is a geometrical increase in all possible combinations of relationships, which may demand the attention of supervisor. While there is no agreement among the writers about the exact limit of span of control, Sir Ian Hamilton put the limit at three or four. Some authors put the figure at ten or twelve. Gulick identifies various factors that may influence the optimum span, particularly the capacity of an individual executive, the nature of work performed, the stability of an organisation and geographical proximity to those who are supervised.

### **10.3.8 The Principle of Division of Work**

The principle of division of work suggest that in order to bring the efficiency and effectiveness in the organisation the work has to be divided and entrusted to the people who are specialised in it. In fact, Gulick felt that division of work is the basic principle of organisation and it is reason for existence of organisation. He further felt that ‘every large scale or complicated enterprise requires many men to carry it forward. Whenever many men are thus working together, the best results are secured when there is a division of work among these men’. He says man-invented organisation as he failed to perform the work single handily. As a result he had to divide the work and this division of work was the cause for genesis of organisation. Individuals differ in their skills, efficiency and attitudes. A single person cannot work in two places at a time. And also he cannot perform more than one activity at a time. Because of these reasons and also in the context of growing knowledge in different areas the division of work and entrusting different types of work to different people is inevitable. Division of work results in increase in the production and efficiency in the organisation. However a division of work has its own limitations. According to Gulick the

important limitations are the volume of work, the technology, custom, physical and organic limitations. The work can't be divided if it is too less. Work can be divided only when there are people available with skills to perform it. Integrating divided parts follows division of work. Gulick says that division of work and integration are bootstraps by which mankind lifts itself in the process of civilization.

### **10.3.9 The Principle of Coordination**

This principle emphasizes that when work is divided and entrusted to different individuals, that work has to be coordinated to achieve the organisational tasks. Without proper coordination it is not possible to achieve the task. Coordination is basically bringing together of the work done by different individuals in the organisation. Mooney particularly emphasized on the importance of this principle. He maintained that it was coordination that is fundamental principle of any human organisation. He further writes, the term organisation and the principle that govern it are interacting in every form of concerted human effort, even when there are not more than two persons involved in it. Here he takes the example of two men's effort to move a stone and says 'here we have coordination, the first principle of organisation'.

#### **10.3.10 The Principle of Hierarchy**

Hierarchy indicates the control of the higher over the lower. In the administrative structure, hierarchy means a graded organisation of several successive levels or steps. Hierarchy is also known as scalar principle. Hierarchy places individual in organisation in an order. Hierarchy facilitates the allocation of responsibilities to the different levels of organisation. It also facilitates easy flow of work in the organisation and also easy coordination and control. It fixes responsibilities of individuals and makes it clear who is accountable to whom.

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## **10.4 ADMINISTRATIVE MANAGEMENT APPROACH: CRITICISM**

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## Notes

Many writers criticized the administrative management approach. The principles of administration enumerated under this approach have become main targets of criticism. The basic criticism is that there is little consistency in the work of any of these writers, either between them or with in them. The term 'principle' is used in different ways by different authors. Some times it has a descriptive connotation or it expresses the relation between organisation variables: some writers have questioned the scientific validity of the principles. Normally a principle is subject to verification. But such universality is absent in these principles. They appear more in the nature of postulates of experienced men who has closely observed the working of organisations. The major attack on principles came from Herbert Simon. Herbert Simon who commented on the fact that the principles are 'little more than ambiguous and mutually contradictory proverbs'. They form neither a coherent conceptual pattern of determination nor an accurate description of concrete empirical reality (Clegg & Dunkerley, 1980, p, 102). He says that, it is fatal defect of the current principles of administration that like proverbs they occur in pairs. For almost every principle one can find an equally acceptable contradictory principle (For example while the principle of division of work is claimed as essential for the organisational efficiency the coordination principle is also claimed as essential principle to bring efficiency). One can see a contradiction between the principle of specialization and the principle of unity of command. The specialist working in organisations are always subject to dual control of generalist and technocrats. Similarly there is a contradiction between principles of specialization and span of control. While span of control emphasizes on the limitations of supervisor and his capacity to supervise a certain number of sub-ordinates, it has failed to arrive at a scientifically valid number of subordinates less than one supervisor. Simon felt that principles of administration are at best criteria for describing administrative situation. He further felt that the principles are either universal, empirically applicable neither theoretically coherent. The administrative management approach in general is criticized for its neglect of human element in the organisation. Human being is considered insignificant in administrative processes. Gulick and Urwick

have shown concern only for ‘formal organisation’ neglecting informal variables, which are important for the understanding of organisations. V.Subramanyam points out two important limitation of this approach. In the first place, there is lack of sophistication in the theory; they appear to be commonplace general knowledge propositions, which do not appeal to the intellectual curiosity of the academicians and practitioners of administration. Secondly, it has a pro-management bias where it mostly dealt with the problems of management in the organisation and not the problem of lower level in the organisation. (Cited from Prasad et. al. p.105)

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## **10.5 ADMINISTRATIVE MANAGEMENT APPROACH: RELEVANCE**

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In spite of the criticism the principle of administration continue to found relevant even today. We find working of these principles such as division of work, coordination, delegation etc. in the present day organizations. Organizations cannot function with out adhering to these principles. These principles continue to be taught in the colleges and universities for the students of public administration and management. Many people have criticized the principles, but they have not developed any alternatives to these principles. They have failed to replace them with better principles. The principles of administration have provided basis for the development of later theories in administration. With some modifications on the lines of changes taking place in the organizations, these principles can find relevance in the present context also.

### **Check Your Progress 1**

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

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

- Discuss the Administrative Management Approach: Important Contributors.

.....  
.....  
.....

- Describe The General Principles of Administration.

.....  
.....  
.....

- Discuss the Administrative Management Approach: Criticism.

.....  
.....  
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- Discuss the Administrative Management Approach: Relevance.

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## **10.6 LET US SUM UP**

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In spite of various criticisms the administrative management approach and the principles of administration have contributed significantly to the theory and practice of administration. This theory emerged historically at a point of time when the organisations were becoming complex and faced with problem of inefficiency and low production. This theory has enabled the large-scale organisations to operate effectively. It is also relevant to understand the administrative processes of the contemporary organisations. In spite of their limitations the principles continue to be practiced in the organisations. They facilitate the smooth functioning of administration. To get benefited from the principles one has to understand this theory in a proper perspective and apply it to the contemporary situation with required modifications.

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## **10.7 KEY WORDS**

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**Authority and Responsibility:** sufficient authority is to be given to the officials to enable them to perform their functions. Authority should promote the sense of responsibility in the organization.

**Coordination:** Bringing together of the work done by different units and individuals in order to achieve the harmonious functioning of the

organization. Delegation: In the organization the authority and responsibility are delegated to the subordinates by the superiors to enable the organization to function effectively.

Department: It is a sub-division or unit of the organization. According to Gulick for establishing any department there has to be some bases. He proposed four basis; they are purpose, process, persons and place.

Division of Work: The work has to be divided and allocated to the individuals in the organization on the basis of their abilities and skills.

Hierarchy: It is a method of arranging individuals in the organization in a graded manner for receiving orders and reporting back about execution of orders.

Span of Control: It is a principle which emphasis that a superior cannot control more than a certain number of subordinates.

Unity of Command: It is a principle, which envisages that for the effective functioning of organizations, subordinates should receive command or orders from one supervisor only.

Unity of Direction: It envisages that a single top executive should head organizations. If more than one person it will lead to confusion in heads the organization it's functioning.

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## 10.8 QUESTIONS FOR REVIEW

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1. Do you think that the principles of administrative management approach can be scientifically verified or they are mere proverbs?
2. Do you think that the bases of departmentalisation are still relevant in the twenty first century organisations? Discuss.
3. Do you think that the principles of organisations are still relevant in the context of modern day organisations? Discuss.
4. Discuss the Administrative Management Approach: Important Contributors

5. Describe The General Principles of Administration
6. Discuss the Administrative Management Approach: Criticism
7. Discuss the Administrative Management Approach: Relevance

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## 10.9 SUGGESTED READINGS AND REFERENCES

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## 10.10 ANSWERS TO CHECK YOUR PROGRESS

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### Check Your Progress 1

1. See Section 10.2
2. See Section 10.3
3. See Section 10.4
4. See Section 10.5



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# UNIT 11: O & M PROGRAMME

## EVOLUTION

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### STRUCTURE

- 11.0 Objectives
- 11.1 Introduction
- 11.2 Organization Management (O & M)- Meaning, Need and its Features
- 11.3 Definitions
- 11.4 Stages of Organisation Development
- 11.5 Essentials for Success of Organisational Development
- 11.6 Let us sum up
- 11.7 Key Words
- 11.8 Questions for Review
- 11.9 Suggested readings and references
- 11.10 Answers to Check Your Progress

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## 11.0 OBJECTIVES

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After studying this Unit, you should be able to understand:

- what is Organizational Management (O.M) – its definitions
- To discuss about the objectives of O.M.
- To know about the stages of O.M

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## 11.1 INTRODUCTION

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There is a lot of similarity between an organization and an organism (living things). All organisms take birth, survive, grow, impact the environment, stabilise after some time and the start decaying and ultimately die. Organizations also take birth and undergo similar stages as the living organisms except the last two stages. If appropriate steps are taken, the last two stages can be avoided in case of organizations. Today the vulnerability of the organizations has increased. Due to rapid

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knowledge and technology explosion, many organizations are becoming unviable within no time. A number of options and new features are available to customers, hence product-life has shortened. Newer approaches to cost reduction, quality improvement and delivery time reduction are posing continuous threats. Rapid changes in economic, political and social environment are bringing new types of problems. Thus, modern organizations have no option other than continuously striving for enhancing their coping abilities. A variety of interventions under the umbrella of 'Organization Development' are available to the modern organizations for remaining effective and growing in the rapidly changing environment.

Organization is a principle of life. We seek the help of organizations to meet our day to day requirements such as to feeding, clothing, educating , entertaining, protecting etc. However, organizations are not contemporary creations. Organizations are as old as human race. When Archaeologists discovered huge temples around 3500 B.C., these monuments insinuate that during the recorded times not only complex organizations existed, but that the people in them also organized to work together towards planned goals. Their efforts were systematically coordinated and controlled to achieve such outcomes. Modern society, however, has more organizations which are fulfilling a larger category of societal and personal needs. Organizations are so encompassing in the modern life that it is sometimes easy to overlook that each may be regarded as an entity with a specific contribution and specific goals.

The term organization is derived from the Greek word organon i.e., tool or instrument. It is often been understood as the embodiment of persistent efforts to coordinate, influence and control human behavior in order to reach some desired result. According to Chester I. Bernard, an organization is "a system of consciously co-coordinated activities or forces of two or more persons". Max Weber in his ideal type defined the following features and dimensions as basic for all organizations, distinguishing them from other social collectivities. The organisation has transparent and definite boundaries: It signifies a social unit which is either closed or limits the admission of outsiders. It has a collective identity of its Understanding Organizations 6 The Organisation has a

Central Coordination System: There is one locus of final authority who make and impose binding collective decisions. Leaders at the center manage the concentrated efforts of the organisation, making it a unitary, hierarchical actor. The Organisation is Differentiated Internally: Internal organisational roles are sharply differentiated and codified in rationally established formal rules. Decisions are implemented by a disciplined, specialised, continuously and rationally operating staff. The Organisation is Legitimate: The organisational order, including the distribution of authority, power and responsibilities, is legitimate. That is, discipline is based on a belief that actors holding certain positions have the authority to impose orders and rules and others have a duty to obey. The Organisation's Characteristics Establish What is Achieved: There is a high degree of steadiness between organizational goals, structures, processes, behavior and outcomes. The quality of achievements depends directly on organizational structures and processes. The Organisation is Flexible: Organisations are rationally designed tools, and are deliberately structured and restructured in order to improve their problemsolving capacity and their ability to realize predetermined goals. The Organisation is a part of Societal Transformation: While organizations are seen as rationally designed instruments, their growth, increased importance and acceptance in society also reflect a changing societal context, i.e., the sweeping transformation from traditional to modern society, with its strong faith in, and maintain rationality in current social context.

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## **11.2 ORGANIZATION MANAGEMENT (O & M)- MEANING, NEED AND ITS FEATURES**

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The nature of an organization can be better understood by using different metaphors. A metaphor is defined as the figure of speech that characterizes one object in terms of another one. The use of metaphor implies a way of thinking and a way of seeing that pervades how we comprehend our world generally. According to Morgan, a number of metaphors can be used to think and explain about the nature of organization. Collectively these metaphors can be used to engender a

## Notes

range of complementary and competing insights into the strengths and weaknesses of different view points. Nevertheless, there is no specific theory or metaphor that gives a general point of view (Gareth Morgan, 1986/1997).

Morgan illustrates his ideas by exploring eight archetypal metaphors of organisation: Machines, Organisms, Brains, Cultures, Political Systems, Psychic Prisons, Flux and Transformation, Instruments of Domination. a) Organisations as Machines German Sociologists Max Weber parallels between mechanisation and organisation. He patterns his ideal type after the vaunted Prussian army and called it bureaucracy. Bureaucracy is explained as a form of organisation that emphasizes precision, speed, clarity, regularity, and efficiency achieved through the creation of a fixed division of tasks, hierarchical supervision, and detailed rules and regulations. He mentioned that the bureaucratic form routinizes the process of administration exactly as the machine routinizes production. Mechanistic approaches to organisation work well only under the following conditions: (a) When there is a straightforward task to perform; (b) when the environment is stable enough to ensure that the products produced will be appropriate ones; (c) When one wishes to produce exactly the same product time and again; (d) when precision is at a premium; and (e) when the human 'machine' parts are compliant and behave as they have been designed to do. Mechanistic approaches to organisation have proved incredibly popular, partly because of their efficiency in the performance of tasks that can be successfully routinized and partly because they offer managers the promise of tight control over people and their activities. In stable times, the approach worked from a managerial point of view. But with the increasing pace of social and economic change, its limitations have become more and more apparent. Its limitations are that it: (a) can create organisational forms that have great impediment in adapting to changing circumstances; (b) can result in mindless and automatic bureaucracy; (c) can have unforeseen and undesirable consequences as the interests of those working in the organisation take precedence over the goals the organisation was designed to achieve; and (d) can have dehumanizing effects upon employees, particularly those at the lower levels of the organisation

hierarchy. b) Organisations as Organisms Morgan parallels between organisms and organisations in terms of organic functioning, relations with the environment, relations between species, and the wider ecology. The organism metaphor focuses on the following: Organizations as “open systems”. The process of a adapting organizations to environements. Organizational life cycles. Factors influencing organizational health and development . Different species of organization. The relations between species and their ecology. The organism metaphor views organization as a living system striving to survive in an uncertain environment. c) Organizations as Brains This approach to understanding organization, originally known as “the decisionmaking approach,” was pioneered in the 1940s and 1950s by Nobel 11 winner Herbert Simon and colleagues like James March .Exploring the parallels between human decision making and organizational decision making, Simon is famous for arguing that organizations can never be perfectly rational because their members have limited information processing abilities. Arguing that people: (a) usually have to act on the basis of deficient information about possible courses of action and their consequences, (b) are able to explore only a limited number of alternatives relating to any given decision, and (c) are unable to attach accurate values to outcomes, Simon challenged the assumptions made in economics about the optimizing behavior of individuals. He concluded that individuals and organizations settle for a “bounded rationality” of “good enough” decisions based on simple rules of thumb and limited search and information. d) Organizations as Cultures Organizations are mini-societies that have their own distinctive patterns of culture and subculture. Culture is a modern concept used in an anthropological and social sense to refer broadly to “civilization” and “social heritage”. This meaning of the word did not appear in an English dictionary until the 1920s. Its increasing use within the social sciences has led to definitions of varying generality, which develop in a host of ways. Taylor’s (1871) view that “culture, or civilization... is that complex whole which includes knowledge, belief, art, law , morals, custom, and any other capabilities and habits acquired by man as a member of society”. Kroeber and Kluckhohn (1952), have identified

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almost 300 definitions, and they provide a detailed analysis of 164. There is a growing literature of relevance to understanding how organization can be understood as a cultural phenomenon. Durkheim (1934), Weber (1947), Parsons (1973), and Harris (1979) provide valuable sociological analyses. Durkheim (1934) is particularly valuable for understanding the relationship between culture and industrialization. Kerr et al. (1964) explore the similarities in the structure of all kinds of industrial societies. The approach known as “Institutional theory” has developed the broad tradition by examining the links between organization and social context, revealing how both are intertwined in the most fundamental sense. Sahlins (1972) helps us to see the distinctive nature of modern society through comparisons with Stone Age society. The greatest strength of this metaphor is that it shows how organizations rests in shared systems of meaning, values, ideologies, beliefs, norms, and other social practices that ultimately shape and guide organized action. e) Organizations as Political Systems Organisations can be understood as mini-states where the relationship between individual and society parallel by the relationship between individual and organization. There are three frames of references that are quite relevant for understanding organizations as political systems. The pluralist frame of reference emphasizes the plural nature of interests, conflicts, and sources of power that shape organisational life. The unitary frame of reference views that society can be considered as an integrated whole where the interests of individuals and society are synonymous. And the radical frame of reference views society as comprising antagonistic class interests, characterizes by deep rooted social and political cleavages and hold together as much by coercion as by consent.

A set-up where individuals from diverse backgrounds, different educational qualifications and varied interests come together to work towards a common goal is called an organization.

The employees must work in close coordination with each other and try their level best to achieve the organization’s goals.

It is essential to manage the employees well for them to feel indispensable for the organization.

**Organization management helps to extract the best out of each employee so that they accomplish the tasks within the given time frame.**

Organization management binds the employees together and gives them a sense of loyalty towards the organization.

### **What is Organization Management?**

- Organization management refers to the art of getting people together on a common platform to make them work towards a common predefined goal.
- Organization management enables the optimum use of resources through meticulous planning and control at the workplace.
- **Organization management gives a sense of direction to the employees.** The individuals are well aware of their roles and responsibilities and know what they are supposed to do in the organization.

**An effective management ensures profitability for the organization.**

In a layman's language organization management refers to efficient handling of the organization as well as its employees.

### **Need for Organization Management**

- Organization management gives a sense of security and oneness to the employees.
- An effective management is required for better coordination among various departments.
- Employees accomplish tasks within the stipulated time frame as a result of effective organization management.
- Employees stay loyal towards their job and do not treat work as a burden.
- Effective organization management leads to a peaceful and positive ambience at the workplace.

## Essential Features of Organization Management

### 1. Planning

- Prepare an effective business plan. It is essential to decide on the future course of action to avoid confusions later on.
- Plan out how you intend to do things.

### 2. Organizing

- Organizing refers to the judicious use of resources to achieve the best out of the employees.
- Prepare a monthly budget for smooth cash flow.

### 3. Staffing

- Poor organization management leads to unhappy employees who eventually create problems for themselves as well as the organization.
- Recruit the right talent for the organization.

### 4. Leading

- The managers or superiors must set clear targets for the team members.
- A leader must make sure his team members work in unison towards a common objective. He is the one who decides what would be right in a particular situation.

### 5. Control

- The superiors must be aware of what is happening around them.
- Hierarchies should be well defined for an effective management.
- The reporting bosses must review the performance and progress of their subordinates and guide them whenever required.

### 6. Time Management

- An effective time management helps the employees to do the right thing at the right time.
- Managing time effectively always pays in the long run.

### 7. Motivation

- Motivation goes a long way in binding the employees together.



- Appreciating the employees for their good work or lucrative incentive schemes go a long way in motivating the employees and make them work for a longer span of time.

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## 11.3 DEFINITIONS

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S Organization Development has been defined differently by different people. Some of the definitions are given below.

a) Warren Bennis "A response to change, a complex educational strategy intended to change the beliefs, attitudes, values and structure of organizations so that they can adapt to new technologies, markets and challenges and the dizzying rate of change itself."

b) Richard Beckhard An effort (1) planned (2) organization-wide (3) managed from the top to (4) increase organization effectiveness and health through (5) planned intervention in the organizations' 'processes' using behavioural science knowledge. Such efforts are usually long term (at least 2-3years) action oriented (rather than merely training) focused on changing attitudes and/or behaviour through experience based learning activities primarily in a group setting.

c) Wendell L. French and Cecil H. Bell OD interventions are sets of structured activities in which selected organizational units (target groups on individuals) engaged with a task or a sequence of tasks where the task goals are reflected directly or indirectly to organizational improvement. Interventions constitute the action thrust - of OD, they "make things happen" and also, "what's happening."

d) Udai Pareek A planned effort initiated by process specialists to help an organization develop (a) its diagnostic skills (b) coping capabilities (c) linkage strategies (in the form of temporary and semi-permanent system) and (d) a culture of mutuality.

e) Thomas G. Cummings and Edgar F. Huse A system wide application of behavioural science knowledge to the planned development and

reinforcement of organizational strategies, structures and processes for improving an organization's effectiveness.

f) National Training Laboratories, U.S.A. Using Knowledge and Techniques from the behavioural sciences, Organization Development attempts to integrate individual needs for growth and development with organizational goals and objectives in order to make more effective organization.

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## **11.4 STAGES OF ORGANISATION DEVELOPMENT**

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OD efforts are made in stages. The details of activities in each stage depend on the model being followed. Three models that may be mentioned are:

- i) Lewin's Change Model having three stages: Unfreezing, Movement and Refreezing;
- ii) Planning Model — with the stages: Scouting, Entry, Diagnosis, Planning, Action, Stabilization Evaluation and Termination; and
- iii) Action Research Model — comprising the stages: Problem Identification, Inviting a Behavioural Science Expert, Data gathering / Preliminary diagnosis, Feedback to groups, Joint Diagnosis of Problem, Action and Data gathering after Action. For the sake of more clarity, the stages followed in the OD efforts (a large organization) have been shown in Figure 11.1.

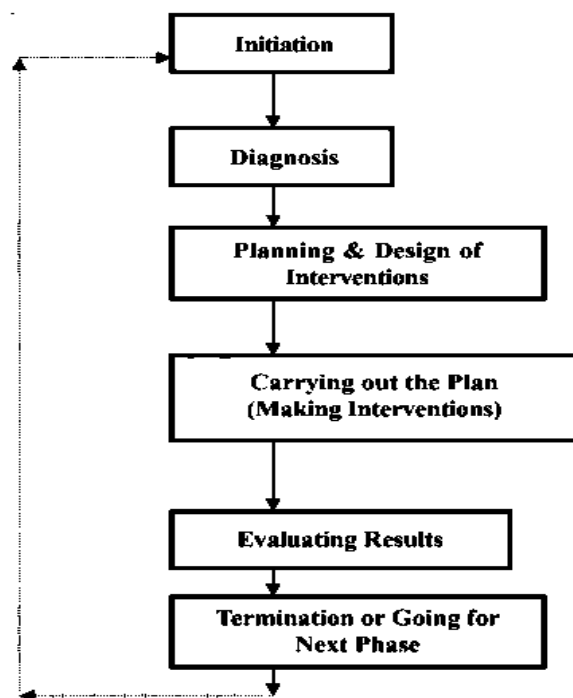
### **11.4.1 Initiation**

This stage consists of the following substages.

- a) Feeling the need Organization Development efforts are mainly initiated when a top management person feels the need. Sometimes the need is felt when organization is doing very bad and sometimes when the organization is doing very good. For example, in a large public sector organization, the need was felt by the head when there were continuous problems in quality of the products. It has been

observed that in many organizations, felt the need when the organization was striving to define its vision and mission for coping with the future challenges. Sometimes the need is felt by seeing other organizations especially competitors growing and prospering. Need has also been felt in some organizations when they were making strategies for turnaround or when a consultant makes presentation giving success stories of other companies. If need is felt by somebody at the lower levels, he has to make efforts for convincing the senior management, because unless the CEO is convinced and assures active support, OD activities should not be initiated

Figure 11.1: Stages in Organization Development Efforts – A General Model



- b) Inviting Consultants Once the need is felt, consultants are invited. Consultants may be internal or external. Due to low knowledge level of clients, some times consultants who have a good name in management field but are not expert in organization development get entry. Therefore, selecting a consultant for organization development is very important. ‘Organization Development’ is a Behavioural Science based approach, hence the first requirement is that the

consultant should possess an indepth 'process skill' understanding behavioural processes. 'Accredited Behavioural Process Facilitator' therefore is the most desirable requirement. This is more so because 'Organisation Development' approaches are largely based on 'Process Consultancy'.

- c) **Identifying and Clarifying the Need** The consultant initiates discussions for ascertaining what the client would like to change in his organization and what help is required from the consultant. Interaction may be held with the Chief of the Organization and a few other top management persons for identifying and clarifying the need. In some cases the CEO is found to be very clear on some needs and in some organizations the CEO completely depends on the consultant for identifying and clarifying the needs. Unless and until the need is not truly felt by the CEO, it is advisable not to initiate organization development efforts.

For clarifying the need a number of methodologies may be used like, environment analysis - internal and external, SWOT analysis, scenario building, developing Mission, Vision, Values and Strategies, comparison with competitors etc. Success stories of successful organizations and Satisfaction surveys are also sometimes used.

- d) **Exploring Readiness for Change** Inspite of the strongly felt need, it is essential to explore the readiness of the organization to change. A process facilitator may call a meeting / workshop of senior people and on the basis of observations on the interaction; he can get an idea of the readiness to change. When too much fascination for the status quo is sensed, fear and apprehensions are strongly expressed, cases of failure are cited more than success stories, and resource scarcity is repeatedly presented. OD should not be initiated in a hurry. Some consultants conduct a few workshops for assessing the readiness. Instruments/questionnaires are also used by some consultant. An approach developed by J William Pfeiffer and John E Jones may be suggested. This approach is based on indicators which they have developed in the form of a check list (instrument). The indicators are being enumerated in Table 11.1 under three broad classes.

Table 11.1 Indicators for Readiness to Change

<b>General Considerations</b>	
–	<b>Size of the organization</b>
–	<b>Growth rate</b>
–	<b>Crisis (situation)</b>
–	<b>Macro economics</b>
–	<b>OD history</b>
–	<b>Culture</b>
<b>Resources</b>	
–	<b>Time commitment</b>
–	<b>Money</b>
–	<b>Access to people</b>
–	<b>Labour Contract limitations</b>
–	<b>Structural flexibility</b>
<b>People Variables</b>	
–	<b>Interpersonal skills</b>
–	<b>Management development</b>
–	<b>Flexibility at the top</b>
–	<b>Internal change agents</b>

Source: ‘OD readiness’ by J.W. Pfeifer and John E Jones’ in ‘The 1978 Annual Handbook.

This instrument / check list can be served to a number of people in the organization, including the top management and the findings should be discussed. This will not only give an idea about the readiness, but also raise the awareness towards some of the crucial pre-requisites. 5 e) Formulate Contract The role of the consultant and the client, and objective of the project, resources required by consultant, the outcome desired by the client — all the important aspects are clarified and then an MOU or contract between the client and consultant is formulated for carrying out the OD interventions. Financial implications should also be clarified at this point.

### **11.4.2 Diagnosis**

Diagnosis is the process of assessing the functioning of the organization or departments to discover sources of problems and areas of improvement (Cummings and Huse, 1989). This stage consists the

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following substages. a) Problem Identification (Preliminary) Problems may be of many types. Some may be hidden and some apparent. Usually, the symptoms are visible but not the causes or problems. A problem may be there in any one of the organizational component – task, structure, technology, human resources or prevailing in more than one component. Many a times, the problems are experienced in the environment ( internal or/and external). Problems are situations in which we experience uncertainty or difficulty in what we want to achieve. Problems arise when obstacles prevent us in reaching the desired objective. In problem identification, there is a high possibility of taking symptoms as problems. Some managers have a strong tendency to look at problems from one (technical / functional) view point only and thus the multi-disciplinary aspect of problem is ignored. It is also a widely prevalent fact that managers, particularly those having more experience have pre-conceived ideas about the causes of problems but they may not be knowing the real problems. The things in the foreground will be fully visible only when there is a background; therefore, sometimes the study of the background helps in understanding the problem.

How the problem is seen, experienced and perceived by different people in the organization is very important for its solution. The preliminary problem identification stage includes gathering and analysis of information on the organization's activities and performance. This can be done by going through various reports including annual reports, types of grievances raised, industrial relations related data etc. The most important data comes through discussions with Senior management personnel, Trade Union leaders, Workers, Middle management and supervisory levels. The Consultant at this stage is not interested in details but is trying to understand the trends, relationships, communication, decision-making, circles of influences etc. Consultants use a number of approach for identifying important problems. In one organization, the Consultant first had a long discussion with the CEO asking his perception of problems the organization was facing. He identified the problems mainly in the background of what he wanted the organization to achieve but the organization was not achieving (i.e. gaps). When the consultant wanted to know the causes of the gap, some of the problem

areas were identified. He subsequently talked to a few persons at different levels in the organization and could know about various problems. In another organization, a Top Management Workshop conducted in which individuals first identified problems by writing on slips (confidentially) and then the slips were collected and segregated. Problem identification workshops were held for other levels also and then a few commonalities and trends were identified. One company tried to identify problems by a SWOT Analysis. While others preferred to make comparison with competitors and identify problem areas, or going for a functional approach — function by function SWOT analysis. The use of sophisticated techniques like ‘FOCUS Groups’ and ‘Play Card Method’ is also increasing gradually. Thus, a variety of approaches and methods are used for initial problem identification — the main purpose is to identify some crucial areas for further analysis.

**Identification of Organizational Need** Does the organization need OD interventions? At this stage, this is ascertained. The commitment of the CEO is crucial; the willingness of the Senior Manager team is also crucial because OD is a ‘Top Down Approach’. In one organization, after a long discussion with the Consultant, the CEO told to go ahead if the consultant experiences the need and the consultant did not initiate OD efforts in the company. Why? Because he did not sense a strong need for OD in the CEO. The Consultant has to make sure, whether OD is the right intervention for solving the problems of the organization. Only after making sure he should proceed ahead.

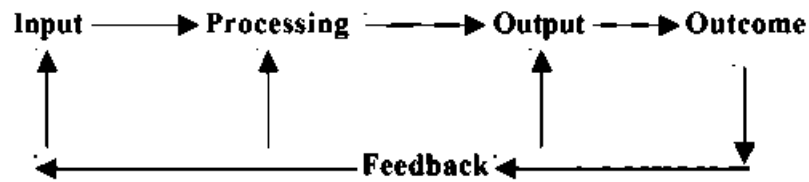
**Identification of Areas for In-depth Analysis** OD is costly intervention. On the basis of preliminary problems identification, and resources likely to be made available, areas for in-depth analysis may be identified. Too many problems should not be taken up in the beginning.

b) **Diagnosis** In OD, organizational diagnosis is a collaborative process between organizational members and OD consultant leading to collection of relevant information, analysis and drawing inferences for planning actions and interventions. A number of diagnostic models explain the characteristics of organizational diagnosis. But the ‘Systems Model’

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showing organization as an open system is quite fundamental. Apart from the three components (Input, Processing and Output).

Figure 11.2 : Systems Model



Feedback and interaction with boundry is also very important from diagnosis point of view. Indepth diagnosis can be designed for the critical problem areas identified in the previous steps. However, normally organizational systems can be diagnosed at three levels. The diagnosis may focus on anyone or all of the components as each level (Table 11.2).

Table 11.2 : Levels of Organisational Diagnosis

<b>Organizational level :</b>	
	– Goals
	– Policy
	– Strategy
<b>Input</b>	– Environment
	– Resources
<b>Processing</b> (Conversion)	– Task
	– Structure
	– Technology/Systems
	– Human Resources
	– Culture
<b>Outputs</b>	– Effectiveness/Efficiency
	– Market share
	– Return on Investment
	– Quality
	– Delivery (timeliness)
	– Cost
	– Satisfaction of customers
	– Benefits to Society or
<b>Outcome</b>	– Impact on Ecology / Environment etc.



<b>Group level :</b>	
<b>Input</b>	– Organizational design – Organizational norms
<b>Processing</b>	– Task Structure – Norms of Performance – Interpersonal relations – Other characteristics of Individuals
<b>Output</b>	– Quality of decisions – Team effectiveness – Cohesiveness – Collaboration
<b>Outcomes</b>	– Organizational environment – Satisfaction, pleasure in Work. – Achievement orientation – Customer satisfaction
<b>Individual level :</b>	
<b>Inputs</b>	– Organizational design – Workgroup design – Personal characteristics of employees.
<b>Processing</b>	– Job content/requirement – Matching of Job and employee profile. Task identity Skill variety Task significance Task identity
<b>Output</b>	Autonomy / Feedback Personal effectiveness Performance level Quality of performance
<b>Outcome</b>	Job Satisfaction Motivation / Achievement Motivation Creativity / Risk taking

From the above mentioned Table, or on the basis of preliminary diagnosis, area for in depth diagnosis is identified. For example, customer satisfaction, poor morale and motivation, Quality / Delivery of Products and Services, Organizational Environment, Managerial / Leadership styles etc.

c) Design of Data Collection / Survey A variety of data collection methods may be used for this purpose. Some are enumerated as: Questionnaires; Interviews; and Observations. Usually, a mix of these three are used In designing a diagnosis, it is essential to collect data both in respect of content and process aspects. Whatever method is used, it should be designed properly and tested and validated before actual collection. It is advised to use statistical methods in determining the

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sample size. A number of organizational diagnosis - instruments are available through various sources — which may be successfully used. A few of the approaches or organizational diagnosis have been briefly suggested in the book “Planning, Auditing and Developing Human Resources, By Parth Sarathi.”

d) **Analysing the Data, Making Inferences** The data which has been collected through various techniques are to be analysed systematically. A number of statistical methods like frequency diagrams, scatter diagram, run charts, correlation and regression analysis are useful for quantitative analysis. For qualitative analysis techniques like Force Field Analysis, Fish-bone diagrams (root cause analysis), Affinity diagram, Why-Why diagram, How-How diagram are very useful.

e) **Sharing of Diagnosis and Feedback** OD differs from other interventions in one way that the data, after analysis is feedback to the population from where it has been collected. For this, ‘Survey Feedback’ meetings are organised where the analysis of the data collected is presented. The audience is encouraged to give their comments / reactions. It serves two purposes — the credibility of OD group is established because they are showing what they have collected, analysed and inferred. It also provides opportunity for seeking clarifications and supplementary data to test the inferences. This is a very powerful intervention because the persons get a picture of the organizational issues, perceptions and feedback on individual and group behaviour. Survey feedback intervention includes of collection of data / information about organizations and giving feed back in the form of the data/information to managers and employees so that they can diagnose problems and develop action plans for solving them. Generally, questionnaires (standard or custom designed) are used for data collection. The salient features of findings are shared with people in groups starting from Top Management to the lower levels. Both content and process observations emerging during this sharing session are noted down and further clarity is obtained by seeking more data whenever required.

Certain precautions are taken while interacting — mostly those which are taken care of while giving feed back to an individual. The analysis shows

- (i) represent reality,
- (ii) raise some anxiety and
- (iii) be descriptive rather than evaluative.

For example, an organizational diagnosis was carried out in an organization and the information contained in Table no. 11.3 was presented. Organizational and personal pride, performance excellence and Team Working and Communication were found to be the weakest dimensions, which was readily agreed by most of the groups, but created some anxiety considering the impact on the future of the organization. A few senior executives and also a few from the personnel function gave some defensive replies which were thoroughly discussed.

Table 11.3 : Organizational Norms Score and Ranking

Norm		Average Score	
1.	Colleague & Associate Relationships	VG	AA + 43.69
2.	Customer & Client Relationships	G	AA + 37.86
3.	Innovativeness & Creativity	G	AA + 34.06
4.	Leadership & Supervision	G	BA + 27.4
5.	Profitability & Cost Effectiveness	G	BA + 27.39
6.	Candor & Openness	G	BA + 27.15
7.	Training & Development	G	BA + 26.69
8.	Team Work & Communication	G	BA + 26.42
9.	Performance & Excellence	G	BA + 21.46
10.	Organizational & Personal Pride	P	BA + 17.04

### 11.3.4. Planning and Design of Interventions

An intervention is a set of structured activities in which selected target group (individual, groups, organizational unit) engage with a task or sequence of tasks where the task goals are related directly or indirectly to organizational improvement (French & Bell, 1983). In other words, OD interventions refer to range of planned, programmed activities in which people participate during the cause of a formal OD effort. The OD interventions are focused on Individual, Dyads, Triads, Teams and Total Organization. Some of these are enumerated in Table 11.4.

Table 11.4: Levels of OD Interventions

Level of Intervention	Intervention
<b>Individual</b>	— Education, Training for improving knowledge, Skills and Attitudes. Coaching and Counseling Sensitivity Training (T-Group Training)
<b>Dyads/Triads</b>	— Interviews (for problem diagnosis, action planning)  Process Consultation (for interpersonal relations, Communication) and Conflict resolution.
<b>Group/Team</b>	— Team Building Improving communications Survey feedback Conflict Resolution
<b>Teams/Groups</b>	— Conflict resolution Organizational mirroring
<b>Organization</b>	— MBO, QWL, TQM, Strategic Planning, Change (Values and beliefs, cultures etc.)

OD was carried out successfully for over a decade in a large Public Sector Engineering Company. Organizational issues, which emerged, may be presented here for illustration:

Strategic Management Issues Product mix –

- Classification of products, differential strategies for future.
- Competitiveness
- Customer Satisfaction
- Coping with future change in environment
- Organizational values / objectives Relationship with collaborators

Technical / Technological Issues

- Competing on Technology front
- Upgrading of machines and technology
- Technology vs. Human Resource costs
- Readiness for new products R&D vs. Technology acquisition
- Quality, productivity as com

Structural

- SBU / or Product Manager structure or Functional structure.
- Manufacturing Companies or Project Management company.
- Business Sectors - relationships
- Hierarchical differentiation and interactions
- Work Design

### HR Issues / HR Process Issues

- Morale and Motivation
- Retention of experts
- Setting goals
- Rewards Career / Succession Planning
- Leadership
- Communication
- Interpersonal
- Problem Solving

### Finance / Economic Issues

- Unrealised funds
- Huge inventory Rejects / Return from customers
- Investment vs. revenues
- Resource Crunch
- Unproductive assets
- Delay Payment
- Stores in Transit

All of these issues may not be resolved only through OD intervention, but these issues can be brought to surface, a common understanding can be established, issues / sub issues can be prioritised and planned efforts for resolving them may be made under OD framework. This helps in getting the commitment and involvement of people in resolving the issues. Some of the typical OD interventions used in resolving the issues may be enumerated as:

## Notes

Strategic Interventions Self designing organizations, Culture change, Open system planning, Trans-OD, Strategic change.

### Techno-Structural

- Interventions
- Differentiation and integration Structures — formal, collateral
- Work design
- Quality of work

### HR Process Interventions

- Goal setting
- Rewards system
- Career Planning Development
- Stress Management
- T-Group
- Third party intervention
- Team Building
- Process Consultation
- Survey feed back
- Organizational confrontation meeting
- Normative approach
- Inter-group relation

The activities under the 'Planning Design and Intervention' stage are briefly numerated as :

a) Selecting Areas of Improvement After sharing the feed back, the working team of OD sits together and prioritizes areas for improvement. For example, after diagnosis and feed back, the following areas were identified for work in one company. — Achievement — Team work — Participation — Raising Quality Awareness The areas are not selected randomly. Involvement of top management and some representatives of the involved areas is essential at this stage.

b) **Setting Goals** OD interventions are time bound. What output/outcomes are expected in each of the selected areas need to be clearly identified. They should be specific, Organizational Organisational Development and Change 12 measurable, flexible and time bound. The criteria for understanding and assessing the accomplishment of goals and methods of assessment and measurement should also be developed before making the interventions. Complete clarity and agreement on the above is a must.

c) **Developing Alternative Strategies / Interventions** For achieving the goals, alternative interventions are to be designed. Some interventions may be common for all or many goals and some may be specific to one or few goals.

d) **Selecting Alternative Strategies** Each of the proposed alternatives are evaluated carefully to select the most appropriate one. Some of the appropriate interventions will be situationally determined, but considering the following aspects will be helpful. The key variables in the relationship that will determine the success or failure of the intervention. The Behavioural Science Theories and concepts which will be used in process of understanding the organization. The basic elements of the organization (health, culture, climate) and interventions / techniques (e.g. T-Groups, team building, organizational mirroring, confrontation sessions) to be used to help the organization solve its problems. There should be complete agreement on the intervention selected and the resources and competencies available / to be made available should also be considered.

e) **Develop Implementation Plan** A plan for implementation of the intervention should be chalked out early identifying the activities, lead persons, facilitators, resources required, help required and time frame.

### **11.4.5 Carrying out the Plan: Making Interventions**

This stage consists of the following substages.

a) Preparing the Team For carrying out the interventions, a team of internal resource persons is prepared. Ideally, this is a multi-disciplinary team which would make the interventions and help in its successful implementation. The internal resource persons should be skilled in Human Process facilitation and should have undergone intensive training programmes.

b) Conducting the Activities Whatever interventions have been planned, are to be implemented. In many areas, employees would pose resistance which is to be overcome. If the approach appears to be inadequate or inappropriate amendments are to be made. The experience are to be documented highlighting both process and content aspects. Regular interaction with the committee / task force members and Consultants is very essential.

c) Mid Course Evaluation After interventions have been made, periodic evaluation is required for ascertaining whether the interventions are bringing desired results. If yes, then further follow up is required. If not, it must first be examined whether interventions have been made as per the plan. If interventions have been made as per the plan but are not giving the desired results, the causes must be examined and if need, alternative interventions should be designed and introduced.

### **11.4.6 Evaluating the Results**

After all the interventions have been made, the results should be evaluated. The criteria developed earlier should be used as the reference points. A variety of methodologies such as comparison of the actual results (tangible) with the planned results, interviews and survey through questionnaire and workshop etc. may be used as per the need. The members of the OD Task Force jointly with the Top Management and Consultants should decide the future course of action.

### **11.4.7 Terminating**



OD intervention should be terminated after achieving the desired results. The termination should be done in a planned manner. If the Organization decides to go for the next phase, again the cycle should be repeated.

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## **11.5 ESSENTIALS FOR SUCCESS OF ORGANISATIONAL DEVELOPMENT**

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The essentials for success of OD are mentioned below:

- 1) Perception of organizational problems by the Top Management and Key persons in the organization.
- 2) The acceptance of the fact by the Top Management / CEO that his primary accountability is 'Profit' but his primary responsibility is OD.
- 3) A belief in the Applied Behavioural Science profession, and willingness to invite a consultant.
- 4) Active involvement and support of Top Management.
- 5) Willingness to do Action research: conceptualizing — implementing — evaluating.
- 6) Patience in waiting for results — adequate awareness of (Behavioural) Processes and emphasis on improvement of Process aspects. 7) A genuine belief in Human Resources.
- 8) An OCTAPACE climate (Udai Pareek, 2002) – Openness – Confrontation – Trust – Authenticity – Pro-action – Autonomy – Collaboration – Experimentation
- 9) Success in initial OD efforts.
- 10) Belief in Training and Development.

**Notes**

11) Involvement of Line Managers and HR Managers — company’s HR Policies congruent with OD philosophy and values.

12) Identification and Development of Internal resource persons (Facilitators for OD)

13) A high level committee of Top / Senior level managers who are knowledgeable in their functions, managerially competent, optimistic, having a sense of inter-dependences and urgency, clarity and belief in the super ordinate goals of the organization and a learning attitude.

14) Willingness of the members of the organization to change their thoughts and feelings as a result of OD efforts.

15) A belief in searching for the better way of doing / managing and adaptability to change.

16) Interventions should aim at change in the organizational climate / environment as well as the social processes within the organization.

17) The interventions should be based on scientific diagnosis and parameters for measurement of success should be clarified in advance.

18) Continuity of OD efforts even after change in Top Management.

19) No imposition of any thing — the interventions should be chosen by the client from amongst many alternatives.

**Check Your Progress 1**

Note: a) Use the space provided for your answer

b) Check your answers with those provided at the end of the unit

1. Organization Management (O & M)- Meaning, Need and its Features.

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2. Definitions of Organization Management.

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3. Stages of Organisation Development.

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4. Essentials for Success of Organisational Development.

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## 11.6 LET US SUM UP

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To cope with the changing business scenario, a variety of interventions are available under the umbrella of OD for the modern organisations. In this unit number of definitions of OD has been discussed also general model of OD efforts having six steps has been given.

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## 11.7 KEY WORDS

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Organisations: An organization or organisation is an entity comprising multiple people, such as an institution or an association, that has a particular purpose. The word is derived from the Greek word organon, which means tool or instrument, musical instrument, and organ.

Development: Economic development, as a public sector term, is the process by which the economic well-being and quality of life of a nation, region or local community are improved according to targeted goals and objectives

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## 11.8 QUESTIONS FOR REVIEW

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1. Define OD and what are the objectives of OD?
2. Discuss the stages of OD.
3. What are the essentials for success of OD?

4. Organization Management (O & M)- Meaning, Need and its Features.
5. Definitions.
6. Stages of Organisation Development.
7. Essentials for Success of Organisational Development.

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## 11.9 SUGGESTED READINGS AND REFERENCES

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## 11.10 ANSWERS TO CHECK YOUR PROGRESS

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### Check Your Progress 1

1. See Section 11.2
2. See Section 11.3
3. See Section 11.4
4. See Section 11.5

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# UNIT 12: MANAGEMENT INFORMATION SYSTEM

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## STRUCTURE

- 12.0 Objectives
- 12.1 Introduction
- 12.2 MIS:A Three Letter Acronym
- 12.3 Functions of Management
- 12.4 Purpose of Information System
- 12.5 Types of Information System
- 12.6 Definitions of MIS
- 12.7 Why Management Information System?
- 12.8 Different Components of MIS
- 12.9 MIS : An Integrated Application
- 12.10 Developing MIS : Do's And Don'ts
- 12.11 Forces Which Makes MIS Strong & Successful
- 12.12 Stumbling Blocks
- 12.13 Limitations of MIS
- 12.14 Steps for Avoiding Pitfalls
- 12.15 Let us sum up
- 12.16 Key Words
- 12.17 Questions for Review
- 12.18 Suggested readings and references
- 12.19 Answers to Check Your Progress

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## 12.0 OBJECTIVES

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Information has been and always will be the foundation stone and Management Information Systems encompass an overture to the foundations, technology and applications of Management Information Systems (MIS). The unit emphasizes 'Systems Thinking;' i.e., the conceptualization of Information Systems as structured configurations of elements behaving cooperatively to dish up the information needs of an organization. The goal of this unit is to make available a real-world understanding of information systems (ISs) for the students who are pursuing the “Certificate in Technology”. Like its predecessor, this unit

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provides students with a firm foundation in business-related information technology (IT) on which they can build successful careers regardless of the particular fields they choose. After reading this unit you will be able to comprehend and will furnish with skills to evaluate information requirements for managerial decision making. It will facilitate learner to assimilate their learning from other functional areas and endow with scope for improved understanding of the decision making process in organizations. It will use information technology in the expansion of systems and trained learners to build up prototype systems using end-user database software.

- Identify systems of information flow
- How organizations use information systems.
- Be familiar with the basic theories, concepts, methods, and terminology used in information systems.
- Conceptualize information systems as Systems of Information; i.e., be able to apply basic concepts of Systems Theory and Information to real-world management information systems.
- Conceptualize information systems as complexes of hardware and software technologies and represent these complexes in system theoretical terms.
- Basics of management information system (MIS) familiarize with the stages of development of a simple MIS and its applications.
- Understand the relationships, both historical and current, between the use of information systems and business productivity.
- List the types of enterprise systems and the function they perform.
- Show the key components of an organization's network.
- Ensure how there could be a flow of information within and outside the organization.
- Act as interface among sections and management tiers.
- Provide an overview of information successes and failures and some of their causes.

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## 12.1 INTRODUCTION

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In today's technical era, revolution in business takes place with the foreword of Internet technologies. These Internet technologies are necessary parts for the screen of today's networked management. Therefore, there is a growing need for all those interested in doing business, management and computerized accountancy to understand the concept and scope of this technology and the way it is used to provide information for various functions in business.

When computer technology turns out to be further extensively obtainable in the late 1950s and early 1960s, there was an increased eagerness for information systems to augment management decision processes. Which later converted into a nomenclature known as MIS (Management Information System). MIS is viewed and used at many levels by management and has turned out to be the favourite software engine for the development of IT in most recent years. This module throws some light on Management Information System, its application, and experience. This impression and framework of MIS in the form of module had been explained in an extremely exhaustive manner and gives reader a solid perceptive about its glimpse from every side that is underneath to pinnacle and more imperative showing the flavour of technology amalgamation with management.

The term Management Information System (MIS) is of relatively recent origin and is widely adopted following the accelerated use of computers in the early 1960's. The Management Information System to business what is the nervous system is to the human body. It is described as "informational blood stream" of an organisation. It encompasses a wide range of subject matters like management theory, communication theory, human processing of data and information technology. Often the concept of Management Information System is splintered and confused by'

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touting new ideas like decision support system, management reporting system, office information system, transaction processing systems, office automation, information resource management and database management system as replacements for Management Information System. However, a broad interpretation of the concept of Management Information System includes all the above. Management Information System has something significantly to do with two important management functions (or elements of management) studied in Unit 12, namely, planning and controlling. The basis for Management Information System is that computers, in addition to data processing, can serve as fine tools to improve the planning and control of operations by providing better information for decision making. As library and information professionals, we provide information support for research, education, planning, business, decision making and so on and so forth. By and large, libraries are providing information from public domain published information and to a limited extent public domain semi-published information. The critical requirements in a decision making situation in business is the classified and unpublished information as well as the crucial dynamic internally generated information. Each business enterprise will design and maintain its own Management Information System for the purpose and library and information professionals with their techniques and tools can play vital role in this endeavour. However, the purpose of this 'unit is to seek answer to the questions like don't we, as library managers, need Management Information System for libraries and information centres for decision making and efficient functioning?

The answer is definitely yes and let us look into various aspects of Management Information System for library and information centres. Library managers must have information concerning each aspect of their operations, functions and services. As a processor of information, a manager should collect, store, process, retrieve and utilise information required for decision making. Keeping abreast with all his requirements of information (both internal and external) in this ever expanding and complex library and information situation is beyond the capacity of individual library managers. As such a system has to be planned,



designed and evolved to take care of this crucial information requirement of information people.

There are numerous definitions of Management Information System. Yet the fundamental concept remains essentially the same. Management Information System can be defined as a collection of data processing equipment, procedures, software and people that integrates the sub-systems of the organisation and provides information for decision making on planning and control operations. In other words, Management Information System is an integrated user-machine system that monitors and retrieves data from the environment, captures data from transactions and operations within the firm, filters, organises and selects data and presents them as information to managers, and also provides the means for managers to generate information as desired. In simple terms Management Information System is any organised approach for obtaining relevant and timely information on which to base management decisions. Historically, accounting systems provide information for planning and control in business. Managers have always had sources of information. But Management Information System, with computerised processing of data provides a comprehensive system of information. Management Information System is a powerful method for aiding managers in operations analysis for solving problems and making decisions.

The scope and purposes of Management Information System can be better understood if we examine each word in the term. Firstly, management comprises the activities of managers and Management Information System is necessary to facilitate the decisions, managers have to take. Further, management has become system oriented and more sophisticated in management techniques. Secondly, information (as distinguished from data) is the essential raw material for making decisions. The job of Management Information System is to turn data into information. Information is planned for and made available to managers as needed, Thirdly, organisation is a system with a high degree of synergism. A system of information ties planning and control by managers to operational systems of Implementation.

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In general, the Management Information System is the means for connecting the managers with operating systems by exchange of information. The specific purpose of a Management Information System is to provide information for decision making on planning, organising and controlling the major activities of the organisation and initiating action with the intention of achieving synergistic benefits. The main objectives of Management Information System are facilitating the decision making, planning and control processes, objective performance appraisal of different units and individuals, the economic and efficient production of reports and serving as means for giving direction and action to manager's communication. It is important to note that Management Information System is meant for supplying and not generating information for managers. It is expected to provide processed information to the decision makers. The output of Management Information System is usually in the form of information reports. Such processed information is also disseminated to members of the organisation, the public and external stake holders like customers, distributors, competitors, suppliers, labour unions, stock- and bond-holders, financial institutions, trade associations, governments, special interest groups at large and regulating agencies.

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### **12.2 MIS: A THREE LETTER ACRONYM**

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It is important to note here that Management Information System captures data and information from the environment as well as the transactions and operations of the system. Data have to be obtained both from the internal environment like internal operations (marketing, production, finance and other functional areas) as well as from the external environment like competitors, unions, labour force, government policies, legal considerations, suppliers, customers, society, market etc. The internal information is generated from the operations of the organisation at various management levels in the various functional areas. The information gets processed within an organisation as it travels from the clerical level to the top levels of management. That is, the internal information always pertains to the various operational units of the organisation and gets summarised and processed as it gets from lower

level to the top level. Only summarised internal information is consumed at the top level and other internal information is consumed by lower and middle level managers. The external information which is from the environment affects the performance of the organisation from outside. Two basic approaches possible to Management Information System in any organisation are:

- i) Organisational functional sub-systems like marketing, production, materials, personnel and finance.
- ii) Processing activity sub-system at four different levels: a) Transaction processing (Clerical staff) b) Operational control (Junior level managers) c) Management control (Middle level managers) d) Strategic planning (Top level managers)

The major processing functions in Management Information System are: Processing of business transaction Updating of master files Generation of information reports Processing of interactive enquiries Providing interaction analytical support Information systems could be of two different types, i.e., structured and unstructured. Formalisation and publicisation of information lead to structuredness in information processing activity. Information systems could also be characterised as formal and informal. Formal systems follow the hierarchical structure of the organisation, whereas systems where unauthorised people pass on public or private information from one level to another level are called informal systems. MIS can also be classified according to function and time frame (i.e., for historical, control and planning purposes). As discussed in the "Communicating" function of managers in Unit 1, much information flowing in an organisation is informal. Any formalised information system operates within the context of the informal information channel or interpersonal networking called "grapevine". Seven important characteristics or attributes of quality information from an effective Management Information System are timeliness, accuracy, precision, completeness, conciseness, relevance and appropriateness of form. It may also be noted that an organisation can have information sub systems like accounting information system, office management system,

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marketing system, human resource information system, etc. The physical components of MIS are hardware, software, database, personnel and procedures. A database (i) which avoids data redundancy and inconsistency, (ii) which is programme and data independent, (iii) which provides flexible access to shared data, (iv) which ensures centralised control of data and v) which provides data privacy, security and confidentiality against fraud, theft, system errors, maliciousness, accidents, disasters, computer crime and abuse, etc. The essential functions carried out in the transaction processing are data capture, validation, classification, sorting, retrieval, calculation and summarisation. In order to achieve its set objectives Management Information System has to have many desirable characteristics apart from the attributes of quality information mentioned above. First of all, an MIS has to be management oriented as well as management directed. It must possess attributes like accessibility, comprehensiveness, accuracy, appropriateness, timeliness, clarity, flexibility, verifiability, freedom from bias and reliability. It has to be highly selective and capture only relevant data and information. It must integrate all functions, departments and levels of management in the organisation so as to ensure both synergistic effects as well as the impact of one function on the other. It must systematically synthesise the information requirements of each manager based on his position, responsibilities and scope for decision making. Management Information System must differentiate the kind of information required for planning, decision making and controlling purposes. MIS is designed for job positions rather than for individuals keeping in mind the job responsibilities and for needs of different levels of management in different functional areas. It must be highly responsive to changes caused by organisational and experimental changes. It must have some flexibility, ease to use, adaptability and an in-built contingency nature. Further, Management Information must consider the full effect of a decision in advance by supplying the required data. The information provided should have degrees of details just needed for the level of management, minimum need for further analysis and interpretation, uniform presentation and identified significant past relationship and forecasted future relationship. Management Information

System should be integrated by way of a database with single point data entry and updation and no data redundancy.

Before going into the details of what is Management Information System [MIS]?

First of all, we ought to know the meaning of 3 different terms, which form

Management Information and System in accumulation. Management Information

System is an old management device, which has been extensively used by people for

better management and scientific decision making. Management Information System is primarily reliant upon information, which is a vital ingredient of any Management Information System.

Information is the most critical resource of management Information System and we all know that information is a fundamental factor for our continuation. Just as our

body needs air, water and clothes, we are as much dependent upon information.

Management Information System is a combination of 3 English letters

⇒ M which stands for Management?

⇒ I Which stands for Information

⇒ S Which stands for System

• Management: We can define management in many ways like, “Manage Man

Tactfully” or Management is an art of getting things done by others.

However, for

the purpose of Management Information system, management comprises the

process and activity that a manager does in the operation of their organization,

i.e., to plan, organize, direct and control operations.

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- Information: Information simply means processed data or in the layman language, data which can be converted into meaningful and useful form for a specific user.

- System: The system can be explained in a following ways

- ♣ System can be defined as a set of elements joined together for a common objective.

- ♣ A group of interrelated or interacting elements forming a unified whole e.g., business organization as systems.

- ♣ A group of interrelated components working together towards a common goal by accepting input and producing output in an organized transformation

**process.**

If we see the diagrammatical view of MIS it is a management which is playing a vital role in bridging the gap between Information and System. With the help of these 3 letters we can make a number of permutation and combinations, namely;

- MI : Management Information means information regarding management.

(Qualification of management, number of managers, policies etc.)

- MS : Management System means the fundamental structure of the Management like the hierarchical order of management.

- IS : Information System, which provides information?

- SM : System Management means how to deal with a system whether it is a business organization, computer system etc.

- SI : System Information means the information regarding the system like what are the dissimilar parts of a system, how they communicate to each other etc.

- IM : Information Management means how to handle particular information.

- MIS : Management Information system

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## 12.3 FUNCTIONS OF MANAGEMENT

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If you are going to visualize an army with no general, a player with no coach, or a

country without a government. How could the military beat the foe? How could the team win games? How could the nation keep away from total rebellion? So to make these above things streamline we need management which is an important ingredient.

Management has been defined as a process of getting things done through others. This process is identified in a set of functions performed by managers to accomplish the goals. A manager is thus someone who defines, plans, guides, helps out, and assesses the work of others, frequently people for whom the manager is accountable in an organization. The following mentioned management functions will involve creative problem solving.

- **Planning:** According to Terry and Franklin, “planning is selecting information and making assumptions concerning the future to put together the activities necessary to achieve organizational objectives.” Planning includes both the broadest view of the organization, e.g., its mission, and the narrowest, e.g., a tactic for accomplishing a specific goal.

- **Organizing :** Organizing is the classification and categorization of requisite objectives, the grouping of activities needed to accomplish objectives, the assignment of each grouping to a manager with the authority necessary to supervise it, and the provisions for co-ordination horizontally and vertically in the organization structure. The focus is on separation, coordination, and control of tasks and the flow of information inside the organization. It is in this function that managers allocate authority to job holders.

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- Directing : Direction is telling people what to accomplish and seeing that they do it to the finest of their capability. It includes making assignments, corresponding procedures, seeing that mistakes are corrected, providing on-the-job instruction and, of course, issuing orders.” The purpose of directing is to control the behavior of all personnel to accomplish the organization's mission and objectives while Simultaneously helping them accomplish their own career objectives.

- Staffing: Staffing requires recognition of human resource needs, filling the organizational structure and keeping it filled with competent people. Recruiting, hiring, training, evaluating and compensating are the specific activities included in the function.

Controlling: “Control is the course of action that measures present performance and guides it towards some pre determined goal. The quintessence of control lies in checking existing actions against some desired results determined in the planning process.”

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## 12.4 PURPOSE OF INFORMATION SYSTEM

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There is habitually misunderstanding between terms MIS and Information System. An information system is a set of interacting artifact and human activities that performs one or more functions involving the handling of data and information, including data collection, creation, editing, processing and storage; and information selection, filtering, aggregation, presentation and use. As per the encyclopedia Britannica “an integrated set of components for collecting, storing, processing, and communicating information. Business firms, other organizations, and individuals in contemporary society rely on information systems to manage their operations, compete in the marketplace, supply services, and augment personal lives” . Information systems are not about IT which exists to support the business key issues like defining Business Processes, Business Requirements Specification, User Acceptance Testing,



Organizational Change Management, etc.

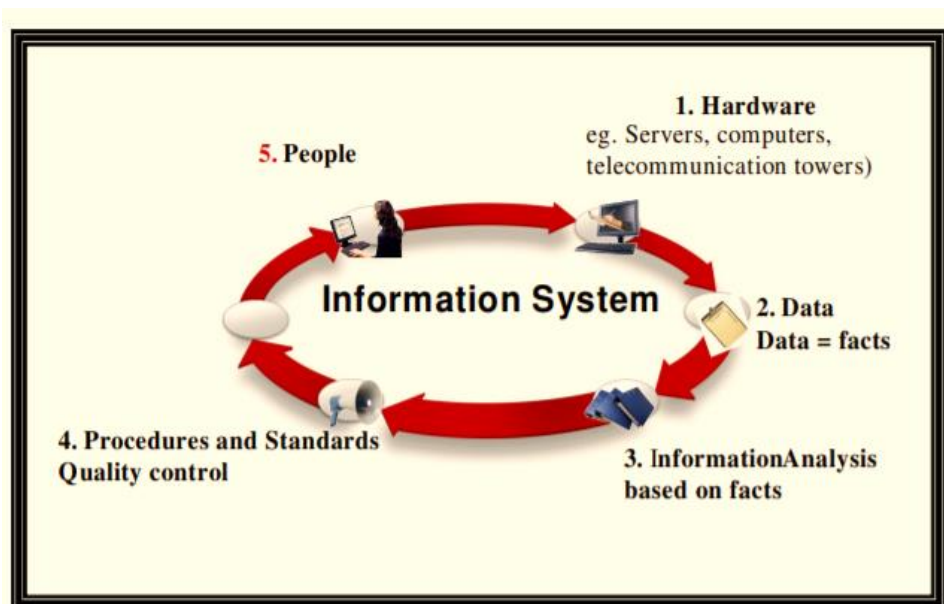
Information is a sum of computer sub system and the social system which in totality take a shape of Information System= Computer System + Social System. It is

system which includes systems that are not anticipated for decision making. MIS is sometimes referred to, in a restrictive sense, as information technology management.

People entail information for numerous grounds and in wideranging ways. For instance, you almost certainly give the impression of being for information for entertainment and illumination by viewing television, watching movies, browsing the

Internet, listening to the radio, and reading newspapers, magazines, and books. In business, however, people and organizations inquire about and utilize information exclusively to make sound decisions and to solve problems.

Figure 12.1 : Information System



As shown in Figure 12.1 the services, resources and structures are the primary components of information systems and IT management.

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## 12.5 TYPES OF INFORMATION SYSTEM

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## Notes

New information systems based on Internet technology, data warehousing concepts (very large databases of operational data), or Web-enabled inter-organizational systems affix to earlier, more familiar types of systems commonly discussed in the IT literature and found in most organizations. These include transaction processing systems (TPS), management information systems (MIS), decision support systems (DSS), office automation systems (OAS), and expert systems (ES). As per the encyclopedia Britannica “Information systems consist of three layers: operational support, support of knowledge work, and management support”.

- **Transaction Processing Systems:** Transaction processing systems handle routine information items, more often than not manipulating data in some constructive way as it enters or leaves the firm’s databases. An order-entry program is an example of a TPS. Reasons for TP are recording, classification, sorting, calculation, summarization, storage and exhibit of results.
- **Management Information Systems:** Management Information systems make available a focused vision of information flow as it develops during the course of business activities. This information is constructive in managing the business. We will discuss all the aspects of MIS in the coming heads in an elaborate manner.
- **Decision Support Systems:** Decision Support systems are methodical models used to progress managerial or professional decision making by bringing significant data to a manager’s notice. In many cases, these systems use the identical data as management information systems, but DSS purify the data to make it more functional to managers. It support with exceptional and nonrecurring decisions, which are moderately unstructured. Mainly what factors to reflect on and what information are needed.
- **Office Automation Systems:** Office automation systems endow with electronic mail, word processing, electronic filing, scheduling, calendaring, and other kinds of support to office workers. First introduced with personal computers, these “groupware” applications became essential with the extensive use of personal digital assistants. It

combines word processing, telecommunications and data processing to computerize office information, draws on stored data as a result of data processing and comprise handling of correspondence, reports and documents.

- Knowledge Work Systems (KWS): Information systems that give support to knowledge workers in the creation and integration of new knowledge in the Management Information System organization. Knowledge work systems (KWS) and office systems provide the information needs at the knowledge level of the organization. Knowledge work systems aid knowledge workers, whereas office systems primarily aid data workers (even though they are also used expansively by knowledge workers).
- Executive Support Systems (ESS): Information systems at the organization's strategic level designed to address no custom decision making through advanced graphics and communications.

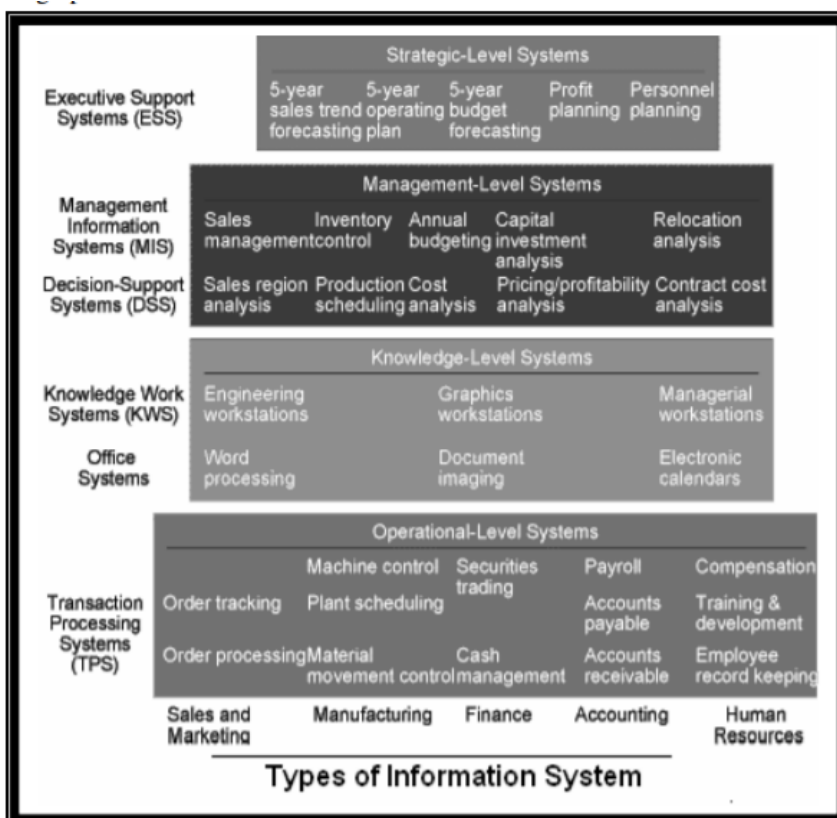


Figure 12.2: Types of Information System

(Source: [www.macs.hw.ac.uk/modules/F24SR1/linksis/lec5.htm](http://www.macs.hw.ac.uk/modules/F24SR1/linksis/lec5.htm))

Figure 12.2 depicts the types of information system.

- Operational support outlines the base of an information system and enforces a diversity of transaction processing systems for designing, marketing, producing, and delivering products and services.
- Support of knowledge work outlines the middle layer; it includes subsystems for sharing information in an organization.
- Management support, forming the top layer, contains subsystems for managing and evaluating an organization's resources and goals”.

Apart from this there are many other types of systems which are designed for specific purposes. For example, engineering design systems enable skilled engineers to design Information Systems complex computer chips by manipulating design algorithms and laying out millions of circuits on a chip while rigorously obeying numerous electrical ground rules.

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## 12.6 DEFINITIONS OF MIS

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The term ‘Management Information System’ (MIS) refers to the data, equipment and computer programs that are used to upsurge information for managerial use. Similar to most complex systems, a management information system can be portrayed in a number of diverse ways:

- “Management Information System is a system that aids management in making, carrying out and controlling decisions”. Here management information system is a system that aids management in performing its job. - J. Kanter.

- A Management Information System is “an integrated man/machine system for providing information to hold up the operations, management and decision making functions in an organization.” Here the system utilizes hardware and software, manual procedures, management decision model and data base. - G.B. Davis.
- Marketing information system consists of people, equipment, and procedures to gather, sort, analyse, evaluate, and distribute needed, timely, and accurate information to marketing decision makers." - Kotler and Lane.
- Management information system (MIS) is “an integrated user-machine system for providing information to support operations, management and decision making functions in an organization. The system utilizes computers, manual procedures, models for analysis, planning, control and decision making, and a database” -David Olson.
- An MIS is the organization of the university’s basic data in its operating systems (Students, Personnel, Accounting, etc.) and from relevant external sources so that it provides management with the essential information to manage. An MIS need not be wholly computer-based; it is however inevitable that the information deriving from the high volume of data in basic operational processes is computerized; what is still not so certain is whether the once-off “high level” information also needed in an MIS, is best obtained using a computer-Fielden. Apart from this there are many other thoughts over and above to this definition are as follows:
- A management information system aims at meeting the information needs of managers, predominantly with regard to the current and past operations of the enterprise.
- Management information system is a system which provides precise, timely and meaningful data for management planning, analysis and control to optimize the growth of the organization. Thus from the above

## Notes

definition it had been extracted that “Management Information System” (M.I.S.) is vitally concerned with processing data into information.

Which is

then communicated to the different departments in an organization for appropriate decisionmaking?

### Check Your Progress 1

Note: a) Use the space provided for your answer

b) Check your answers with those provided at the end of the unit

1. Discuss the MIS:A Three Letter Acronym.

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2. Discuss the Functions of Management.

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3. Discuss the Purpose of Information System.

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4. What are the Types of Information System?

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5. Definitions of MIS.

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## 12.7 WHY MANAGEMENT INFORMATION SYSTEM?

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A majority of workers nowadays are knowledge workers as they spend time in creating, distributing, or using information. The very high-quality

illustration are bankers, coordinators, caseworkers, counselors, community organizers, programmers, insurance advisors, consultants, etc.

Now there is a million Euros question is “Whether there is literally a need of MIS” or we are hyping an issues by simply talking about. If we go into the depth of answers of this type of questions which had been evoked, it can not be answered at this juncture as implementation of MIS is in itself an answer. Nonetheless if we read the following points up to some extent we can reach the expectations of one’s mindset with respect to MIS:

- About 80% of an executive’s times are devoted to information receiving, communicating, and using it.
- Information is the starting point for virtually all activities performed in an organization.
- Best use of two key ingredients in organizations – people and information
- Effective utilization of information systems in management.
- Productive use of information.
- Information is a source to augment competence, effectiveness and competitiveness of an enterprise.

Some Examples of MIS

- Airline reservations (seat, booking, payment, schedules, boarding list, special needs, etc.).
- Bank operations (deposit, transfer, withdrawal) electronically with a distinguish payment gateways.
- Integration of department with the help of contemporary software’s like ERP.
- Logistics management application to streamline the transportation system.
- Train reservation with the help of IRCTC.

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## **12.8 DIFFERENT COMPONENTS OF MIS**

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MIS is an integrated information system, which is used to endow with management with needed information on a regular basis. The

## Notes

information can be used Information Systems for various purposes, strategic planning, delivering increased productivity, reducing service cycles, reducing product development cycles, reducing marketing life cycles, increasing the understanding of customers' needs, facilitating business and process reengineering. If the necessities go beyond the capabilities of accounting software and other application software, we find the prospect of implementing conventional MIS software. The world's most excellent easy-to-use MIS solution. It is fully webenabled, seamlessly integrated, MIS software that can be implemented in weeks. And can computerize your entire operations globally. MIS can help achieve unimaginable efficiency of operations, significant cost savings, and maximize profits. MIS is packed with powerful features, extremely easy to implement and use, comprehensive in its scope, modular and flexible, fully customizable, totally secure, and incredibly robust.

To enable the easy handling of the system MIS has been divided into the following core subsystems:

- **Planning:** With better-quality planning capabilities and user interfaces, MIS make available the information required to quickly and easily act in response to scheduling problems as they take place. This advanced planning functionality allows you to condense and diminish costs and increase productivity by eliminating stock shortages, improving delivery performance, and increasing flexibility in building your demand schedule. Straightforwardly analyze material requirements with graphical pegging information and make accurate delivery commitments on the fly. Engender and modify material plans on demand. Increase production cost control and resource management efficiency with flexible bills of material management. Initiate engineering changes without losing control of manufacturing operations and assess the impact of engineering alter throughout the operations.
- **Inventory & Material Management:** Effectual management of finished goods, work-in-process and raw material is critical to your entire operation. MIS System provides a healthy and structured materials



management system -- everything you need to accurately control inventory transactions, product costs, and material usage. From material procurement to allocation of finished products, It permit you to administer important inventory information with a multi-attribute "item card." Instant access to real-time data let you to track inventory levels by item, location, warehouse, product family and historical usage with the click of 'a mouse. Simplify daily inventory transactions and increase user productivity with automated features for frequently performed tasks.

- Finance & Accounting: MIS takes care of complete Financial Accounting of the enterprise over the web. It maintains all the books and records that are essential for proper book-keeping stock analysis and accounting. All transactions affect and update the entire system, and all reporting is on the fly, for the most accurate information at all times. MIS helps in managing all kinds of taxes, bank reconciliation inventory cashed and everything else that is required for efficient and complete financial accounting, modules for book-keeping and making sure the bills are paid on time. Examples: General ledger keeps centralized charts of' accounts and corporate financial balances. Accounts receivable tracks payments due to a company from its customers. Accounts payable Schedules bill payments to suppliers and distributors. Fixed assets Manages depreciation and other costs associated with tangible assets such as buildings, property, and equipment. Treasury management monitors and analyses cash holdings, financial deals, and investment risks. Cost control Analyses corporate costs related to overheads, products, and manufacturing orders. MIS's wide-ranging, all-inclusive and flexible financial management features allow you to track the flow of money in your company in a protected and truthful environment. Sophisticated functionality streamline Easily manage and process your accounts payable and accounts receivable. Track all accounting activity with MIS's general ledger and easily generate financial statements, budgets, and other advanced financial reports.
- Purchasing: Manage all purchasing activities, from preferred vendor selection to entering bids, and from purchase order admission to

## Notes

receiving and inspecting the materials as they are received. Empower the purchase functions like sales. Indents, Orders, and MIS covers all aspects of production, including issues, quality control, material receipts, purchase invoices and production receipts, multiple bills of material, supplier database and comprehensive purchase analysis, production batches, cost sheets, standard costing, variance reports, and the Valuation of Work in Progress.

- Manufacturing & Logistics : MIS's fully-featured manufacturing functionality assist you manage your work-in-process activities and increase the productivity of your production staff with labour-saving features that make available more control over production and scheduling. Quickly generate work orders from planned orders. Maximize manufacturing efficiency with automated back wash out, infinite and finite loading, forward and backward scheduling. Improved manage labour and equipment capacity with powerful shop floor scheduling and explore "what if" scenarios to rapidly identify and resolve schedule conflicts and load issues. Manufacturing and accounting data are absolutely integrated to help you accurately track product costs. A group of application for planning production, taking orders, and delivering products to the customer. Examples: Production planning perform-ins capacity planning and creates a daily production schedule for a company's manufacturing plants.

- Materials management controls purchasing of raw materials needed to build products. Manages inventory stocks, order entry and processing automates the data entry process of customer order and keeps track of the status or orders.

- Warehouse management maintains records of warehoused goods and processes movement of products through warehouses. Transaction Information Systems management arranges, schedules, and monitors delivery of products to customers via trucks, trains, and other vehicles.

- Project management monitors costs and work schedules on a project-by-project basis. Plant maintenance sets plans and oversees upkeep of internal facilities.
- Customer service management administers installed base service agreements and checks contracts and warranties when customers call for help.
- Quality Control : By implementing an MIS system, you are by now taking the first step in improving quality control across your entire operation. MIS takes that level of quality a step further with specific quality-focused tools to help out your company in achieving optimal quality control in excess of your products, performance and procedures. Preserve a high-level of product quality with complete inspection procedures -- from raw materials, to work-in-process, to customer returns. Effortlessly track defective materials and assign them for return to vendor, scrap, or rework. Effectively track your production performance and procedures with statistical process control tools. The quality of your products and the efficiency of your operations will significantly contribute to a more satisfied customer base! Ad Hoc Report Wizard. The MIS Ad Hoc Report Wizard provides all of your users with the autonomy to speedily and straightforwardly create custom reports based on MIS data. The key to the real power of this product is that no database, query building, field name or programming knowledge is obligatory to take full advantage of the features of the Ad Hoc Report Wizard. The entire user needs to be acquainted with the fields on they want the report and in which order they want them in, and the wizard takes care of the rest. With this tool, any MIS user can make trouble-free or sophisticated custom reports without difficulty-and without needing to know any data structures or having to make modifications to the system. It is tremendously easy to shift fields to where you want them, add data filters, change sorting and Grouping, etc. which means you can design your reports in exactly the way you want to see them. The user can also add simple or complex calculations to reports without needing to understand programmatically how to make this happen.

## Notes

Reports created by the Ad Hoc Report Wizard include:

- Type data display
- Easy graphing and distribution
- Dynamic borders and floating data for easy reading
- Ability to dynamically change filters on the fly
- Globalization: Compete seamlessly in today's global marketplace with MIS's Extensive multi-language and multi-currency capabilities. MIS is designed to hold up businesses that operate locally or globally. Language and currency need not be Management Information System a blockade to conducting business. With multi-language and multi-currency capabilities, MIS can be implemented around the earth. Whether you administer a small company in Paris or an international firm in Los Angeles, MIS supports your needs. and save queries. Query reports can then come to you in a scheduled manner, or on demand.
- Budgeting: You can implement a complete Budgeting and Performance Analysis. MIS enables you to manage all aspects of sales. Raise system, offering all variance reports, and periodically generating Quotations on customers, Book Sales Orders, Make Deliveries, Critical information and timely alerts. Variances can be configured Raise Invoices. It can also link help in Quotations to orders, orders to lead to locked transactions, or their being sent for authorization, deliveries, and deliveries to Invoices. This allows for easy carry forward of transactions, entries and printing of documents.
- Funds Management: MIS enables you to manage funds efficiently. For each, MIS maintains your complete customer database and does kind of transaction specified to see its effect on flow of funds.
- Extensive Sales Analysis: Sales analysis reports give you total sales information, sorted and presented by products, parties, time periods, MIS offers you a forecast of funds based on or in any combination of them. It also helps in transactions and your specifications of funds movement.
- Retail: MIS includes a Point-of-Sale billing system with barcode label reading and printing, quick billing and collections.
- Inventory: MIS offers total Inventory Management for all kinds of businesses. With unlimited products, grouped as appropriate, Quality Control,

valuation on multiple bases, stock ledgers and lists, ABC analysis, Fast Moving Consumer Goods (FMCG), dead stocks, ageing analysis and more. The inventory module integrates seamlessly with all other modules including sales, purchase and financial accounting, resulting in automatic updation of all inventory records on any transaction in other modules. MIS offers complete reorder management enabling you to achieve efficient management of stocks depending on minimum, maximum and reorder levels specified by you for each item of stock.

- **Asset Management:** The system maintains complete records of fixed assets with all details of the assets and their location, with reminders for insurance expiry, AMC renewals and more. Depreciation can be computed in multiple ways, and assets can be revalued if required.

### **Information Systems**

- **Branches & Profit Centers:** We can integrate and perform accounting for an unlimited number of Branches and Profit Centers. These can be grouped as required

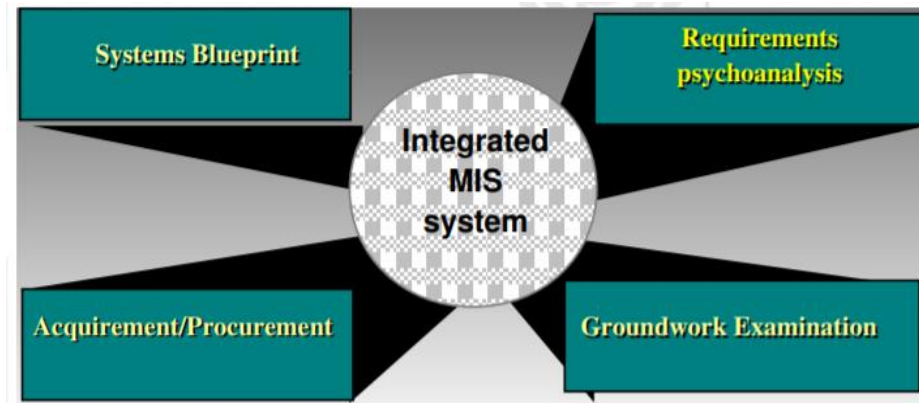
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## **12.9 MIS : AN INTEGRATED APPLICATION**

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An integrated information system that serves all departments within an enterprise. Evolving out of the manufacturing industry, MIS implies the use of packaged software rather than proprietary software in black and white by or for one customer. As the internet has developed, all of the foremost MIS solutions have now been written to be accessed via web browsers. While developing an integrated MIS system one should follow certain steps.

Figure 12.3 : Integrated MIS System



<p><b>Groundwork examination</b></p> <ul style="list-style-type: none"> <li>⇒ The problem</li> <li>⇒ Magnitude and scope</li> <li>⇒ Alternatives</li> <li>⇒ Viability and cost effectiveness</li> </ul>	<p><b>Requirements psychoanalysis</b></p> <ul style="list-style-type: none"> <li>⇒ Knowing the primary and secondary users</li> <li>⇒ Ascertaining user needs</li> <li>⇒ Primary and secondary sources of information</li> <li>⇒ Design, development and implementation needs</li> </ul>
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<p><b>Systems blueprint</b></p> <ul style="list-style-type: none"> <li>⇒ Inputs</li> <li>⇒ Processing</li> <li>⇒ Outputs</li> <li>⇒ Storage</li> <li>⇒ Procedures</li> <li>⇒ Human resources</li> </ul>	<p><b>Acquirement/procurement</b></p> <ul style="list-style-type: none"> <li>⇒ Compatibility</li> <li>⇒ Cost effectiveness</li> <li>⇒ Performance standards</li> <li>⇒ After sales service</li> <li>⇒ Configuration</li> <li>⇒ Portability</li> </ul>
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## 12.10 DEVELOPING MIS : DO'S AND DON'TS

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Once you are in the process of developing MIS or rather make up your mind to implement MIS the best way to accomplish some homework which can facilitate in finding out what is right and what is wrong.

Table 12.1: Developing MIS – Dos and Don'ts

Sl No.	Particular	Do's	Don't
1	Layman	Have simpler and manageable system	Be ambitious
2	Bridging	Develop common understanding between consultant and the organization	Be unrealistic in developing action plan
3	Contribution in Totality	Involve programmer in needs assessment	Delay decisions on hiring application developer/s
4	Tailor-made	Customize off-the-shelf software	Depend heavily on the Consultant
5	Interpretation	Have simple software for users to handle	Invest heavily in in-house application development
6	Synchronization	Extensively involve users in MIS development	Let vendors determine hardware needs for LAN
7	Application	Adopt modular approach for s/w development	Go for large applications

**Check Your Progress 2**

Note: a) Use the space provided for your answer

b) Check your answers with those provided at the end of the unit

6. Why Management Information System?

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7. Different Components of MIS.

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8. Discuss the MIS : An Integrated Application.

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9. Developing MIS : Do's And Don'ts.

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## **12.11 FORCES WHICH MAKES MIS STRONG & SUCCESSFUL**

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There are distinguish forces which make MIS well-built & flourishing. These are not confined to following but changed according to the circumstances.

- E-commerce: Without internet & e-commerce MIS is like a boat without rudder as there are many locations which can not be accessible by road so there is a need of wireless systems which can efficiently be managed through internet.
- Customer: Customer is vital for every vendor either it is fast moving consumer goods, or service oriented organization like MIS. Because If there could be no customer there would be no circulation consequently no selling, thus without customer MIS is useless.
- Enterprise: It is an appropriate place where it can show its potential.
- Financial infrastructure: MIS needs a fiscal setup.

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## **12.12 STUMBLING BLOCKS**

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MIS System though boon to the corporate world is again not fool-proof. However,

this system suffers a number of problems including:

- Confusing and difficult: MIS Software's are a gigantic package and consists of n-number of module, so it is very difficult to understand its characteristics but once you understand it becomes easier to work.
- Customization is costly: Customization is obviously costly, for instance when report is needed to configure, one person expected from the MIS vendor's side has to come and give support. Hence more the customization /configuration greater should be the service cost charged by vendor.
- Customization is time consuming and in many cases impractical: MIS is not a one or two day job it is a regular process it requires years to complete as many things have to be incorporated into it i.e. mindset, office automation, etc. There is clause of hidden cost which always pinches the user.



- Decline of an individual's monopoly over information monopoly: As information can be put into the server and rights and authority can be given to appropriate people who can access it i.e. production department data can not be confined to production department people. It can be shared by marketing department people with the help of login name and password thus cutting short time and reducing paper work.
- MIS engenders a host of fears. One of them is job redundancy: There is Misconception among the employees that MIS can be a threat as for upcoming employment, this is not absolutely true because the persons who are not working hard have to be more cautious as performance appraisal chart is regularly maintained and monitored. Therefore for people who take no pain there is no gain.
- Geographic Restriction: The MIS packages are readymade packages made by the MIS vendors and can be customized according to the user need, thus sometimes not suits individual persons who are geographically away.
- Implementation of an MIS project is a long process: Like customization implementation is also a long process because there is ample number of departments and MIS can come in full-flow or to get its full flavour, the entire department should be fully compatible with MIS integration.
- Platform restrictions. Platform restricts could be the another obstacles up to some extent as they are using different operating systems.

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### **12.13 LIMITATIONS OF MIS**

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The following are some of the limitations of MIS:

- Customization is costly: Customization is obviously costly, for instance when report is need to configure, one person expected from the MIS vendor's side has to come and give support. Hence more the customization /configuration greater should be the service cost charged by vendor.
- Customization is time consuming and in many cases impractical: MIS is not a one or two day job it is a regular process it requires years to complete as many

things have to be incorporated into it i.e. mindset, office automation, etc. There is clause of hidden cost which always pinches the user.

- Implementation of an MIS project is a long process: Like customization implementation is also a long process because there is ample number of departments and MIS can come in full-flow or to get its full flavour, the entire department should be fully compatible with MIS integration.
- MIS engenders a host of fears. Some of them are; Job Redundancy: There is misconception among the employees that MIS can be a threat as for upcoming employment, this is not absolutely true because the persons who are not working hard have to be more cautious as performance appraisal chart is regularly maintained and monitored. Therefore for people who take no pain there is no gain.
- Decline of an individual's monopoly over information monopoly: As information can be put into the server and rights and authority can be given to appropriate people who can access it i.e. production department data can not be confined to production department people. It can be shared by marketing department people with the help of login name and password thus cutting short time and reducing paper work.

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### **12.14 STEPS FOR AVOIDING PITFALS**

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An MIS system will perhaps be one of the prime investments you will make, so it's critical to the enterprises to-do it accurately. The worst thing you can do is most often by picking the wrong software, make a team to undo the mess, and then relocate for a correct "aim." We have all read the horror stories of enterprises that acquire implementation decision in haste by initially purchasing software before they were ready.

- Classify the Methodology: choose on and stick to a lucid, analytical methodology. The methodology should guide you through each step in the selection process and diminish the emotional proportion in the selection. The processes includes distinctive phases for completing a thorough business-process review; evaluating vendors; managing software demonstrations; supporting the eventual decision-making process; and structure the supporting implementation plan, together with costs.

- Plot to Business Processes: Don't start with software demos. Begin with your business processes, and then map out your feature/function requirements through a series of business-area reviews, the creation of process maps, an assessment of "to be" process changes, and the development of a requirements matrix with supporting business scenarios.
- Be conscious of Organizational Chemistry: Use your instincts when it comes to the organizational chemistry between your enterprises your consultants, and your selected vendor. You want a consulting organization that you sense relaxed with, one that can extract the input it needs from your in-house team members. Be on the watch out for a solution that sounds too trouble-free or will be done in a month. You are making a critical decision this has to be taken into consideration always.
- Elect to choose a well-built Team: Set up a steering committee with the president or CEO and heads of sales, finance, and operations, and sanction them to make decisions.
- Scrutinize Potential Vendors: Accomplish a rigorous software-selection process, and situate potential vendors under the microscope. Think about more than just features and functionality: Financial stability, technology strategies, long-term support, implementation successes, and corporate culture, are key factors.
- Appraise Business Processes: Be equipped to alter some business processes. You want to minimize or eradicate customization. Even the smallest enterprises have to make process compromises in their final solution.
- Bargain Customizations: Negotiate all of your customizations before signing a contract. If you do have to customize, you want to be acquainted with up front what it will cost and more important discuss about hidden cost and then incorporate that as part of your contract.
- Modernize Infrastructure: Plan for an infrastructure improves to sustain the new system. Some MIS implementations require the redesign of your network; make sure you identify what you require to do and how much it will cost.

## Notes

- Predict Elaborately: Elaborately look after your implementation plan. The goal is to foresee now, to eliminate implementation setbacks in terms of both cost and time. Implement will always be preferred or rather become mandatory with the Vendor team i.e. make convinced that your software vendor has a role in your implementation. The software vendor has the most vested interests in making clear-cut that you are a pleased customer.

### Check Your Progress 3

Note: a) Use the space provided for your answer

b) Check your answers with those provided at the end of the unit

1. Discuss Forces Which Makes MIS Strong & Successful.

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2. Discuss Stumbling Blocks.

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3. Describe Limitations of MIS.

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4. What are the Steps for Avoiding Pitfalls?

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## 12.15 LET US SUM UP

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Nowadays, Information technology persuades the arrangement and maneuver of organizations more overwhelmingly than any other technology ever has except the upcoming integrated system like ERP System. Advances in space travel, nuclear energy, medical technology, pharmacology, chemical fertilizers, insurance, academic institutions, and

break-through in plant and animal genetics have all been extremely imperative to the humankind and its people, but none has affected organizations in the deep-seated technique than information technology has. MIS endow with moderately lot of benefits to the business organization the means of effectual and well-organized coordination between departments; rapid and consistent referencing; access to relevant data and documents; use of less labour; perfection in organizational and departmental techniques; management of routine activities (as accounts, stock control, payroll, etc.); everyday assistance in a department and closer contact with the rest of the world. It is imperative to note that whatsoever IT is installed must be appropriate to the organization, and to each department. Management success is gained through accomplishment of mission and objectives. The terms MIS and information system are repeatedly mystified. To transform data into information, processing is needed and it must be done while considering the context of a decision. Information systems take account of systems that are not anticipated for decision making. MIS is occasionally referred to, in a preventive logic, as an information technology management. That area of learning should not be puzzled with computer science. If we see the IT service management it is a practitioner emphasis discipline. MIS has furthermore a quantity of variation with Enterprise Resource Planning (ERP) as ERP is an industry term is a broad set of activity supported by multi-module application software that help an organization rather we can say that over and above to MIS as it focus more on product planning parts purchasing maintaining inventory, interacting with suppliers and many more rather not just incorporates elements that are automatically focused on decision support. The learners can elaborately get an elaborate idea of ERP System once they go through the course MCS-052.

So Management Information Systems (MIS) is a rapidly growing field. A student with a concentration in MIS may seek employment as an information analyst, application developer, consultant, or IS support staff. The MIS program of study includes courses in systems analysis and

design, decision support systems, database management, expert systems, and other information technology topics.

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### **12.16 KEY WORDS**

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The following are some of the keywords in MIS:

**Application Software:** The program that accomplishes the specialized tasks of the user. Contrasts with the operating system software, which allows the computer to work. A computer-aided dispatch system is application software, as if each word is processing program.

**Computer:** An electronic device capable of accepting and processing data (information) and supplying the results of such processes. Contemporary computers, combined with application software, permit the user to perform various tasks. In some discussions, "computer" means only the central processor. In others, "computer" means the entire package including the central processor, input and output devices, storage, arithmetic, logic, and control units.

**Data Base Management:** A computerized software system for creating, maintaining, and System (DBMS) protecting data bases.

**Data Base:** A repository for stored data that is integrated and shared. In a formal computerized method for storing details of interest to a business so that the stored items may be accessed and manipulated.

**Data Processing:** A generic term in which the computer is instructed to sort, organize, summarize, and otherwise manipulate information.

**Information Systems** is the multi-disciplinary study of the collection, processing and storage of data; of the use of information by individuals and groups, especially within an organizational context; and of the impact, implications and management of artifacts and technologies applied to those activities.

**Management:** The ‘Management’ perspective is subdivided into the three main areas of management responsibility: resources (or the ‘inputs’ to the process), organization (or the ‘process’ itself) and services (or the ‘outputs’ of the process). **Management Information System (MIS):** Is a system or method that endow with the information essential to deal with an organization efficiently. MIS and the information it engenders are by and large considered vital components of prudent and rational business decisions.

**Office Information Systems:** A variety of hardware and software systems. These Systems include word processing, electronic mail, image processing, and creation of compound documents, application processing tools, distributed relational data bases, and object-oriented computing.

**Peripheral:** Any devices or equipment that support the central processor. Peripherals include terminals, printers, disk drives, and tape drives.

**Software:** Programs written for computers. The computer typically has two types of software: operating system software (to make the computer work) and application software (to perform the task required by the user).

**System:** System may be defined as a group of two or more interrelated components or sub-systems that serve a common purpose. A system is an integrated set of components, or entities, that interact to achieve a particular function or goal.

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## **12.17 QUESTIONS FOR REVIEW**

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1. Discuss the MIS:A Three Letter Acronym
2. Discuss the Functions of Management
3. Discuss the Purpose of Information System
4. What are the Types of Information System
5. Definitions of MIS
6. Why Management Information System?
7. Different Components of MIS
8. Discuss the MIS : An Integrated Application
9. Developing MIS : Do’s And Don’ts

10. Discuss Forces Which Makes MIS Strong & Successful
11. Discuss Stumbling Blocks
12. Describe Limitations of MIS
13. What are the Steps for Avoiding Pitfalls?

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## **12.18 SUGGESTED READINGS AND REFERENCES**

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## **12.19 ANSWERS TO CHECK YOUR PROGRESS**

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### **Check Your Progress 1**



1. See Section 12.2
2. See Section 12.3
3. See Section 12.4
4. See Section 12.5
5. See Section 12.6

**Check Your Progress 2**

1. See Section 12.7
2. See Section 12.8
3. See Section 12.9
4. See Section 12.10

**Check Your Progress 3**

1. See Section 12.11
2. See Section 12.12
3. See Section 12.13
4. See Section 12.14

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# **UNIT 13: PUBLIC MANAGEMENT**

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## **STRUCTURE**

13.0 Objectives

13.1 Introduction

13.2 Meaning of Public Administration

13.3 Public Administration: Nature and Scope

13.4 Relationship between Public and Private Administration

13.5 Significance of Public Administration

13.6 Let us sum up

13.7 Key Words

13.8 Questions for Review

13.9 Suggested readings and references

13.10 Answers to Check Your Progress

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## **13.0 OBJECTIVES**

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After reading this Unit, you should be able to:

- Explain the meaning, nature and scope of public administration;
- Bring out the difference between public and private administration; and
- Examine the significance of public administration.

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## **13.1 INTRODUCTION**

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Public administration and management is vital to efficient running of the government. As a specialised academic field, it deals essentially with the machinery and procedures of government. It is the action part of the government. It is both an institution of public service and a centre of power. As an institution of public service, it provides services to the people and promotes public interest. As a centre of power, public bureaucracy tends to be concerned with its own privileges. In recent years, the discipline has been undergoing rapid changes and has vastly expanded its frontiers. It has evolved and is still evolving to respond to

the challenges of changing times. The onset of Liberalisation, Privatisation and Globalisation (LPG) has led to significant changes in the roles of individuals and institutions, and public administration is no exception. It represents a paradigm shift from the traditional model of public administration to New Public Management (NPM) model, which favours a dominant presence of market forces over the State, for effective governance and efficient delivery of goods and services. Concepts like Competition State, managerial orientation, contracting out, debureaucratisation, downsizing etc., have started gaining prominence in many countries. The new perspective has emerged as a management tool for achieving developmental goals. It has brought in reforms, which have attempted to create a new entrepreneurial, user-oriented culture in public organisations, with focus on performance measurement and autonomy to the organisations and individuals in contrast to the traditional model. In fact, managerialism is a 'determined effort to implement the "3Es" of Economy, Efficiency and Effectiveness at all levels of government activities'. Public administration, in present times, has thus become complex and is slowly moving towards enlightened public governance. In this Unit, an attempt will be made to define the terms 'administration' and 'public administration'. It will discuss the nature, scope and significance of public administration. The Unit will analyse the relationship between public and private administration and bring out the significance of public administration.

Public administration is the implementation of government policy and also an academic discipline that studies this implementation and prepares civil servants for working in the public service. As a "field of inquiry with a diverse scope" whose fundamental goal is to "advance management and policies so that government can function". Some of the various definitions which have been offered for the term are: "the management of public programs"; the "translation of politics into the reality that citizens see every day"; and "the study of government decision making, the analysis of the policies themselves, the various inputs that have produced them, and the inputs necessary to produce alternative policies."

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Public administration is "centrally concerned with the organization of government policies and programs as well as the behavior of officials (usually non-elected) formally responsible for their conduct". Many non-elected public servants can be considered to be public administrators, including heads of city, county, regional, state and federal departments such as municipal budget directors, human resources (HR) administrators, city managers, census managers, state mental health directors, and cabinet secretaries. Public administrators are public servants working in public departments and agencies, at all levels of government.

In the United States, civil servants and academics such as Woodrow Wilson promoted civil service reform in the 1880s, moving public administration into academia. However, "until the mid-20th century and the dissemination of the German sociologist Max Weber's theory of bureaucracy" there was not "much interest in a theory of public administration". The field is multidisciplinary in character; one of the various proposals for public administration's sub-fields sets out six pillars, including human resources, organizational theory, policy analysis, statistics, budgeting, and ethics.

### **Definition:**

The word public administration is the combination of two words—public and administration. In every sphere of social, economic and political life there is administration which means that for the proper functioning of the organisation or institution it must be properly ruled or managed and from this concept emerges the idea of administration.

Naturally administration implies to bring an institution under proper and fruitful management. So administration may mean a fruitful management. The word fruitful means every work is done with a definite purpose. Public administration means that type of administration (or management) which is especially related with the public and public means all men living in a definite area.

Nicholas Henry (Public Administration and Public Affairs, Indian edition 2004) defines the concept in a different way. He says "Public administration is the device used to reconcile bureaucracy with

democracy. Public administration is a broad-ranging and amorphous combination of theory and practice, its purpose is to promote a superior understanding of government and its relationship with the society it governs.”

According to L.D. White, Public administration is the direction, coordination and control of many persons to achieve certain purposes. These purposes relate to the general management and welfare of the society.

Herbert Simon, a noted authority, defines public administration in the following way: The public administration can be defined as the activities of groups cooperating to accomplish certain common goals. The public administration has also been defined as the combined effect on the part of and trained administrators to achieve certain essential goals.

Presthus defines public administration as the organisation and direction of human and material resources to achieve desired ends. Public administration is also a way to encourage future goals.

### **Nature of Public Administration:**

In a general sense the term public administration is primarily concerned with the general administration of the society as a whole. In some exceptional cases the public administration may be concerned with a particular section of society. But in general sense administration aiming at the common benefit of the public is public administration. Since the public administration is concerned with the public it is different from private administration.

In every state (except the socialist or communist states) there are generally two types of administration one is state and the other is administration or management of private bodies or institutions. The former is called the public administration and the second is termed private administration. Normally, these two forms of administration do not overlap because the areas are different. But in many cases the private administration falls within the jurisdiction of the public administration.

Herbert Simon believes that public administration has two different aspects or spheres-one is, it is an activity. This means that a persons associated with administration, perform certain duties. These relate to the

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general management of the body politic. This is the operative aspect or applied side of public administration. But it is also a type of discipline which means that it is a subject. People of political science study it as a subject. This is the academic aspect of public administration. It is a subject or discipline like any other social science.

According to L. D. White public administration is the fulfilment or enforcement of public policy. The government of a state adopts or formulates policies and these are to be implemented in practice. Hence public administration is associated with both the adoption or implementation of government's policy. Of course, while implementing government's policies, it takes care of the real objective of the policy.

The term public administration is to some extent a misnomer because of the following reason. By the term public we generally mean common people or all men of the state. But in public administration there is practically no place of general public, it is really the administration managed and fully controlled by the government.

Hence it would be highly meaningful if it is called government administration. Even in this term there is inaccuracy. Government includes numerous categories of employees or officers. All of them make contribution to the running of administration, but the key persons are important bureaucrats. So the public administration may mean bureaucrats' administration. In fact, the bureaucrats are all-in-all of the administration.

In the term public administration a large number of public utility services may reasonably be included such as electricity supply, milk and other essential services. But in no country of the world (liberal democracies) an administration of government does not take responsibility of all these services. So the term public administration is used in limited sense. We can also view the term from another angle.

The word administration is derived from Latin which means to care for or to look after the interests of people. If so, public administration must look after all the important interests of people. But in actual practice the administrative system of government is concerned with very limited interests.

In the light of the above analysis we may say the public administration is neither public nor administration. Because only very few top bureaucrats formulate policies and these are placed before the ministers for their endorsement. The ministers are not experienced, administrators and are not acquainted with the intricacies of administration. Naturally they accept the decisions of the departmental heads or bureaucrats.

General public have no importance in the policy making affairs. That is why some people say that public administration is neither public nor administration. A question is generally raised—how many bureaucrats really take care of the interests of common people? Even in most developed states, public have no say in the running of administration. Rousseau imagined of direct democracy where people had the opportunity to participate in the affairs of state. I do not know whether people of Rousseau's time could participate in the administration of the body politic. In today's world, only officers control the administration.

L.D. White says that public administration is also associated with the managerial function of any management. The term management means to control and coordinate the functions of an organisation or management. Management also means to unite the different sections of an organisation. Implementation of the decisions policies of the organisation falls within the people of public administration.

Public administration is a broad term. Nigro and Nigro have viewed the subject in a broad sense. The function of public administration is not to see or manage the day-to-day affairs of the state. Many scholars are of opinion—Policy making, policy implementation, general interests of public, supply of necessary goods all are included into the public administration. So public administration does not deal with any particular aspect of state.

The persons connected with the public administration also take part in the formulation of policies and their implementation. It provides leadership. Since public administration is concerned with future of a society it prepares plans. If there is any fault in the formulation of policy or in its implementation the public officers or administrators try to rectify the defects. Political theory is a general but public administration is

generally a specific term. We say public administration of India or USA but never say political theory of India’.

### **Dimensions of Public Administration:**

It is difficult to say anything definitely about the scope or dimension of any social science —specifically public administration. Frankly speaking, public administration was an unknown subject about a century ago. Today it is not only a well-known subject, it is a very important subject.

Naturally we can easily take it for granted that with the changes of people’s outlook, administration and many other related things such as economic and political affairs, the public administration will also change and the fact is that it is changing. In earlier decades it was thought that public administration means the management of day-to-day affairs of states. But this conservative’ idea has undergone radical changes.

People of earlier decades believed that public administration means the management of human and material resources of state and implementation of the policies and decisions of government. Some people thought that public administration means the actual conduct of governmental affairs or decisions. L.D. White once said the chief scope or a function of public administration is to enforce the policies of Government and proper management of the affairs of government. ‘Proper’ means the public administration will aim at the general welfare of public.

Today’s is the welfare state and the dimension or scope of such a state has increased enormously which means that today’s state is compelled to do many works in comparison with what Hobbes’s or Locke’s state did. To do more work means to take more and important decisions, the decisions are to be implemented.

Again, for this purpose, the state will have to employ more persons. The whole matter is not only a big one, it is simultaneously a more complex one. Moreover, with the spread of democracy or realisation of ideal, the functions and responsibilities are being multiplied. If the government is really sincere at its own responsibility as well as accountability it must perform certain duties to satisfy people’s demands.



Again, there is a clear impact of globalisation upon the administrative region of government. The fact is that as the globalisation is rapidly expanding its wings of influences upon far and near regions people of different countries are coming in close contact with each other. This results in the change in lifestyle, behaviour, outlook etc. People, through concerted efforts, pressurise the government to meet their new and increasing demands which forces the government to adopt new policies, take special measures.

All these demand for new policies which the government is forced to take. The adoption of policy is not all, its implementation is of crucial importance which again falls within the area of public administration. In the sixties or seventies of the last century —the all-powerful man of China adopted a despicable policy known as Xenophobia (irrational dislike or fear of people from other countries). He did not allow the Chinese people to mix with the people of other countries.

Because he thought that it would contaminate the character and behaviour of the people of China. Today there is no such possibility. Naturally, free mixing among the various people of nation-states will bring about a change in everything. Before the Second World War (1939-1945) there were few- nation-states and international relations were at rudimentary levels.

The gov-ernments (particularly of the Third World countries) were not under mounting pressures of masses of men. Today the situation is different. Now-a-days common people .are extremely conscious, political parties are highly active. The rise and fall of governments are not trifling matters. The spread of democracy has forced governments of nation states to take measures to meet the growing demands which has enhanced scope of public administration.

In recent years the concept of political science has changed enormously. It is not only a science of society. It is also “policy science” which means that political science not only discusses political arena of human society, it also suggests policies for the proper or meaningful functions of society. This change in idea about political science has a positive impact upon public administration. It means that the scope of public administration has increased.

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Peter Self in his *Administrative Theories and Politics* has thrown new light on the political aspect and functional aspect of government. Peter Self says that in earlier decades government was primarily concerned with the political aspect or approach. This means that a state or government mainly thinks about politics. This means to maintain law and order, conduct elections or the management of day-to-day affairs.

Though this is the concern of government that is bureaucracy the public administration deals with it. But in recent decades this outlook about bureaucracy has changed. Peter Self observes: "Functions have to be fitted into the managerial requirements of the general administrative system." The managerial aspect or approach states that the running or management of day-to-day functions shall never be the sole purpose of a state.

The state must perform certain meaningful functions and the public administration performs the duties on behalf of the state. Peter Self again states that functional approach means that the government shall take or adopt comprehensive policy to meet the ever increasing demands of people. Again, the adoption and implementation of policies require co-ordination among all or most of the departments of government. Self further says that the functional organisation is becoming more and more complicated. Naturally the dimension of public administration is increasing.

John Rawls in his *A Theory of Justice* has redefined and reformulated the theory of Justice. The manner in which he has done this job has clearly changed the scope of public administration in a considerable way. Let us briefly state what Rawls says about justice. Rawls suggests that rights and liberties are to be distributed on the basis of equality. Rawls moreover proposes that economic and other inequalities are to be arranged in such manner that nobody will be in disadvantage.

This scheme of Rawls, it is suggested imposes additional burden on government particularly the public administration Rawls' scheme is an important part of liberal democracy. The governments, of such democracies cannot deny their responsibilities to the people. The result is the functions of the public administration department are bound to multiply. This aspect of public administration has been termed as the

normative dimension. It is also called an ethical dimension. It has been suggested by many that it is the duty of state to see that justice is not denied to any particular section of the community.

In order to achieve this lofty ideal of liberal democracy the government must take special care. The problem is who will do the job? The answer is it is the primary responsibility of a liberal government to see that the ideal of justice has been translated into reality and the burden of action falls upon the department of public administration. The public administration of earlier period did not think the matter in this light.

Max Weber, the father of bureaucratic administration, confined his analysis on the concept of bureaucracy and its role in an industrialised capitalist society. But during the last eight decades both the capitalist states and people's attitude towards government have considerably changed and this change has forced public administration to play greater and crucial role.

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## **13.2 MEANING OF PUBLIC ADMINISTRATION**

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Public administration is an aspect of a more generic concept of administration. Therefore, before understanding the meaning of public administration, it is necessary to understand the meaning of the word 'administration'. Let us see what the term 'administration' means: λ

**Defining Administration** The English word 'administer' is derived from Latin word ad + ministrare, which means 'to care for or to look after people, to manage affairs'. In its literal sense, the term 'administration' means "management of affairs"; public or private affairs. Administration is a process permeating all collective efforts, be it public or private, civil or military, large-scale or otherwise, and is thus universal in nature. Administration is a cooperative effort through which the laid down goals and objectives are fulfilled. E.N. Gladden in his book *An Introduction to Public Administration* defined administration as : a long and slightly pompous word, but it has a humble meaning, for it means, to care for or look after people, to manage affairs ... is determined action taken in pursuit of a conscious purpose"(Gladden, 1952 ). Administration means organising and using men and material in order to accomplish a purpose

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or a goal. Administration joins groups of people who coordinate and cooperate so that the desired goals are achieved. In other words, in order to achieve the desired goals and objectives, we need to organise and direct human and material resources. It is a universal process and occurs in diverse institutional settings. Based on these settings, administration is divided into public administration and private administration. The former refers to administration, which operates in a governmental setting, while the latter refers to the administration, which operates in non-governmental setting, that is, business enterprises. In short, administration, thus, means a cooperative effort by a group of people in order to achieve a common objective. It is the specialised vocation of managers who have skills of organising and directing men and material just as definitely as an engineer has the skill of building structures or a doctor has the skill of understanding human ailments ( Sharma and Sadana,1998). In other words, it is a goal-oriented, purposive, coordinative and co-operative activity, which is undertaken by a group of people in pursuit of some common goal or goals. Thus, there are certain distinct objectives of 'administration'. These are: λ Goal-orientation. Conceptual and Classical Perspectives 1 3 λ Pursuit of conscious purpose. λ Direction of human and material resources. λ Determined action. λ Cooperation for accomplishment common goals. λ Systematic ordering of affairs. λ Calculated use of resources. λ Coordination and control of persons. λ Getting things done. Public administration is a segment of the larger field of administration. It is simply regarded as bureaucracy, heedless to the fact that bureaucracy as a particular organisational form is not only found in the government, but also in private and third-sector organisations (Dhameja, 2003). Public administration is a discipline, which is concerned with the organisation and the formulation and implementation of public policies for the welfare of the people. It functions in a political setting in order to accomplish the goals and objectives, which are formulated by the political decision makers. It is also called governmental administration as the adjective 'public' in the word 'public administration' means 'government'. The focus of public administration, thus, is on public bureaucracy, i.e.,

bureaucratic or administrative organisation of the government. Features of public administration are:

λ Bureaucratic decision making.

λ Organisation and procedures of policy process.

λ Detailed/systematic execution of law.

λ Enforcement of public policy.

λ Performance of civilian functions.

λ Operation of administrative branch.

λ Art and science of management as applied to State affairs.

λ 'What and 'how' of government.

On the whole, it can be said that public administration is nothing less than the whole government in action. It is an instrument through which the goals and objectives of the government are fulfilled. In other words, it is "the action part of government, the means by which the purposes and goals of government are realised" (Chakrabarty and Bhattacharya, 2003).

In fact, public administration lends itself to two usages: it is an activity; and it also refers to the discipline (or subject) of intellectual inquiry and study. Before proceeding to the nature of public administration, it becomes pertinent to define the three terms, viz., administration, organisation and management, which are used interchangeably. Though the three terms are used interchangeably, yet there is a specific difference in their meanings. This distinction is made clear by William Schulze. According to him, "administration is the force which lays down the object for which an organisation and its management Concept and Significance of Public Administration 1 4 are to strive and the broad

policies under which they are to operate. An organisation is a combination of the necessary human beings, materials, tools, equipment and working space, appurtenances brought together in systematic and effective co-relation to accomplish some desired object. Management is that which leads, guides and directs an organisation for the accomplishment of a pre-determined object". Administration, thus, is a broader concept and includes within its fold both organisation and management.

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### **13.3 PUBLIC ADMINISTRATION: NATURE AND SCOPE**

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There are two broad views with regard to the nature of Public Administration, viz. (a) the Managerial View, and (b) the Integral View.

λ The Managerial View Public administration, in this context, encompasses only the managerial activities and not the technical, clerical and manual activities, which are non-managerial in nature. Thus, administration, according to this view, constitutes the activities of only the top persons. Herbert Simon and Luther Gulick among others support this view. Administration, according to this view is same in all the spheres as the managerial techniques are same in all the fields of activities. Administration has to do with getting things done with the accomplishment of defined objectives.

λ The Integral View According to this view, public administration encompasses within its fold all the activities, which are undertaken to accomplish the given objective. In other words, public administration is the sum total of managerial, technical, clerical and manual activities. Thus, administration, according to this view, constitutes the activities of all persons from top to bottom. Thinkers like L.D. White and Marshall E. Dimock subscribe to this view. Administration, according to this view, depends upon the subject matter of the concerned agency, that is, it differs from one sphere to another sphere. There are two views regarding the scope of public administration, viz., (a) POSDCORB View and (b) Subject Matter View:

λ The POSDCORB View This view of the scope of public administration was advocated by Luther Gulick. He believed that administration consisted of seven elements. He summed up these elements in the acronym 'POSDCORB', each letter of which implies one element of administration. Luther Gulick explains these seven elements of administration (or functions of the chief executive) in the following way:

P — Planning: working out in broad outline the things that need to be done and the methods to be adopted for accomplishing the purpose in hand.

O — Organising: building up the structure of authority through which the entire work to be done, is arranged into well-defined subdivisions and co-ordination.

S — staffing: appointing suitable persons to the various posts under the organisation, and the whole of personnel management.

D — Directing: making decisions and issuing orders and instructions embodying them for the guidance of the staff.

Co — Coordinating: interrelating the various parts of the work and eliminating overlapping and conflict.

R — Reporting: keeping superiors and subordinates informed of what is going on, and arranging for the collection of such information through inspection, research and records; and

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

λ The Subject Matter View Though the POSDCORB view of scope of public administration was acceptable for quite a long time, there arose a reaction, in the course of time, against this view. It was then realised that

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the POSDCORB activities (techniques) can neither be the whole of public administration nor even the significant part of it. This view advocates that the problems of administration are same in all the agencies regardless of the peculiar nature of the functions they perform. Thus, it overlooks the fact that different administrative agencies are faced with different problems. Moreover, the POSDCORB represents only the tools of administration, whereas the substance of administration is something different. The real core of administration consists of the various services performed for the people like defense, health, agriculture, education, social security, etc. These services have their own specialised techniques, which are not covered by the common POSDCORB techniques. In other words, each administrative agency has its own 'local POSDCORB' because of the subject matter with which it is concerned. Further, Gulick's common POSDCORB techniques are also influenced by the subject matter of the administration. Thus, the POSDCORB view is 'technique-oriented' rather than 'subject-oriented'. It ignores the essential element involved in public administration, namely 'knowledge of the subject matter'. This is the reason why the subject matter view of the scope of public administration arose. It lays emphasis on the services rendered and the functions performed by an administrative agency. It advocates that the substantive problems of an agency depend upon the subject matter (i.e, services and functions) with which it is concerned. Therefore, the study of public administration does not only include the techniques of administration but also the substantive concerns of administration. However, the POSDCORB view and subject matter view are not mutually exclusive, but complement each other. They together constitute the proper scope of the study of public administration. As has been rightly observed, POSDCORB and subject matter are two blades of the scissors, of the instrument called public administration.

### Check Your Progress 1

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

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



1) Discuss the meaning of public administration.

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2) Explain the nature and scope of public administration.

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### **13.4 RELATIONSHIP BETWEEN PUBLIC AND PRIVATE ADMINISTRATION**

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Public administration refers to the business of the State and is concerned with the ends and strategies of government policies, programmes and decisions. It operates in a political/ governmental setting. Private administration, on the other hand, refers to the management of business owned and operated by private individuals. It operates in the non-governmental setting, that is, business enterprises. Hence, they are also known as governmental administration and business administration respectively.

Difference between Public and Private Administration Paul H. Appleby, Sir Josia Stamp, Herbert A. Simon and Peter Drucker are of the view that public and private administrations are two different things. The two types of administration can be differentiated on the following grounds: λ Public administration is public in nature. Hence, the main aim of public administration is to serve the public and to promote community welfare. It is characterised by service motive. The private administration, in contrast, is characterised by profit motive, not social service. Its objective is to maximise profit. All their efforts are directed to this end. Also, the public administration carries a greater social prestige than the private administration because of its social role. λ Public administration operates strictly according to laws, rules and regulations. The administrators cannot do anything contrary to, or in excess of legal power. In private administration there are general laws, which regulate the business. Individual business firms have considerable flexibility. λ Public

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administration is subjected to political direction in most policy matters. It is the minister who lays down the broad policy outlines under which the bureaucrats have to implement the policy. In private administration, there is no such political direction. Only in emergency situations, such political direction can be exercised. The ends which it pursues are its own and its objectives do not depend upon political decisions. λ Public administration has to be consistent in its treatment. In other words, the principle of consistency of treatment is the watch word of public administration. Its acts and decisions are regulated by uniform laws, rules and regulations. It means that in public administration, any show of discrimination, bias or partiality Conceptual and Classical Perspectives 17 will evoke public censure or legislative commotion. Administrators have to be very consistent and impartial while dealing with the public. They must give equal treatment to all the citizens without any favour or prejudice. Private administration, on the other hand, can practice preferential treatment. In private administration, discrimination is freely practiced in the selling of products, choice of products and in fixing the prices of the products. λ Being public, public administration is open to constant public scrutiny. The actions of the administrators are much more exposed to the public gaze. The achievements of administrators rarely get publicity but a little fault hits the newspaper headlines in no time. A public administrator is accountable for all the acts and the decisions through legislative oversight and judicial review. In other words, the moral and ethical standards in public administration are much higher as compared to private administration. Public gaze is minimal in private administration and it is not so closely watched by the media. λ The tenure of the administrators is quite secure as compared to the private sector employees. Apart from this, they enjoy many benefits and privileges while in job and even after retirement. This kind of privilege is not available to the private sector employees. λ In public administration, there is monopoly of government and it does not allow private parties to compete. Services like post and telegraph, railways, currency and coinage are exclusively provided by the government. Monopolism in private sector is missing. Several organisations compete with each other to supply the same commodity and product. λ Public administration is

subjected to external financial control. It means that finances of public administration are controlled by the legislature. In other words, legislature authorises the income and expenditure of the executive branch. The executive cannot collect or spend money of its own will. Thus, we see that the administration and finance are separated in public administration. Private administration, on the other hand, is not subject to the principle of external financial control. It is free to manage its finances as it likes. λ The nature of functions performed by public and private administration is also different. Public administration is more comprehensive. It deals with the various types of needs of the people. It carries out functions, which are more urgent and vital for the very existence of the society, for example, defence and maintenance of law and order. Private administration, on the other hand, carries out less vital functions, like manufacture of cloth, supply of sugar, etc. λ Public administrators function anonymously. In other words, the functioning of civil service in government is characterised by the doctrine of anonymity which is the counterpart of the principle of ministerial responsibility. Thus, the minister assumes responsibility for the actions of the civil servants working under him. This is not so in private administration. λ Public administration differs from private administration in the measurement of efficiency as well. Private administration functions on a level of efficiency superior to that of public administration. Since the motive is to make profit, individuals are whole-heartedly devoted to their work and business. In other words, the resource use or profit earning (i.e., input-output relationship) is the criterion of measuring efficiency in private administration. But the same criterion cannot be applied while measuring efficiency in public administration. Concept and Significance of Public Administration 1 8 Thus, public administration has acquired certain distinctive features which distinguish it from private administration. Public accountability is its hallmark; consistency of treatment its watchword; and consciousness of community service, its ideal.

Similarities between Public and Private Administration Even though, they differ in certain respects, there are many similarities between public

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and private administration. In fact, a group of administrative thinkers like Henry Fayol, M.P. Follet, Luther Gulick and Lyndall Urwick do not make a distinction between public and private administration. They are of the view that all administration, whether public or private, is one and possess the same basic features and it is undesirable to separate public from private administration. There is much in common between the two and the difference is only of degree not of kind. The specific similarities between public and private administration are as below:

- λ The managerial techniques and skills of planning, organising, coordinating, controlling, and so on are the same in both.
- λ Both are organised on the basis of the principles of hierarchy.
- λ Both have uniformity in accounting, office management and procedures, purchases, disposals, statistics, stocking, and so on.
- λ Both are being influenced by the practices and standards of each other.

Thus, Pfiffner and Presthus have described the emergence of public corporation as “a halfway house between its commercial prototype and the traditional governmental department.” (Pfiffner and Presthus, op.cit.).

- λ Both have similarities so far as the problems of organisation, personnel and finance are concerned.

The similarity between them is demonstrated by the fact that there is a mutual exchange and rotation of personnel between the two. In India, we have seen that the Administrative Staff College of India located at Hyderabad organises common training programmes for the personnel of both public and private sectors. With the onset of globalisation and the new management perspective, the boundaries between public and private administration are getting blurred. The public sector is expected to work on the lines of the private sector. In other words, it is expected to follow the principles of three ‘E’s’ i.e, Efficiency, Economy and Effectiveness along with profitability. The informal organs such as people’s associations, communitybased organisations along with formal organs of the State participate and discharge activities that were earlier in the public domain. Apart from this, the private sector, functioning along market lines and the regulatory framework of government, undertakes functions that have been the prerogative of the public sector (Medury, 2010). We can, thus, conclude that in many ways, the differences

between public and private administration are diminishing. They complement and supplement each other.

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## 13.5 SIGNIFICANCE OF PUBLIC MANAGEMENT

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Public administration has become an essential segment of modern society, which has witnessed the emergence of what administrative thinkers call as 'Administrative State'. This means that every activity of individuals from 'Womb to Tomb' is regulated and Conceptual and Classical Perspectives 19 controlled by the State agencies, that is, administrative agencies. The significance of public administration is expanding day by day. The functions, which it performs have expanded in scale, range and nature and is still increasing. It is necessary for not only maintaining public order, social security, welfare and economic infrastructure but also for the delivery of goods in terms of services like safety, utilities and enforcement of contractual obligations as also for ensuring the rule of law and treating all the citizens equally. Its nature, contents and scope – all go to make it the 'heart of the problem of modern governments' (White, 1958). Public administration is of utmost importance for the developing countries, which have laid down for themselves numerous plans and programmes of social and economic development. In developing democracies like India, which is striving hard to provide happiness and prosperity to its large number of grieving and impoverished population, public administration has become the instrument of change and development and a powerful agency for achieving national integration. As an instrument of change, especially in countries like India, public administration has successfully implemented various development programmes like community development, poverty eradication, employment guarantee schemes, housing schemes, rural connectivity, rural electrification, health care schemes and so on. As a result, "public administration has definitely changed the face of rural India by providing the basic minimum facilities to the rural poor and improving their living conditions. As an instrument of national integration, it has played a very important role in rehabilitating the refugees after partition as also integrating the princely states with the

Indian territory” (Chakrabarty and Chand, 2012). Public administration is a great stabilising force in a society. Governments come and go but administration does not change. In this way, it provides continuity and linkages between the old and new programmes. In a diverse country like India, public administration becomes all the more important because it acts as a harmonising and integrating force. It has brought the people of different caste, class, community and religion on a common platform. In other words, it has created an environment where people with varied backgrounds can live together. In a way, it has also provided stability and strength to Indian democracy. Public administration is all about governance. It is the heart of development. It is the interface between the market and the civil society. In the words of Frederickson (1999), public administration is moving towards theories of cooperation, networking, governance and institution — building and maintenance in response to the declining relationship between jurisdiction and public management in a ‘fragmented and disarticulated State’.

**Check Your Progress 2**

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

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

1) Bring out the relationship between public and private administration.

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.....  
.....

2) Examine the significance of public administration.

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**13.6 LET US SUM UP**

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The role of the State is undergoing a sea change. The Welfare State has been transformed to a Corporatist State. The market forces have entered in the domain, which was earlier the exclusive jurisdiction of the State bringing about a change in the role of the State. From a ‘doer’ it has

become a 'facilitator' and a 'regulator'. Public administration, has thus, assumed a very important role in modern society. Public administration is the basis of government, whether in monarchy or in democracy or in a dictatorship. It is the instrument for executing the laws, policies and programmes formulated by the State. It is the instrument of social change and economic development, especially in the so-called 'Third World' (i.e., developing countries), which are engaged in the process of social-welding and nation-building and an instrument of national integration particularly in the developing countries, which are facing the challenges of sub-nationalism, secessionism, class wars, and so on. This Unit discussed the significance of public administration by contrasting it with private administration. It also described the various perspectives/viewpoints on its meaning, nature and scope

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### **13.7 KEY WORDS**

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**Liberalisation Privatization:** In 1991, India took up many steps to improve Globalisation (LPG) its balance of payments situation in the form of internal and external liberalisation, a fillip to privatisation and globalisation means integration of economy with the rest of world by allowing Foreign Direct Investment in economy. It calls for Liberalisation, Privatisation and Globalisation; together called LPG to tackle problems of growing inefficiency, mismanagement, rising inflation and public sector losses. Liberalisation means removal of subsidies and restriction on the flow of goods and services. Privatisation means transfer of ownership and management from public sector to private sector.

**Consistency of Treatment:** The principle of consistency of treatment is the corner stone of any organisation. If one employee is treated in a manner in a particular case, the rest of the employees in that particular case should be treated in the same manner, considering the fairness and merits of the case.

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### **13.8 QUESTIONS FOR REVIEW**

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- 1) Bring out the relationship between public and private administration.
- 2) Examine the significance of public administration.

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## 13.9 SUGGESTED READINGS AND REFERENCES

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## **13.10 ANSWERS TO CHECK YOUR PROGRESS**

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### **Check Your Progress 1**

1. See Section 13.2.

1) Your answer should include the following points: λ Public administration is a segment of the larger field of administration. λ It is regarded as bureaucracy. λ It is concerned with formulation and implementation of public policies. λ It is an organisation of the government that entails goal orientation and determined action. λ It means getting things done. λ It includes cooperation and systematic ordering of affairs. λ It means what 'and' how of government. λ It refers to operation of administrative branch.

2) Your answer should include the following points:

λ The managerial new of public administration includes managerial activities and not the technical, clerical and manual activities. λ Administration has to do with getting things done. λ Integral view

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encompasses its fold all activities undertaken to accomplish the given objective. λ Scope of public administration includes POSDCORB view and subject matter view. λ POSDCORB view focuses on planning, organising, coordinating, reporting type of techniques. λ Subject matter view focuses on the fact that different administrative agencies are faced with different problems. λ The real core or administration consists of various services performed by specialised experts which go beyond POSDCORB techniques. λ Both POSDCORB and integral views complement each other.

### Check Your Progress 2

1. See Section 13.4.

1) Your answer should include the following points: λ Public and private administration are different. λ Public administration is oriented towards welfare. λ It has a service motive. λ It follows strict rules and laws. λ Public administration is subjected to political direction in policy matters. λ It has to be consistent in treatment. Conceptual and Classical Perspectives 2 3 λ Being public, public administration is under public gaze. λ The tenure of public administrators is secure. λ Public administrators function anonymously. λ Public administration and private administration is also similar. λ Managerial skills and techniques are common to both. λ Both have similarity in accounting. λ Both are influenced by practices and standards of each other. λ Both face similar problems of organisation.

2. See Section 13.5. Your answer should include the following points: λ Every activity of an individual ‘from womb to tomb’ is regulated by Administrative State. λ Public administration is an instrument of change and development. λ It is a stabilising force in society. λ Public administration is all about governance. λ It has changed the face of rural India

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# UNIT 14: PUBLIC POLICY ANALYSIS

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## STRUCTURE

- 14.0 Objectives
- 14.1 Introduction
- 14.2 Relationship between Politics and Policy
- 14.3 Meaning of Public Policy
- 14.4 Characteristics of Public Policy
- 14.5 Types of Public Policy
- 14.6 Stages in Public Policy Process
- 14.7 Importance of Public Policy
- 14.8 Let us sum up
- 14.9 Key Words
- 14.10 Questions for Review
- 14.11 Suggested readings and references
- 14.12 Answers to Check Your Progress

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## 14.0 OBJECTIVES

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After studying this Unit, you should be able to:

- To explain the meaning of public policy
- To discuss the relationship between politics and policy
- To distinguish between policy, decision and goal
- To throw light on the characteristics of public policy
- To discuss the different types of policy
- To highlight the stages in public policy process; and
- To discuss the importance of public policy.

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## 14.1 INTRODUCTION

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Public policies are as old as governments. Whatever be the form, oligarchy, monarchy, aristocracy, tyranny, democracy etc., - whenever and wherever governments have existed, public policies have been formulated and implemented. To cope with the varied problems and demands of the people the government has to make many policies, these

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policies are called public policies. This Unit tries to explain the meaning and types of public policy. It will highlight the different components of a policy and distinguish between policy, decision and goal. An attempt will be made to bring out the relationship between politics and policy, and importance and characteristics of public policy will also be discussed.

Public policy refers to the rules, regulations, and guidelines formulated by governments for the purpose of solving problems that have an impact on the society and the general public. Public policy analysis involves evaluating issues of public importance with the objective of providing facts and statistics about the extent and impact of the various policies of the government. The basic objective of public policy analysis is to assess the degree to which the policies are meeting their goals. Public policy analysis deals with the application of social science theories and methods to analyze matters of public importance.

### **Role of Public Policy Analysts**

Public policy analysts specialize in problem solving. They deal with some of society's most urgent issues involving crimes, education, healthcare, and environmental problems. Public policy analysts contribute in defining a problem that is understated or not clearly understood by policy makers. They also identify and contribute in making new policy proposals. Public policy analysts are involved in identifying the consequences of new proposed policies. To analyze a public policy, the analysts begin by collecting evidence highlighting the problem. This might include conducting surveys, gathering expert opinions, and examining specific cases related to the problem. Public policy analysts often use the rational policy analysis approach to evaluate a policy. The rational policy analysis approach involves:

- Defining the problem
- Determining the evaluation criteria
- Identifying alternative policies
- Evaluating alternative policies
- Selecting the preferred policy

### **Public Policy Analysis as a Major in College**

Students who opt for public policy analysis as a major in college are taught about different methods for analyzing proposed solutions to common social problems. As part of their education, they are taught to distinguish between correct and faulty research which forms the basis of major policy decisions. They adopt various analytical techniques such as cost-benefit analysis to assess the implication of applying the proposed solution. They get the opportunity to interact with various community leaders to discuss economic development policies and programs. Students of public policy analysis are required to intern for a semester and this offers a valuable chance for them to get first-hand experience of getting involved in policy making. Students of public policy analysis are often required to present a paper on any policy having a bearing on the society.

While pursuing a major in public policy analysis, students use various economic theories and tools such as cost-benefit analysis to evaluate policy decisions. They get the chance to formulate and critique important policies that make an impact on the environment and the society. To major in public policy analysis, students need to have a questioning and analytical mind. Major policy decisions are based on statistics, therefore it helps to have a good grasp of numbers. Given their strong background in economics and mathematics, students of public policy analysis can play multiple roles. They have critical thinking and sharp decision-making skills.

A major in public policy analysis often leads to a bachelor's degree. The high school courses that are recommended for students keen on pursuing public policy analysis are: Macroeconomics, Microeconomics, Statistics, U.S. Government and Politics, and U.S. History. Major courses involving Public Policy Analysis are: Community analysis, Healthcare policy, Policy Process and Development, Demography and Family policy, Criminal Justice issues, and Statistics and Data in Public Policy.

### **Career Options in Public Policy Analysis**

Students pursuing a major in public policy analysis can opt for various career options, such as: government lawyers, education administrators,

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government executives and legislators, community organizers and activists, public interest advocates, and public lawyers.

To be more understanding, comprehensive, and useful, it is strongly argued that modern public policy analysis should do four main things, namely;

1. Consciously analyzing public policies themselves;
2. Deliberate examining the public policy control systems;
3. Comparatively measuring the possible/probable economy , costs and benefits of the actual and various public policy alternatives; and 4. Systematically evaluating the actual practical results produced by a specific public policy [Marume: 1988].

- Consciously analyzing public policies themselves Public policy analysis as deliberate endeavour: is consciously analyzing in a systematic manner public policies themselves in order to determine their suitability, comprehensiveness, relevancy, reliability, appropriateness, and applicability.
- Deliberately examining public policy control systems Public policy control is used to mean: a. The deliberately detailed, systematic, and meticulous act of monitoring by authorized knowledge public functionaries at given times of all the administrative activities. b. Carefully monitoring that all the operations at all times and at all levels of the public authority are being purposefully carried out in accordance with the policies made, with the plans adopted, with the objectives predetermined, with the orders given, with the instructions issued, and with the principles laid down; c. With the objectives of achieving the actual, desired, anticipated, expected, and required practical public policy results within the given time frame. d. Economically, effectively, and efficiently utilizing optimally all the resources made available; and e. Vigorous implementing where this is not being achieved, the corrective action to bring about conformity

and compliance, or making the necessary and appropriate adjustments.

- Comparatively measuring possible/probable economy, costs and benefits Public policy analysis also comparatively measures the possible/probable economy, costs and perceivable benefits of the various public policy alternatives or of several ways in which a public policy may be implemented. To obtain full appreciation of the probable economy, costs, and benefits, a comparative analysis of all the various alternative ways of implementing public policy is made. To obtain full appreciation of the probable economy, costs and benefits, a comparative analysis of all the various alternative ways of implementing public policy is made. Systematically evaluating actual practical results produced by a specific policy Emphasizing the significance of evaluation techniques the modern social scientists say: There is no necessity for working social scientists to allow the political meaning of their work to be shaped by the accidents of its setting, or its use to be determined by the purposes of other men. It is quite within their powers to discuss its use to be determined by the purposes of other men. It is quite within their powers to discuss its meaning and decide upon its uses as matters of their own policy.
- Systematically evaluating actually practical results produced specific public policy

Wright Mills: Evaluation research deserves full recognition as a social science activity which will continue to expand. It provides excellent and already – made opportunities to examine individuals, groups, and societies in the grip of major and minor forces for change. Its applications contribute not to a science of social planning and a more rationally planned society but also to the perfection of social and psychological theories of change.

Charles R. Wright: Evaluation is a systematic process of judging the worth-whileness of some activity, and evaluation research is seen as the specific use of the scientific methods for the purpose of making an

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evaluation. Thus evaluation can be viewed as the determination of the economy, costs, and benefits of public policy alternatives would be; and evaluation research is seen as the specific use of the scientific method for the purpose of making an evaluation.

Evaluation assesses: Actual practical results produced by specific public policy, or proposed programme. A typical evaluation, which aims at improving policy itself and programme decisions, proceeds through five stages:

- determining fairly accurately the decision makers needs;
- designing;
- implementation;
- reporting; and
- dissemination

It is important to note that evaluation research and public policy analysis often resemble each other as elaborate below:

Evaluation research asks about

- The kind of change that is desired;
- The means by which this change is to be brought about;
- The criteria according to which such change can be recognized; and
- The related results and effects.

Summary on the evaluation aspects of public policy analysis Assessing actual practical results produced by a specific public policy or proposed governmental activities. A typical evaluation, which aims at improving policy itself and program me decisions proceeds through five stages: • determining fairly accurately the decision – makers needs • structuring and designing; • implementation; • reporting and • dissemination. It is important to note that evaluation research and public policy analysis often resemble each other as elaborate below. Evaluation research asks about: • The kind of change that is desired; • The means by which this change is to be brought about; • The criteria according to which such change can be recognized; and • The related results and effects The idea



of evaluation research is to assess what actual practical results are produced by a specific public policy, what the costs and benefits are of public policy alternatives or several ways in which a policy may be implemented. Public policy analysis, on the one hand, focuses on analysis of policies themselves and on the probable effects of various policy alternatives, while evaluation research, on the other hand, examines actual programmes based upon empirical input and retrospective analysis.

a. Evaluation research as a methodology assesses;

- Actual practical results produced by a specific policy;
- Probable costs and perceived benefits of public policy alternatives.

b. Public policy analysis focuses on

- Systematic analysis of public policy themselves;
- Examination of public policy control systems;
- Measurement of possible/probable economy, costs and benefits of various public policy alternatives.
- Evaluation of actual practical results produced by a specific policy.

c. Further comments on public policy analysis indicate that:

- Public policy is a more comprehensive analytical tool than evaluation research;
- Public policy analysis is an essential aid for elected and appointed policy – makers to make informed public decisions and thus eventually adopt policy that will be appropriate, realistic and be in the public interest.
- Additionally public policy analysis concerns itself with the conditions, structures, institutions, actions, activities, processes and means that will enhance the economy, efficiently and effectiveness of official operations. Therefore, public policy analysis is a systematic, rational, comprehensive and deliberate endeavour to provide public policy makers with clear, neutral, honest and objective advice which is based on valid and proven facts pertaining to the best programme in terms of effectiveness, efficiency and economy. In addition to the above arguments, public policy analysis is a practically useful aid to provide evidence for decisions already made to determine whether existing programmes should continue or not, or to make the necessary and appropriate adjustments.

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## **14.2 RELATIONSHIP BETWEEN POLITICS AND POLICY**

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Before discussing the meaning of public policy, it would be better if we are clear about the relationship between public policy and politics. Policy making process is a part of politics and political action. According to Gabriel Almond, political system is a set of interactions having structures, each of which performs its functions in order to keep it like an on-going concern, it is a set of processes that routinely converts inputs into outputs. Almond classifies inputs of political system into generic functional categories like political socialization and recruitment, interest aggregation, interest articulation and political communication. Output activities are those which are carried on by a political system in response to demands or stresses placed upon the system in the form of inputs. Outputs can take the form of governmental policies, programmes, decisions etc. Another model on politics-policy relationship is the Feedback or the 'Black Box Model' coined by David Easton. According to this model the remaining demands which have not been included in the decisions and policies will again be fed back through the same process for the purpose of its conversion into decisions. These two models establish clear the relationship between politics and policies in a political system.

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### **14.3 MEANING OF PUBLIC POLICY**

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There are various studies about public policy and many scholars have attempted to define public policy from different angles. Before explaining the meaning of public policy, let us first go through some of its definitions. Robert Eyestone terms public policy as "the relationship of government unit to its environment. Thomas R. Dye says that "public policy is whatever government chooses to do or not to do" Richard Rose says that "public policy is not a decision, it is a course or pattern of activity. In Carl J. Friedrich's opinion public policy is a proposed course of action of a person, group or government within a given environment providing opportunities and obstacles which the policy was proposed to utilize and overcome in an effort to reach a goal realise an objective or purpose. From these definitions, it is clear that public policies are governmental decisions, and are actually the result of activities which the government undertakes in pursuance of certain goals and objectives. It

can also be said that public policy formulation and implementation involves a well-planned pattern or course of activity. It requires a thoroughly close knit relation and interaction between the important governmental agencies viz., the political executive, legislature, bureaucracy and judiciary. The following points will make the nature of public policy more clearly in your minds:

1) Public Policies are goal oriented. Public policies are formulated and implemented in order to attain the objectives which the government has in view for the ultimate benefit of the masses in general. These policies clearly spell out the programs of government.

2) Public policy is the outcome of the government's collective actions. It means that it is a pattern or course of activity or' the governmental officials and actors in a collective sense than being terms as their discrete and segregated decisions.

3) Public policy is what the government actually decides or chooses to do. It is the relationship of the government units to the specific field of political environment in a given administrative system. It can take a variety of forms like law, ordinances, court decisions, executive orders, decisions etc.

4) Public policy is positive in the sense that it depicts the concern of the government 'and involves its action to a particular problem on which the policy is made. It has the sanction of law and authority behind it. Negatively, it involves decisions by the governmental officials regarding not taking any action on a particular issue.

### **Policy and Goals**

To understand the meaning of policy in a better manner, it is very important to make a distinction between policy and goals. Goals are what policies aim at or hope to achieve. A goal is a desired state of affairs that a society or an organisation attempts to realise. Goals can be understood in a variety of perspectives. These can be thought of as abstract values

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that a society would like to acquire. There are also goals that are specific and concrete. Removal of poverty is a goal that the government wants to pursue. Public policies are concerned with such specific goals. They are the instruments which lead to the achievement of these goals. If the government announces that its goal is to provide housing to all the members Public Policy : of the deprived sections of society it does not become a public policy. It is a Meaning and Nature statement of intention of what the government wants to do. Many a time the government, for political reasons, announces goals that it has little desire to achieve. .- I In order to become a policy, the goal has to be translated into action. Programmes have to be designed to achieve specific objectives. As an illustration, let us look at the policy of poverty alleviation. Several programmes have been designed for this, e.g., The Integrated Rural Development Programme (IRDP), The National Rural Employment Programme (NREP) etc. Each programme has certain goals to achieve within a specified time and each programme is provided with financial resources and administrative personnel. These become concrete efforts to achieve a goal. Policy spells out the strategy of achieving a goal. Thus policy is essentially an instrument to achieve a goal. Statement of goal docs not makes it a policy.

Policies and Decisions A distinction needs to be drawn between a policy and a decision also. Many a time the terms are used interchangeably but that is not the correct usage. Individuals, organisations or government are constantly taking decisions. But all the decisions that are taken cannot be described as matters of policy. The essential core of decision-making is to make a choice from the alternatives available in order to take an action, if there is only one course of action available then there is nothing one can choose from and therefore, no decision can be taken. A decision can be taken only when there is more than one alternative available. Thus a decision is the act of making a choice. The entire science of decision-making has been developed in order to analyse the conditions that can improve this activity and how a decision maker can improve his choice by expanding the number of alternatives available to him. There can be two types of decisions, programmed and non-programmed. Programmed decisions are repetitive and do not require a fresh consideration every

time they are taken. These decisions are routine in nature and for these definite procedures can be worked out. Each decision need not be dealt with separately. In programmed decisions, habits, skills and knowledge about the problem are important. For example, once the decision to open the library from 10 a.m. to 5 p.m. is taken, it does not require fresh consideration to keep it open during those hours. The decision is incorporated into procedures that are established for the purpose. Non-programmed decisions are new and unstructured. No well laid-out methods are available for such decisions, each issue or question is to be dealt with separately. Such decisions are required in the situations of unprecedented nature, for example breakdown of an epidemic, occurrence of earthquake, etc. Training in skills, needed for such decisions and innovative ability become reliant in this regard. Both the programmed and non-programmed decisions have to be taken in a broad framework or course of action. Public policy is the broad direction or perspective that the government lays down in order to take decisions. Each organisation or the individual is enjoined to take a decision within a policy framework. Decision can be a onetime action. Policy consists of several decisions that are taken to fulfil its aims. A policy consists of a series of decisions tied together into a coherent whole. There can be some similarity in the processes involved in decision making and policy making. Both are concerned with choice among alternatives and for both similar processes can be followed in generating alternatives. But we should always remember that policy is a more comprehensive term, as it encompasses a series of decisions and has a comparatively longer time perspective.

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## **14.4 CHARACTERISTICS OF PUBLIC POLICY**

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The planning and nature of public policy will become clearer by throwing light on different characteristics of public policy. Some of the major characteristics of public policy making are:

Public Policy Making is a Very Complex Process: Policy making involves many components which are interconnected by communication and feedback loops and which interact in different ways. Some parts of

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the process are explicit and directly observable, but many others proceed through hidden channels that the officials themselves are often only partly aware of. These hidden procedures are very difficult and often impossible to observe. Thus guidelines are often formed by a series of single decisions that result in a 'policy' without any one of the decision makers being aware of that process. It is a Dynamic Process: Policy making is a process that is a continuing activity taking place within a structure; for sustenance, it requires a continuing input of resources and motivation. It is a dynamic process, which changes with time. the sequences of other its sub-processes and phases vary internally and with respect to each Policy making Comprises Various Components: The complexity of public policy making as we know is an important characteristic of policy making. Public policy formulation often involves a great variety of substructures. The identity of these substructures and the degree of their involvement in policy making, vary because of different issues, circumstances and societal values.

Policy Structure makes Different Contributions: This characteristic suggests that every substructure makes a different and sometimes unique contribution to public policy. What sort of contribution substructures make, depends in part on their formal and informal characteristics which vary from society to society.

Decision-Making: Policy making is a species of decision-making because it lets us use decision-making models for dealing with policy making. Lays down Major Guidelines: Public policy, in most cases, lays down general - directives, rather than detailed instructions, on the main lines of action to be followed. After main lines of action have been decided on, detailed sub-policies that translate the general theory into more concrete terms are usually needed to execute it.

Results in Action: Decision-making can result in action. in changes in the decision-making itself, or both or neither. The policies of most socially significant decision-making, such as most public policy making are intended to result in action. Also policies directed at the policy making apparatus itself such as efficiency drives in government are action oriented.

**Directed at the Future:** Policy making is directed at the future. This is one of its most important characteristics since it introduces the ever-present elements of uncertainty and doubtful prediction that establish the basic tone of nearly all policy making. Actual policy making tends to formulate policies in vague and elastic terms; because the future is so uncertain. It permits policy makers to adjust their policy according to emerging facts and enables them to guard against unforeseen circumstances.

**Mainly Formulated by Governmental Organs:** Public policy is also directed, in part, at private persons and non-governmental structures, as 'when it calls for a law prohibiting a certain type of behaviour or appeals to citizens to engage in private saving. But public policy, in most cases, is primarily directed at governmental organs, and only intermediately and secondarily at other factors.

**Aims at Achieving what is in the Public Interest :** However difficult it might be to find out what the "public interest" may come ,rely refer to, the term never the less conveys the idea of a "general" orientation 2nd seems therefore to be important and significant. Furthermore, there is good evidence that the image of "public interest" influences the public policy making process and is therefore at least, as conceived by the various public policy making units, a "real" phenomenon, and an important operational tool for the study of policy making.

**Use of Best Possible Means:** In abstract terminology, public policy making aims at achieving the maximum net benefit. Benefits and costs take in part the form of realized values and impaired values, respectively, and cannot in most cases be expressed in commensurable units. Often, quantitative techniques can therefore dot public policy : be used in this area of public policy making but neither the qualitative significance Meaning and Nature of maximum net benefits as an aim nor the necessity to think broadly about alternative public policies in terms of benefits and costs is therefore reduced.

**Involvement of Various Bodies Agencies:** Industrial workers, voters, intellectuals; legislators, bureaucrats, political parties, political executives judiciary etc. are the various organs that participate in public policy making and can influence the policy process to a great extent.

**Check Your Progress 1**

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

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

1) Bring out the relationship between public policy and politics.

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2) Discuss the meaning of public policy.

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3) Distinguish between a policy and a goal.

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4) Bring out the difference between a decision and a public policy.

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5) Highlight the different characteristics of public policy making.

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**14.5 TYPES OF PUBLIC POLICY**

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Substantive: These policies are concerned with the general welfare and development of the society, the programmes like provision of education and employment opportunities, economic stabilisation, law and order enforcement, anti-pollution legislation etc. are the result of substantive policy formulation. These policies have vast areas of operation affecting the general welfare and development of the society as a whole. These do not relate to any particular or privileged segments of the society. Such policies have to be formulated keeping in view the prime character of the



constitution socio-economic problems and the level of moral claims of the society.

**Regulatory:** Regulatory policies are concerned with regulation of trade, business, safety measures, public utilities, etc. This type of regulation is done by independent organisations that work on behalf of the government. In India, we have Life Insurance Corporation, Reserve Bank of India, Hindustan Steel, State Electricity Boards. State Transport Corporations, State Financial Corporations, etc., which are engaged in regulatory activities. The policies made by the government, pertaining to these services and organisations rendering these services are known as regulatory policies.

**Distributive:** Distributive policies are meant for specific segments of society. It can be in the area of grant of goods, public welfare or health services, etc. These mainly include all public assistance and welfare programmes. Some more examples of distributive policies are adult education programme, food relief, social insurance, vaccination camps etc. **Redistributive:** Redistributive policies are concerned with the rearrangement of policies which are concerned with bringing about basic social and economic changes. Certain public goods and welfare services are disproportionately divided among certain segments of the society, these goods and services are streamlined through redistributive policies.

**Capitalisation:** Under the capitalisation policies financial subsidies are given by the Union government to the state and local governments, such subsidies are also granted to the central and state business undertakings or some other important sphere if necessary. Capitalisation policies are different in nature than the substantive, regulatory, distributive and redistributive policies as no provision for public welfare services is made through these.

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## **14.6 STAGES IN PUBLIC POLICY PROCESS**

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A brief highlight on the various stages of public policy will clarify the actual process of public policy in India. Policy formulation is the first stage in public policy process. Through this process the demands of the system are converted into policies. But before this it has to be clearly

established as to which demands require to be converted into policies. At the policy interpretation stage, the formulated public policy is further clarified and interpreted in order to make it fully understandable. The next stage in public policy process is policy education. The government through various channels of mass-media attempts to make the masses aware of the formulated policies. After this comes the stage of policy implementation, when the policies are systematically executed by the different administrative agencies at the central.

To ascertain the impact of policies, it is very essential to keep an eye on the implementation process, to see that expenditure does not exceed the resources available and to see that policies are positively affecting those for which they are being made. For this proper monitoring of policy implementation has to be done. and policy evaluation stage is the final stage in policy process. Proper and appropriate administrative and adjudicative functions are needed for keeping a complete control over the public policies.

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### **14.7 IMPORTANCE OF PUBLIC POLICY**

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‘It is clear from the above sections of the Unit that policy is a purposive course of action in dealing with a problem or a matter of concern within a specific time frame. Before going into the question of importance which is attached to policy formulation, implementation and monitoring, it would be better to recapitulate the components of public policy. 1) Policy is purposive and deliberately formulated. Policy must have a purpose or a goal. It does not emerge at random or by chance. Once a goal is decided the policy is devised in such a way that it determines the course of action needed to achieve that goal. 2) A policy is well thought out and is not a series of discrete decisions. 3) A policy is what is actually done and not what is intended or desired, a statement of goals does not constitute a policy. 4) Policy also delineates a time frame in which its goals have to be achieved. 5) Policy follows a defined course of action viz. formulation, implementation, monitoring and evaluation. Actually the scope of public policy is determined by the kind of role that the State adopts for itself in a society. In the classical capitalist society, State was assigned a limited role and it was expected that the State would

merely act as a regulator of social and economic activity and not its promoter. With the advent of planned view of development, State began to be perceived as an active agent in 'promoting and shaping societies in its various activities. This was considered as a great change in the role of a State. Public policies expanded their scope from merely one of regulation to that of development. Expansion in scope led to several other consequences like many more government agencies and institutions came into being in order to formulate and implement policies. In India, the Planning Commission and its attendant agencies came into being in order to formulate policies and develop perspectives that could define the direction which the country would follow. So, the first major goal of public policies in our country has been in the area of socio-economic development. Wide ranging policies were formulated in the area of industrial and agricultural development. Many policies were converted into Statutes. like Industrial Development and Regulating Act or Land Tenancy Act. Others were kept as directives in the various plan documents. For all policy directions, the Five Year Plans became the major source. These policies were of two types, one of regulation and the other of promotion. Laws laid down what could be done or not done by the entrepreneurs. This could be in the larger area like what goods can be produced by the public or whether certain goods can be traded only by government agencies. Laws also specified how State agencies themselves were to provide goods and services like electricity, transport etc. The State undertook similar responsibility in the social sphere. Dowry Act, Divorce Act, etc., are examples of this. But socio-economic transformation was not the only problem when India became independent. There were also problems of national integrity, the external environment was a source of threat and the country had to develop suitable policies to defend itself. Apart from this, there have been internal challenges. Regionalism has given rise to fissiparous tendencies that have to be countered in the long-term perspective These would include not only defence policies but also similar efforts at decentralisation that create greater national cohesiveness. Thus, since independence, public policies in India have been formulated with a view to achieve socio-economic development and maintain national integrity. These goals have

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been complex demanding coherent policies. This has been a difficult task because goals have had to be divided into sectors and sub-sectors. Many a time by its very nature, policies have been contradictory. What may be rational for economic development; may not be so for national Integration. Thus, the need of a strong Centre to cope with external threats etc. is important but it may go against the principle of decentralisation which provides for greater national cohesion of a heterogeneous society. This is the reason why ascertaining of the actual impact of public policy becomes a necessity.

These days policy analysis is acquiring a lot of importance in the realm of the study of public administration. This trend is observable all over the world. The success of policy formulation, execution and monitoring ultimately depends on the success of policy analysis. In India, this trend emerged with the launching of our Five Year Plans. As the years passed by, one Five Year Plan was followed by another and disillusionment started setting in. Goals of socio-economic development could not be achieved. Those who were supposed to benefit from the development effort began to lose. Attention shifted to the management and administration in order to find out why the policies were failing to achieve their objectives. This investigation did not include the questions of policies being right or wrong. It took the crises of the 1960s to raise the issue of correctness of policy. Disenchantment with the development processes followed the two wars in 1962 and 1965. The International Monetary Fund (IMF) enforced a devaluation of the rupee in 1966 and a terrible drought ravaged the land during 1966-68. It became evident that the development policies were in trouble. In the early 1970s another war, drought and the oil crisis gave a jolt to the plan that had been followed until then. The culmination was the imposition of national emergency in 1975 to cope with the rising dissatisfaction. It was the emergence of the turbulent period that led to the questioning of the policies that had been followed. It was no more a question of implementation alone. The argument that began to gain the popular view was that policy itself was faulty and all the blame could not be put on administration. The first to pick up this line of reasoning was the discipline of economics. The economic failures dominated the scene and therefore it was natural that

economists were the first ones to raise questions about the appropriateness of policy. Students of public administration began to emphasise that implementation failures could also emanate from inadequacy of public policy and therefore policy analysis should also be included in the area of study of public administration. This argument got support from certain developments in the discipline of public administration. In view of the everyday experience, it was becoming difficult to sustain the classical concept of separation of politics and administration. This distinction categorised policy formulation and implementation as two distinct activities. Policy formulation was regarded as a political activity and policy implementation an administrative one. But this distinction got increasingly blurred and it was not an easy task to determine where policy formulation ended and where policy implementation began. It came to be accepted that both were interactive processes and had to be seen in an integrated way. With this change in view students of public administration began to devote greater attention to the problems of policy formulation and influence of policy design on implementation. It is in this way that policy analysis has become an important focus of study. Policy makers have also shows great interest in it because it ultimately helps in improving the effectiveness of policy. Many universities and research institutes are involved in policy analysis. The government provides for a lot of funds in this area.

**Check Your Progress 2**

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

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

1) What are the different types of public policy.

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2) Highlight the various stages involved in public policy process.

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3) Discuss the importance of public policy

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## **14.8 LET US SUM UP**

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It is clear that public policies are the activities that the government undertakes in order to pursue certain established goals and objectives. In this Unit we discussed the meaning and important of public policy and the difference between a public policy, a goal and a decision. An attempt was also made to explain the relationship between public policy and politics. The Unit also highlighted the different types of public policy, the stages involved in public policy process and the various characteristics of public policy. Some of these aspects of public policy will be discussed in detail in the subsequent Units of this Block.

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## **14.9 KEY WORDS**

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**Non-Programmed Decisions:** Herbert Simon .makes a clear distinction between programmed and non-programmed decisions. Non-programmed decisions, are new, novel and unstructured. No readymade methods are available for taking these decisions; each issue is dealt with separately. Proper training in development of innovative capacity is required for such decisions.

**Programmed Decisions:** These decisions are repetitive and routine in nature. For such decisions definite procedures can be worked out. Each decision need not be dealt with separately. In such type of decisions, habits, skills and knowledge about the problem is important. Mathematical models and computer can help the decision makers to arrive at rational decisions as far as these decisions are concerned.

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## **14.10 QUESTIONS FOR REVIEW**

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1. Discuss the Relationship between Politics and Policy
2. What is the Meaning of Public Policy?
3. Discuss the Characteristics of Public Policy
4. What are the Types of Public Policy
5. What are the Stages in Public Policy Process
6. What is the Importance of Public Policy?
7. What are the different types of public policy?
8. Highlight the various stages involved in public policy process.
9. Discuss the importance of public policy.

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## **14.11 SUGGESTED READINGS AND REFERENCES**

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## **14.12 ANSWERS TO CHECK YOUR PROGRESS**

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### **Check Your Progress 1**

## Notes

1) Your answer should include the following points: policy making is a part of politics and political action political system is a set of interactions having structures, each part of the structure performs certain functions demands act as inputs which are continuously fed in the political system these inputs get converted into programmes, policies and decisions.

2) Your answer should include the following points: public policies are governmental decisions. public policies are the result of the activities which the government undertakes in pursuance of certain goals and objectives. it involves a wdl planned pattern or course of activity. it depicts the concern of the government and involves its actions.

3) Your answer should include the following points: goals are what policies aim at or hope to achieve: goals can be abstract, specific and concrete. goal is a statement of intention of hat the government wants to do. in order to become a policy a goal has to be translated into action. policy spells out the strategy of achieving a goal.

4) Your answer should include the following points: the essential core of decision-making is to make a choice from the alternatives available in order to .take an action a decision is an act of making a choice. there are two types of decisions, programmed and non-programmed. public policy is the broad direction or perspective that the government lays down in order to take decision. a decision can be a one time action. a policy consists of several decisions that are taken to fulfill its aims. both policy making and decision processes are concerned with choice activity.

5) Your answer should include the following points : public policy making is a complex process it is a dynamic process comprises various components its substructures make different contributions decision-making lays down major guidelines result in action directed at the future formulated by governmental organs keeps in view the public interest use of best possible means involvement of various organs



## Check Your Progress 2

1) Your answer should include the following points: Substantive  
Regulatory Distributive Redistributive

2) Your answer should include the following points:

- policy formulation
- policy implementation
- monitoring of policy
- policy evaluation and analysis

3) Your Meaning and Nature answer should include the following points  
: The reach and scope of public policy is determined by the kind of role that the State adopts for itself in a society. public policies have expanded their scope from merely of regulation to that of development. many policies have been converted into legal statutes. many aspects like socio-economic development, maintenance of national integrity, political stability have formed a major part of public policies in India. policy analysis has acquired a lot of importance in the realm of public policy process. the failure of our Five Year Plans has pressurised the government and research institutions to go deep into research on policy analysis. realisation that when policies fail only policy implementation should not be blamed has gained importance. policy formulation and implementation can no longer be regarded as two distinct activities.