

स्वाध्याय

स्वमन्थन

स्वावलम्बन

30 प्र० राजर्षि टण्डन मुक्त विश्वविद्यालय



इन्दिरा गाँधी राष्ट्रीय मुक्त विश्वविद्यालय



उत्तर प्रदेश राजर्षि टण्डन मुक्त विश्वविद्यालय

UGPA-04
Personnel Administration

- FIRST BLOCK** : Personnel Administration
SECOND BLOCK : Civil Services In India
THIRD BLOCK : Personnel Agencies
FOURTH BLOCK : Personnel Management:
Policies and Practices
FIFTH BLOCK : Working Conditions,
Conditions of Service
SIXTH BLOCK : Employer-Employee Relations

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UGPA - 04
**Personnel
Administration**

Block

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PERSONNEL ADMINISTRATION

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PERSONNEL ADMINISTRATION

Course Introduction

Personnel constitutes the most important input in administration. The Elective Course 4 aims at familiarising the students with the concept, nature, scope, functions and significance of Personnel Administration. Since civil services play a crucial role in the present day administrative system, the course deals with the development of public services, role of bureaucracy, its basis, classification, and the issue of relationship between the generalists and specialists. It analyses the role of various personnel agencies like the Ministry of Personnel, Administrative Reforms, Public Grievances, Pensions and Pensioners' Welfare, Public Service Commissions, Training Institutions and Administrative Tribunals. The important components of Personnel Administration like recruitment, training, promotion, performance appraisal are dealt with. The course also gives an idea about the working conditions, conduct and discipline, administrative ethics and integrity of public service personnel. It also highlights the employer-employee relations.

Block Introduction

Block one titled 'Personnel Administration' is the introductory block of EPA-04. It aims at familiarising the students with the meaning, nature, scope and importance of personnel administration. The characteristic features, functions and role of personnel system in administration will be dealt with. The block is divided into four units. The concepts highlighted in this block will be discussed elaborately in separate units of the subsequent blocks.

Unit 1 Concept, Nature and Scope of Personnel Administration

This unit aims at highlighting the meaning and importance of personnel administration. The evolution and development of personnel administration has been discussed in the unit. It stresses the need for effective personnel system in administration.

Unit 2 Functions and Significance of Personnel Administration

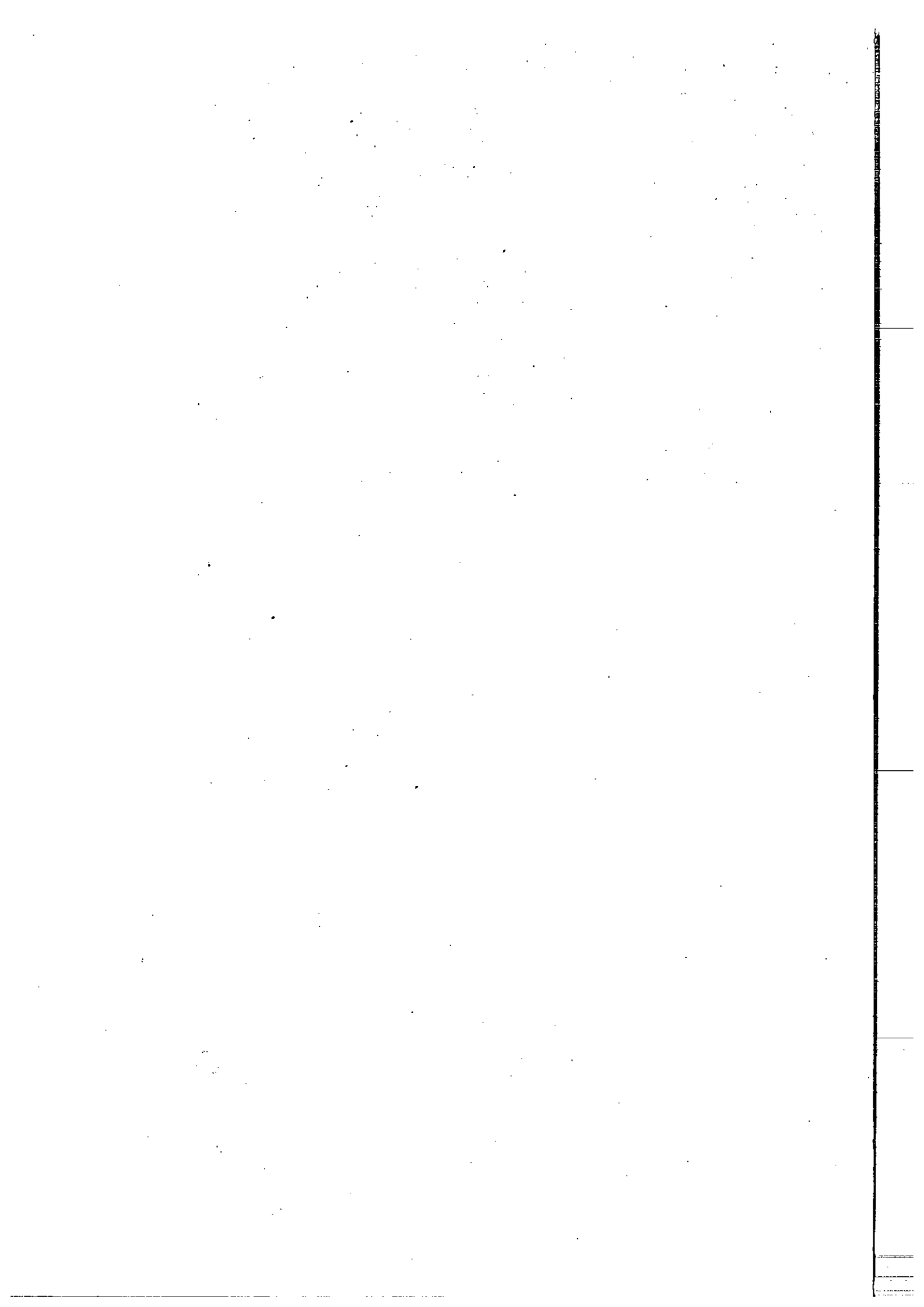
This unit deals with the different functions of personnel administration, their importance and their interdependence upon each other. The unit aims to highlight the fact that the effective functioning of certain tasks viz. manpower planning, recruitment, training, promotion and salary structuring are very important for an organisation. The aspects of personnel grievances and employee's welfare have been dealt with in some detail. The significance of personnel system has also been discussed.

Unit 3 Public Services and their Role in Administrative System

As the functions of the government are expanding, the role of public services is coming more and more important. This unit stresses on the desirability of effective public services, the relationship between the government and public services and the expanding scope of the services. The role—models of civil services have also been highlighted.

Unit 4 Characteristics of Public Personnel Administration in India

This unit highlights the different characteristics of personnel administration in India. The public personnel system is different from private personnel system, public servants have limited political role, their number is constantly increasing, the role of specialists is assuming importance, more and more developmental functions are being taken up by public personnel. All these features have been dealt with in the unit. It also discusses the dysfunctionalities of personnel system and throws light on the need for evolving an effective personnel system through people's participation, effective role of NGOs, cooperatives and mass-media.



UNIT 1 CONCEPT, NATURE AND SCOPE OF PERSONNEL ADMINISTRATION

Structure

- 1.0 Objectives
- 1.1 Introduction
- 1.2 Concept of Personnel Administration
 - 1.2.1 Personnel Administration : Meaning
 - 1.2.2 Nature of Personnel Administration
- 1.3 Personnel Administration : Evolution and Development
- 1.4 Scope of Personnel Administration
- 1.5 Conclusion
- 1.6 Let Us Sum Up
- 1.7 Key Words
- 1.8 References
- 1.9 Answers to Check Your Progress Exercises

1.0 OBJECTIVES

After reading the unit, you should be able to:

- explain the concept of personnel administration;
- discuss the nature and meaning of personnel administration;
- highlight its evolution and development; and
- discuss the scope of personnel administration.

1.1 INTRODUCTION

People of a country are an important asset for it, so is the case with organisations. The successful functioning of an organisation depends on its manpower and quality of leadership. The manpower by itself does not contribute to the development of an organisation, it has to be converted into human resources through systematic planning, adequate training and proper education. Without the growth of human resources called the human capital, goals and objectives of an organisation can never be achieved. Human capital can be defined as the sum total of knowledge, skills and aptitudes of the people in the society. Development of human resources poses a major challenge for the developing countries like India. Manpower planning is an important tool for developing human resources. Investments in manpower planning whether made by government or a private organisation belong to the individual and do not depreciate. In fact they increase with the passage of time. Thus human resources are an important part of the total resources of an organisation. Though financial resources, physical resources (the work place, machinery etc.) and technological resources are also very important, it is the human resources which are most vital as they generate the other resources. Adequate utilisation of human resources would automatically lead to optimum utilisation of financial, physical and technological resources. No organisation can achieve the desired goals without effective management of all its resources, but human capital is the most essential element of an organisation. As personnel administration deals with the management of the human resources, the study of its concept, nature, scope and development assumes importance. These aspects will be highlighted in this unit.

1.2 CONCEPT OF PERSONNEL ADMINISTRATION

The tasks of government are increasing everyday. Development and welfare orientations have led to the expansion of government and its administrative machinery. As the tasks, responsibilities and activities of organisations whether public or private multiply, the demands on personnel, at every level, in terms of efficient discharge of their duties also rise. Thus the task of personnel administration is to assure a steady source of people who can contribute to the success of an organisation and meet the growing demands of development. To understand the concept of personnel administration, it is very essential to first understand the meaning and nature of the term.

1.2.1 Personnel Administration : Meaning

Personnel administration is that part of administration which is concerned with people at work and with their relationships within an organisation. It refers to the entire spectrum of an organisation's interaction with its human resources from recruitment activity to retirement process. It involves personnel planning and forecasting, appraising human performance, selection and staffing, training and development and maintenance and improvement of performance and productivity. Personnel administration is closely related to an organisation's overall effectiveness.

There is no standard definition of the term 'personnel administration'. Still there is a widespread unanimity among writers on its meaning, scope and purpose. According to Flippo, personnel function is concerned with the procurement, development, compensation, integration and maintenance of the personnel of an organisation for the purpose of contributing toward the accomplishment of that organisation's major goals and objectives. Dale Yoder uses the term "manpower management" instead of "personnel management" and includes both labour relations and personnel administration within its ambit. According to him, "the term effectively describes the processes of planning and directing the application, development and utilisation of human resources in employment. Employers, employees, unions and public agencies all have important roles to play in these processes."

According to Thomas G. Spates, "personnel administration is a code of the ways of organising and treating individuals at work so that they will each get the greatest possible realisation of their intrinsic abilities, thus attaining maximum efficiency for themselves and their group and thereby giving to the enterprise of which they are a part, its determining competitive advantage and optimum results."

Michael Jucius defines personnel administration as "the field of management which has to do with planning, organising, and controlling various operative functions of procuring, developing, maintaining and utilising a labour force such that the:

- a) "objectives for which the company is established are attained economically and effectively;
- b) "objectives of all levels of personnel are served to the highest possible degree;
- c) "objectives of the community are duly considered and served."

The Institute of Personnel Management in U.K. defines personnel management as "that part of the management function which is primarily concerned with the human relationships within the organisation. Its objective is the maintenance of those relationships on a basis which, by consideration of the well-being of the individual, enables all those engaged in the undertaking to make their maximum personnel contribution to the effective working of that undertaking." The Indian Institute of Personnel Management has also adopted this definition.

The above-mentioned definition was replaced in 1966 by a more elaborate definition. It reads, "Personnel management is that part of the management function which is concerned with people at work and with their relationships within an enterprise. Its aim is to bring together and develop into an effective organisation the men and women who make up an enterprise and, having regard to the well-being of an individual and of working groups, to enable to make their best contribution to its success.

In particular, personnel management is concerned with the development of policies governing:

- Manpower planning, recruitment, selection, placement and termination
- Education and training, career development
- Terms of employment, methods and standards of remuneration
- Working conditions and employees' services
- Formal and informal communication and consultation both through the representatives of employers and employees and at all levels throughout the organisation
- Negotiation and application of agreements on wages and working conditions, procedures for the avoidance and settlement of disputes.

Personnel management is also concerned with the "human and social implications of change in internal organisation and methods of working and of economic and social changes in the community."

Thus we can say that personnel administration deals with the recruitment, placement, training, disciplinary measures, monetary and non-monetary incentives and retirement benefits of the human beings or the personnel within an organisation. It also deals with the nature of human relationships in an organisation, interaction between the human beings within an organisation and interaction of human beings with the organisation. Personnel administration includes all activities and functions relating to policy formulation, planning, policy implementation, social change and modernisation, administrative reforms and public relations in an organisation. It aims at optimum utilisation of human resources in order to achieve maximum results with minimum wastage of funds and technology.

Personnel administration is variously known as 'personnel management', 'labour relations', 'manpower management', 'labour welfare management', etc. But the term 'personnel administration' connotes a wider meaning, it includes both personnel management and industrial relations. Many a times the terms labour relations and industrial relations are used interchangeably with personnel administration but it is always better to distinguish between them. The term 'labour relations' refers primarily to the relation between management and organised labour. It includes negotiations of contracts with unions. It deals with handling of differences with unions and business agents. Some organisations have a labour relations officer or director whose primary task is to advise and assist top management in their dealing with union representatives. This official may or may not report to personnel administrator. In an unionised organisation, where there is no labour relations officer or director, the personnel administrator performs the task of labour relations officer.

Thus personnel administration aims at:

- Effective utilisation of human resources
- Desirable working relations among all members of the organisation
- Maximum development
- Meeting the organisation's social and legal responsibilities.

According to Michael J. Jucius, personnel management should aim at:

- a) attaining economically and effectively the organisationa. goals;
- b) serving to the highest possible degree the individual goals; and
- c) preserving and advancing the general welfare of the community.

To obtain these objectives, personnel administration is concerned with planning, organising, directing, coordinating and controlling the cooperative efforts of individuals within an organisation.

1.2.2 Nature of Personnel Administration

Personnel function is crucial in any administrative organisation. The organisation cannot afford to ignore it. Hence it becomes a basic responsibility of the management, be in the government or in semi or non-government organisations. The changes in the socio-economic environment has its effect on management. The management environment keeps changing due to the changes that occur in the total socio-economic environment. The political environment also affects the work environment in an organisation. Such changes get reflected in personnel administration. These changes can be:

- i) changing mix of the personnel entering government service organisation
- ii) changing values of personnel
- iii) increasing expectations of the government from their employees, and
- iv) increasing expectations of the people from the government at different levels.

Thus management is affected by the changes in the social, economic and political scenario. In fact it has to keep up with these changes. A higher number from schedule castes, tribes and other economically backward classes are joining the government service. A greater number of people with higher education, more women, more technically skilled workers are also joining the government service. This has really changed the ratios of working force. With the proliferation of activities under 'development' and 'welfare' programmes, the employees are now expected to be more competent and efficient. People at large expect the administration to be efficient, effective and sympathetic. People's involvement in administrative activities is increasing. Due to the constant demands on administration, the nature of personnel administration is also changing.

Personnel are required to perform 'line' and 'staff' functions. Activities directly related to the primary objective of an organisation are called as 'line' functions. The 'staff' functions are those which facilitate and assist the performance of line work. They are in the nature of secondary activities and enhance the effectiveness of the line agencies. For example, assistance in processing and supplying the required number of personnel and training and development of personnel are essentially staff functions. An organisation cannot function without the assistance of line and staff personnel. At the same time, personnel function cannot be isolated from the rest of the administrative functions. Personnel functions include both line and staff activities in an organisation.

Personnel administration does not always function in a formal organisation. No organisation can solely run on the basis of formal rules and regulations, it comprises human beings who are structured in an authority and responsibility network in order to carry out the tasks and activities for the fulfilment of organisational objectives. This formal structure is supplemented, supported or sometimes obstructed and on occasions taken over by the informal organisation. Informal organisation grows within the formal organisation. It is a natural phenomenon and is based on social and cultural relations among the personnel of formal groups. Political, economic and psychological factors also contribute to the growth of informal organisation.

The functions of personnel administration are becoming more complicated day by day. The problems of personnel administration differ from one organisation to the other. Big organisations have more tasks to perform, they employ more people and serve varied objectives. The task of personnel administration in such organisations becomes more intricate. As personnel administration deals with human beings all the time, the crucial functions of motivation and morale of employees have to be performed by it. It has to meet the growing needs of the people as well as satisfy the increasing expectations of its employees.

Check Your Progress 1

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

1) What is meant by personnel administration?

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2) Discuss the nature of personnel administration.

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1.3 PERSONNEL ADMINISTRATION: EVOLUTION AND DEVELOPMENT

While the evolution and development of personnel administration in U.K. and U.S.A. was largely voluntary, in India, the growth of personnel administration can be attributed to the efforts made by the government. While in the West, the pioneering work in the field of personnel management was motivated by the managerial preoccupation with the concept of welfare, in India, unsystematic recruitment practices, growing labour unrest, loss of production etc., initiated some interest in personnel management.

In U.K., personnel administration had its origin in the concept of welfare as propounded and practised by some of the enlightened entrepreneurs, who sought the establishment of modern personnel administration. The term personnel management actually originated in the U.S.A.

It was F.W. Taylor's scientific management which laid the foundation for the development of personnel administration. Taylor laid emphasis on scientific selection and systematic training and development of the individual worker. H.L. Gantt, a close associate of Taylor, in scientific management movements, foresaw the need for obtaining the willing cooperation of the worker. He maintained that it was not enough to tell the worker how to do a job, but it was also necessary to promote the ability and willingness to do a job. Mary Parker Follet also laid stress on training and development aspects of management. The pioneers of scientific management, apart from increasing efficiency, aimed at fighting fatigue and monotony among the workers.

Most important breakthrough for personnel administration was Elton Mayo's Hawthorne experiments and the human relations movement. These experiments paved the way for using the disciplines of sociology, psychology, industrial psychology, social psychology etc., with a view to understanding employees and organisational behaviour and influencing them through a motivational approach. All this led to the gradual evolution and development of a theory and practice of personnel management.

There were also other events and influences which led to the growth of personnel management. Various revolutionary concepts like mass production, mass distribution and mass financing were evolved by industrial and business empires. The labour shortages during the world wars and various labour problems posed a challenge to management. With the Great Depression in 1929, big business suffered a severe setback. The State, the public and the trade unions, aimed at efficient professional management. Their demands were, elimination of waste and maximum utilisation of resources, particularly human resources.

All these developments in America emphasised the fact that management of people or personnel management is just as important as the management of production. Thus the entrepreneurial interest, apart from other events in the sphere of worker welfare provided the source of inspiration for the evolution of modern dynamic personnel administration.

The history of the evolution and growth of personnel management in our country is not very old. It was the Royal Commission on Labour which recommended in 1931 the appointments of Labour Officers to deal with the recruitment of labour to settle their grievances. The industrial disputes of 1920s forced the government and businessmen to think in terms of labour problems and promotion of personnel management. The recognition of trade unions in India gave a new perspective to the employer and employee relationship. Entrepreneurs like the Tatas, Calico Mills, British India Corporation etc. had appointed Welfare Officers as early as 1920. These Labour Welfare Officers performed the functions of redressal of employee grievances and promotion of industrial harmony.

In 1937 in Bengal, on the suggestion of the Government, the Indian Jute Mills Owners' Association appointed a Labour Officer to bring about a settlement of employee grievances with the mills and by 1939 five more Labour Officers were appointed. Other Employers' Associations like Indian Engineering Association, Indian Tea Association, the Engineering Association of India etc., also followed the example of Indian Jute Owners' Association in appointing labour officers. In 1941, the Government of India initiated the Tripartite Labour Conference with the representatives of Government, labour and employees in order to promote uniform labour legislation, determine a procedure to settle industrial disputes, and promote consultations on industrial matters affecting the country. Now they have become permanent and regular features of labour policy. In 1948, the Factories Act Rules laid down the appointment, duties and qualifications of a new statutory officer in industry called the Welfare Officer. The following years saw the emergence of yet another officer called the Personnel Officer. The Personnel Officer deals with labour welfare, industrial relations and personnel administration. Many companies in India now have specialised personnel departments and a full-time Personnel Officer in charge.

Now the number of personnel is increasing at a very fast rate, expenditure on personnel is also correspondingly increasing. There has also been a trend in regard to the diversification in the personnel as more and more specialists, experts and technicians are being appointed in government departments, public and private organisations. Contemporary personnel does not just deal with welfare of employees but also aim at achieving profits for the organisation. The motive is to earn profits as well as benefits for the organisation and its employees.

1.4 SCOPE OF PERSONNEL ADMINISTRATION

Personnel administration incorporates all aspects of management of persons in organisation. The primary objective of personnel administration, as we have read earlier in the unit, is to ensure effective utilisation of human resources in pursuit of organisational goals. The personnel administration departments should design and establish an effective working relationship among all the members of an organisation by division of organisational tasks into jobs, defining clearly the responsibility and authority for each job and its relation with other jobs in the organisation. Personnel administration must try to enthuse among the employees feelings of commitment, involvement and loyalty to the organisation. The aim is to establish cordial relations among the employees and do away with frictional situations arising out of personal jealousies, rivalries and prejudices. Personnel administration also has to curb unfavourable practices like favouritism and nepotism in an organisation.

Personnel administration has to concentrate on various aspects of management like recruitment, training, promotion, conditions of service, employees welfare, employer-employee relations and processes of morale and motivation. It has to develop links with immediate, intermediate and external environment to make itself effective and efficient.

As the tasks of organisation increase, the responsibilities of personnel administration also increase accordingly. It is not possible to solve the problems with a one-time and one-stroke decision. Larger the system more are the complexities. Take for example, the Government of India, it is divided into ministries, departments, divisions, units etc. It is spread over the entire length and breadth of the country. Lakhs of people work in it, they operate at different hierarchical levels and carry out a large variety of functions. A number of services and their division into groups constitute the entire workforce of the Central government. Almost similar is the situation in each state. Personnel administration has to cater to all these aspects. It requires continuous managerial input.

Planning and providing for the regular supply of the needed manpower for different positions and in different numbers is an important task of the government. The process of recruitment and utilisation of each micro-unit of human resource calls for effective personnel administration, similarly, creating and maintaining desirable working relationships also call for a series of continuous efforts on the part of the personnel. Those responsible for personnel administration have to work for it constantly.

The achievement of these two objectives becomes easier if the organisation provides appropriate opportunities for individual development. These opportunities can be in the form of training, internal and external mobility, promotion, recognition and reward. They act as strong motivators and satisfiers. Besides, salary structuring of lakhs of employees is a wholesome task because each category has to be adequately and equitably compensated for the contribution it is expected to make towards organisation's objectives. This is also a work of personnel administration. The working force also has to be subjected to certain discipline in order to regulate proper performance of duty. Framing of conduct rules, laying down procedures of disciplinary action, enforcement of those rules and adoption of appropriate procedures are also a part of personnel administration.

Employer-employee relations, provision for Joint Consultative Machinery, establishment of public service tribunals for adjudication, adoption of welfare measures and payment of retirement benefits etc. to the employees are the added responsibilities of personnel administration. Trade unionism among government employees has increased during the past few decades. Both employer and employee unions have come up. There is now a dire need for expert skills to foresee personnel needs and problems and to plan for their satisfaction and rectification. All this requires systematic personnel administration. Thus the scope of personnel administration is wide and varied, moreover it is continuously expanding with the changes in environment.

1.5 CONCLUSION

Thus we can say that it is the personnel which more than anything else determines the quantity and quality of the performance and output of an organisation. Even the contribution of money and material to the performance of an organisation depends substantially upon their manipulation by the human beings in an organisation. Even the poorly devised machinery may be made to work if it is manned with well-trained, intelligent and imaginative staff. On the other hand, the best planned organisation may produce unsatisfactory results if it is operated by mediocre and disorganised staff. Personnel constitute an integral part of the organisation. It is with their requisite skills, aptitude, integrity and organising capacity that they can build the image of their organisations as effective institutions in nation building.

Personnel administration with its ever increasing responsibilities has become an indispensable part of management. There is a need for making personnel administration responsible for bringing about innovative changes in the structure of organisation, undertaking personnel research and conducting attitude surveys. There is also a need for making personnel administration accountable for formulating cost effective policies and programmes and establishing positive relationship between the organisation and environment. A constantly changing scenario calls for better recruitment procedures, newer training techniques, re-training methods, mid-career training, more coordination between private and public welfare programmes, effective organisational development, better performance appraisal devices and more useful leadership methods.

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) Highlight the development of personnel administration in India.

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2) Discuss the scope of personnel administration.

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1.6 LET US SUM UP

It is clear that no organisation can afford to disregard the needs of its personnel. Every organisation has to keep its personnel satisfied. Personnel are the means through which organisations develop. In this unit we familiarised ourselves with the meaning and nature of personnel administration. The evolution and growth of personnel administration was highlighted. The unit also discussed the scope of personnel administration.

1.7 KEY WORDS

Formal Organisation : Formal organisation is one which is deliberately planned and designed and duly sanctioned by the competent authority. It is bound by rules, regulations and well-defined procedures.

Great Economic Depression : The world wide economic depression that started in 1929 and lasted till 1935. During this period purchasing power with the buyers was very high but there was a severe shortage of goods in the market. It means that demand for goods was more than the supply. The period was marked by low economic activity, inflation and mass unemployment.

Hawthorne Experiments : Experiments conducted by Elton Mayo and his associates at the Hawthorne Plant of the Western Electric Company (Chicago). The experiments spreading over a period of nine years (1924-32) laid that the

management should concentrate on human situations, motivation, employer-employee relations, stability of the labour, conducive working conditions and supervision. It emphasised the need for informal organisation.

Informal Organisations : These are shadow organisations of formal organisations. They are ill-defined and do not have definite organisational goals. The relations between the members of these organisations are not specific. They function in a flexible manner and are not bound by rigid rules and regulations.

Joint Consultative Machinery : It is a consultative body which consists of representatives of both employers and employees. This body meets at regular intervals to discuss matters concerning the interests of employers and employees and arrive at certain agreed settlements. Matters relating to conditions of service of employees, welfare of staff, management policies relating to improvement of efficiency and work standards are discussed by this machinery.

Line Agencies : In order to carry out the major primary functions of the government, a number of departments or administrative agencies are established. These are called line agencies because they are directly concerned with the execution or fulfilment of the primary objectives of the government. They are responsible for controlling, regulating, directing and commanding the administration and come frequently in direct contact with people. Government departments and public corporations are the examples of line agencies.

Staff Agencies : These agencies perform the secondary functions in administration. They assist the line agencies in carrying out their functions. They provide them with the necessary assistance, advice, counsel, support, information and statistics etc. Some examples of staff agencies are UPSC, Prime Minister's Office, Cabinet Secretariat etc. Line agencies cannot function without the help of staff agencies.

Taylor's Scientific Management : F.W. Taylor advocated a close collaboration and deliberate cooperation between the workmen and the management. His philosophy of management was based on four basic principles viz., the development of a true science of work, scientific selection of workers, the scientific education and development of workmen and establishing cooperation between the management and workers. Taylor's contribution to the development of scientific management was recorded in his papers; A Piece Rate System (1895), Shop Management (1903) and Art of Cutting Metals (1906).

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1.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- personnel administration is that part of administration which is concerned with people at work

- it deals with all aspects of administration of personnel from recruitment to retirement
 - it involves personnel planning and forecasting
 - it relates to the functions of policy formulation, policy implementation, social change, modernisation, administrative reforms and public relations
 - it aims at optimum utilisation of human resources
 - it is also called 'personnel management', 'labour relations' 'manpower management' etc.
- 2) Your answer should include the following points:
- the changes in the socio-economic environment has its effect on personnel administration
 - it is also affected by political environment
 - there has been diversification in personnel functions
 - there has been proliferation of personnel activities
 - personnel are required to perform line and staff functions
 - personnel administration functions in both formal and informal organisations
 - the problems of personnel administration differ from one organisation to the other.

Check Your Progress 2

- 1) Your answer should include the following points:
- Royal Commission on Labour, recommended the appointment of Labour Officers in 1931
 - the industrial disputes of 1920s forced the government and businessmen to think in terms of promotion of personnel administration
 - recognition of Trade Unions in India
 - appointment of Labour Officers with the Jute Mills
 - the Tripartite Labour Conference in 1941 gave a boost to establishment of cordial labour relations
 - the Factories Act of 1948 laid down the appointment, duties and qualifications of Welfare Officer in industries
 - emergence of Personnel Officer in various organisations.
- 2) Your answer should include the following points:
- personnel administration incorporates all aspects of management of persons in an organisation
 - personnel administration has to establish cordial relations among the employees
 - it concentrates on various aspects of management like recruitment, training, promotion, employees' welfare etc.
 - it has to constantly interact with the changing social, economic and political environment.
 - framing of conduct rules and laying down procedures of disciplinary action are an important part of personnel administration
 - provision of a Joint Consultative Machinery, establishment of public service tribunals and retirement benefits are the responsibilities of personnel administration.

UNIT 2 FUNCTIONS AND SIGNIFICANCE OF PERSONNEL ADMINISTRATION

Structure

- 2.0 Objectives
- 2.1 Introduction
- 2.2 Functions of Personnel Administration
 - 2.2.1 Manpower Planning
 - 2.2.2 Recruitment, Training and Promotion
 - 2.2.3 Salary Structuring
 - 2.2.4 Employees, Welfare
- 2.3 Significance of Personnel Administration
- 2.4 Let Us Sum Up
- 2.5 Key Words
- 2.6 References
- 2.7 Answers to Check Your Progress Exercises

2.0 OBJECTIVES

After reading this unit you should be able to:

- discuss the various functions of personnel administration viz. manpower; planning, recruitment, training, promotion, salary structuring and employees' welfare; and
- highlight the significance of personnel management in an organisation.

2.1 INTRODUCTION

As we read in unit 1, personnel administration is a crucial part of an administrative system. Administration sets for itself certain goals and objectives and personnel administration assists it to achieve them. It performs various functions in order to fulfil organisational objectives. The successful functioning of an organisation is dependent on the effectiveness of its personnel system. The functions like recruitment of personnel, upgradation of their skills, formulation of a sound promotion policy, maintenance of discipline in the organisation, redressal of personnel grievances, improvement of their working conditions etc. fall within the purview of personnel administration. This unit will try to highlight these functions. A more detailed discussion on these functions with regard to personnel system in India will be made in Blocks 4, 5 and 6 of this Course.

2.2 FUNCTIONS OF PERSONNEL ADMINISTRATION

Some of the important functions of personnel administration are:

- a) Manpower Planning
- b) Recruitment
- c) Training
- d) Promotion
- e) Salary structuring
- f) Employees' welfare

No organisation can function efficiently unless and until the above-mentioned functions are given proper attention. Let us now discuss these functions briefly.

2.2.1 Manpower Planning

Before the formal process of selection of personnel begins, an organisation has to make an assessment of its requirements in terms of number of personnel needed for a job, definition of a job, the skills and specialisation it entails, the duration for which personnel are required, nature of work etc. Manpower planning is engaged with these type of activities. Organisations whether large or small, whether public or private, are in constant need of manpower. They require men and women for different levels of positions for performing different kinds of jobs at different places and intervals. The number of personnel with defined skills and specialisations needed at different periodic intervals have to be forecasted. Manpower planning predicts the number of personnel an organisation will have to hire, train or promote in a given period.

Manpower planning makes long range estimates of the general and specific manpower needs of the organisation for different activities. By anticipating the need for various types of skill requirements and levels of personnel, well in advance, a manpower plan is able to give adequate lead time for recruitment, selection and training of such personnel. It controls delays and is a very effective device to develop the required sources from which needed personnel can be made available.

The objectives of manpower planning are:

- to ensure optimum use of human resources currently employed
- to assess or forecast future skills requirements if the organisation's overall objectives are to be achieved
- to provide control measures to ensure that necessary resources are available as and when required
- to determine recruitment level
- to anticipate the weaknesses of organisational procedures and avoid unnecessary dismissals.
- to determine training levels
- to provide a basis for management
- to assess future accommodation requirements.

At the level of manpower planning, planners have to take into consideration various things. The planner must take into account all such variables which are beyond his/her control, these are wavering variables which always affect the functioning of an organisation, for example strength of an organisation, investment, union rules etc. The planners also have to identify those variables which are manipulative, for example, productivity, incentives, training etc. the planners must determine in advance the time horizons of their plans since they affect the changeability of structures and functions within the system.

Manpower planning can only be effective if goals are explicitly laid down. Manpower planning has to determine the quality and quantity of personnel needed for a specific job. The methods used for this purpose are job analysis, job description, job specification, workload analysis and work force analysis. Without effective manpower planning, the other functions of personnel administration viz. recruitment placement, training, promotion, welfare of employees etc. cannot be performed properly.

2.2.2 Recruitment, Training and Promotion

Recruitment

Once the determination of manpower needs has been made, the recruitment and selection processes can begin. Recruitment is the process of searching for prospective workers and stimulating them to apply for jobs in the organisation. It is a positive function which aims at increasing the selection ratio, that is the number of applicants per job opening. In contrast, the selection process is a 'negative' function because it attempts to eliminate applicants leaving only the best to be absorbed in the organisation.

Recruitment determines the tone and calibre of the services whether public or private. A faulty recruitment policy inflicts a permanent weakness upon the

administration. Not even an effective training policy can make faultily recruited persons bright and efficient. The basic elements of a sound recruitment policy include:

- discovery and cultivation of the employment market for posts in the organisation
- use of attractive recruitment literature and publicity
- use of scientific tests for determining abilities of the candidates
- tapping capable candidates from within the organisation
- placement programme which assigns the right man to the right job; and
- a follow-up probationary programme as an integral part of the recruitment process.

Recruitment implies matching the personnel characteristics of potential employees with the job requirements. The sources of recruitment can be broadly classified into two: internal and external. Internal sources refer to the present working force of an organisation. In the event of a vacancy, someone already on the payroll is promoted, transferred or sometimes demoted. Filling a vacancy from internal source has the advantages of increasing the general level of morale of existing employees and of providing to the organisation a more reliable information about the candidate's suitability. The major weakness of this source is that it may deprive the organisation of a fresh outlook, originality and initiative. External sources refer to the methods adopted by the organisation to attract people from outside the organisation through a thorough assessment of their qualifications, skills and potential. Some of the methods of determining qualifications are the personal judgement of the appointing officer, certificates of ability, character and education, record of previous experience (educational and professional) and examinations. Employment agencies, advertisements, field trips, educational institutions, professional meetings, employees' referrals, unsolicited applicants etc. are some examples of the external sources of recruitment.

An organisation cannot fill its vacancies from one single source only. It must carefully combine some of these services, weighing their cost and flexibility, the quality of personnel they supply and their effect on the present work force. A planned recruitment programme provides the organisation with job applicants from whom a required number of selections are made. There is no standard selection procedure for recruitment. Usually the selection is made through a written test or an interview or both.

The final step in the selection process is that of inducting the new employee into the new social setting of his/her work. This is done by familiarising the employee with the new surroundings and the rules and regulations of the organisation. Various training methods are used to upgrade the skills of the new recruits and integrate their goals with the organisational goals, we will now discuss some of these methods.

Training

Training is a well-articulated effort to provide for increased competence in the service, by imparting professional knowledge, broader vision, and correct patterns of behaviour, habits and aptitudes. It should be a continuous process in response to a continuously felt need. Training helps the entrant by inculcating occupational skill and knowledge, by making him/her familiar with objectives of the organisation and his/her potential contribution in the furtherance of department's or organisation's goals.

Training adjusts the employees with the constant changes in the goals and techniques of organisations. The deficiencies of the new appointees may be corrected by imparting them necessary training. Training helps broaden the vision and outlook of the appointees. It equips those already in the service for higher positions and greater responsibilities, it enhances the efficiency of the employees and helps build integrity and morale of the employees.

The terms training and education are closely related. Training is the art of increasing the knowledge and skill of an employee for doing a particular job. It is concerned with imparting specific skills for a particular purpose. On the other hand education is a broader term, it is concerned with increasing general knowledge and understanding of the employee's total environment. The need for training is

universal. Everybody needs training so as to effectively discharge the obligations of his/her office. It is a continuous process.

Training can be informal or formal. Informal training is training by doing the work and learning from mistakes. The ultimate success of informal training depends upon the experience and seniority of the senior officer and his/her interest in the new entrant. The aim of formal training is to inculcate administrative skills in the personnel through well-defined courses. Informal training improves the quality of administration. Pre-entry training, orientation training, in-service training, vocational training, post-entry training etc. are some of the examples of formal training. Different methods of imparting training can be lecture method, case study method, syndicate method etc. Whatever be the methods, the basic aims of training are always:

- inculcating fresh knowledge among the employees
- upgrading their skills
- familiarising the inducts to the organisation, its environment, work conditions, rules, norms and goals
- attuning the employees to the new needs of the organisation
- broadening the views and outlook of employees
- maintaining the morale of the employees
- development of novel attitudes; and
- reducing waste, accidents, turnover and absenteeism.

Every administrative system must pay adequate attention to its training requirements. A well trained, well-aware and properly skilled personnel system is the very heart of an organisation.

Promotion

Another vital function of personnel administration is promotion. The word 'promote' is derived from the Latin expression 'promovere', it means 'to move forward'. Promotion means advancement of an employee to a job better than the present one in terms of greater responsibilities, more prestige or status, greater skill and increase in pay. The need for promotion arises from a variety of factors. An organisation is able to retain the services of its personnel by the device of promotion. Lower positions in the organisation are able to attract competent persons if it makes provisions for its personnel to move higher. A sound policy of promotion fosters a feeling of belongingness in the personnel, contributes towards the continuity in policies and practices and leads to building up of traditions and conventions in the organisation.

According to W.F. Willoughby, a sound promotion system should fulfil the following conditions:

- i) adoption of standard specifications setting forth duties and qualifications required for promotions in the government service
- ii) the classification of these positions into distinct classes, series, grades and services
- iii) the inclusion within this classification of all the higher administrative positions except those having a political character
- iv) the adoption, as far as possible of the principle of recruitment from within for filling up of higher posts
- v) the adoption of the principle of merit in determining the relative merits of employees eligible for advancement.

The employees should be made aware not just of the opportunities for promotion open to them but also of the definite lines along which such promotion is to be expected and the conditions that must be fulfilled by them in getting it. This means that there should be a definite goal before them towards which they can work. Normally promotions are departmental that is, a vacancy in a higher post in a department is usually filled from among the employees of that department even though older or more experienced officials may be awaiting their chance for promotion in another department. Interdepartmental promotions occur when there is

no suitable candidate within the department to fill a particular post and when a new department is created or an old one is expanded.

There are two principles which are used in the system of promotion:

- i) principle of seniority
- ii) principle of merit.

The principle of seniority is an age-old principle. Employees attach great importance to the length of service. According to H. Finer, "it is automatic and avoids the need for making individual distinctions between one person and another, of placing the young over the old, of measuring the responsibility for the result of promotion." But, this gives rise to two basic questions. Is the employee with the longest service necessarily the most competent? If employees automatically qualify for higher jobs by being senior, will new employees be motivated to give good performance? Yet, seniority cannot be rejected altogether by using the internal method of promotion, the administration can keep the morale of employees high and also encourage a competitive spirit for better performance. Use of external method does provide for the competitive spirit to grow but in the process affects the morale of the employees adversely. Using the principle of merit in promotion requires fair practices.

In order to determine the merit of employees, a scientific system of 'performance appraisal' needs to be developed. It should be made as objective as possible. The appraisal should be of regular and continuous nature and should evaluate the quality, quantity and styles of performance. It should include also an appraisal of the growth potential of an employee.

Taking into consideration the weak and strong points of both the principles, a mix of the two is adopted in the organisations while selecting candidates for promotion. Both seniority and merit are given due weightage. Each organisation must have a sound promotion policy. If promotions get governed by favouritism, the 'left outs' will in all probability continue floating in the same organisation nursing grievances against employers. Thus promotion has to be based on just and fair norms as it is a powerful means in the hands of the organisation to reward its faithful workers. It is a powerful means to lead the employees towards the desired goals.

2.3 Salary Structuring

Development of a sound salary system is an important function of personnel administration. Salary has to be structured in such a way that the employees of the organisation feel adequately rewarded and resources available to the organisation are optimally utilised. Following are the requirements for the development of a sound pay system:

- 1) the pay structure should be simple and rational
- 2) the pay of a post should be related to the duties and responsibilities attached to that post
- 3) it should take into consideration the qualifications and experience prescribed
- 4) it should be comprehensive and adequate to enable the employee to have a feeling of the total emoluments and to maintain a certain standard of living and
- 5) it should take into account the comparable salaries paid in alternative occupations.

Comprehensibility and adequacy are the standard tasks of a sound pay structure. Good compensation plans, well-administered, have a salutary affect on the entire organisation. Employees are happier in their work, cooperation and loyalty are higher, productive output is up and quality is better. In the absence of such plans compensations are determined subjectively on the basis of haphazard and arbitrary decisions. This creates several inequities which are among the most dangerous forces of friction and low morale in an organisation. Although there can be both monetary and non-monetary forms of compensation prevalent in an organisation, yet it is the former which is the most basic element by which individuals are attracted to an organisation, persuaded to remain there and induced to engage in a behaviour that is beneficial to the organisation.

Each organisation should structure the salaries of its employees in such a way that no employee feels inadequately rewarded. Apart from basic salary, additional allowances such as house rent allowance, conveyance allowance, recreation allowance, leave encashment, festival loan etc. can be given to the employees. Moreover the salary scales have to be constantly revised in view of price rise or increase in profits for the organisation

2.2.4 Employees, Welfare

Welfare of employees is one of the most important functions of personnel administration, a good personnel system always gives topmost priority to the well-being of employees. A sound personnel policy, proper recruitment and promotion techniques, conducive training methods etc. create a certain physical and mental condition of the employees so necessary for good performance. These conditions need to be maintained as well. Motivation of employees and building up of their morale at different levels help in maintaining these conditions. All types of welfare programmes in an organisation are to help in maintenance of these conditions only.

Employees' benefit programmes create and stimulate morale which contributes to the creation and maintenance of favourable attitude towards work and work environment. These programmes include fringe benefits such as holidays, different types of leave entitlement, education facilities, canteen facilities, leave travel fare concession etc. Employee's physical condition is maintained through safety and health programmes, group health insurance plans, regular medical examinations, proper working conditions like proper lighting, ventilation, space and equipment etc. These are all employees' welfare measures.

Maintenance of discipline and following a code of conduct in the organisation also helps in creating conducive work environment in the organisation which is important for employees' welfare. Penalties for violation of rules, for misperformance or for non-performance vary widely in severity. The more usual forms of disciplinary action are warning or reprimand, reassignment to other duties, suspension from duty for a certain period of time, demotion to a position of lower rank or grade and dismissal or removal from the service. Strict disciplinary actions are very essential as they increase the efficiency of work, raise the morale of the employees and keep the inefficient out of the organisation.

As a model employer, an organisation provides many social welfare and security services for its employees. These can be in the form of certain tangible benefits. Some of these benefits supply financial protection against certain risks such as illness accident, unemployment and loss of income due to retirement. Some other benefits provide extra leisure, extra income and better work environment. These programmes fulfil the physical, mental, financial, recreational as well as the social needs of the employees.

A proper retirement scheme is also very essential for employees' welfare. The organisation needs to assure its employees an easy and carefree life in their old age. The age of retirement can be anywhere between 50 and 65. Proper retirement benefits attract talented persons to the organisation, they help the system of promotion, through these benefits efficiency of employees increases. Besides pension, some other benefits such as allowances to take care of inflation, medical facilities, provident fund, family pension, travel concessions are also provided to the retired employees. The primary aim of all these benefits is to provide necessary means of livelihood and freedom from certain worries to the employees in their old age. Efforts must be made to provide counselling to help the retired personnel to utilise their time and money effectively. All possible information should be passed on to employees who are seeking retirement, external expertise can also be used by the organisation in terms of financial planning, planning for a second career etc. A carefully devised retirement plan must always form a part of planning package of an organisation.

Redressal of employees' grievances is yet another very important aspect of employees' welfare programmes. The interests of the employees and the employers should not be in conflict. Over the decades there has been an increasing consciousness about common needs and interests of the employees. The employees' associations have become vocal and assertive. The organisation has to develop

various ways and channels to solve the problems of the employees. Redressal cells in the organisation should try to remove the grievances of the personnel quickly and systematically. The organisation has to provide to its employees effective leadership. It has to generate the will to work among the employees. Inculcation of morale, of that spirit, that state of mind, which expresses itself in loyalty, enthusiasm, cooperation, pride in the service and devotion to duty is the end of the whole personnel system. Employees must have a sense of security, achievement and belongingness in the organisation. Through attitude surveys and proper recruitment, selection, promotion, training, salary structuring policies, an organisation can formulate suitable welfare schemes and develop a conducive work environment for its employees.

Check Your Progress 1

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

1) What is meant by manpower planning?

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2) Recruitment is a very important function of personnel administration. Not even a proper training programme can undo the harm caused by a faulty recruitment procedure. Discuss.

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3) Discuss the different principles used in the system of promotion.

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What are the various methods an organisation can employ for the general welfare of its employees?

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3 SIGNIFICANCE OF PERSONNEL ADMINISTRATION

The quality of an organisation is dependent on the quality of its employees, that is, the personnel it employs. With the development of science and technology and growth of welfare functions in order to meet the demands of expanding population,

the organisations whether public or private, have to perform a large number of tasks varied and complex. It is only possible if the personnel engaged in the attainment of objectives are efficient and sincere.

Among the three components required for developmental tasks, personnel, money and material, it is the personnel or the human element which determines the quality and quantity of the performance and output. Even the contribution of money and material to performance depends substantially upon their manipulation by the human beings in an organisation.

Walter R. Sharp has aptly remarked, "good administration is a composite of effective organisation, adequate material facilities and qualified personnel... Even poorly devised machinery may be made to work if it is manned with well-trained, intelligent, imaginative and devoted staff. On the other hand, the best planned organisation may produce unsatisfactory results if it is operated by mediocre or disgruntled people. As per Ferrel Heady "The importance of administration is almost universally recognised amongst commentators on development. Visually an effective bureaucracy is coupled with a vigorous modernising elite as a prerequisite for progress "

Thus, we can say that without efficient personnel, the organisational tasks can never be fulfilled. Without efficient bureaucracy, the government can never make its plans and policies a success. The performance of the organisation and growth of its personnel is linked with the competence of personnel constituting the organisation. Human resource development, as we read in unit 1, is the key to the efficiency of personnel. No country should neglect the development of human resources. We also witness a complete wastage of human resources due to unemployment, underemployment and malemployment. Positive steps have to be taken to remove these problems. The increase in labour force must entail an increase in economically active population. The greatest natural resource of a nation is its people. Investments in developing human resources through training, career development, planning, counselling, selection, job-enrichment programmes and designing suitable performance appraisal and reward systems can go a long way in maintaining the morale and motivation of people high. These programmes consequently influence organisational effectiveness.

The most important problem in public personnel administration is to ensure that vast manpower resource employed in the state sector yields the best possible return. Efficiency of public employees or the effectiveness of personnel system depend on several factors, such as the quality of talent attracted to and retained in the public service, nature of training which the employees receive, values and motivation of employees, standards and norms set up by formal and informal work groups, effectiveness in inter-personal relationships, styles of supervision and leadership, nature and adequacy of work tools and procedures for decision-making and the character of interrelationships with the political process and social environment.

The ARC had observed that "the present personnel system does not make for a rational and optimum utilisation of human resources within the civil service to the best advantage of administration as well as the community."

During the last 40 years, the country has taken up past developmental responsibilities. This calls for an effective personnel system in order to formulate and carry out organisational functions. Public as well as private organisations are growing day by day, they both have a significant role to play in pursuit of developmental goals and it is only through the help of right personnel and management of the human resources that these objectives can be realised.

Check Your Progress 2

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

1) Highlight the significance of personnel administration.

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2.4 LET US SUM UP

Personnel administration has become a very crucial part of an administrative system. The attitudes of the work force have undergone a change over the last few decades. The age-old employer-employee relationship of loyalty and commitment is no longer the only important reason for effective functioning of a system. Employees' expectations have gone up due to greater democratisation, better employment opportunities and changes in the technical environment and societal behaviour. The employees of today are concerned more with the recognition, decision-making participation more challenging tasks, they are less concerned with job security, they also give higher preference to leisure. Personnel administration has to thus reorient its policies in order to meet the ever changing and growing needs of the employees.

Employee development must now be an important activity of personnel administration. More emphasis should be there on orientation training and self-development schemes. The functions of recruitment, training, promotion, salary structuring and employees' welfare also have to change according to the change in time. The effective working of these functions is a must for personnel system. As all these functions are interdependent, that is neglect of one may adversely affect the other function, the organisation has to give equal time and attention to all these activities.

Success of any administrative system depends on how effectively it handles its personnel functions. The growing significance of personnel administration calls for continuous and systematic changes in personnel functions in order to fulfil the expanding needs of the employees and the organisations. This unit familiarised us with the different functions of personnel administration, and their importance and significance in administrative system.

2.5 KEY WORDS

Case Study Method : Refer to Block 3, unit 11.

Compensation Plan : An orderly system for the payment of salaries to employees is referred to as a compensation plan. It consists of a schedule of pay scales applicable to classes of positions covered by the plan and rules for administration. Generally, the compensation plan includes a separate pay scale for each class of positions. Each pay scale includes within itself a range of salary rates, consisting usually of minimum, intermediate and maximum rates.

Employment Referrals : Some industries with a record of good personnel relations encourage their employees to bring suitable candidates for various openings in the organisation.

Financial Planning : It means establishing the need for finance for the retired, their sources of income, items on which to spend money, budget for income and expenditure. It helps in augmenting sources of income for the retired persons. It educates them on meaningful use of time and leisure. Education on the need for social activities, self-development, health care and legal affairs is also included in financial planning.

Group Health Insurance : It entails the usual financial protection against loss of life, based on term insurance at low rates made possible by the random spreading of the risks among members of a fairly selective group.

In-Service Training : Refer to unit 11, Block 3.

Job Analysis : It is the process by means of which a description is developed of the present methods and procedures of doing a job, physical conditions in which the job is done, relation of the job to other jobs and conditions of employment. It is intended to reveal what is to be done as opposed to what should be done.

Job Description : The results of a job analysis are laid down in job description. Writing job descriptions for production workers, clerical people and first line supervisors is an established practice. A more recent development is job description for managers in an organisation.

Job Specification : It is a statement of minimum acceptable human qualities necessary to perform a job satisfactorily. Making job description as its base, it lays down the abilities and qualities that a worker should possess in order to hold the job in question.

Morale : It is the capacity of an individual or a group of people to move persistently and consistently towards a common goal. The group should have a strong confidence in the desirability of the goal.

Orientation Training : Refer to unit 11, Block 3.

Professional Meetings : Some companies send representatives to professional gatherings to recruit employees.

Probation Programme : Refer to unit 13, Block 3.

Syndicate Method : Refer to unit 11 Block 3.

Unsolicited Appointees : Such type of appointees are those who gather at factory gates to serve as casual workers or who send in their requests for appointment against a vacancy, if any, they are also an important resource of external recruitment.

Vocational Training : The employee is to be trained in the specialised technique or skill which is essential for his/her vocation.

Work Force Analysis : Under this the possibility of absence or loss of personnel through retirement, promotion, transfer, death, discharge, or any other cause is considered and suitable adjustment is made in the number of persons needed.

Work Load Analysis : The aim of this analysis is to make a forecast of sales.

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2.7 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - manpower planning is engaged with assessment of requirements in an organisation in terms of personnel needed for a job, definition of a job, duration of a job etc.
 - it predicts the number of personnel an organisation will have to hire, train or promote in a given period
 - it makes long range estimates of the general and specific manpower needs of the organisation
 - it gives adequate lead time for recruitment, selection and training
 - it controls delays and makes optimum use of human resources
 - it ensures control measures to ensure that necessary resources are available as and when required
 - without effective manpower planning, the other functions of personnel administration cannot be performed properly.
- 2) Your answer should include the following points:
 - recruitment is the process of searching for prospective workers and stimulating them to apply for jobs in the organisation
 - it aims at increasing the selection ratio
 - it matches the personnel characteristics of potential employees with the job requirements
 - recruitment can be made through internal and external sources
 - training aims at imparting professional knowledge, broader vision, correct patterns of behaviour, habits and aptitudes
 - no proper training can undo the harm caused by faulty recruitment procedure, it cannot make the faultily recruited personnel bright and efficient.
- 3) Your answer should include the following points:
 - principle of seniority
 - principle of merit.
- 4) Your answer should include the following points:
 - motivation of employees and building up of their morale
 - fringe benefits
 - health and safety programmes
 - maintenance of discipline
 - social welfare and security services
 - proper retirement schemes
 - proper redressal machinery in the organisation
 - an organisation has to provide to its employees effective leadership.

Check Your Progress 2

- 1) Your answer should include the following points:
 - to meet the expanding demands of a large population, organisations have to perform a number of tasks, personnel thus have become a crucial part of any organisation
 - without efficient personnel the organisational tasks can never be fulfilled
 - development of human resources cannot be neglected
 - the greatest natural resource of a nation is its people
 - investments in developing human resources through training, career development, planning, proper counselling, selection, job-enrichment programmes is a must for organisational effectiveness
 - an effective personnel system is needed to formulate and carry out the organisational functions.

UNIT 3 PUBLIC SERVICES AND THEIR ROLE IN ADMINISTRATIVE SYSTEM

Structure

- 3.0 Objectives
- 3.1 Introduction
- 3.2 Meaning of Public Services
- 3.3 Relationship between the Government and the Public Services
- 3.4 Scope of Public Services
 - 3.4.1 Transition from 'Traditional' to 'Modern State'
 - 3.4.2 Growth in the Functions of Public Services
- 3.5 Role-Models for Civil Services
- 3.6 The Changing Role of Public Services
- 3.7 Let Us Sum Up
- 3.8 Key Words
- 3.9 References
- 3.10 Answers to Check Your Progress Exercises

3.0 OBJECTIVES

After reading this unit, you should be able to:

- discuss the meaning and importance of public services;
- explain the relationship between the government and the public services;
- highlight the scope and functions of public services; and
- describe the different role-models for public services.

3.1 INTRODUCTION

If the 'executive' is one of the three organs of the government, the other two being 'legislature' and 'judiciary', 'public services' form the arm of the executive. Its function is to convert the goals and objectives of the executive into reality. The executive segment of the government needs the help of an organisation which may be termed Public Administration for the proper formulation and implementation of its programmes. One of the important parts of Public Administration is the 'public services'. Public services is an instrument of development and change. It has become one of the most essential and vital parts of the administrative system. The role and functions of the public services within the administrative system constitute an important focus of study. This unit will highlight the role and importance of public services in the administrative system.

3.2 MEANING OF PUBLIC SERVICES

'Public Services' are generally defined to mean the civil services constituted by the government to translate all its plans and programmes into implementable action. In common usage, civil service means that branch of governmental machinery which is concerned not with law making but with law enforcing functions. In the executive branch of the government, there are two parts, the ministers and civil servants. The civil servants carry out the orders of the ministers and advise them in policy formulation. According to E.N. Gladden, "Civil Service is the name of an important government institution comprising the staffs of central administration of the state. It

is more for it stands for a spirit essential to the success of modern democracy, an ideal of vocation in public officials who devote their lives to the service of the community." In administrative parlance, public services have a slightly wider connotation in the sense that they are taken to cover, besides civil servants, extended group of employees who may be working in public sector undertakings, nationalised banks and other quasi-governmental organisations funded wholly or partly by the government. While the civil servants are the holders of civil posts, whose remuneration in India is paid out of Consolidated Fund of India, others are not so paid. In Britain, they are also accepted as "those servants of the crown other than holders of the political and judicial offices, who are employed in civil capacity and of course, remunerated through budget passed by Parliament."

In brief, as H. Finer stated, "Civil Service is a professional body of officials, permanent, paid and skilled" and further, classified British Civil Service into three categories, administrative (policy formulation and execution); technical (scientific and specialised categories like doctors, engineers etc.) and manipulative (executing orders of the first two classes). Public services is an important instrument of political modernisation in the developing societies. Well-knit and well-organised public bureaucratic structure precedes electoral democracy. It provides stability and continuity to the system of government.

Public services is a blend of certain features viz. expertise, vitality and leadership. This blend enables the public services to function in an independent and efficient manner.

3.3 RELATIONSHIP BETWEEN THE GOVERNMENT AND PUBLIC SERVICES

The art of governance and administration has been the integral feature of human society. For governance, there has always been a government, whatever be its form and for carrying out the objectives of the government, there has always been the public services. Public services have always been an important arm of the government for formulation, implementation, monitoring and evaluation of its programmes. Thus, the kind, and the character of the public services would, no doubt, depend on the type of the government and the nature and the scale of the tasks to be performed by it. As a consequence, whenever and wherever there is a change in the government, the public services also undergo a change to some extent.

Bureaucrats have more knowledge, experience, inter-governmental ties and time than the politicians. Both are actually dependent on each other. The relationship between the government and public services has provided that the dichotomy between policy formulation and implementation can never be strictly maintained in practice. Experience has shown that this type of compartmentalisation between governmental and administrative activities is partly, but not wholly true. It is very difficult for the government to be only concerned with policy formulation whereas for the services to only deal with administration of these formulated policies. Both in theory and practice, there is frequent crossing of boundaries, as a result a relationship of complementarity, mutuality and interdependability has developed between the two. The government sets the goals for public services, hence it is instrumental as a tool to achieve these goals.

Check Your Progress 1

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

1) What is meant by 'public services'?

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- 2) Highlight the relationship between the government and public services.

3.4 SCOPE OF PUBLIC SERVICES

The role of public services is changing with time. A status-quo bound public services can never solve the new and growing administrative problems. Public services have to change in a way that is conducive to the development innovative administrative programmes and systematic progress of the country. Its scope is widening and one cannot think of all-round development without effective public services.

3.4.1 Transition from 'Traditional' to 'Modern' State

With the growth in the functions of the State, rising expectations of people and development of science and technology, the role of the government has undergone a substantial change. Government, has to undertake the primary responsibility of governance of its people. This governance involves multifaceted functions in the political, social and economic areas. Law and order, internal security, defence against external aggression are some of the sovereign functions of the state. As no government can exist or acquire legitimacy in a political vacuum, the appropriate political systems must necessarily be devised for survival and growth of the government. Similarly, since people can't live on politics alone, their socio-economic needs will also have to be catered to. Thus social, political and economic aspects of governance become critical areas of concern for the administration.

As the government grows and undertakes newer tasks and responsibilities, administration also has to respond suitably and effectively. This administrative response is possible only with a proper and rational organisation of the public services, for, administration will be reduced to nothing if there is no competent public services to assist it. When the state changes its ideological philosophy from the traditional to the modern, the administration also undergoes a fundamental change. Thus, when the state transcends itself from 'warfare' to 'welfare', the administration undergoes a transition from 'law and order' orientation to 'developmental' orientation.

If development becomes the focus, planning becomes essential, for it is only through a systematic and scientific planning that the resource-mobilisation and input-utilisation within the shortest time is possible in order to attain optimal output. Administration thus has to pay attention to policy formulation, programme design, project management and programme evaluation. For all this, efficient and effective public services is required since efficiency in the conduct of government business depends primarily on the ability of personnel employed by the state. Government cannot afford to have personnel, within the services, who are not fit, meritorious and competent. When the country adopts development oriented goals and objectives, the governmental duties become not only socio-economically compulsive but also acquire new dimensions.

This calls for efficient and qualified personnel. Plans for administrative reforms can only be successful if they are accompanied by a heightened attitude and motivated ability on the part of the public personnel. A competent personnel is, thus the sinequanon of an effective public services and the qualities that are sought for in public personnel are integrity, ability, dedication, devotion to duty, intelligence and diligence.

3.4.2. Growth in the Functions of Public Services

The public officials are required to perform all the tasks and duties arising out of the obligations of the government in rendering service to its people. Some of these tasks are, advising ministers on policy issues, supervising all aspects of administrative, technical and scientific programmes, economic and financial activities, social welfare and services. They are also engaged with delegated legislation, administrative adjudication and public relations:

With the increase in the welfare functions the purpose and the scope of the administration have been completely reoriented. The U.N. Handbook noted: The State is expected today to be the accelerator of economic and social change and no longer the preserver of the statusquo. And in its new rôle as the prime mover and stimulator of national development, it is expected to spread the benefits of economic and social progress to everyone. No longer dare a government indefinitely limit the enjoyment of the fruits of the earth and of man's labour and ingenuity to a small privileged class. Moreover, the modern state is expected to achieve these purposes within the general framework of the consent of the people, and with due regard to the rule of law and individual human rights. It is difficult today to find a State, whatever its present power structure that does not call itself a democracy, a government of the people.

A modern State may act as the director, entrepreneur or stimulator of private initiative, or indeed in all the three capacities. In a socialist economy practically all organised effort is placed in the public sector and its entire management becomes the concern of the public services. Many countries because of their prevailing social and economic conditions and availability of resources are committed to reserving the largest possible sphere of activity to private enterprise and local initiative. But even in these countries vast increasing functions and activities concerning national level opinion are undertaken by the government. The capitalist economies have witnessed an expansion of their public services. In these countries, many such areas have come up which are solely under the public sector, where the private sector is not able to enter.

The twentieth century, thus, is witnessing an extension of governmental functions beyond all limits. The concept of welfare and service State has been almost universally accepted. Governments have taken up the responsibility of utilisation of manpower, natural resources and technology to create an environment conducive to all-round economic development and social well-being. This further strengthens the role of public services. The demands of the people upon their government have become insistent, the government is considered to be an agency to meet these urgent demands and devise ways to overcome social and economic deficiencies in the administrative system.

The Public Services have become today one of the most essential and vital parts of the government. As the civil services form a very important part of public services, this unit will emphasise more on the functions and role of the civil services. The civil servants perform a number of functions. The major functions are:

Determination of Policy : The civil servants are actively involved in the formulation and determination of the policy of the country. Although policy is the sphere of the legislature, the technical demands of the government's role call for the intervention of public servants in the matters of policy formulation. The civil servants recommend policies to the ministers. The ministers being amateurs cannot understand the complexities of the public policy and consequently act on the advice of the civil servants. Therefore, the civil servants greatly influence the formulation of the national policy. The civil servants suggest alternatives to policy which are practically enforceable as they know how the policy works in practice.

Implementation of Legislation and Policies : The civil servants execute the policies passed by the legislature. The civil servants exercise a large sphere of discretion in the execution of laws and policies. He/she weighs carefully all the factors that may affect implementation before taking an action. They have to see whether the law or policy is favourable and enforceable, they must act impartially and honestly according to legislative standards and the rule of law.

Delegated Legislation : The civil servants also frame departmental legislation. The legislature gives a broad outline of the legislation and delegates to the civil servants the power to make details of that legislation. Delegated legislation has become very useful because the legislature has no time to frame detailed rules and regulation and is not familiar with the complexities of the modern legislation. The civil servants frame rules and regulations and issue orders in accordance with the legislation passed by the legislature. These rules are thus scrutinised by the legislature again and then enforced by the civil servants.

Administrative Adjudication : The civil servants today exercise quasi-judicial powers also. They determine the cases on issues involving the rights and obligations of private citizens or parties. Some judicial powers have to be in the hands of civil servants in order to secure public interest and protect the poor from exploitation. The growth of administrative adjudication is the result of the need to have reasonable and speedy justice in cases under social enactments and cases involving technical complexities. The civil servants enforce policies and therefore are able to give judgement according to the requirements of the policies.

Besides these, the routine functions of civil services are licensing and inspection, regulation of government policies, collection of taxes, taking note of working conditions etc.

Thus in brief, civil servants perform the functions of:

- a) Advising the government regarding the programmes. Providing the ministers with necessary information and statistics.
- b) Implementing the plans, policies and programmes formulated by the Government.
- c) Monitoring and evaluating the programmes of the Government.
- d) Carrying out the tasks delegated to them by the Government.
- e) Determining cases on issues involving rights and obligations of private citizens and parties.

3.5 ROLE-MODELS FOR CIVIL SERVICES

Instrumentality Role

There is a general agreement that the civil services should play basically an instrumental role in its operation, in-as-much as it is not the master but agent of policy formulation and execution. It is, therefore, almost universally expected, and substantially accepted, that the services should be so designed and structured as to respond systematically and willingly to the political leadership and policy parameters. This essentially represents a philosophy of primacy of political control over administrative system.

Despite their participative and pervasive presence in the policy programmes of the state, the public services are not supposed to stray too much from their instrumental role to become prime mover behind policy making. Fritz Morstein Marx credits "merit bureaucracies even in modern nation states of the West as having contributed substantially to the viability of the policy" through "professional outlook to every conduct of governmental activities." It is not the same thing to say that the public services cannot, should not and need not, under any circumstances, involve themselves into policy making process, but by and large, the civil servants should not involve themselves in policy making full-fledgedly

Neutrality Role

The neutrality role of the civil services is in consonance with its instrumentality role. It is thus clear that if civil services have to perform, in the right spirit of their structural functional framework, they have to be "neutral" in their approach, outlook and activities. No way should their political values affect their conduct and behaviour. Civil servants are the objective, dispassionate and non-partisan band of

professionals who should do a job entrusted to them with clinical proficiency, efficiency and dedication. Once a policy has been decided and decision taken to implement the programme, all that civil servants should do is to try to use all the available resources in an optimum manner for the execution of the programme. In other words, the civil services must not be allowed to take political sides. The individual value-system may certainly come into play while rendering advice to the ministers or at the time of strategising for policy but not thereafter. The civil servants are not the political agents but servants of the state. Political neutrality is the sinequanon of civil servants, the civil service and party politics should be kept poles apart. Thus the civil servants are expected to implement the policies decided upon by the government. It is neither responsible for political content of programmes nor it has to defend it in public.

Commitment Role

Should the civil servants be committed to the cause of a party, or the ruling party or a person of the party? Intellectually? Emotionally? Ideologically? Where should their commitment lie? Answers to such questions are very important for understanding the commitment role of the civil services. Different views have been expressed on the subject. The first and the common view holds that commitment means that the civil servants should be in accord with the policy objectives of the government. Secondly, it has been held that such a commitment should be to a new social and economic order, and has to be consciously built and nurtured through the careers of civil servants. The third view is a corollary to the second view, it says that commitment should be related to the developmental philosophy of the state, societal, economic and political, besides all the other modernising and nation-building programmes. Fourth view holds that commitment should, ideally, be to the ideals of the Constitution of the country which represents the collective wisdom of the people regarding the governance of the policy. And, ultimately, commitment has to be to the conscience of the civil servants, their belief, cultural and ethical values and sense of justice and righteousness.

Civil servants have often displayed their personal alignment, identification and belongingness to political parties, they often display personal loyalty to 'the boss'. This kind of personalised commitment helps the civil servants in better career progression and more accelerated elevation. But the term committed bureaucracy does not mean a bureaucracy loyal to a particular political party, it does not even connote civil servants owing loyalty to a particular individual, political person or leader. It means that bureaucracy should be committed to the objectives, ideals, institutions and modalities contained in the Constitution.

Impersonality Role

Civil services should, by and large adopt an 'impersonality' profile while dealing with matters concerning policies, programmes and issues. Civil servants cannot afford to take or twist a decision on the basis of the persons involved with it or the persons who can be affected by it, but should strictly conform to the principles, rules, guidelines etc. They should govern the matters before the government, irrespective of the status, standing and position of the affected individuals. Civil servants have to take a dispassionate approach to problems.

Anonymity Role

The role of anonymity requires that the minister has to answer for the actions of civil servants in the Parliament. The civil servants thus are protected from criticism of Parliament. A minister has to protect the civil servant who has executed his/her definite order. Minister is also responsible to the Parliament for the wrong action of the civil servant. Thus the principle of anonymity goes hand in hand with the principle of ministerial responsibility. It means that civil servants work behind the curtain, they cannot openly come out and play a predominant role in politics. They have to function in an environment of anonymity, this helps them in taking honest and objective decisions.

Professionalism Role

The civil servants are employed for their knowledge, skill, expertise, experience, competence and merit. They must utilise all their skills to implement the development programmes with full zeal and enthusiasm. The civil servants must be trained to use

all the mental, physical and technical skills at hand in a most effective and efficient manner. The aim should be to train civil servants in such a way that maximum results can be achieved with minimum inputs at the least cost within the shortest time frame. Professional excellence, result motivation and intellectual integrity should be their motives. Learning and continuing education should be built into the system itself, for that is the foundation for building a professional super structure. Professional role of the civil servants is the genesis of their existence.

3.6 THE CHANGING ROLE OF PUBLIC SERVICES

In view of the growing complexities of governmental tasks, the future administrators must acquire knowledge in the fields of science and technology, social and behavioural sciences, modern tools of management, human relations in management and administrative research and development. The Administrative Reforms Commission observed that the "role of generalists" in administration is losing its validity in several fields. This is an inevitable consequence of the increasing application of science and technology in solving administrative problems.

In the context of the new challenges of change that the public services have to face, the latter cannot escape two compulsions, one of adaptation and the other of professionalisation. Various factors like changing political scenario, growing aspirations of people, expanding scale of administrative operations, increasing size of administrative structure and developing science and technology are forcing public services to adapt to the different changes and professionalise itself.

According to Gabriel A. Almond, the public services have to attend to certain functions either in combination with political authorities, confidentially, independently or single handedly and openly. He identified seven such functions and categorised them into input and output functions. Input functions are political socialisation, interest articulation and aggregation and political communication. The output functions comprise rule-making, rule application and rule adjudication. For discharging these functions properly, the public services must address themselves to two types of relationships, one of mutual compliance, referring to 'internality' relationship and other of adaptation, relating to 'externality' relationship. Both influence the performance of public services and must therefore be integrated. To cope up with these colossal functions, the public services must acquire and develop appropriate and adequate capacities. Unless they are fully equipped, they cannot help in achievement of goals of the programmes and policies and can lead to a wide gap between declared objectives and their realisation. The public servants must undertake capability generation programmes (such programmes must aim at increasing the capability of public servants in order to perform the administrative tasks properly) within the framework of specific needs, particularistic environment, local culture and ethos. With the growing involvement of public services in the public sector enterprises and other quasi-government undertakings, they have to become more flexible and adaptable.

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 functions of civil services?

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2) What do you understand by the commitment role of civil services?

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3) The neutrality role of the civil services is in consonance with its instrumentality role. Discuss.

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3.7 LET US SUM UP

The efficiency of public services is very essential for the proper functioning of any administrative system. The public servants are constantly engaged with the formulation, implementation and evaluation of policies and programmes. Due to increase in governmental tasks and complexities of its activities, the civil services are involved with delegated legislation and administrative adjudication. The concept of Welfare State has brought the government and public services closer to the people, a cordial relationship between the public services, the government and the people has to be established. This unit highlighted all these aspects and discussed the meaning, scope and role-models of public services.

3.8 KEY WORDS

Consolidated Fund of India : In India, the centre and states have each its consolidated fund to which all receipts are credited and all authorised payments are debited.

Externality Relationship of Public Servants: The relationship between the public on the one hand and government on the other. It means that the public servants have not adapted themselves to the nature of governmental policies and growing aspirations of the people.

Input Functions : The activities which are connected with the formulation of rules, policies and programmes are called input activities or functions, these functions decide the nature of rules and programmes in an organisation. Activities like assessment of resources available, selection of best possible alternative, interest articulation are all input functions.

Internality Relationship of Public Servants: The relationship among the public servants. The relationship of mutuality and cordiality has to be established among the public servants. The externality relationship is dependent on the internality relationship of public servants.

Output Functions : After the rules and the programmes of the organisation are decided upon, they have to be formalised, implemented, monitored and evaluated. The activities relating to these tasks are output activities or functions.

Political Modernisation : Political modernisation in developing societies means that the masses should participate in governmental decision-making, that the regional loyalties of individuals should be replaced by the secular loyalties of citizenship and the roles of various structures of the society should not remain diffused.

Sine qua non : Indispensable condition or qualification.

Welfare State : A State which makes substantial provisions for the welfare and well-being of its citizens especially the deprived sections and those in need, through law and administration.

3.9 REFERENCES

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3.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - public services are the services constituted by the government
 - it is entrusted with the task of implementing the plans of the government
 - public services include the civil servants and the employees working in public sector undertakings quasi-governmental organisations and nationalised banks
 - public services is a professional body of experts
 - expertise, vitality and leadership are some of the important features of public services.
- 2) Your answer should include the following points:
 - public services is an important arm of the government
 - dichotomy between policy formulation and implementation can never be strictly maintained in practice
 - public services are also involved in policy formulation and government also does not restrain from policy implementation every time
 - public servants have more knowledge, time and experience than the politicians.

Check Your Progress 2

- 1) Your answer should include the following points:
 - civil servants advise ministers on policy issues
 - they are engaged in delegated legislation
 - as the functions of government are increasing, the role of civil services is becoming more important
 - they carry out the formulated plans and programmes
 - they are engaged with administrative adjudication
 - civil services are engaged with monitoring and evaluation of government programmes.
- 2) Your answer should include the following points:
 - many views have been expressed on commitment role of civil services
 - instead of personalised commitments which the civil servants usually display, the commitment should be towards the objectives of the programmes and ideals of the Constitution.

Your answer should include the following points:

- civil services have to be neutral in their outlook and activities
- their political values should not affect their conduct and behaviour
- they should be a non-partisan band of professionals
- they should try to implement the policies without bothering about the people involved, they should try to utilise the resources in an optimum manner to achieve maximum results
- they should only play an instrumental role
- civil servants should not become the prime movers behind policy making, at least they should not involve themselves in policy making full-fledgedly.

UNIT 4 CHARACTERISTICS OF PUBLIC PERSONNEL ADMINISTRATION IN INDIA

Structure

- 4.0 Objectives
- 4.1 Introduction
- 4.2 Characteristics of Public Personnel Administration in India
- 4.3 Public Personnel Administration: Some Dysfunctionalities
- 4.4 Evolving an Efficient Public Personnel System
- 4.5 Let Us Sum Up
- 4.6 Key Words
- 4.7 References
- 4.8 Answers to Check Your Progress Exercises

4.0 OBJECTIVES

After reading this unit you should be able to:

- discuss the various characteristics of public personnel administration in India;
- describe the dysfunctionalities in the present personnel administrative system; and
- highlight the future trends in personnel administration and the ways and means of improving the personnel system.

4.1 INTRODUCTION

As we read in Unit 3, the public services represent the government's instrumentality for realising the objectives of the State. The services are personified in the public personnel and have structural-procedural aspects built into them. Services are based on 'cadre' system and are regulated by a number of rules, regulations, directives, instructions etc. through which the conditions of the employment of the personnel recruited and retained in the services are governed. The functions of the government have expanded manifold in modern times and so have the public services. The services have increased in number, categories and specialities. Besides administrators, managers and clerical personnel, the public services today have technical people of all conceivable kinds, doctors, engineers, scientists, technologists etc. The services have now to look after the administrative, programmatic and implementational aspects of governmental policies, besides helping the political executives with advice on the desirability, feasibility and viability of policies.

If government, and therefore, Public Administration is peculiarly and primarily concerned with the achievement of what O. Glenn Stahl has described as "order and promise", meaning thereby "assurance of current stability and faith in the future", the public personnel are the people who make it possible. These people, undertake various kinds of activities, from trivial to critical, which affect the entire fabric of society. No aspect of citizen life can now escape the attention of government and, therefore, of the public personnel. If 'development' in all its varied dimensions and facets is the focus, it needs to be seen whether the prevalent personnel system meets the requirement and, if not, in what direction, it needs to be reformed, restructured and revamped. This unit will deal with the general characteristics of personnel

4.2 CHARACTERISTICS OF PUBLIC PERSONNEL ADMINISTRATION IN INDIA

Public personnel administration in India comprise the public services of the country. By now you must be familiar with the meaning and scope of public services in India, their role in the administrative system must have also become clear. The public personnel administration has certain characteristics which are different from the private administration in many ways. Public personnel administration has to cater to the needs of larger number of people and is engaged with the supply of varied services. Public personnel administration does not exist in a vacuum. It is the product of basic public policy, it operates under public scrutiny, it mirrors general social and economic conditions, and it has a continuous impact upon the general welfare. The government is dependent on the public personnel system for the implementation of its programmes, without proper utilisation of human services, no policy, programme or rule can be made successful.

Present Public Personnel Administration is a Legacy of the Past

The bureaucracy in India, especially the top bureaucracy is a spillover of British rule. The East India Company promoted a service structure for meeting their commercial and trading interests. In 1858 when the British Government took over the reigns of administration in India, the political consolidation of the country and exploitation of the country's resources to serve its own interests became its aims. This called for minimum economic, social and developmental activities but maximum administrative stranglehold. The superior civil services that is the higher civil services were manned by either British or Indians recruited from higher economic and feudal strata of society. The lower subordinate levels comprised only the Indians. The whole system was an excellent example of high and low, top and bottom, master and servant.

The preponderant characteristics of public personnel system were:

- it was 'elitist', exclusive in outlook and approach
- it displayed despotism in action and behaviour
- it maintained safe and wide distance from the people
- it developed structural rigidity and functional frigidity
- it was too hierarchic and precedent adherent
- it had no human relations orientation
- it had feudalistic, and separatist attitude and temper
- it had no welfare or development motivation.

India became independent in 1947, but could not develop or structure a novel public personnel system. Our Independence was accompanied by painful partition of the country, communal riots, massive migration of displaced persons and influx of refugees. Moreover we had to tackle with the complicated problems of integration of states, depletion of administrative personnel due to voluntary retirement of British ICS officers and transfer of Muslim ICS officers to Pakistan. If the health of the economy was bad on account of the after effects of the second world war and partition, the condition of administration, particularly personnel administration was worse. The basic administrative structure remained the same. There were gaps in the cadre, experienced senior level officers were very few in number and competent personnel were just not available.

With the adoption of the Constitution in 1950 and commencement of our first five Year Plan, lot of pressure came to be laid on the personnel system. The elitist hierarchic authoritarian and rigid administration now had to be revamped in order to meet the Constitutional objectives of liberty, equality, fraternity and justice. Our plan objectives viz. economic development, industrialisation, modernisation, and social justice put the administration under considerable strain, the administration had to be converted into a development and welfare oriented administration. We can say that after Independence, two basic changes took place which greatly affected the role of civil service. First, with the adoption of the system of parliamentary democracy, the civil service became accountable to the political executive. Secondly, civil service became an instrument of development.

Public Personnel System Aims at Fulfilment of the Goals of the Government

Personnel system, for that matter any system must have a purpose which has to be related to the objectives of the organisation. In the case of public personnel administration in India, its basic aim is the facilitation and fulfilment of the goals of government. This is the rationale for creating the government services, this is the justification for their existence. Once the goals have been formulated, the public personnel system must rise to implement the programmes and achieve the qualitative and quantitative targets by judiciously harnessing the available resources, keeping two dimensions in view, time and cost. For this purpose, public personnel system is involved with the functions of recruitment, selection, placement, training, health, safety, performance-rating, promotions and general welfare of the employees.

Increase in Development Functions

The extension of social security benefits and an enlarged public aid to education have become very important functions of the government. The government has assumed the larger responsibility of achieving security and well-being of all citizens. Implementation of these changes is not an easy task. The skills and experience of public service is required for this purpose. The public service is an essential social instrument, it bridges the gaps between legislative content and its fulfilment. Public service can help to establish and strengthen the minimum conditions required for economic development. It is responsible for laying down conditions for the maintenance of law and order, development of infrastructural facilities and favourable administrative structure. The public services by fixing certain general or specific output objectives, play an important role in modifying the resource structure of the country. The public services have now taken control of government undertakings or semi-government bodies.

Growing Number of Public Personnel

Due to the increase in the social and economic functions of the government, the number of public personnel is increasing at a very fast rate. As the tasks of the government are increasing, the need for personnel to perform these tasks is also growing. A large number of new departments, corporations, commissions and boards are now being set-up. The Second Pay Commission had estimated that on April 1, 1948, there were 14,45,050 employees in the Central Government. On June 30, 1957, this figure had increased to 17,73,570. On January 1, 1965, it increased to 22,64,795. On January 1, 1981, it further increased to 32,27,539. This shows that with every new activity of government that aims at providing new services for the welfare of people, the number of government employees is constantly increasing.

Growing Number of Specialists in Public Services

The concept of Welfare State, increase in the aspirations of people and the growth of science and technology has brought forth the demand for increasing role of specialists in administration. New specialism, new techniques, new methods are now being expected from the civil servants. The role of the specialists in public services has thus become very crucial and their number in the services is constantly increasing. The expanding role of specialists will be properly dealt with in Unit 9 of the next Block.

Low Rate of Turnover of Employees in Government Service

The rate of turnover of government employees is quite low in India. According to O Glenn Stahl, the employees leave their jobs for a variety of reasons like voluntary resignation, optional retirement, instances of death or frequent transfers. In India people accept the government service as a career and do not resign on their own due to permanency and moderately good conditions of service. Reasonable hours of work, good leave entitlements, provident fund and retirement benefits, housing and health facilities attract the people to public services and are even able to retain them. Sound promotion policy is another factor which encourages public personnel and fosters a feeling of belongingness in them. In addition, an adequate retirement and pension system also encourage personnel to continue in service till their retirement. Thus the turnover of public personnel is quite low. Most references of turnover are confined to the vacancies occurring due to death, removal, dismissal and retirement

Prevalence of Rank Classification in the Services

Classification of governmental position is a must for a career service based on merit. It enables rational standards or norms to be set up for the selection of personnel, permits uniformity in the method of describing different types of jobs and establishes an alike basis for giving equal status and equal pay for equal work. There are two well-known systems of classification, one is Rank Classification and the other is Duties or Position Classification. India follows the system of rank classification. In India, the public personnel are classified into 'classes' as well as 'services'. We have four classes of service, class 1, class 2, class 3, class 4, these are now called Group A, B, C and D services, corresponding to differences in the responsibility of the work performed and the qualifications required.

Another way of classification is into 'services'. Public personnel in India are directly recruited to different services e.g. Archaeological Service, Engineering Service, Post and Telegraphs Traffic Service etc. Once the public personnel are recruited to these services, they continue to be the members of the particular service until they retire or resign. At present public services are classified into the following classes:

- 1) All-India Services
- 2) Central Services, Group A, B, C & D
- 3) State Services
- 4) Specialist Services
- 5) Central Secretariat Services, Group A, B, C & D

Rank classification system is very easy to understand and administer, it promotes mobility by facilitating transfers within the services, it is flexible in operation, it opens more career opportunities for individuals. But this type of system violates the principle of 'equal pay for equal work', it does not define the contents of any job in detail, it does not explain what is expected of a post. This system is not conducive to the formulation of scientific standards on which selection of personnel, training, posting, transfer, career development, promotion etc. may be organised. The position classification system prevalent in the USA, Canada, Philippines etc. has various advantages over rank classification system prevalent in our country. You will study the classification of civil services in India in detail in unit 8 of Block 2.

Limited Political Rights of Civil Servants

Extremely limited political rights of the civil servants have been regarded as one of the essential conditions to maintain the discipline, integrity and political neutrality of the services. To ensure political neutrality of the public services, the civil servants are denied direct participation in the political activities. The Government of India's Civil Services Conduct Rules for ensuring neutrality of the service in politics provide the following:

- 1) Rule 5 of the Central Civil Service (Conduct) Rules, 1964, prohibits civil servants from taking part in politics. They cannot be members of any political party or any organisation which takes part in politics nor can subscribe in aid of or assist in any other matter, any political movement or activity.
- 2) Clause 2 of Rule 5 of the Central Civil Services (Conduct) Rules requires the civil servants to endeavour to prevent any member of their family from taking part in, subscribing in aid of or assisting in any manner any movement or activity which tends, directly or indirectly, to be subversive of the government as established by law. In case the civil servant fails to prevent a member of his family from indulging in any of the aforesaid actions, he has to make a report to the effect to the government.
- 3) Article 326 of the Constitution of India guarantees the right of franchise to every citizen of India, whose age is 18 years or above and who does not suffer from other disqualifications. But under the Conduct Rules the civil servants are not free to give an indication to the public of the manner in which they propose to vote or have voted.
- 4) Rule 4 of the All India Services (Conduct) Rules, 1954, civil servants are forbidden to canvass or use their influence in an election to any legislature or local authority.

- 5) Civil servants cannot express themselves on political issues. According to Rule 8 of the Central Civil Services (Conduct) Rules they are prohibited to communicate any official document or information to any one whom they are not authorised to communicate.

Thus we can conclude that the political rights of the civil servants are extremely limited. The higher civil servants must be above politics, as they have to serve the changing governments drawn from different political parties with the same vigour and honesty. According to Masterman Committee Report, "the public interest demands the maintenance of political impartiality in the Civil Service and confidence in that impartiality is an essential part of the structure of Government.....". Therefore, it is necessary that political rights of the civil servants are limited.

Role of Public Service Commission in Public Personnel Administration

The Public Service Commission is an independent statutory body. In India, the Public Service Commission has been so designed as to function only as an advisory body. All rights regarding the appointments of personnel are vested in the Government. The Constitution does not envisage vital role for the Commission in personnel administration. The Constitution of India provides for a Union Public Service Commission and for State Public Service Commissions along with a Joint Public Service Commission on the request of two or more state governments.

The functions of the Union and State Public Service Commissions may be summarised as follows:

- 1) To advise the Government on matters regarding the method of recruitment and principles to be followed in making appointments to the civil services either directly or by promotion.
- 2) To conduct examinations, written as well as personality tests, for appointments to the civil services of the respective governments.
- 3) To advise the government on matters relating to the suitability of candidates for promotion and transfer. Recommendations for such promotions are made by the concerned departments and Commission is requested to ratify them.
- 4) The Commission is consulted on matters relating to temporary appointments for periods between one to three years, grant of extension of services and re-employment of certain retired civil servants.
- 5) The Commission is also consulted on matters relating to regularisation of appointments, claims for the award of pension, claims for reimbursement of legal expenses incurred by the Government servants in defending legal proceedings instituted against them relating to acts done in the execution of their official duties, claims for pension, or compensation in respect of injuries sustained on duty.
- 6) The Commission is also consulted while making of an order in any disciplinary case in the conditions like, (i) censure; (ii) withholding of increments or promotions; (iii) reduction to a lower service, grade or post; (iv) compulsory retirement; and (v) removal or dismissal from service.
- 7) The Commission has to present to the President or the Governor, as the case may be, its annual report, with its recommendations.

There is a provision that the Parliament and the State legislatures, as the case may be, may confer additional functions on their respective Public Service Commissions.

Thus the Public Service Commission is a recruiting agency with purely advisory role, consulted also in certain disciplinary and other matters. There are some statutory restrictions on the powers of the Public Service Commissions. According to an amendment in Article, 320, which was effected in 1961, it is not necessary for the President to consult the UPSC in a case where he proposes to make an order for the removal, dismissal or reduction in rank of a civil servant after he is satisfied that such action is necessary in the interest of the security of the State. The role of the UPSC and SPSCs will be dealt with in Unit 10 of Block 3.

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) Increase in the developmental functions and the growing role of specialists in the Public Services are the important characteristics of public personnel administration in India. Explain.

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2) Discuss the role of Public Service Commission in public personnel administration.

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3) The present public personnel administration is a legacy of the British. Discuss.

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4.3 PUBLIC PERSONNEL ADMINISTRATION IN INDIA : SOME DYSFUNCTIONALITIES

Over the decades the personnel administrative system in the country has developed certain functionalities and dysfunctionalities. To make public personnel system effective, the dysfunctionalities have to be properly identified and removed.

The Conference on Personnel Administration held in 1968 under the auspices of Indian Institute of Public Administration, New Delhi, laid that "the existing personnel system did not meet the requirements of a desirable personnel administrative system. The existing system leaned too heavily on cadres. Our elite is more "status-oriented" rather than "achievement-oriented". The cadre system's sanction is based on the criterion of an outdated selection system by means of a purely academic examination.

The requirements i.e. the desirable ingredients of a good and sound personnel system were identified as follows, namely:

- i) The best man for the job
- ii) Increasing professionalisation
- iii) Competitiveness in selection for higher administrative positions
- iv) Placement to be job-oriented and not status trapped
- v) Motivation for better performance
- vi) Equal pay for equal work
- vii) Objective evaluation of performance
- viii) Rational promotion and personnel development system
- ix) Appropriate organisation of functions of government and appropriate policies and practices to enable optimum personnel performance.

In a Seminar on "Public Services and Social Responsibility", organised by Indian Institute of Advanced Study in Shimla (October 1973), some of the characteristic inadequacies and weaknesses of the public service system in India were identified and debated. They were :

- 1) Bureaucracy, especially its higher echelons, has acquired a class character. In operation, its instrumental role is often subordinated, and it emerges as an end in itself.
- 2) The gap between the administration and the citizen is widening. Though unpalatable, it is, nevertheless, true that bureaucracy has been somewhat insensitive to the needs of the latter and has lost credibility.
- 3) The public services are immobilised by their size. Today bureaucracy has become a slow-moving and dull-witted giant.
- 4) There are contradictions and incompatibilities at different levels of bureaucracy. Frequent confrontations between these levels paralyse the entire machine.
- 5) The public services have become a prisoner of their own procedures and precedents. Negative thinking appears to prevail. This leads to inaction rationalised in various ways.
- 6) The public services are becoming increasingly inadequate in taking up the new tasks and challenges. Even in the maintenance of law and order, bureaucracy often finds itself ineffective. In the economic field, its performance has generally been poor. It has rarely been able to take a dynamic view of the emerging problems. It tries to cure today's ill with yesterday's remedies, quite often these do not work.
- 7) The generalist tradition still prevails, on the contrary, need of the day is specialisation. Little attention appears to be given to evolving structures for specialised roles to meet the challenges of the emerging constellation of social needs.
- 8) In the general area of policy making, the public services have not given a convincing account of themselves, they act by hunches and intuition rather than trained insights.

In its Report on Personnel Administration, the Administrative Reforms Commission (ARC) (1968) while emphasising the need for a new personnel system dealt with various aspects of personnel system in Central Government and highlighted its shortcomings.

The first of these shortcomings, according to ARC, relates to professional inadequacy of the system to face the great diversification of the functions which calls for a variety of skills in the higher administration.

Secondly, ARC diagnosed that the "tenure system" through which non-professional and non-committed 'birds of passage' are brought temporarily, impeded "building up new expertise in personnel"

Thirdly, it laid that "generalism" which has been the hallmark of Indian personnel system has lost "its validity in several fields and is declining in importance" as an inevitable consequence of rapidly "growing technological sophistication" in administration.

Fourthly, it would be in public interest to cast the net wide and choose the best material in an effort to match jobs with the persons possessing needed qualification. In the prevalent system, man-job-match is not ideal, nor is it consciously practised, in view of the application of "cadre" concept.

Fifthly, in the policy advice and managerial decisions where specialist—professionals are not expected "to involve themselves directly" the whole process is amateurish, frustrating and time consuming.

Sixthly, there is irrationality in the "remuneration pattern of the different services" which does not "provide for recognition of merit, adequate opportunities for promotion and continuous incentive for good performance."

Eighthly, "adherence to seniority has proved damaging to quality." Finally "the present personnel system does not make for a rational and optimum utilisation of human resources."

4.4 EVOLVING AN EFFICIENT PUBLIC PERSONNEL SYSTEM

The public personnel system has to perform many vital tasks, human element is the most crucial part of any system and it has to be adequately utilised. Various dysfunctionalities that have developed in the public services over the decades are posing a lot of hurdles in the pursuance of administrative objectives. The problems like the increasing gap between the administration and citizens, the immobility of public services, red-tapism, obsolete methods of operation etc. have to be tackled properly.

In order to evolve an efficient public personnel system a much more closer interaction is called for between the public servants and the citizens. The concept of isolation of civil servants from the public has to be done away with. Constant interaction between the public personnel and government can also solve the difficulties to a great extent, a positive and cordial relationship between the minister and the public servant is needed. According to H. Finer, "However adequately organised the political side of the government, however wise the political philosophy, high leadership and command, these will be of no effect without the body of officials who are experts in applying power and wisdom to the particular cases and are permanently and specially employed to do so."

There is a need for citizen's participation in administrative processes. Citizens should not just be the recipients of the fruits of the implemented programmes, they must actively take part in the formulation, implementation and monitoring of plans as well. Role of voluntary agencies, planning bodies at the grassroots level and panchayat bodies has become very important. These bodies must aim at optimal utilisation of human resources.

Media can also play an effective role in removing the dysfunctionalities of public personnel administration. It can highlight the methods adopted by administration in removal of citizens grievances. It can draw the attention of people to the difficulties faced by citizens in their interaction with the administrative personnel and the ways or methods by which they can voice them. Media can highlight the role of non-governmental organisations and cooperatives in increasing people's participation in administration.

4.5 LET US SUM UP

No administrative system can function properly unless and until its personnel are honest, hard-working and efficient, unless they are properly recruited, trained and promoted and unless they enjoy certain benefits in the organisation. The various characteristics of public personnel system differentiates it from the personnel system prevailing in the private organisations. The increasing developmental and welfare functions are posing new challenges for the public personnel system. The present system, which is a British legacy has to try to transform many of its features and functions which have lost their relevance. The aspirations of people, the change in the attitudes of employees, the stress on developmental activities calls for a revamping in the personnel system. This unit gave us an idea about the different characteristics of public personnel administration, its dysfunctionalities and the way by which these can be tackled.

4.6 KEY WORDS

Despotism : Cruel and unfair government by a ruler or rulers who have absolute powers.

Tenure System : The system of filling senior posts in the Secretariat by officers who come from the states or from the Central services for a particular period and who after serving their tenure, revert back to their parent states or services.

Position Classification : The object of position classification is to provide a basis for fixing fair pay for work performed. A position is a basic organisational unit. Each position represents certain well-defined duties regarding the work assigned to the position and matters for which an employee is held accountable. Duties in a class should be sufficiently similar.

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4.8 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - the government has assumed the larger responsibility of achieving security and well-being of the citizens, for this purpose, skills and expertise of public services is needed
 - public services bridges the gap between the formulation and implementation of the policies

- civil services is responsible for establishing and strengthening the conditions required for economic development, maintenance of law and order, development of infrastructural facilities etc.
- civil services is responsible for modifying the resource structure of the country
- increasing developmental functions and aspirations of the people calls for new specialism, new techniques, new methods etc. in the public personnel administration
- number of specialists in administration is constantly increasing.

2) Your answer should include the following points.

- the functions of Public Service Commission are to advise the Government or matters relating to recruitment
- to conduct examinations
- to advise the government on the suitability of candidates for promotion and transfers
- it is consulted regarding matters relating to temporary appointments
- matters relating to regularisation of appointments
- matters relating to disciplinary action against the employees.

3) Your answer should include the following points:

- the top bureaucracy is a spill over of British rule
- during the British period, the higher civil services were manned by either British or Indians recruited from higher economic and feudal strata of society. The lower subordinate levels comprised Indians only.
- the public personnel system during the British period was elitist, displayed high authoritarianism, was too hierarchic, had no developmental or welfare orientation and was too rigid in structure
- after Independence, the basic administrative structure remained the same
- after Independence two basic changes took place, first, the civil service became accountable to executive and second, civil service became an instrument of development.

Check Your Progress 2

1) Your answer should include the following points:

As per the seminar on "Public Services and Social Responsibility" organised by Indian Institute of Advanced Study in Shimla (1973)

- bureaucracy has acquired a class character
- the gap between citizen and administration is widening
- the public services are immobilised by their size
- there are contradictions and incompatibilities at different levels of bureaucracy
- public services has become a prisoner of its procedures and precedents
- in economic field, the performance of bureaucracy has been poor
- performance of public services in the area of policy making has not been very convincing
- According to ARC—Public Services suffer from a professional inadequacy, it not able to face the great diversification of the functions
- tenure system has impeded building up of new expertise in the personnel
- technologically sophisticated tasks of administration calls for new specialism in the services. Emphasis on generalism has lost its validity
- vocational remuneration policy
- improper utilisation of human resources
- adherence to seniority has proved damaging to quality.

2) Your answer should include the following points:

- closer interaction between public servants and citizens is needed
- constant interaction between the public personnel and government can also solve problems
- need for citizen's participation in formulation, implementation and monitoring of policies
- role of media in highlighting the problems of administration and the grievances of citizens
- need for increase in the participation of NGOs and cooperatives in administrative processes.

NOTES





UTTAR PRADESH
RAJARSHI TANDON OPEN UNIVERSITY

UGPA - 04

Personnel Administration

Block

2

CIVIL SERVICES IN INDIA

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BLOCK 2 CIVIL SERVICES IN INDIA

The first block of this course must have given you an idea about the concept, nature, scope, importance, features and functions of Personnel Administration. This is the second block of the Course. It has five units. The focus here will be on the development of civil services in India, their bases, classification, role and the controversy between the generalists and specialists.

Unit 5 Civil Service in the Context of Modern Bureaucracy

Bureaucracy has become an indispensable part of an organisation. In this unit, we will discuss the meaning of bureaucracy, its types as categorised by Morstein Marx. The features of bureaucracy and the important role played by it in various capacities is dealt with. The factors contributing to the increasing importance of bureaucracy is highlighted. The merits and demerits of bureaucracy are also analysed.

Unit 6 Bases of Bureaucracy

Bureaucracy, since it occupies an important place in the administrative system, it is essential to know the basis of its position. In this unit, we will discuss the various sources from which the bureaucracy derives authority. The representative nature of the bureaucracy, studies undertaken in this context, in countries like U.K., U.S.A., France, India are highlighted. The widening base of the Indian bureaucracy, its emerging trends are analysed.

Unit 7 Development of Public Services in India

Public Services in India, as present now, is the result of successive changes under the rule of East India Company and the Crown. In this unit, we will discuss the development of civil services in various phases from 1765-1853, under the East India Company, since 1858 when the Indian administration came directly under the Crown. Various Commissions were appointed during this period and based on those recommendations changes were brought about in the civil services which have been dealt with in the unit. We have also discussed the constitution of civil services in the post-Independence period.

Unit 8 Classification of Services (Cadres)

Classification of services is an important aspect of personnel administration, as it enables grouping of various positions on the basis of duties and responsibilities. In this unit, we shall be discussing the meaning, importance, bases and advantages of classification of services. The pattern of classification of services in India is based on the rank classification system followed in Britain. The classification of services during the pre-Independence and post-Independence periods will be discussed. The recommendations of the Administrative Reforms Commission, the first, second, third and fourth Pay Commissions and consequent changes brought about in the classification of services are highlighted.

Unit 9 Generalists and Specialists

Generalists and Specialists are the two broad functional categories in administration who provide necessary inputs in formulation and implementation of policies. In this unit, we will explain the meaning of the terms generalist and specialist and comment on their contribution to administration. We will analyse the controversy between these two functionaries and reasons responsible for it. The ways evolved to resolve the controversy are also dealt with.

UNIT 5 CIVIL SERVICE IN THE CONTEXT OF MODERN BUREAUCRACY

Structure

- 5.0 Objectives
- 5.1 Introduction
- 5.2 Meaning of Bureaucracy
- 5.3 Types of Bureaucracy
- 5.4 Features of Bureaucracy
- 5.5 Role of Bureaucracy
- 5.6 Growing Importance of Bureaucracy in Recent Years
- 5.7 Merits and Demerits of Bureaucracy
- 5.8 Let Us Sum Up
- 5.9 Key Words
- 5.10 Some Useful Books
- 5.11 Answers to Check Your Progress Exercises

5.0 OBJECTIVES

After reading this unit you should be able to :

- state the meaning of bureaucracy and its various types
- explain the various features of bureaucracy
- discuss the growing importance of bureaucracy in recent years
- describe the merits and demerits of bureaucracy; and
- highlight the expanding functions of bureaucracy.

5.1 INTRODUCTION

Bureaucracy is an essential part of an organisation. Every organisation, whether big or small adheres to bureaucratic structure in some form or the other. Lately, the bureaucracy has come under severe criticism. Most people refer to it only negatively. Yet, despite its manifest deficiencies or exposed vices, no organisation, whether it is in governmental, public or private sector, has been able to do away with bureaucracy. On the contrary, all big institutions or organisations, for example, educational institutions, service agencies, research bodies, charitable trusts etc., have made the bureaucratic structure a vital part of their existence. Thus it can be stated that bureaucracy has a strong staying and survival capacity. Even the critics and opponents admit that there is more to be gained by keeping or retaining bureaucracy than abandoning it.

We have to, therefore, analyse as to why bureaucracy has become absolutely indispensable. It will, thus, be useful to have a closer look at the meaning and significance of bureaucracy, its growing importance, its features, functions, merits and demerits. This unit will try to highlight these aspects.

5.2 MEANING OF BUREAUCRACY

Bureaucracy is a difficult term to define. It means different things to different people. There are almost as many definitions of bureaucracy as there are writers on the subject who emphasise different aspects of bureaucracy. As such there is no terminological accuracy about the concept of bureaucracy. Some equate bureaucracy with efficiency and others with efficiency. To some, it is a term synonymous with civil service and for others it refers to a body of officials. But basically, bureaucracy is a systematic organisation of tasks and individuals into a pattern which most effectively achieves the desirable ends of such collective effort. It is a regulated administrative system organised as a series of interrelated processes.

In a more traditional sense the term bureaucracy is derived from the Latin word 'bureau' which means 'desk' and Greek word 'cracy' which means rule. Thus it refers to desk rule or desk government. It was a Frenchman, Vincent de Gournay, who first coined the term bureaucracy in 1765. The normative model of bureaucracy emphasises the structure of organisation. While the empirical model of bureaucracy, that is bureaucracy in the modern context, emphasises the behavioural and functional patterns in organisation.

If we look into structural features of bureaucracy like hierarchy, division of labour, system of rules etc., bureaucracy is value-neutral. From behavioural angle, since it displays certain characteristics like objectivity, rationality, impersonality, rule orientation etc., bureaucracy shows some functional i.e. positive as well as some dysfunctional i.e. negative symptoms. From the achievemental point of view, it can be regarded as a pattern of organisation that maximises efficiency of administration.

5.3 TYPES OF BUREAUCRACY

Bureaucracy is influenced by social, cultural, economic and political factors. With the result, at different points of time in history, it has taken different shapes and forms. Fritz Morstein Marx has categorised bureaucracy into the following four types :

- 1) The Guardian bureaucracy
- 2) The Caste bureaucracy
- 3) The Patronage bureaucracy
- 4) The Merit bureaucracy

The Guardian bureaucracy was prevalent in China upto the advent of the Sung period (960 A.D.) and in Russia during 1640 and 1740. The bureaucracy comprised guardians who were selected on the basis of their education and were then trained in right conduct. They were considered the custodians of justice and welfare of the community. Marx defined this type as "a scholastic officialdom trained in right conduct according to the classics".

The Caste bureaucracy has a class base. According to Marx, it "arises from the class connection of those in the controlling positions". In this type, recruitment is made from one class. Such type is widely prevalent in oligarchical political systems. Under such systems only persons belonging to upper classes or higher castes can become public officials. Thus, in ancient India, only Brahmins and Kshatriyas could become high officials. According to Marx, another way in which such a type manifests itself is, by "linking the qualifications for the higher posts with arrangements that amount to class preference". This is what Willoughby has described as the aristocratic type existing in England till recently where aristocratic classes were preferred to the civil service positions.

Another name for the Patronage bureaucracy is the "spoils system". Its traditional home has been the U.S.A., though patronage had full sway even in the U.K., till the middle of the 19th century where it helped the aristocracy to gain entry into the civil service. This type of civil service exists where public jobs are given as a personal favour or political award. It is interesting to note that this system worked differently in the U.K. and the U.S.A. In the U.K., patronage bureaucracy marched side by side with an aristocratic social order and fulfilled its purpose. In the United States, on the contrary, the system worked quite differently and jobs were distributed as spoils to the victorious political party. This system of patronage bureaucracy was condemned as an anachronism for its lack of technical competence, for its careless discipline, its concealed greediness, its irregular ways, its partisanship and for its absence of spirit of service.

The Merit bureaucracy has, as its basis, merit of the public official and it aims at efficiency of the civil service. It aims at "career open to talent". Here an attempt is made to recruit the best person for the public service, the merit being judged by objective standards. In modern times, this method is in vogue in all the countries. Appointment to public service is now no longer governed by class considerations, and it is no more a gift or a favour. The public servant is not a self-appointed guardian of the people. The civil servant in a modern democracy is really an official in the service of the people, and is recruited on the basis of prescribed qualifications tested objectively. Also he/she owes the job to no one except to one's hard work and intelligence.

5.4 FEATURES OF BUREAUCRACY

The concept of bureaucracy was fully developed by Max Weber. In the Weberian analysis, bureaucracy refers to the sociological concept of rationalisation of collective activities. According to Weber, it is important for the constitution of modern complex society, irrespective of its political complexion—capitalist or socialist. It describes a form or design of organisation which assures predictability of the behaviour of employees. Certain design strategies are built into the bureaucratic form of organisation :

- a) All tasks necessary for the accomplishment of goals are divided into highly specialised jobs. Thus division of labour and specialisation are ensured in the organisation.
- b) Each task is performed according to a consistent system of abstract rules. This ensures uniformity and coordination.
- c) Each member in the organisation is accountable to a superior for his and his subordinates' actions. The principle of hierarchy is thus emphasised.
- d) Each official conducts the business of his office in an impersonal, formalistic manner.
- e) Employment is based on technical qualifications and is protected against arbitrary dismissal. Promotions are based on seniority and achievement.

Weber's model of bureaucracy, it has been stated, serves as a frame of reference for social research into bureaucratic realities. This model is considered to be an 'ideal-type' or 'classical model'. To the extent the stated characteristics are present to the maximum in an organisation, that organisation is considered to have an ideal type of bureaucracy.

From the Weberian formulation, one can deduce a set of structural features and another set of behavioural characteristics. Structurally, a bureaucratic form of organisation exhibits the following characteristics :

Division of Labour

The total task of the organisation is broken down into a number of specialised functions.

Hierarchy

The structure of bureaucracy is hierarchical. The extent of authority is determined by the levels within the hierarchy.

System of Rules

The rights and duties of the employees and the modes of doing work are governed by clearly laid down rules. Observance of rules is said to prevent arbitrariness and bring about efficiency.

Role Specificity

Every employee's role in the organisation is clearly earmarked with specific job description. The organisation's expectations of each employee are limited to his job description.

The set of behavioural characteristics of bureaucracy can be described as follows :

Rationality

Bureaucracy represents a rational form of organisation. Decisions are taken on strict evidence. Alternatives are considered objectively to arrive at a decision.

Impersonality

A bureaucratic form of organisation does not entertain any irrational sentiments. Personal likes and dislikes are not expected to come in the way of work performance. Official business is conducted without regard for persons. It is a machine-like organisation and as such it is characterised by high degree of impersonality.

Rule Orientation

Depersonalisation of the organisation is achieved through formulation of rules and procedures which lay down the way of doing work. The employees are to strictly follow the rules in discharge of their duties.

Neutrality

As, an aspect of impersonality, this characteristic implies unbiased thinking i.e. bureaucracy serves any kind of political regime without being aligned to it. It has commitment to work only and to no other value.

As against these positive behavioural characteristics of bureaucracy, there are certain negative or dysfunctional characteristics. These are (a) buck-passing (b) red-tapism (c) reluctance to delegate authority (d) extreme objectiveness (e) strict adherence to rules and regulations (f) rigidity (g) unresponsiveness to popular demands and desires (h) self aggrandisement (i) conservatism (j) precedent-addiction (k) diffusion of responsibility (l) ignoring human element in administrative behaviour (m) arrogance etc. We will be discussing in detail, the merits and demerits of bureaucracy in Section 5.7.

Check Your Progress 1

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

1) What do you understand by bureaucracy?

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2) State the different types of bureaucracy.

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3) Discuss the features of bureaucracy.

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5.5 ROLE OF BUREAUCRACY

Bureaucracy has a very important role in bringing and sustaining development and growth in a country. It is almost universally expected that bureaucracy be so designed and shaped as to respond willingly and effectively to policy leadership from outside its own ranks. Bureaucracies under a wide variety of political regimes display similarities and diversities at the same time. As Ferrel Heady has said, "bureaucracy should be basically instrumental in its operation, that it should serve as an agent and not as master".

But we cannot assert that bureaucracy can or should play strictly an instrumental role, uninvolved in policy making and unaffected by exposure to political process. In fact the major cause for worry about bureaucracy is the possibility of its moving away from the instrumental role to become a primary power wielder in the political system. La Palambora felt that restricting the bureaucracy to an instrumental role is all the more difficult in developing nations "where the bureaucracy may be the most coherent power centre and where, in addition, the major decisions regarding national development are likely to involve

authoritative rule-making and rule-application by governmental structure which results in the emergence of 'over-powering' bureaucracies".

Bernard Brown and Milton Esman acknowledge the centrality of administration in developing systems, while advocating that it be strengthened rather than downgraded.

Thus, bureaucracy essentially is an instrumentality of the government and is an aid, an essential equipment, for operational purposes. Bureaucracy by its, recruitment, training, style and culture is best suited for playing the role of adviser to politicians rather than playing the politician's role. In any democratic set-up, where the party with the mandate of majority of the people gets the controlling authority to govern, it is the politicians who have to fulfil people's demands and aspirations; they reflect nation's will. Therefore, any one who does not represent the people cannot speak for them. Bureaucrats thus have no primacy, no supremacy, in determining such macro-level national policies. They can, at best, tender professional advice and render assistance, as may be needed from time to time, to the political policy makers in defining and refining the policies. They play, most certainly, the significant crucial role in implementing such policies and taking decisions within the overall framework of such policies.

In normal circumstances, the bureaucrats, since they are professionally trained in their art of "driving under direction", have perfected the technique of 'decision-making'. But otherwise, when it comes to "discontinuity" or "uncertainty", that is, at the time of emergency, they look for directives and seek dictates. Rule application, rule interpretation and rule-adjudication are some of the tasks better done by the bureaucrats. Politicians do not remain in power permanently as they come and go through time-bound electoral process. Political executives are temporary masters, but bureaucrats are permanent employees of the state. They are recruited for their superior merit, knowledge, professional competence, technical know-how, experience and expertise. Their primary concern is goal realisation. It is only after the laws regarding the social, political and economic issues have been made that the bureaucrats come in the picture. And whatever further is required to implement these laws is taken over by the bureaucrats and completed. Whether it is the making of rules and regulations under the system of 'delegated legislation' or issuance of necessary directives and guidelines, the bureaucracy performs its functions rather well.

Administrative efficiency through a series of decision-making and decision-implementing activities is the handiwork of bureaucracy. If bureaucracy is often criticised for inefficiency in administration, its deficiencies, slowness, conservatism, negativism, delays etc., it has also to be appreciated for all its achievements in terms of socio-economic development and progress.

There is no doubt that the traditional 'legal-rational' concept of bureaucracy has undergone a change. As discussed earlier, the bureaucracy is not just instrumental any more, waiting for orders to execute, unmoved, unconcerned by any changes. It functions with emotional and psychological involvement in executing programmes. The old time distinction and water-tight compartmentalisation between policy and execution is fast disappearing. In the present developmental administration landscape, the bureaucrat has to take the lead. In expanding arena of science and technology, the bureaucrat is every where, and has to administer and manage all developmental programmes. In the present times, the bureaucrat cannot afford to be a passive onlooker, and in many cases, he/she has to be pioneering, and display risk taking entrepreneurial skills.

5.6 GROWING IMPORTANCE OF BUREAUCRACY IN RECENT YEARS

Bureaucracy plays an instrumental role in converting the government policies into programmes, programmes into projects and projects into tasks for bringing about development. In a developing country like India, government has to act as the "regulator, mediator, underwriter, provider of services, promoter of national standards of decent living and economic and social diagnostician and repairman". State penetration in development process is vital in a country committed towards achieving full employment, satisfactory rate of growth, stable prices, healthy balance of payments, increased production and equitable distribution; this automatically calls for bureaucratic intervention.

In situations of development and change, bureaucracy provides the vast majority of necessary professional, technical and entrepreneurial resources. Without bureaucracy, government cannot function and will not be able to achieve whatever goals it has set for social and economic advancement. Bureaucracy is the agency of such accomplishment. It is involved in all major economic and social activities viz., education and literacy, health and family welfare, rural development and renewal, industrialisation and urbanisation, institutional restructuring, infrastructural modernisation and diverse nation-building programmes.

The importance of bureaucracy is fast growing. The larger the doses of development the greater is going to be the crucial significance of bureaucracy. Now let us understand some of the reasons responsible for growing importance of bureaucracy in recent years.

Increasing Population

If one takes a look at the national scenario, it is apparent that population is increasing. This is more so particularly in developing societies where the population is increasing in geometrical proportion, outpacing the resource-generation and all other developmental endeavours. Population explosion implies more mouths to be fed, which means more food requirement and this necessitates higher production. This requires provision of all necessary ingredients like irrigation, fertilisers, seeds, storage, marketing etc. Similar is the situation in regard to industry. It is the administrative bureaucracy which is called upon to take charge and manage these tasks. The bureaucracy becomes the 'go-between' with the people on the one hand and government on the other. The importance of bureaucracy would naturally rise, with the expanding role it is asked to play.

Industrial Development

Industrial development of the country, economic growth through trade and commerce, setting up of steel plants, petrochemicals, fertiliser plants etc., inevitably lead to expansion of administration and reliance on bureaucracy. It is required, not only in policy-programmes but also for ground level executional activities.

The Growing Need of Welfare of People

The 'Welfare State' philosophy with the fundamental objective of rendering service to the people necessitating, all round societal development has made it imperative to usher in a 'bureaucratic state'. Where government is the only significant social sector willing to assume the responsibility for 'transformative welfare', bureaucracy has to mobilise the necessary resources.

Multifarious Activities of Modern State

The activities of the modern state have become so diverse and have multiplied so much in scale that more and more public personnel, in their manifold varieties and categories are to be recruited. The developmental, regulatory and even traditional law and order or security functions of governmental administration have grown and people's dependence on administration for more and more things has magnified the importance of bureaucracy.

Rising Expectations of People

The present times are witnessing a revolution in the rising expectations of the people. Gone are the days when people were passive, dumb, non-questioning and non-assertive. Masses today are demanding, questioning and asserting. They have become conscious of their rights and are demanding better education, health, housing, decent standard of living and better quality of life.

All these constitute the modern charter of demands of the people which would mean a long agenda of action for the government, leading, in turn, to widening the rectangle of responsibilities and importance of public bureaucracy.

5.7 MERITS AND DEMERITS OF BUREAUCRACY

We have discussed in one of the earlier sections about the structural and behavioural characteristics of bureaucracy. The merits and demerits of bureaucracy flow basically from the structural strength and behavioural weaknesses of bureaucracy respectively. The very fact that bureaucracy is continuing till date despite several criticisms from almost all

quarters, proves, beyond doubt, that there is some intrinsic merit in bureaucracy, otherwise, it would have been wound up long back.

As has been stated, bureaucracy is organised on the principle of division of labour, which leads to specialisation which is a welcome feature of organisational rationalisation and economic development. Through division of labour, bureaucracy promotes expertise and professionalism.

Similarly, bureaucracy's other structural feature of hierarchy leads to distribution of authority and makes possible better and more effective supervision of work. Hierarchy facilitates orderly arrangement of superior-subordinate relationship and integrates the various roles of the different functionaries. Apart from setting up vertical network, the horizontal work relationships lead to better consultation, pooling of experience, exchange of views and consensual decision-making after taking into account multiple points and counter points. If hierarchy sometimes induces delay, it also makes possible sound policy making.

Bureaucracy basically is an administrative system based on clear and well understood rules and regulations which would eliminate personal prejudices, nepotism and idiosyncracies. Systematisation of rules and regulations reduces the sphere of individual discretion which contains the element of corruption. Strict observance of rules in public organisations and government have, to a large extent, reduced the scope of norm-deviation and has promoted the development of ethical behaviour in the bureaucrats.

As a structural-functional system bureaucracy represents a rational form of organisation. It reflects organisational orderliness, objectivity and stability.

Similarly, impersonality is also one of the merits of bureaucracy. Decisions are based not, on communal or regional considerations, but generally keeping the interests of the community as a whole and other social considerations in view i.e. keeping 'public interest' in view. In fact one of the strong points of bureaucratic functioning is that much of the decision-making activity is done through files and papers where statutory or well documented rules and regulations predominate.

Another merit of the bureaucracy is its neutrality. Bureaucracy being the instrument of the governmental organisation is supposed to act in the best interests of the state policy without too much of personal commitment or sectarian bias. The traditional or classical bureaucracy, particularly of the Weberian variety, is based on the political neutrality principle under which the bureaucrats must not display, either in their action or behaviour, any inclination towards any political ideology. They are supposed to perform the instrumental role and discharge their allotted duties and perform the tasks assigned to them in a professional manner, not swayed by personal likes and dislikes.

Bureaucracy is a system where selection of officials is done by merit and the officials are subject to discipline and control in their work performance. Hence better results are likely to flow from a valuable combination of best brains and rationalised structural functional arrangement.

Max Weber has stated: "the purest type of exercise of legal authority is that which employs a bureaucratic administrative staff". According to Herbert Morrison "bureaucracy is the price of parliamentary democracy".

The contribution of bureaucracy to governmental administration is quite significant. It has made administration more efficient, stable, objective, impartial and consistent. In fact, it is almost indispensable. Hence what is needed, is to guard against those characteristics and defects which distort its functionality. It should be subject to a continuing review so that it can be kept on its right orbit.

Demerits of Bureaucracy

The demerits of bureaucracy also flow from those very structural features and characteristics which make for its merits. In fact, the positive behavioural traits could themselves be converted into negative dysfunctionalities if not handled with care.

Many and varied criticisms have been levelled against bureaucracy. One of its strongest

critics was Ramsay Muir, who in his book 'How Britain is Governed', has stated that "under the cloak of democracy, it has thrived and grown until, like Frankenstein's Monster, it sometimes seems likely to devour its creator". Lord Hevart characterised the power and authority of bureaucracy as 'Neo-Despotism'.

Bureaucracy has been characterised as unresponsive to popular demands and desires. It is often found that people who come to the various officials for help or assistance are needlessly harrassed—which gives the impression that bureaucrats derive pleasure out of such harrassment of people. Often bureaucrats show utter lack of concern for public demands or popular aspirations. They become so regulated by the system that they are indifferent to public interest.

Bureaucracy has also given rise to diffusion of responsibility. No one in the official hierarchy wishes to take positive responsibility. "Passing the buck" and transferring the responsibility for either wrong action or inaction is one of the very natural characteristics of bureaucracy.

Bureaucracy also suffers from the vices of excessive redtapism or excessive formalism. Redtapism, which implies 'strict observance of regulations' has become one of the symbols of bureaucracy. It is one of the peculiar phenomena of bureaucracy that it lays too much emphasis on procedure through "proper-channel" and precedents which become improper or costly from the point of view of achievement of results and accomplishment of targets.

Lack of dynamism, rigid conformity and non-conformism are other maladies of bureaucracy. It is conservative. It wants to play safe and will not like to go beyond the orbit of safety. Generally bureaucrats do not favour risk, adventurism, forward looking vision. With the result, bureaucracy only plays the game of the possible under the dictates of precedents or orders of superiors.

Empire-building is one of the built-in-tendencies of bureaucracy. The bureaucrats, particularly the ones at the higher level, believe in expanding the frontiers of power by creating and multiplying different organisations under them and justifying their actions on grounds of usefulness or essentiality.

In bureaucracy, there is less accountability but more pseudo-authority; whereas authority and responsibility should go together as they are the two sides of the same coin.

Bureaucracy is obsessed with routine and trivial matters rather than a concere for substance. It has also the reputation of being needlessly rigid in outlook and indifferent to popular aspirations, which sometimes promotes a perception that "bureaucracy is contra-democracy". Walter Bagehot comments, "It is an inevitable defect, that bureaucrats will care more for routine than for results". Similarly, Burke states that "they will think the substance of business not to be more important than the forms of it".

Check Your Progress 2

Note : 1) Use the space given below for your answers.
2) Check your answers with those given at the end of the unit.

1) Discuss the role of bureaucracy

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2) State the reasons for the growing importance of bureaucracy in recent years.

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3) Discuss the merits of bureaucracy.

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4) What are the demerits of bureaucracy?

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5.8 LET US SUM UP

Bureaucracy is an essential part of an organisation. In this unit, we have discussed the meaning of bureaucracy, its various types, as identified by Morstein Marx, viz., the Guardian, Caste, Patronage and Merit bureaucracies. We have highlighted Weber's 'ideal type' model of bureaucracy which brings out certain positive structural and behavioural characteristics.

Bureaucracy plays a very important role in bringing and sustaining growth and development in a country. Various aspects of the role of bureaucracy have been touched upon. In recent years certain factors have contributed to the growing importance of bureaucracy like rising expectations of people, multifarious activities of the modern state, Industrial development etc., these have been dealt in the unit. Though bureaucracy has been looked at derogatively by many, we have not been able to do away with it despite its deficiencies. This establishes the fact that there is some intrinsic merit in bureaucracy. The merits and demerits of bureaucracy have been dealt with extensively in the unit.

5.9 KEY WORDS

Anachronism : Something which seems very out of date.

Buck Passing : It is an informal expression to mean passing on blame or responsibility to someone else.

Devour : Destroy.

Frankenstein's Monster : A fictional character who destroyed its own creator.

Horizontal Work relationships : Work relationships between people of the same rank in different hierarchies in an organisation.

Idiosyncrasy : One's own peculiar or unusual habits, likes, dislikes etc.

Neo-Despotism : In earlier times people had to contend with the power of an autocratic ruler, i.e. a despot. In modern times the outer appearance is democratic i.e. benevolent rule by the people's representatives. But in fact the real powers are concentrated in the powerful hands of bureaucracy. Hence, the use of the term neo-despotism.

Population Explosion : Rapid and large-scale increase in population.

Self-aggrandisement : The act or process of making oneself more influential or wealthy especially by ruthless means.

5.10 SOME USEFUL BOOKS

- Albrow, Martin, 1970. *Bureaucracy*, Macmillan : London.
- Bhattacharya, M. 1979. *Bureaucracy and Development Administration*, Uppal Publishing House : Delhi.
- Marx, F.M. 1957. *Administrative State*, University of Chicago Press : Chicago.
- Merton, Robert K. et al (Ed). 1952. *Reader in Bureaucracy*, Free Press : Glencoe.
- Sinha, V.M. 1986. *Personnel Administration — Concepts and Comparative Perspective*, R.B.S.A. Publishers : Jaipur.
- Srivastava, Om Prie, 1991. *Public Administration and Management — The Broadening Horizons (Vol.2)*, Himalaya Publishing House : Bombay.

5.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points :
 - There is no terminological accuracy about the concept of bureaucracy.
 - Basically, it is considered as a systematic organisation of tasks and individuals into a pattern which most effectively achieves the desirable ends of such collective efforts.
 - Traditionally it was referred to as desk government or rule.
 - The normative model of bureaucracy emphasised the structure of organisation whereas the empirical model stressed behavioural and functional patterns in organisation.
- 2) Your answer should include the following points :
 - Guardian bureaucracy
 - Caste bureaucracy
 - Patronage bureaucracy
 - Merit bureaucracy.
- 3) Your answer should include the following points :

The structural features of bureaucracy include :

 - Division of Labour
 - Hierarchy
 - System of rules
 - Role specificity.

The behavioural characteristics of bureaucracy are :

 - Rationality
 - Impersonality
 - Rule-orientation
 - Neutrality.

Check Your Progress 2

- 1) Your answer should include the following points :
 - Important role played by bureaucracy as an instrument of the government, as an aid for operational purposes.
 - It renders professional advice and assistance from time to time to the political policy makers in defining and refining the policies.
 - Bureaucracy plays a crucial role in implementation of policies and taking decisions within the overall framework of such policies.
 - Discharges the important tasks of rule application, rule interpretation and rule-adjudication.
 - Responsible for goal realisation, accomplishment of objectives, programmatic effectiveness and efficiency of administration.
- 2) Your answer should include the following points :
 - Increasing population

- Industrial development
- Growing need of welfare of people
- Multifarious activities of modern state
- Rising expectations of people.

3) Your answer should include the following points :

- Division of labour leads to specialisation, expertise, professionalism
- Distribution of authority and effective supervision of work
- Rules and regulations eliminate personal prejudices, nepotism; promotes the development of ethical behaviour in the bureaucrats
- Impersonality
- Neutrality
- Organisational orderliness, objectivity and stability.

4) Your answer should include the following points :

- Unresponsive to popular demands and desires
- Diffusion of responsibility
- Excessive redtapism or undue formalism
- Lack of dynamism, adventurism and forward looking vision
- Self perpetuating
- Empire building
- Lack of accountability
- Concern for routine and trivial matters.

UNIT 6 BASES OF BUREAUCRACY

Structure

- 6.0 Objectives
- 6.1 Introduction
- 6.2 Basis of Position of Bureaucracy
- 6.3 Bureaucracy—Representative Nature
- 6.4 Broadening Base of Indian Bureaucracy
- 6.5 Let Us Sum Up
- 6.6 Key Words
- 6.7 Some Useful Books
- 6.8 Answers to Check Your Progress Exercises

6.0 OBJECTIVES

After reading this unit, you should be able to :

- discuss the basis of position of bureaucracy
- explain the representative nature of bureaucracy; and
- describe the broadening base of Indian bureaucracy.

6.1 INTRODUCTION

Bureaucracy is the instrumentality of the government to translate the formulated policies into programmes and programmes into realities. Modern state has assumed an array of new functions in the fields of social development, economic progress, institutional modernisation, nation-building, enrichment of the quality of life for the people. To attend to all these activities, the government of the day must have an adequate administrative machinery so that the welfare programmes and developmental missions of the government can be implemented in the most effective manner. Bureaucracy of the country is precisely in charge of these challenges of change to transform a society poised for a take-off. In the previous unit i.e. 5, we have discussed the role of bureaucracy, its increasing importance in recent years. In this unit, we shall discuss the basis of position of bureaucracy in India and the case for representative bureaucracy. This unit highlights the broadening base of the Indian bureaucracy, some of the studies undertaken in India relating to socio-economic background of the public bureaucracies.

6.2 BASIS OF POSITION OF BUREAUCRACY

There are different personnel systems in different countries. Indeed, it is difficult to find uniformity in the matter of personnel practices, civil service laws, bureaucratic structure and other dimensions of bureaucracy. Every country has its own societal tradition, environmental compulsions, economic and institutional influences which shape the administrative and personnel system of the government. Bureaucracy occupies an important place in every system. What is important is to know the basis of position of bureaucracy from where does it derive its authority, since all the administrative powers are vested in bureaucracy. Regarding this there is neither a common practice or theory. The French Constitution laid down that the fundamental principles governing the civil service fall within the domain of law and authority of legislature. But application fell within the sphere of regulation of authority of the executive i.e. the parliamentary legislation and rules and regulations made by the executive there under constitute the basis of bureaucracy. In the United Kingdom, civil service had been regarded as 'Sovereign's Service'. The Parliament being sovereign, it can make any law that it deems fit regarding the organisation and regulation of matters concerning bureaucracy. In USA, part of the civil service is controlled by Statutes/Acts passed by the Congress and the other part by the President through instructions and orders within the framework of laws.

In India, the bureaucracy derives authority from the Constitution, parliamentary legislations, rules, regulations issued within the framework of statutes. Parliament may create All India Services common to the Union and the States and also regulate the recruitment and conditions of service of members of such services. The Indian Administrative Service (I.A.S.) and the Indian Police Service (I.P.S.) which came into being prior to the commencement of the Constitution were deemed to be services created by Parliament under Article 312. Parliament has enacted the All-India Services Act to regulate the recruitment and other conditions of service of the All-India Services in consultation with the states. There is a large number of rules and regulations concerning the various aspects of service conditions of the members of All-India Services, framed in pursuance of the authority given under the State Acts.

So far as the Central Services are concerned, Parliament has not framed any act so far. The conditions of service including recruitment of the Central Service Officers are regulated by a large number of rules as well as regulations made in pursuance of the authority given under Article 309 of the Constitution.

In a parliamentary democratic system where ultimate power belongs to the people and is exercisable through their representatives in the Parliament, pure discretionary and arbitrary rules concerning bureaucracy are not possible and also not encouraged. In such a system, unlike in monarchical and feudal systems of administration, right from recruitment and selection to their retirement, everything is governed by specified rules, executive instructions, orders etc., issued by the executive organs of the government from time to time. The position of bureaucracy is not exposed to vagaries of individual whims or personal predilections. Patronage, nepotism and other forms of corruptive influences and norm deviations are sought to be reduced. In other words, where the Constitution is supreme and parliamentary legislation is the authority and the rules and regulations exist as governing guidelines for bureaucracy, there is a greater scope for not only positive fairplay but also equitable opportunity is afforded to all members of the society to join the bureaucracy through prescribed procedures. Obviously, the base of bureaucracy becomes not only Constitutionally ordained and legally well-defined, but also gets broad based and representative.

In Section 6.4, we will examine how representative and broad based Indian bureaucracy is and its various aspects.

6.3 BUREAUCRACY—REPRESENTATIVE NATURE

Bureaucracies in most of the countries till about the middle of the nineteenth century comprised men drawn from a numerically small upper classes as it was felt they were more capable to occupy administrative positions. But slowly the introduction of merit for appointment to civil services and the growth of representative institutions, emphasised the need for having a representative bureaucracy. This interest derived, in the first instance, in the U.K. from sporadic charges made about the unrepresentative character of the British Civil Service and its domination by the middle class. It was against this background that Kingsley's work on representative bureaucracy (the term representative bureaucracy was first used by Donald Kingsley in 1944) and Kelsall's detailed study of the social composition of the British administrative class (1955) were undertaken. The social base of bureaucracy, particularly the Administrative Class in Britain, had earlier been highly 'elitist'. The landed aristocracy, the feudal lords, those who studied in Oxford and Cambridge Universities used to be attracted to and formed the central core of the civil service which had high prestige and status. But with passage of time, there has been broadening of the base, as more and more people from working classes, are now entering the higher civil service through open competition, besides being promoted from subordinate grades. For instance, in Britain in 1966, a significant component of the total membership of the administrative class to the extent of 40% were promoted from lower ranks. With the introduction of 'Method II' examination for recruitment to civil services, people with adequate learning capabilities are entering bureaucracy which is now becoming more representative than before.

In France, Bottomore's researches (1954) into the French higher Civil Service were in part inspired by contemporary accusations against it as an unprogressive, urban middle class monopoly. Likewise, the Warner Groups, in America in their study on 'The American

Federal Executive' (1963) intended to find out whether the bureaucrats were representative of the kinds of citizens ordinarily found in America. The social base of the American Civil Service is broader as compared to India or the UK. Paul P. Vanriper attributed the success of American democracy, in part at least, to the representative character of the Federal Civil Service.

The objective of all these studies as discussed above was to find out how representative a higher civil service of the particular country is of the respective regions, occupational groups and classes. It is felt that the more representative the bureaucracy is of the various sections of society, it will be more responsive to their needs.

Check Your Progress I

Note: 1) Use the space given below for your answers.

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

1) Discuss the basis of position of bureaucracy in the UK and the USA.

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2) Describe the sources through which bureaucracy derives authority in India.

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- 3) The term 'Representative Bureaucracy' was coined by
 - a) Bottomore
 - b) Kelsall
 - c) Donald Kingsley
 - d) Warner

6.4 BROADENING BASE OF INDIAN BUREAUCRACY

The modern state is an administrative state. As discussed earlier, the functions of the government representing the state have expanded so extensively and comprehensively that even the minutest aspects of citizen's life have been brought under the regulatory control of the state apparatus. The government has become the prime-mover, initiator and promoter in various activities, supplementing and complementing the private endeavours. With the expansion of governmental charter of responsibilities bureaucratic intervention and even penetration has become pronounced. It creates a great demand on the educational system of the country, which has to throw up the requisite number, and kind of 'marketable' bureaucrats of different types and skills. There was a time when, in the context of limited educational opportunities available, the "elites" of the society used to fill the higher civil services of the country. The elitist character of the Indian Civil Service is well known. Now with the frontiers of education expanding phenomenally even the groups traditionally thought to be outside the administrative umbrella, have now been brought within the ambit of bureaucracy. Those belonging to rural areas, scheduled castes, scheduled tribes and backward castes are entering the bureaucracy and the base has expanded.

Let us now discuss the findings of a few research studies undertaken in India on socio-economic background of the bureaucracy. The focus of these studies has been on higher civil services. The first such study relating to public bureaucracy was conducted by R.K. Trivedi and D.N. Rao in 1960 on "Regular recruits to the IAS", and sought to look into the background of the directly recruited IAS officers with a view to finding out whether

(a) any significant patterns or trends have emerged over the last thirteen years in regard to their social background as revealed by their fathers' occupations and their rural/urban affiliations etc., (b) there is any concentration of the direct recruits belonging to any particular economic class and (c) any particular type of education (e.g. public school or foreign universities) or studies in certain regional universities in the country have given any added advantage to the candidates in the open competitive examinations.

This study brought out the fact that in so far as the occupations of the fathers of the regular recruits are concerned, there is predominance of government servants, followed by teachers, advocates, etc. 79 per cent of the total number of recruits were from urban areas while 21 per cent of them were from rural areas. Women accounted for 3.1 per cent of the regular recruits to the I.A.S. Those belonging to the scheduled castes and tribes constituted 2.1 and 1.5 per cent respectively of the total recruits. The study further brought out that about 1/3 of the total number of recruits came from upper income-bracket families. Though the average representation of persons belonging to the lower-income group is only 8.9 per cent, their numbers and percentage have been steadily increasing since 1950 at the expense of those in the middle income group category. About 10.2 per cent and 4.4 per cent of the recruits were those who were educated in public schools and foreign universities respectively. However, since 1956 an upward trend has been noticeable. The universities which contributed the largest number of successful candidates to the I.A.S. were the universities of Madras, Delhi, Allahabad and Punjab.

Another study was conducted by C.P. Bhambri during 1966-67 on the Socio-Economic Background of Higher Civil Service in India. The sample comprised about 309 probationers undergoing training at the National Academy of Administration, Mussoorie. Their educational background revealed that about 75% of them had Master's degree from Indian Universities while 11% possessed qualifications substantially higher than Master's degree. The socio-economic background of the recruits showed heterogeneity as there were children of persons holding the highest posts at the union and state levels in the fields of administration, judiciary, army, police as well as children of school teachers, clerks, revenue officials etc. In our country where an overwhelming majority of the population is engaged in agriculture this study revealed that nearly 17% of the recruits into the higher civil services belonged to farming families. Out of these 17%, most of them with an agricultural background belonged to middle income brackets in the rural society and a small number were from rich landowning class.

The next study that was undertaken in 1971 was by Subramaniam, entitled "Social Background of India's Administrators". This research study revealed that nearly 80 per cent of the entrants to the higher civil services in India were drawn from the urban salaried and professional middle class. Those belonging to the business classes were less represented compared to the civil servants and professionals. Those drawn from a commercial background were mostly the sons of small-town merchants or the employees of small business houses. The farmers and agricultural labourers forming the bulk of the workforce were grossly under represented in all the services even more than the artisans and industrial workers.

Within this broad picture of middle class dominance, the social composition has broadened. One obvious reason for this is the recruitment of a quota of candidates from the scheduled castes and tribes. This broadening of the social background, has also been accompanied by features such as a more even distribution of recruits from different states, different language-groups, and different educational institutions. Although there has been a simultaneous fall in proportion of first class graduates, still, greater proportion of them come from public schools, better colleges, and enter services due to their good performance in the examination and interview.

These few studies, have, unfortunately, not been updated. There must have been many changes in the socio-economic landscape of this country, which, in their turn, might have created counterpart-impact on the bureaucracy in India, by influencing its social composition, character and representativeness. But on the basis of certain derived secondary information, some impressionistic trends can be inferred.

Civil Service examination conducted by the U.P.S.C. for recruitment of higher non-technical civil servants throws up significant and relevant data about the educational background of

the candidates, the spread of scheduled castes and scheduled tribes members (which would give an indication of their social background), universities which contribute the successful candidates (indicating the regional representation of bureaucrats) etc. Let us analyse, these aspects on the basis of data of Civil Services (Main) Examination, 1987 which is presented below. The number of candidates who actually appeared in the examination was 9103, out of which 817 candidates were finally recommended for appointment.

Table I, below indicates the distribution of candidates according to (i) degrees obtained by them i.e. Higher ((Hons.)/Post-Graduate/Doctoral) degrees and pass degrees (ii) proportion of first class vis-a-vis others and (iii) performance of those with first class vis-a-vis others with success ratio.

	No. of candidates who appeared	1st class	Others	No. of candidates who qualified	1st class	Others
Higher Degrees	6264 (68.81%)	3618 (57.76%)	2646 (42.24%)	616 (75.40%)	451 (73.21%)	165 (26.79%)
Pass Degrees	2839 (31.19%)	1339 (47.16%)	1500 (52.84%)	201 (24.60%)	113 (56.22%)	88 (43.78%)

There are about 135 universities spread in different parts of the country, from which the candidates appear for the higher civil services. The top ten universities in relation to the number of candidates appearing in the examination, together with the success ratio, is at Table II below:

S.No.	Name of University	No. appeared	No. qualified	Success ratio
1)	Allahabad University	714	42	1:17:00
2)	Andhra University, Waltair	228	25	1:9:12
3)	Delhi University	1089	154	1:7:07
4)	Jawaharlal Nehru University, New Delhi	227	46	1:4:93
5)	Lucknow University	232	20	1:11:60
6)	Osmania University, Hyderabad	226	20	1:11:30
7)	Punjab University, Chandigarh	279	28	1:9:96
8)	Patna University	365	21	1:17:38
9)	Rajasthan University, Jaipur	708	52	1:13:61
10)	Utkal University	271	14	1:19:36

These ten Universities provided 4337 (47.64%) candidates who appeared, of which 422 (51.65%) qualified. It may be noted that the three universities which accounted for more than 500 candidates (appeared) are Allahabad, Delhi & Rajasthan. Of these three, Delhi's success ratio (1:7:07) is higher than the overall success ratio (1:11:14). It is also noteworthy that the three Presidency Universities i.e. Calcutta, Bombay and Madras do not find any place in the top ten universities which furnish largest number of candidates who appear, although the success ratios of these 3 universities (Calcutta—1:9:92, Bombay—1:13:37 and Madras—1:9:47) are much better than many of these ten universities. Interestingly, from the success-ratio, Tamil Nadu Agricultural University, Coimbatore had the best record in 1987 examination (1:3:30), followed by Indian School of Mines, Dhanbad (1:3:87), I.I.T., Delhi (1:4:60) and Jawaharlal Nehru University, New Delhi (1:4:93) etc., though this by itself does not reveal much. But one thing is clear that there is a wide variety of candidates from all kinds of general and technical disciplines, e.g., Humanities, Social Sciences, Linguistics, Pure Sciences, Veterinary Science, Agriculture, Technology, Medicine, Mining etc. Indeed, in 1987 Civil Services Examination, 9103 actually appeared in the Main Examination with as many as 48 optional subjects in fields such as Management, Public Administration, Economics, Political Science, Psychology, Sociology, Statistics, Commerce & Accountancy, History, Law, Anthropology, Zoology, Geology, Philosophy, Literature, Engineering (Civil & Mechanical) etc. History claimed the highest number of successful candidates (263 out of 3403), followed by Sociology (201 out of 2067), Political Science & International Relations (141 out of 1409), Physics (92 out of 865), Anthropology (85 out of 734), Psychology (80 out of 821), Economics (80 out of 792), Public Administration (76 out of 754), in that order.

The performance of candidates obtaining first division varied considerably from university to university, but there were at least 55 universities/institutions belonging to Andhra Pradesh, Tamil Nadu, Assam, Himachal Pradesh, Uttar Pradesh, West Bengal, Bihar,

Kerala, Jammu & Kashmir, Maharashtra, Karnataka, Rajasthan, Manipur, Orissa, Punjab & Gujarat from which no candidate having first division succeeded in qualifying for appointment. Interestingly, out of 10 candidates holding Doctoral Degrees who appeared, none could qualify.

Age-distribution of the successful candidates also make revealing study. 49% of the general candidates belonged to the age-group of 21-24 years and 51% to 24-26 years. As against this 15% of the SC/ST candidates belonged to 21-24 age-bracket, 27% to 24-26 years, 23% to 26-28 years, and 35% to 28-33 years. Apart from the aspects of age-composition-and-mix in the service cadres, and proportion of direct recruits to promotees, it has significant dimensions, in deciding about the number of chances to be given as also the upper age limits to be allowed for the examinations.

Representation of Scheduled Castes/Scheduled Tribes in Civil Services

During 1984 to 1987, SC/ST candidates have been appointed against the full quota of their reserved vacancies in i) Civil Services (Main) Examination, ii) Indian Forest Service Examination, iii) Combined Medical Services Examination, iv) Special Class Railway Apprentice Examination, & v) Asstt. Grade Examination. The 'short-fall cadres' are:

- a) Engineering Service Examination
- b) Indian Statistical Service Examination
- c) Geologists' Examination
- d) Stenographers' Examination.

This would indicate low 'backward class' representation in the various techno-professional cadres of the public services, though things are improving, of late.

The tables below indicating the representational position of SC/ST against their reservation would show that things have improved phenomenally over the years.

REPRESENTATIONAL INCREASE OF SCHEDULED CASTES

Group	Scheduled Castes		Representational increase with ref. to 1965 figures	
	in 1965	in 1987	Absolute terms	%age
A)	318	4752	4434	1394.3
B)	564	7857	6993	809.3
C)	96114	308119	212005	220.5
D)	201073	234743	33670	16.7

REPRESENTATIONAL INCREASE OF SCHEDULED TRIBES

Group	Scheduled Tribes		Numerical Increase	
	in 1965	in 1987	Absolute term	%age
A)	52	1182	1130	2173.1
B)	103	1450	1347	1307.7
C)	12390	90160	77770	627.7
D)	38444	28220	29776	77.5

Alongwith the increase in the representation of SC/ST in the federal civil services, there has also been substantial representation of 'other backward classes' (OBCs) for whom there was no reservation. The figures (compiled in 1979) indicating the SC/ST and OBC proportions of the total employees (all classes/groups together) in the Central Government (including Public Sector Undertakings), as given in the table below, reveal hopeful trends:

	Total Employees	SC/ST	OBC
Ministries/Deptt.	73339	12343 (16.83)	3545 (4.83)
Autonomous Bodies/ All/Sub Offices	90761	163948 (18.06%)	131012 (14.43%)
PSUs	590689	117864 (19.95%)	62650 (10.61)
TOTAL	1571638	294155 (18.72)	19720 (12.55%)

As against 18.72% for SC/ST who enjoyed constitutional safeguards in the form of reservation and many other concessions and privileges the OBC percentage stood at 12.55% which is quite high, when set against the background of their socio-economic and educational backwardness and no guaranteed facilities at the ground as well as recruitment levels. Of course, their percentage in total population is also higher (in fact more than double) than that of SC/ST combined (52% against 22.5%), which limits to a great extent, the representative character of the public bureaucracy.

But certain emerging trends which are noticeable in recent years in India, relating to widening base of bureaucracy are:

- 1) More and more scheduled castes/tribes are entering in large numbers in civil service cadres—not only against reserved quota but also on their merit. During the last many years there has been no SC/ST shortfall in recruitment to higher civil services, except in certain professional cases.
- 2) Other Backward Classes also are following suit in terms of numerical increase in their representation in the civil services—which indicates a good widening of the base of bureaucracy.
- 3) Due to the spread of educational facilities in the country side, the urban hold is declining and more and more candidates with rural background are being inducted in the civil services.
- 4) Civil Service is no longer the monopoly of 'Oxbridge'—type of convent and public school boys & girls. Since there is now a more even spread of other educational institutions which are throwing up greater number of successful candidates in competitive examinations.
- 5) Though 'middle class' still dominates the civil service scenario, along with 'upper', the 'lower' middle class also is making their presence more and more which is breaking the earlier 'economic barrier' of the higher civil services.
- 6) Children of civil servants, academicians, professionals, etc., still preponderate in the civil services, though other classes belonging to 'lower-middle' and 'lower' communities are also sending their wards in increasing number.

Bureaucracy in India especially the higher civil services, of late has no longer been the preserve of the well-to-do class and the social composition of the services is broadening. Efforts in the direction need to be made through greater spread of education, evolving more scientific methods of recruitment, so that without compromising the principle of merit, more can be drawn within the fold of bureaucracy.

Check Your Progress 2

Note: 1) Use the space given below for your answers.

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

i) Comment on the emerging trends relating to the widening base of Indian bureaucracy.

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6.5 LET US SUM UP

Bureaucracy is an essential instrument of the government in implementing the policies and programmes of the government. In this unit, we have discussed the important question of basis of position of bureaucracy. The dangers of patronage, nepotism, other corruptive influences gets lessened, when the bureaucracy is governed by specified rules, executive instructions issued by the executive organs of the government. We have also discussed the representative nature of bureaucracy and the studies undertaken in this field in countries like U.K., U.S.A., France. The unit highlights the widening base of bureaucracy in India at

higher levels and the major findings of a few studies undertaken in India in this direction. In this respect, certain emerging trends noticeable in recent years are also discussed.

6.6 KEY WORDS

Method II Examination : This was one of the avenues of entry into the administrative class in the UK introduced in 1945. Under this method candidates are required to appear at a qualifying examination consisting of three papers—Essay, English and General papers. After qualifying in the examination, selected candidates are taken to a countryhouse for an extended interview by the Civil Service Selection Board. The candidates are again required to appear for an interview before the final Selection Board.

Predilections: Strong likes.

Representative Bureaucracy : A Civil Service representing adequately every caste, class and religious groups of population. This type of bureaucracy is expected to be responsive and responsible to the people of the country.

6.7 SOME USEFUL BOOKS

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Sinha, V.M. 1985. *Personnel Administration—Concepts and Comparative Perspective*, R.B.S.A. Publishers: Jaipur.

Subrahmaniam, V. 1971. *Social Background of India's Administrators*, Publication Division, Government of India: New Delhi.

6.8 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - In the UK, laws framed by the Parliament regarding the organisation and regulation of matters concerning the bureaucracy form its basis.
 - In the USA, the basis of position of bureaucracy is determined partly by Statutes and Acts passed by the Congress and also by the President through instructions and orders within the framework of laws.
- 2) Your answer should include the following points:
 - Constitution
 - Parliamentary legislations
 - Rules and regulations issued within the framework of statutes.
- 3) C

Check Your Progress 2

- 1) Your answer should include the following points:
 - Increase in the entry of candidates belonging to scheduled castes, scheduled tribes, other backward castes into the Civil Services.
 - Due to the spread of educational facilities in the country side, the urban hold is declining and more candidates with rural background are entering the bureaucracy.
 - The earlier 'economic barrier' of the higher civil services is being broken with the 'upper' and 'lower middle class' making their presence along with the middle class.

UNIT 7 DEVELOPMENT OF PUBLIC SERVICES IN INDIA

Structure

- 7.0 Objectives
- 7.1 Introduction
- 7.2 Civil Services until the Advent of the East India Company
- 7.3 Civil Services under the East India Company (1675-1857)
- 7.4 Imperial Civil Service (1858-1917)
- 7.5 Civil Services under the Government of India Acts, 1919 and 1935
- 7.6 Civil Services in the Post-Independence Era
- 7.7 Let Us Sum Up
- 7.8 Key Words
- 7.9 Some Useful Books
- 7.10 Answers to Check Your Progress Exercises

7.0 OBJECTIVES

After reading this unit, you should be able to :

- explain the system of civil services existing in India until the advent of the East India Company
- discuss the civil services under the East India Company
- describe the Imperial Civil Services
- state the changes brought about in the civil services under the Government of India Acts, 1919 and 1935; and
- discuss the civil services in the post-Independence era.

7.1 INTRODUCTION

The development of public services in India is neither a phenomena of modern India, nor, as is often assumed, the contribution of British rule in India. There is historical evidence of presence of a civil service structure in ancient India but it lacked good operational framework or institutional arrangements. Also there was no continuity in civil services, as any change in the regime, would bring changes in the civil service. The term civil service and the system as we know was introduced for the first time by the British. The present day civil service is the result of successive changes under the rule of East India Company and the Crown.

This unit deals with the system of civil services that was prevalent until the advent of the East India Company and the development of civil services under the East India Company and the Crown under various acts. It will also explain the structure of civil services and changes brought about in it in the post-Independence era.

7.2 CIVIL SERVICES UNTIL THE ADVENT OF THE EAST INDIA COMPANY

Until the Mauryan period in Indian history beginning around 321 B.C., there is insufficient data on the structure of Indian public services or their management. Kautilya's Arthashastra, written around 300 B.C., is an extensive treatise on government and administration. It is mentioned that 'Amatyas' and 'Sachivas' were the important administrative functionaries during the Mauryan period. There were 'sthanikas' who used to function as executive officials. The highest ranking officers in the administrative hierarchy were the 'mantrins' who were chosen from amongst the 'Amatyas'. During the Gupta period too, it is said that civil administration was under the charge of the 'Mantrins'. A new office of

'Sandhivigrahika' who was in charge of foreign affairs, was introduced during this period. In ancient times, recruitment to these offices was done on the basis of heredity and family background. In India, recruitment on the basis of open competitive system was not known during that period, though in China, such a system was in vogue since 120 B.C.

During the Moghul period the administrative system was centralised. No distinction was made between the civil and military administration. Civil Service was organised on a military basis and controlled by the military department. The Moghul administration in India presented a combination of certain features of the Arabic administrative system with certain classical Indian administrative practices. The presence of this foreign element in the Moghul administration can be illustrated by reference to their provincial administration.

In the early centuries of the Arab rule, especially in Egypt, two political functions were sharply distinguished, the governorship and treasury. The Governor (called 'Amir') had control over the military and police only. Alongside was the head of the treasury (called 'Amil'). These two officers provided an effective system of neutral checks and balances. Under the Moghul administration too, this was the relationship between the 'Subahdar' or provincial governor and the 'Diwan' or the revenue chief of the province.

Civil Services in an organised form, as existing now, evolved through various stages during the rule of the East India Company and the British Crown, about which we will study in the following sections.

1.3 CIVIL SERVICES UNDER THE EAST INDIA COMPANY (1675-1875)

Formative Stage

The development of the civil services in India dates back to the first quarter of the 17th century, when some British merchants, under the banner of the East India Company, came to India for the purposes of trade. The earliest organised civil service in British India was the 'Covenanted Civil Service' which constituted a group of men who carried on the trade of the East India Company and were known as its 'civil servants'. These were distinct from the naval and military officers of the company. The servants of the company were purely commercial agents, known as 'factors' and were in charge of the trading stations which were established along the sea coasts. These 'factors' were neither statesmen nor administrators, but those who had some knowledge of Eastern trade.

In 1675, the company established a regular gradation of posts. Thus a youngman was recruited first as an 'apprentice' to later become a 'writer' and, after serving in this capacity for five years, could be promoted as a 'factor'. The 'factors' after putting in three years of service could be promoted as 'Junior Merchants' who usually after a period of three years of service could become 'Senior Merchants'. The business transacted by these officials was commercial in nature. Initially, the power of appointment to these posts vested with the Court of Committees but, in 1714, it was laid down that appointments in the company were to be made through the recommendatory nomination of the members of the Court of Directors. Every writer had to enter into a covenant or indenture with the company. It was a long document which contained many conditions including faithful, honest, diligent and careful service and bound the writers to observe, keep and fulfil each and every order of the company and the Court of Directors. Hence they were known as covenanted civil servants. This patronage principle operated in varied modes and forms till 1833, when limited competitive element in the selection of company writers was introduced.

1675-1853—The Mercantile Service Assuming the Role of an Administrative Service
For over a century and a half, the service remained a purely commercial service. Later, from 1760 onwards, as trade expanded administrative tasks increased and the civil service of the company started assuming more administrative responsibilities. By 1765 the term 'civil servant' came to be used in the records of the company. The grant of Diwani to the company by the Moghuls in 1765, was another landmark in the territorial acquisition of the company and consequent increase in the administrative duties of the civil servants of the company. In 1772, the directors of the company decided to function as diwans themselves and took over the administration. Besides the civil service needed to be streamlined, as there was the problem of the covenanted servants being engaged in private trade and bribery.

The Regulating Act of 1773 made a clear distinction between the civil and commercial functions of the company which resulted in a separate personnel classification. The commercial transactions of the company were to be kept separate from revenue and judicial administration, which were to be conducted by a separate class of servants. The Act also prohibited private trading by all those civil servants responsible for collection of revenues or administration of justice. Private trading was restricted to those engaged in commercial transactions. It forbade civil servants from accepting any gifts from the people.

The patronage principle which was in vogue in the recruitment of servants, was also extended to promotions in the service. Nepotism was rampant and all this had an effect on the civil service which was demoralised. The Pitt's India Act of 1784 with regard to civil service laid down that the vacancies in the Governor General's Council were to be filled by the covenanted civil servants. The Crown was given the power of removing or recalling any servant of the company. The Act for the first time laid down age limits for new entrants in the service of the company. It fixed the minimum age for appointment to the post of writer at fifteen years and maximum at eighteen years.

It can be said that the Charter Act of 1793 made a significant contribution to the development of civil services in India. It laid down that any vacancy occurring in any of the civil offices in India "shall be filled from amongst the civil servants of the company belonging to the Presidency in which such vacancies occurred". The Act excluded outsiders from entering the service even though they enjoyed patronage in England. The Act tried to improve the morale of the civil service by making it a closed and exclusive service. The maximum age limit for appointment to the post of writer was raised to 22 years.

In 1800, Governor General Wellesley, established the college at Fort Williams with the objective of training civil servants. But this was not favoured by the Court of Directors. Finally, in 1806, the Court of Directors decided to set up a training institution at Haileybury in England which was accorded a statutory status by the Charter Act of 1813. The writers nominated by the Court of Directors of the Company were required to undergo two years of training at the institution and pass an examination before they were confirmed as writers. The areas of training included European classical languages, law, political economy, general history, oriental languages etc. This College was abolished later in 1857.

The designations of merchants, factors etc., continued till 1842 even though they did not perform any commercial functions after the Charter Act of 1833. This Act, which completely prohibited trade and commerce, proposed a significant change in the civil services. It proposed the introduction of a limited competitive examination. The need for a strong bureaucracy was felt in the 1830s as a replacement for the patronage exercised by the Company. A system of open competition through examination and adequate provision of education and training of the civil servants was sought. The proposal for open competition which was mooted for the first time by Lord Grenville in 1813, could never materialise. Lord Macaulay, speaking in the British Parliament on 10th July, 1833 on the Charter Act said 'it is intended to introduce the principle of competition in the disposal of writerships and from this change I cannot but anticipate the happiest results'. A clause was inserted in the Charter Act granted to the company declaring that henceforth fitness was to be the criterion of eligibility to the civil services irrespective of caste, creed or colour.

The proposal of having open competition did not come into effect till 1853, though the Charter Act contained a provision in this regard. The old powers, rights, of the Court of Directors to nominate candidates for admission to the College of Haileybury were to cease in regard to all vacancies which occurred on or after April 1854. The Act provided for appointment of members of the covenanted civil service of India on the basis of a suitable competitive examination which was to be held in London. The President of Board of Control, Sir Charles Wood appointed a five-member Committee headed by Lord Macaulay to advise on the measures to be adopted to give effect to the Act of 1853, which, at least in theory, threw open appointments in the Indian Civil Service to competition without any discrimination. The committee (popularly known as Committee on the Indian Civil Service) laid down certain age limits for admission to the college of Haileybury. It desired that the minimum age limit be raised to eighteen and the maximum to twenty-five. It was in favour of civil servants entering the service at a young age but also specified, that they should have received the best, the most liberal, the most finished education that the country could then afford. It laid emphasis on general education, strengthening of understanding, which

precedes special education or training in any skill. The Committee recommended the selection of candidates on the results of a competitive examination, and also laid stress on the need for completion of a period of probation before the final appointment of the candidates. It was not in favour of continuance of the College at Haileybury. It also laid down that the examination should be so conducted as to ensure the selection of candidates with thorough and not superficial knowledge.

These recommendations were accepted by the Board of Control and regulations were framed governing the examination and selection of candidates to the civil service. The first examination under the Board of Control was held in 1856. The following years witnessed significant changes in the civil services, about which we will read in the next section.

Check Your Progress 1

Note : 1) Use the space given below for your answers.

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

1) Discuss the formative stage of the civil service under the East India Company.

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2) What changes were brought about by the Regulating Act of 1773?

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3) Discuss the recommendations of the Macaulay Committee on Indian Civil Service set up in 1853.

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7.4 IMPERIAL CIVIL SERVICE (1858-1917)

On the termination of company's government in 1858, Indian administration came directly under the Crown. The Government of India Act, 1858 vested the power of superior appointments of a political nature with Her Majesty. Her powers, in actual practice, were exercisable by the Secretary of State for India, a Minister of Cabinet rank, who was to be assisted by an under secretary and a council of fifteen members. The powers and functions exercised by the Board of Control and Court of Directors were transferred to the Secretary of State in Council. The responsibility for the conduct of competitive examinations for appointment to her Majesty's civil service was transferred to the Civil Service Commission (set up in 1855) in London.

With 1858, started a new era in the history of public services in India. The system of reserving certain posts for the members of the covenanted service was introduced. This continued upto Independence and still to some extent is a part of the successor service i.e. the Indian Administrative Service. The Indian Civil Service Act, 1861 reserved certain principal posts to be filled from the covenanted service. All these posts were put in a

schedule. It also laid down that any person, Indian or European, could be appointed to any of the offices specified in the schedule annexed to the Act provided he had resided for at least seven years in India. A person appointed under it had to pass an examination in the vernacular language of the district in which he was employed and also remain subject to such departmental tests and other qualifications as the authorities might impose. All appointments were to be reported to the Secretary of State and unless approved by him within twelve months, were declared void. The provisions of this Act did not obviously satisfy the Indian public opinion and its growing demand for Indianisation of services. The Act virtually remained a 'dead letter' partly on account of the disinclination of authorities to give effect to it and largely because of the basic difficulty in implementing the recruitment requirements of the Act.

There was growing demand by educated Indians to secure employment in the Covenanted Civil Service. There was failure on the part of British to fulfil the assurance given in the Government of India Act, 1833 and Queen's Proclamation of 1858. The Act provided that no Indian 'shall by reason of his religion, place of birth, descent, colour, or any of them, be disabled from holding any place, or employment' under the Government of the East India Company. The selection based on patronage prevented Indians from getting into the service. Though open competition was introduced under the Charter Act of 1853, the provisions such as fulfilment of fitness criteria for competition, holding of examination in London did not let Indians compete.

The British Parliament passed an Act in 1870 authorising the appointment of any Indian (of proved merit and ability) to any office or the civil service without reference to the Act of 1861 which reserved specific appointments to the covenanted service. It also did not make the desired headway, as the opinion was divided on throwing open all civil appointments, or establishing a proportion between Indians and Europeans in the tenure of higher offices.

New rules were framed in 1879, which established the Statutory Civil Service; it provided that a fifth of covenanted civil service posts was to be filled by the natives. Only Indians were eligible to be appointed to this by the local government subject to approval of Government of India and the Secretary of State. Unfortunately, the statutory system also failed to achieve the purpose for which it was created. With the Indian National Congress, passing in its very first session, in December, 1885, a resolution for simultaneous civil service examination in England and India, the pressure for Indianisation increased further. The British government decided to consider the question of admission of Indians either to the covenanted civil service or to the offices formerly reserved exclusively to the members of the service.

Aitchison Commission

A Commission headed by Sir Charles Aitchison was appointed in 1886, to prepare a scheme of admission of Indians to every branch of public service. It was expected to look into the question of employment of Indians not only in appointments, ordinarily reserved by law for members of the covenanted civil service but also in the uncovenanted service covering lower level administrative appointments. The Commission rejected the idea of altering the system of recruitment to the covenanted civil service. It advised the abolition of the Statutory Civil Service and advocated a three-fold classification of civil services into Imperial, Provincial and Subordinate. The provincial service was an exclusive sphere of extended Indian employment in the public service. It also proposed a reduction of the list of the scheduled posts reserved by the Act of 1861 for the members of the covenanted civil service and the transfer of a certain number of posts to the provincial civil service.

As recommended by the Commission, the Statutory Civil Service was abolished. The designation covenanted civil service was also done away with and the civil services of the country were divided into three grades—the imperial, provincial and subordinate civil service. The superior posts were included in the imperial civil service and recruitment to it was to be made by the Secretary for State in Council. The provincial civil service was designated after the name of the particular province to which it belonged. The lower level grades of the uncovenanted service were constituted into a subordinate service. The practice of holding examinations for entry to the civil service in England, continued as the Commission strongly advocated it. It was of the view that since the Indian Civil Service represented the only permanent English official element in India, examinations in England become essential to maintain the English principles and methods of the government.

The demand for Indianisation became persistent and there was mounting pressure for holding simultaneous examinations in England and India. Once again, the question of Indianisation was examined by a Public Service Commission in 1912 under the chairmanship of Lord Islington, the then Governor of New Zealand. The Commission observed that at that time Indians constituted only 5% of the civil service. The Commission supported "two separate channels of access to the Indian Civil Service itself, one in England (open to all alike) and one in India (open to statutory natives of India only)". It sought to apply a method for inducting Indians to the higher offices by reserving twenty-five per cent posts for them, i.e. 189 out of 755 posts were to be filled by them. It proposed categorisation of the services under the Government of India into Class I and II. But no radical change in the structure of the organisation of the civil service was envisaged by the Commission. Also it took nearly four years for it to submit the report. As a result, due to lapse of time, the proposed measures came to be regarded as inadequate by the enlightened public opinion in India.

7.5 CIVIL SERVICES UNDER THE GOVERNMENT OF INDIA ACTS, 1919 AND 1935

On 20th August 1917, E.S. Montague, the then Secretary of State in India, issued the historic declaration in the House of Commons announcing the British Government's new policy of "increasing association of Indians in every branch of the administration, development of self governing institutions with a view to the progressive realisation of responsible Government in India as an integral part of British Empire". A year later, i.e. in 1918, Montague and Chelmsford (the then Viceroy), both in their joint report on Constitutional changes, expressed supplementing the recruitment to civil services in England by fixing a definite percentage of recruits from India. The percentage was fixed at thirty-three per cent for superior posts with an annual increase of one-and-a-half per cent. They proposed an increase in percentage of recruitment to other services in India. They were in favour of appointments to be open to all branches of public services without racial discrimination and holding a separate competitive examination in India.

The Government of India Act, 1919 on Constitutional reforms recommended a threefold classification of services into All India, provincial and subordinate. All the Imperial services then functioning in the provinces whether in the reserved or transferred departments, were designated as the 'All India Services'. Special safeguards were guaranteed to the members of All India Services in regard to dismissal, salaries, pensions and other rights. The Act proposed as a safeguard against political influence the constitution of a Public Service Commission entrusted with the task of recruitment to the service.

In 1922, the first competitive examination was held under the supervision of the Civil Service Commission. The Indian candidates selected on the basis of its results were put on probation for two years at an English University.

The Lee Commission

In the midst of great political furor in India over the negative British response towards Indianisation of services and in view of the several complicated problems in relation to the public service matters, in 1923 a Royal Commission on Superior Civil Services in India under the chairmanship of Lord Lee was appointed. The Commission recommended the division of main services into three classes : (a) All India (b) central and (c) provincial. The central services were those which dealt with the Indian states and foreign affairs, with administration of the state railways, posts and telegraphs, customs, audit and accounts, scientific and technical departments. The Commission recommended that the Secretary of State should retain the powers of appointment and control of the All India Services (mainly Indian Civil Service, Indian Police Service, Indian Medical Service, Indian Forest Service and Indian Service of Engineers) operating in the reserved fields of administration. The most important recommendation of the Lee Commission was regarding services operating in the transferred fields (e.g. Indian Educational Service, Indian Agricultural Service, Indian Veterinary Services etc.), whose further recruitment and appointments were to be made by the concerned local governments. Thus those services were to be provincialised. The existing members of the All India Services were to retain all rights of the officers of All India Services, but the provincial governments were given powers of appointment only on occurrence of fresh vacancies.

In regard to the central services, the Commission limited the power of appointment of Secretary of State to the Political Department, Imperial Customs Department and the Ecclesiastical Department. Appointments to all the other central services were to be made by the Government of India. The Commission recommended twenty per cent of superior posts to be filled by promotion from provincial service.

To maintain superior standards of recruitment by regulating the exercise of patronage, the Commission urged the establishment of the Statutory Public Service Commission (as recommended by the Government of India Act, 1919). This Public Service Commission was to perform the functions of recruitment of personnel for the All India, central and provincial services, and also other quasi-judicial functions connected with discipline, control and protection of the services. It also made detailed recommendations about the various conditions of service like pay, pension, leave, passage, housing etc. As regards Indianisation, it suggested that out of every hundred posts of Indian Civil Service, forty should be filled by direct recruitment of Europeans, forty by the direct recruitment of Indians and twenty by promotion from the provincial service so that in fifteen years i.e. by 1939, half would be held by Indians and half by Europeans.

The recommendations of the Lee Commission were accepted by the British Government. With the discontinuance of the All India Services in the transferred departments, the only All India Services which survived were the Indian Civil Service, Indian Police, Indian Service of Engineers (Irrigation Branch), Indian Medical Service (Civil Branch) and Indian Forest Service (except in the provinces of Burma and Bombay). The Public Service Commission in India was set up in 1926 and the examination for recruitment to civil service in 1927 was supervised by it on behalf of the Civil Service Commission in England.

The Government of India Act, 1935 (Indianisation of Higher Civil Services etc.)

As the Act of 1935 introduced provincial autonomy under responsible Indian Ministers, the rights and privileges of the members of the civil services were carefully protected. The protection of the rights and privileges of the civil service was a special responsibility of both the Governors and the Governor General.

It was provided that a civil servant was not to be dismissed from service by an authority below the rank of the officers who had appointed him. The salaries, pensions, emoluments were not subject to the vote of the legislature. The Act also provided for the setting up of a Public Service Commission for the federation and a Public Service Commission for each of the provinces, though two or more provinces could agree to have a Joint Public Service Commission.

As a result of introduction of provincial autonomy under the Act, only three services i.e. Indian Civil Service, the Indian Police Service and Indian Medical Service were to continue as All India Services. Recruitment to other All India Services (Indian Agricultural Service, Veterinary Service, Educational Service, Service of Engineers, Forest) were provincialised, their recruitment and control coming under the provincial government. The serving members continued on existing terms and the conditions of service were fully protected.

7.6 CIVIL SERVICES IN THE POST-INDEPENDENCE ERA

After Independence the structure of the civil services underwent a change. Three types of services viz., All India Services, central services and state services were created.

All India Services

The Constitution of India had recognised only two All India Services namely the Indian Administrative Service and Indian Police Service. The Indian Administrative Service replaced the former Indian Civil Service and similarly in 1951 Indian Police Service was constituted in place of the Indian Police. In 1966 another All-India Service i.e. the Indian Forest Service, was created. The members of the All India Services, like the central services are recruited and trained by the central government, but they are assigned to different states. They serve the respective state government to which they are allotted and their service conditions are also governed by the states, except that disciplinary action against them can be taken only by the President of India in consultation with the Union Public Service

Commission. They also serve the central government on deputation and after a fixed tenure, they are expected to return to their respective states.

In 1951, All India Services Act was passed. By virtue of powers conferred by sub-section (1) of Section (3) of this Act, the central government framed new set of rules and regulations pertaining to the All-India Services, as the old rules at certain places had become redundant.

Central Services

These services are under the control of the Union Government and are responsible for the administration of central subjects. These include, Indian Foreign Service, Indian Audit & Accounts Service, Indian Postal Service etc.

State Services

These are services exclusively under the jurisdiction of the state governments and primarily administer the state subjects. However 33 per cent of posts in the All-India Services are filled by promotion from the state services.

This three-fold classification of services reflects the Constitutional pattern of division of subjects into Union, State and Concurrent. Also this is a unique feature of our federal system.

Recommendations of Administrative Reforms Commission on Civil Services

As a sequel to the forming of the Department of Administrative Reforms in 1964, Administrative Reforms Commission (ARC) was set up in 1966. Its objective was to focus on "the need for ensuring highest standards of efficiency and integrity in the public services and for making public administration a fit instrument for carrying out the social economic goals of development as also one which is responsive to the people". The twenty reports of the Commission containing in all 581 recommendations constituted landmark efforts at

- adapting the administrative system or procedure to the demands of developmental functions or tasks;
- improving efficiency, effecting economy and raising administrative standards;
- maintaining a balance between the demands of the present and needs of the future, as well as between innovative change and administrative stability;
- promoting responsiveness of the administration to the people.

The Commission, aided and advised by three study teams, made fervent plea for professionalism and specialism in the civil services. It made recommendations for systematic planning for cadre management in civil services, new systems of performance appraisal and promotion, Civil Service Tribunals, training etc. One of the important recommendations, which was expected to make a profound impact on the human resource management system in the central government related to the setting up of a central personnel agency in the form of a separate Department of Personnel functioning directly under the Prime Minister. This structural reorganisation was expected to systematise and rationalise the management of human resources from a central point with a uniform directional focus. There is a detailed discussion on the evolution, functions and role of Department of Personnel in Unit 10 of Block 3 of this course.

Check Your Progress 2

Note : 1) Use the space given below for your answers.

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

1) What were the important features of the Indian Civil Service Act, 1861?

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2) Discuss the measures taken by the British Government to give effect to the recommendations of Aitchison Commission.

Statutory Natives of India : This comprised Indians and members of the domiciled community i.e. those who were residing in India formerly called Eurasians and now known as Anglo-Indians.

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7.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points :
 - Formation of Covenanted Civil Service in the initial stages, which consisted of a group of men who carried on the trade of the East India Company.
 - These youngmen known as factors were incharge of trading stations and had some knowledge of Eastern trade.
 - Establishment of a system of regular gradation of posts from apprentice to senior merchants in 1675.
- 2) Your answer should include the following points :
 - Distinction made between the civil and commercial functions of the company resulted in separate personnel classification.
 - The commercial transactions of the company were to be kept separate from revenue and judicial administration.
 - Prohibited private trading by all those civil servants who were responsible for collection of revenue or administration of justice.
 - Private trading was allowed to those engaged in commercial transactions.
- 3) Your answer should include the following points :

Features of the Macaulay Committee recommendations are :

 - Laid down age limits for candidates seeking admission to the college of Haileybury.
 - Selection of candidates on the basis of a competitive examination.
 - Emphasised on general education of the candidates which precedes special education or training in any skill.
 - Examination was to be conducted in order to ensure selection of candidates with thorough and not superficial knowledge.

Check Your Progress 2

- 1) Your answer should include the following points :

The important features of the Indian Civil Service Act, 1861 are :

 - Reserved certain principal posts to be filled by the members of the covenanted civil

- service and all these were listed in a separate schedule.
 - Laid down residence for at least seven years in India as a prerequisite for appointment of any Indian or European to offices specified in the schedule.
 - All appointments were to be reported to the Secretary of State for approval.
- 2) Your answer should include the following points :
- Abolition of the Statutory Civil Service.
 - Categorisation of the civil services of the country into Imperial, provincial and subordinate.
 - The designation covenanted civil service was done away with.
 - Inclusion of superior posts in the Imperial civil service, the appointments to which were to be made by the Secretary for State in Council.
 - The provincial civil service was to be named after the province to which it belonged.
- 3) Your answer should include the following points :
- The important recommendations of the Lee Commission are :
- Three-fold classification of services into All India, central and provincial.
 - Recruitment to the services operating in the transferred fields, to be made by the concerned local governments.
 - Twenty per cent of the superior posts to be filled by promotion from provincial service.
 - Setting up of the Statutory Public Service Commission entrusted with functions of recruitment to services and other quasi-judicial functions.

UNIT 8 CLASSIFICATION OF SERVICES (CADRES)

Structure

- 8.0 Objectives
- 8.1 Introduction
- 8.2 Classification of Services—Meaning and Importance
- 8.3 Bases of Classification
- 8.4 Advantages of Classification
- 8.5 Types of Classification
- 8.6 Classification of Services in India during the Pre-Independence Period
- 8.7 Classification of Civil Services Since Independence
- 8.8 Critical Appraisal of the Existing Classification System
- 8.9 Recommendations of the Administrative Reforms Commission (ARC)
- 8.10 Recommendations of the III and IV Central Pay Commissions on Classification of Services
- 8.11 Let Us Sum Up
- 8.12 Key Words
- 8.13 Some Useful Books
- 8.14 Answers to Check Your Progress Exercises

8.0 OBJECTIVES

After studying this unit you should be able to :

- state the meaning, importance and bases of the classification of services
- discuss the advantages and types of classification
- explain the system of classification of services in India during the pre-Independence period
- describe the present system of classification of services
- critically evaluate the existing classification system; and
- shed light on the recommendations of the Administrative Reforms Commission and the third and the fourth Central Pay Commissions on classification of services.

8.1 INTRODUCTION

India's Civil Services as existing today have evolved through different stages and phases from mercantile to governmental, from colonialised (British) to the existing Indianised form. The structural aspects, organisational arrangements and the staffing patterns have all been moulded to suit the specific requirements of the times and the controlling authority. The Government of India, in 1947, inherited an organisational structure of the services from the British and retained its basic features without any radical or drastic innovations. The classification of the services followed more or less the same philosophy, the same principle and a similar pattern. In fact, Indian Independence in 1947 did not bring about any break in the administrative system of the country; on the contrary, it formally institutionalised and later constitutionalised the inheritance. The present system of the classification of services is but marginally a varied form and version of what existed before 1947. It is, therefore, worthwhile to have an understanding of the system as it evolved through various stages to the present form.

This unit will explain the meaning, importance, basis and advantages of the classification system. We will also discuss the pattern of classification of services during the pre-Independence period and changes brought about in it on the basis of recommendations of the various Commissions and Acts. The present system of classification of services, its critical

appraisal, the recommendations of the Administrative Commission, the I, II III & IV Pay Commissions have also been dealt with.

8.2 CLASSIFICATION OF SERVICES—MEANING AND IMPORTANCE

In simple words, classification is the process of division of things or persons on the basis of common characteristics. In personnel administration classification means grouping of various positions on the basis of their duties and responsibilities. Positions having similar duties and responsibilities are put together in one class. A class has been defined by Stahl as "a group of positions sufficiently alike in their duties and responsibilities to justify common treatment in various employment processes".

The importance of classification of services cannot be overemphasised. Classification brings some orderliness into the system and makes for uniform treatment of all the people who are grouped together on certain criteria. It also makes possible justification of differential privileges given to certain distinct categories. The duties, responsibilities, qualification requirements, eligibility conditions, salary, status, even authority to be vested, all depend, to a great extent, on the proper system of classification. Hence it has considerable functional value and validity. According to Finer, "upon proper classification depends the efficiency of recruitment, the possibility of creating a rational promotional system, and the equitable treatment of people working in different departments".

Classification of services is important because it determines the operational jurisdiction of the services and the nature of the responsibilities to be discharged as also the jobs to be performed by the incumbents of different groups within the services. It facilitates identification of various hierarchic layers and functional segments of the services at any given time. Classification is an organisational tool of great importance, which, if administered properly, can bring satisfaction to the functionaries. We will discuss in detail the advantages of classification of services in Section 8.4.

8.3 BASES OF CLASSIFICATION

As said, earlier, classification is a process of grouping objects, alike in one or more characteristics, in classes, taking into account several criteria for such classification. Hence it is important for us to know the bases of such classification. Functional identity is one such basis. Functions are determined on the basis of job-tasks, duties and responsibilities. When jobs similar in nature are indexed, they form a group and there can be higher or lower groups of broadly similar work units. The functionaries working on such jobs require certain general or specific qualifications which are often related to the class of such jobs.

There can be many bases of classification like qualifications, duties and responsibilities. From the administrative point of view, however, classification on the basis of duties and responsibilities, nature and spheres of activities, job similarities etc., is appropriate and useful. The duties and responsibilities assigned to a position determines its significance rather than its qualifications and salary. A number of similar or identical positions, when put together constitute a 'class'. The positions which are in one class have identical qualification requirements and salary structure. In India, the classes are further grouped into broad occupational groups called 'service' like All India Services, Central and State Services. We follow the system of rank classification of services in India, about which we will read in Section 8.5.

8.4 ADVANTAGES OF CLASSIFICATION

Classification of service is no more regarded as an organisational necessity but as a functional necessity. Its main justification has been not only in terms of the systematisation of the services it offers but also in the wide and extensive support it provides to management. In addition, classification provides for a major control mechanism and offers a set of both realistic and accurate planning devices.

Facilitates Proper Division of Work

Classification system, as a tool of management, offers considerable assistance in developing an administrative hierarchy and in making proper division of work. This makes it easy for the management to organise its work and divide it properly amongst the various levels. Also, the classification system sets out the necessary hierarchy and establishes the levels in it.

Removes Arbitrary Standards

The classification system, by institutionalising pay structure and other terms of service based on certain objective criteria, can remove arbitrary standards. This makes it possible for the management to remove personalised considerations in matters relating to civil services and to ensure fair treatment to employees. Such a system generates a substantial feeling of security and justice in the minds of an average employee.

Promotes Employee Motivation

The classification system can be employed by the management for directing its operations and for sustaining employee motivation and provide necessary incentives. A systematically developed classification scheme makes it possible for the management to identify areas of work, differentiate between employees according to the job they do and also to promote employees who show potentialities for doing higher kind of duties, thereby giving recognition to the deserving and meritorious personnel.

Ensures Effective Manpower Planning and Utilisation

Immediate assessment of the type and quantum of skills available within an organisation is easily made, thereby locating the persons qualified in each category. It makes it easy to control the intake of skills in proportion to the requirements and also to build up a personnel inventory.

Keeps Down Uniform Work Standards

The classification system also makes it possible to devise uniform work standards for the various levels which helps in enhancing the productivity of the existing personnel. It prevents wastage of skills, by seeing that an employee is given tasks commensurate to his skills. Exacting a minimum standard of work output is made possible and high priced scarce skills can thus be more effectively utilised.

Speeds up the Recruitment Process and Indicates Training Needs

Classification is also a planning device. In an organisation, once specifications for necessary personnel and their qualifications are determined at various levels, it becomes easy to plan their supply. It becomes easy especially for the recruiting agency to prescribe standards of application as well as for examination of the candidates. The recruiting agency is then in a position to phase the recruitment programme, advertise for a group of similar jobs, expedite the schedule of recruitment by time periods and even devise a speedy recruitment process in a critical area.

Under a good classification system, the recruitment process will also quickly indicate the training needs. In cases of dearth of personnel possessing any particular skills or requisite qualifications, it indicates, to the concerned authority, the need for developing certain special training programmes. Similarly, when employees from a certain level are being promoted to higher level jobs, it becomes easy in identifying the type of training programme that can prove helpful to these employees to meet the demands of the higher job.

Helps in Maintaining Uptodate Personnel Records

The classification system also makes it easy to maintain uptodate personnel records. Once record-keeping is made a part of the system, individual cases or that of a group are amenable to organised treatment. Easy availability of such records helps in knowing about the size of the service, each of its levels, of its functional group as well as the rate of turnover. All these are useful for management in handling many service problems, study employment trends and patterns and plan its personnel policies and programmes.

TYPES OF CLASSIFICATION

Classification, being a process of grouping objects, alike in one or more characteristics into classes, there can obviously be several criteria for such classification. But there are two well known types of classification, one which was developed in the Britain and the other in the

United States. The basic distinction between the British and the US systems really lies in the "position" versus "rank" concept in the civil services. Almost all over the world, the government posts have been classified by these two well known methods. A brief mention about this has already been made in Block 1. Let us now discuss these two types in detail.

Position Classification

The more sophisticated of the two types is the 'position' classification system. This is prevalent in the USA. Position connotes a group of current duties and responsibilities assigned by a competent authority requiring the full time or part time employment of one person. It has been defined as the work consisting of the duties and responsibilities assigned by competent authority for performance by an employee or an officer.

In position classification, a person's rank, salary etc., depends on the functions of the position—the duties and responsibilities attached to the job he/she performs. Here the duties and responsibilities which are attached to the job are more important than the person discharging those duties. In the view of Milton M Mandell "By classification is meant the grouping of positions on the basis of similarity of duties and qualifications requirements". The International Civil Service Advisory Board of the United Nations also endorsed this view and states "It is the consensus of the organisations that the general level of duties and responsibilities constitutes the only realistic basis for achieving a comparable classification of posts".

In position classification, positions that are comparable are brought together into a common group called 'class'. The 'class' or 'class of positions' is made up of positions which are sufficiently similar in (a) kind of subject matter of work, (b) level of difficulty and responsibility, (c) qualification requirements of the work, so as to enable similar treatment of personnel and pay administration. So that is how a class is formed in position classification system.

Now there is one more term known as 'grade' and let us understand what it is. A grade is used to denote all classes of positions which (although different with respect to kind or subject matter of work) are sufficiently similar as to (a) the level of difficulty and responsibility and (b) the level of qualification for the job. (For example, civil engineer, accountant, geologist etc.) Hence in a grade, all classes are brought together irrespective of the occupation, but those which are of comparable levels of responsibility.

Under the position classification system, each position should be placed in its appropriate class. Each class should be placed in its appropriate grade. Thus, we bring together positions which are alike or very closely related into a class. Positions which are in one class are closely comparable in duties, responsibilities and needed qualifications, and can be dealt with as a unit for personnel, budgetary and organisational purposes. We bring together in class-series all the classes which are in the same occupational group. Classes in a series form a logical occupational pattern and define the hierarchy of responsibility for that occupational group. We have one more logical grouping, that of grade. We bring together into a grade classes, regardless of occupation, which are of comparable responsibility. Hence grades form logical groups for the setting of pay scales.

Rank Classification

This type of classification is followed in Britain and India. This is the traditional way, in which public servants are classified in a hierarchical order according to their rank, in a sense, as in the case of the Army.

The classification of the British "Treasury Classes" to which the Indian Public Services closely parallel, is a good illustration of classification by rank system. Here the status and salary of a person are determined with reference to the service he/she is assigned after recruitment. For example, a person belonging to the Indian Administrative Service may serve either in the Secretariat, or in the field or in any Corporation, but he/she would be drawing the same salary and holding the same status in each case.

Modern position classification does not accept the traditional notion that environmental background and general educational attainment makes a person qualified enough to handle any and every kind of job in the government. It is thus a science of administrative specification and requires that specific skills and knowledge be prescribed and accepted for each 'level', 'post' or 'position' in the public service.

Position classification thus tries to classify public service on the basis of a uniform job-
language. In position classification, the main objective is to lay the foundation for equitable
treatment for the public service employees by the accurate definition, orderly arrangement,
fair evaluation of positions of each employee in the public service. Whereas rank
classification is based on job-performance in respect of a cluster of functional positions by a
group of people, with diverse qualifications/experience/aptitude but of same or similar rank,
as in Army or India's cadre based services.

Check Your Progress 1

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

What do you understand by classification? Discuss the importance of classification of
services.

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Explain any four advantages of the classification of services.

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What are the types of the classification of services? Discuss their features.

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6 CLASSIFICATION OF SERVICES IN INDIA DURING THE PRE-INDEPENDENCE PERIOD

As a result of the British rule, the civil services in India came to be classified on the British
system. The system of classification of services during the British period also, underwent
various changes time and again. Let us now discuss briefly, the classification of services in
pre-Independence period.

Classification of Services into Covenanted and Uncovenanted

Nearly the end of the 19th century, superior services in India were manned almost
exclusively by Europeans, most of whom belonged to what was known as the "Covenanted
services". The civil servants appointed in England for service in India had to subscribe to
agreements with the Company "by which they bound themselves not to trade, not to receive
pensions, to subscribe for pensions and so forth". The Writers (about whom we have read in
Unit 7) had to sign certain agreements and conditions between the company and himself.
These were embodied in an accompanying document called 'Covenant' and hence the term
'Covenanted Civil Services', evolved.

The policy of the East India Company in the initial stages, particularly since 1781, was to
reserve all civil posts in India for the covenanted civil servants from England. The Charter

Act of 1793 categorically laid down that all civil posts below the rank of a councillor should be filled by covenanted civilians recruited in England. But the limited supply of covenanted civilians could not meet the growing needs of the Company. Therefore, persons who did not belong to the covenanted civil service which comprised people from England, had to be appointed to serve in subordinate capacities, and they came to be known those belonging to the "Uncovenanted Service" in contradistinction to the covenanted civilians. The uncovenanted service comprised mostly Indians.

Slowly, the spread of western education in India, aided principally through the efforts of Lord Macaulay, awakened in Indians lively expectations of being employed in the higher offices reserved for the Covenanted Civil Service. As we have read in Unit 7, the Charter Act 1833, provided that no formal positive disqualifications were to be there in the employment of Indians in any office. Later, the Charter Act of 1853, threw open all posts in the Covenanted Civil Service to public competition. But difficulties arising from the conduct of competitive examinations being held in England practically debarred Indians, save in a very few cases, from availing themselves of the right to compete. Then the transfer of power from the Company to the Crown through the Government of India Act, 1858 and the Proclamation of Queen Victoria promising "free and impartial admission of Indians to offices in Her Majesty's Service" brought new hopes to the people in the country.

Threefold Classification of Services as Recommended by Aitchison Commission

In 1886, the Public Service Commission under the presidentship of Sir Charles Aitchison (more widely known as Aitchison Commission) was set up. It was to examine the system under which 'natives of India' were admitted to the higher branches of the civil administration i.e. Covenanted Civil Service either under the Government of India Act, 1858 or the Act of 1870. It recommended a three-tier system of classification of services:

- i) the old Covenanted Service was to be designated "Imperial Civil Service of India" recruitment to which was through conduct of a competitive examination in England. They were appointed by the Secretary of State for India.
- ii) A local civil service in each province to be called the "Provincial Civil Service" was recommended to be constituted consisting of all those offices not reserved for the members of Covenanted Service. It proposed to remove the lower grade appointments from this service and to add at its top a few highly paid posts normally reserved for the members of the Covenanted Civil Service. Recruitment to this service was to be done in each province under various methods adapted to local circumstances.
- iii) The third tier was "Subordinate Civil Service" which was to be constituted by transferring the lower grade posts from the uncovenanted service.

The orders of the Secretary of State on the Aitchison Commission report were embodied in a resolution of the Government of India passed on 21st April 1892. The old scheme of classification into covenanted and uncovenanted was done away with. The "Imperial Civil Service of India" and the "Provincial Civil Service", designated after the name of the province to which it belonged, came into existence. The Imperial Services and the Provincial Services constituted the higher services and apart from Subordinate Services there was another category of Inferior Services comprising clerks, typists, peons and messengers. In the case of higher civil services, the classification was based not on any rational formula of duties or functions, but on the basis of their recruitment.

In fact, the Royal Commission on Public Services in India known as Islington Commission (1912-15) pointed out this anomaly and suggested a new classification, consisting of two classes in the Services—Class I and Class II.

Changes brought about in the Classification of Services under the Government of India Act, 1919

After the introduction of the Government of India Act, 1919, the Imperial Services or superior services as they were called, came to be divided into two classes according to the subjects administered, e.g., subjects which were under the direct management of the central government in India and subjects which were primarily controlled by the provincial governments. The former were classified as Central Services and the other class which worked primarily under the provincial governments came to be known as the All India Services, as these were recruited by the Secretary of State to work in any part of India.

Since the Government of India Act, 1919 introduced the system of dyarchy at the provincial

vel, the departments of the provincial governments were divided into 'reserved' and transferred'. As a result, the services operating at the provincial level, came to be differentiated into one sphere or the other. Those services which were assigned primarily in the reserved sphere were the Indian Civil Service, the Indian Police, the Irrigation Branch of the Indian Service of Engineers (the whole cadre of this service in Assam, and except the provinces of Burma and Bombay) and the Indian Forest Service. The recruitment and control of these services was the responsibility of the Secretary of State. The services which were functioning in the transferred departments were the Indian Educational Service, the Indian Agricultural Services, the Indian Service of Engineers (Roads & Buildings branch), the Indian Forest Service (in Bombay & Burma) and the civil side of the Indian Medical Service.

It was decided to retain these services, not only in "reserved" areas but also in "transferred" areas, with the Secretary of State in Council continuing to recruit and control them. The basic conditions of service of all these services were framed, determined and guaranteed by the Secretary of State and in effect, they were the Secretary of State Services, with the right of employment vested ultimately in the superior authority in London.

Following the Government of India Act, 1919, changes were made in the service structure. The superior or Imperial Services were separated into All-India Services and the Central Services—usage that has continued to this date. The Civil Services (Classification, Control and Appeal) Rules made in 1930 indicated that the public services in India were categorised into (i) the All India Services, (ii) the Central Services, Class I, (iii) the Central Services, Class II, (iv) the Provincial Services, (v) the Specialist Services, and (vi) the Subordinate Services. Of these, the Provincial Services came under the jurisdiction of the provincial governments. The specialist services covered some of the technical fields like engineering. The Central Services were divided into (i) Class I, (ii) Class II, (iii) Subordinate Services, and (iv) Inferior Services.

The main distinction then between the Class I and Class II Services was that for the former, the first appointments were made by the Governor-General in Council while for Class II appointments, a lower authority was empowered to make the appointments. Class I and Class II officers generally enjoyed the "gazetted" status, while the 'subordinate' and the 'inferior' officers had no such status symbol. The Subordinate Services consisted of posts carrying ministerial, executive, or outdoor duties and the inferior services those posts of peons or messengers, whose maximum pay at that time did not exceed Rs. 30/- per month.

Recommendations of the First Central Pay Commission

An important step in the direction of classification of services came in 1946, when the first Central Pay Commission reviewed the matter. It took exception to the description of the services as "subordinate" and "inferior" on the ground of its being derogatory and recommended its substitution by a numerical calling. It recommended that these two services be called Class III and IV respectively. The technical services were also drawn into this classification so that no separate class of technical services is hereafter made. Accordingly the fourfold classification of services into I, II, III & IV was adopted by the Government.

CLASSIFICATION OF CIVIL SERVICES SINCE INDEPENDENCE

All Services, after Independence, have been categorised into three types—All India Services (common to both Centre & States), Central Services (for purely Central subjects) and State Services (for administration of subjects under State jurisdiction). The All-India Services, like the Central Services, are recruited and trained by the Central Government. But for work, they are assigned to different States. They serve state governments and their service conditions are also governed by states, except that the disciplinary action against them can only be taken by the President of India in consultation with the UPSC. Frequently, they also serve the central government on deputation, and after a fixed tenure they are expected to return to their respective states. The rules and regulations governing the new services are framed in consultation with state governments and the Union Public Service Commission (UPSC), in accordance with All-India Services Act, 1951. Art. 312 of the Constitution of India has constitutionalised the formation of Indian Administrative Service

(IAS) and Indian Police Service (IPS)'. This was done on the eve of Independence as a result of the decision taken in Premiers' Conference in 1946. Later, Indian Forest Service was also included as the third All India Service.

Central Services

- a) The Civil Services of the Union are classified into four categories as follows:
 - i) Central Services Class I: This category has services like Indian Foreign Service, Central Health Service, Railway Service, Central Secretariat Service etc.
 - ii) Central Services Class II: This includes services like Central Secretariat Stenographer Service Grade I, Telegraph Engineering Service, Telegraph Traffic Service etc.
 - iii) Central Services Class III: This comprises services like Central Secretariat Clerical Service, Post and Telegraph Accounts Service etc.
 - iv) Central Services Class IV: This category consists of peons, sweepers, gardeners etc.
- b) General Central Service.

Central civil posts of any class not included in any other Central Civil Service are deemed to be included in the General Central Service of the corresponding class and a government servant appointed to any such post is deemed to be a member of that service unless he/she is already a member of any other central civil service of the same class.

State Civil Services

These are services exclusively under the jurisdiction of the state government, and primarily administer the state subjects. However, in recent years, 33-1/3% of posts in the All-India Services are filled by promotion from the State Civil Services and 15% of these 33-1/3% quota from other State Services.

This triple scheme of services viz., All-India, Central and State, somewhat reflects the constitutional pattern of concurrent subjects, union subjects and state subjects. This is a unique feature of the federal system in India which is not found elsewhere.

8.8 CRITICAL APPRAISAL OF THE EXISTING CLASSIFICATION SYSTEM

The classification system of the services in India has been criticised on many grounds—

As the Second Pay Commission Report puts it, "the lines of division run horizontally across the service, resulting in a grouping of services and posts on a non-departmental and non-occupational basis". There may be several grades in one class, which may be indicative of the salary and hierarchy in the services, but not of functions or occupation

The designation of the officer in India does not indicate anything beyond his/her position in the hierarchy of officials from top management to the lowest rung of the ladder. For example, the Class I services in India have the following hierarchy—Secretary, Special or Additional Secretary, Joint Secretary (the top executives, corresponding to the Administrative class of the British Civil Services). The middle management (corresponding to the Executive class in the British Civil Service) consists of the two levels viz. Deputy Secretary and Under Secretary. Corresponding to the "Clerical Officers" class of the British Civil Service, there is in India, the position of "Section Officer" or a "Superintendent", which is a class II post with "Gazetted" status. Below this level, the posts of Assistant belong to Class II without the "Gazetted" status. The upper division clerks, lower division clerks, typists and the like positions are grouped in Class III. Both these groups correspond roughly to the Clerical Assistant Class of the British Civil Service. The Class IV staff comprises "peons" and "messengers" and other employees performing "house-keeping functions". Designations in Class I category do not indicate the nature of work done by the incumbent. The title of section officer in Class II only shows that the incumbent is a first line supervisor, while generally, the titles below these levels do indicate the nature of work of an incumbent.

This is precisely because of the fact that the civil services in India are organised on the "generalist" principle rather than on the "specialist" principle. But, at present the services,

particularly at the higher levels, are categorised into generalist, functional and technical services. The IAS, the IPS, the IFS, and the Central Secretariat Service may fall into the first category. The functional services include the Indian Revenue Service, the Indian Customs Service, the Defence Accounts Service and the like. The technical services include Central Engineering Service, Telegraph Engineering Service, etc. Unlike the practice in the US, there are no specific qualifications needed for entry to the first two categories e.g., generalist and functional. In India, training in functional subjects in the second category of posts is given only after the initial recruitment, and there is no rigid professionalisation, as in the US.

The other differences between the Class I and other services are: (a) while all the first appointments to Class I posts are made by the President, the lower authorities have been delegated powers to make such appointments in other cases; (b) all posts in Class I, and the bulk of the posts in Class II, are "gazetted" but others are not; (c) The President is the disciplinary authority for the Class I, and the appellate authority for Class II; the disciplinary and appellate authorities for Class III and IV are mostly heads of departments or officers working under them; and (d) while direct recruitment to all Class I and Class II services/posts is made in consultation with the UPSC, there is no such general rule in regard to Class III and Class IV services.

The Indian Classification System has been criticised on many grounds. In 1959, the employees' organisations represented to the Second Pay Commission that the existing system of classification should be abolished on the grounds that it promoted "class consciousness" and constituted a sort of caste system "which may satisfy some vanities, but serves no public purpose". The Pay Commission, while agreeing with this view, noted:

Other countries, including those with a large and complex civil service organisation, have apparently, not found it necessary to superimpose upon their civil service grades and occupational groups a broad horizontal classification like ours, and we do not think that any serious inconvenience will be caused to the administration in India if the classification under consideration is given up. We, therefore, recommend the abolition of the present classification.

In spite of this specific recommendation, however, the classification of services in India continues to be on the same pattern. Recently, another suggestion about the regrouping of Central Services into a "unified" civil service was made on the grounds that it will eliminate narrow departmental prejudices, and will provide the central administration with a body of people trained in the work actually handled in the concerned departments and agencies. However, as a senior civil servant in India has pointed out that in view of the fact that the Central, State, and All-India Services more or less reflect the constitutional pattern of union, state and concurrent spheres of administrative power, it is not, therefore, possible to have a unified civil service co-terminus with the dimensions of the entire country.

Within the union and the state fields, separately the possibility of a unified service could, perhaps, be considered, particularly in respect of non-technical services as distinguished from scientific and technical services. Moreover, because of the need of growing professionalisation in the services, it will not be in the interest of efficient administration to constitute a "unified" civil service for the Union Government. This is quite a controversial issue and in view of the repeated advice by the Administrative Reforms Commission for such a reform, the issue was examined at length at a later stage, but no decision was taken officially.

The classification system in India suffers from some other defects. Firstly, the numerical calling in the classification i.e. Class I, II, III & IV is only a matter of convenience, as there is a constant overlapping of pay criteria in services and posts between two different classes. Secondly, the system has never been designed nor intended either for orderly grouping of the services or as a tool of managing the personnel. And thirdly, the different provisions of pay and other benefits of service necessitate the maintaining of a large staff to check and calculate those benefits. Thus there is ample justification for the system to be revised under a plan of classification for the entire personnel of the government.

8.9 RECOMMENDATIONS OF THE ADMINISTRATIVE REFORMS COMMISSION (ARC)

The issue of evolving a rational classification system of services has been examined by the Administrative Reforms Commission, and the third and fourth Central Pay Commissions about which we will read in the next section.

The extent of variations in some of the pay scales for jobs of similar and comparable duties and responsibilities both at the centre and in the states, and of the disparities in the pay scales obtaining between one state and another state for the same or similar positions has been a serious disturbing factor in administration. As the Administrative Reforms Commission observed, "this is one of the major factor for strikes, agitations, inter-service tensions and rivalries, indifferent attitude to work, poor performance, frustration and low morale of the employees. Jobs similar in nature and with comparable difficulties, duties and responsibilities should, therefore, carry the same scales not only in the central government but also between the Centre and the States....".

There are many examples where certain jobs have been overvalued and certain others carrying heavier responsibilities have been undervalued e.g. qualified engineers in the Government of India doing only file work, of medical personnel joining lower positions at the headquarters, qualified educationists occupying a position in a Ministry requiring just an average competence, of agricultural scientists being attracted to headquarters organisations for doing routine paper work, leaving important field positions. Similarly, the private secretaries of ministers are in the grade of Deputy Secretaries and occasionally even Joint Secretaries. There are similar anomalies even in the lower posts. The existing pay structure introduces differences based on the Service origin of the person holding the post. Secretariat posts generally carry a higher pay in comparison with field posts. The pattern which prevails today does not take into account the rapid changes which have taken place in the nature of work that is done by the civil services.

The ARC pointed out some of the defects in the classificatory grading structure, which are as follows:

- i) In the absence of a careful evaluation of the work-content of jobs at certain levels and the matching of scales of pay thereto, the healthy principle of equal pay for equal work cannot be implemented. Failure to adopt this principle has an adverse effect on the morale of the personnel, and also adds to the cost of administration.
- ii) The absence of a rational pay structure which could take into account distinct levels of work and responsibility makes it difficult to put through a programme of career development based on the discovery and development of talent and a planned deployment thereof.
- iii) The existence of a multiplicity of scales of pay for different groups neither makes for a rational system of remuneration related to work content nor does it facilitate the selection of personnel from different Services for higher positions.

The posts in the civil service should be grouped into categories so that all those which call for similar qualifications and involve similar difficulties and responsibilities fall in the same category. The same pay scale should be applied to all posts in the same category.

The task of grading is burdensome, but should not be an impossible one. All these posts could be evaluated and assigned to common pay scales, each representing a grade. These grades may be divided into three levels, namely, junior, middle and the senior. The progress of an officer of an established service among the grades within each level should, of course, be on the basis of proved performance.

ARC recommended that

- 1) The posts in the civil service should be grouped into grades so that all those which call for similar qualifications and similar difficulties and responsibilities are grouped in the same grade. The number of such grades may be between 20 and 25.
- 2) All the Class I posts may be evaluated and assigned to, say, nine common pay scales. These nine grades or pay scales may be divided into three levels, namely, junior, middle and senior. The progress of an officer of an established Class I Service among the grades within each level should be on the basis of proved performance. Promotions

from the junior to the middle level and from the middle to the senior level should be by selection.

- 3) The Department of Personnel should undertake, urgently, a detailed study for the purpose of determining the grades as well as the posts to which they should be attached.

The Commission was of the view that after all the Class I posts under the centre and those to be manned by the All-India Services in the states have been evaluated and allotted to the various grades, other posts at the centre as well as in the states be taken up for examination and the entire civil service be brought into a framework of 20 to 25 grades.

The advantages of such a unified grading structure are:

- a) an automatic upward movement in a time scale will be checked;
- b) each officer will have to display positive merit to deserve promotion from one grade to the next;
- c) a more conscious assessment of each officer's work will become a practical necessity with concomitant benefits;
- d) it will provide sufficient scope for genuine merit to earn accelerated promotion and it will enable government to stop comparatively mediocre officers at a stage where their unmerited progress should be arrested;
- e) the existence of identical grade in the different services will facilitate mobility;
- f) the replacement of distinctive pay scales which now apply to different services by a unified system will help in curing the psychological complexes which such pay scales are, at present, bringing in their wake; and
- g) it will make it unnecessary to provide, save in rare cases, special pays to Secretariat posts.

With the pace at which the number as well as the variety of jobs in the civil service are increasing, the task of getting the best person for each job will be greatly facilitated by a unified grading structure.

8.10 RECOMMENDATIONS OF THE III & IV CENTRAL PAY COMMISSIONS

In the civil service under the central government, the pay range within which the scale of pay of a post falls normally determines its classification. Several exceptions have been made to these general criteria and certain categories, which on the basis of their pay range, though they qualify for the lower class, have been placed in the next higher class.

The division of the civil service into four classes was adopted on the recommendations of the First Pay Commission. As said earlier, a number of employee associations had urged before the Second Pay Commission, that this scheme of classification promoted "class consciousness" within the service and should therefore, be done away with. The Commission came to the conclusion that the existing classification served no practical purpose and, on the other hand, it had an unhealthy psychological effect. The Commission recommended that the classification should be given up and the amendments that would be necessary in respect of the Central Civil Service (Classification, Control and Appeal) Rules of 1957 and of certain other rules and orders should be carried out.

The government, however, could not accept this recommendation since it was found that the existing classification was convenient for personnel management purposes. A proposal to replace the existing nomenclature of Class I, Class II, Class III and Class IV by Group A, Group B, Group C and Group D also seems to have been considered since the word 'Class' might hurt the susceptibilities of some sections of the employees. This proposal was also not accepted since it was felt that a mere change in the name was of no practical value.

The Third Pay Commission, however, felt that, some kind of a classification for purpose of personnel administration was necessary. This classification should take into account equivalence of the work content at the different levels of various occupational groups to rationalise pay ranges. The present system of classification is fairly well known, and the employees have become accustomed to it. It has the advantage that orders can be issued, or the existing orders amended, by referring to the particular classes covered. The Pay Commission however suggested that the term 'Class' be avoided, so as to create a healthy psychological climate. It should be possible to describe the existing classes as "Groups" as

the government itself seems to have contemplated at one time. In other words, it may be feasible to redesignate the existing Classes I, II, III and IV as Groups A, B, C and D. In conformity with the revised pay structure, the pay ranges applicable to each of these groups should, according to the Third Pay Commission, be the following:

Pay or maximum of the scale of the post	Grouping
Not less than Rs. 1300 (950)	A
Not less than Rs. 900 (575) but less than Rs. 1300 (950)	B
Over Rs. 280 (110) but less than Rs. 900 (575)	C
Rs. 280 (110) or less	D

(Note: The figures in brackets are those of the Second Pay Commission's monetary minimum and maximum for the purpose of classification of services posts into classes I, II, III & IV. The terminology, Group, in place of Class, came with the Third Pay Commission.)

Like the Third Pay Commission, the Fourth Pay Commission also had an occasion to go into the question of classification of services and posts. While noting that the staff side of the National Council (JCM) had suggested discontinuance of classification of employees under different groups, the Commission was of the opinion that classification made it possible for government to examine and decide matters of common interest to the group or groups concerned. It played vital role in disciplinary matters also, besides being by now a well understood system. The Fourth Pay Commission recommended groupwise classification as follows:

Pay or maximum of the scale of the post	Grouping
Not less than Rs. 4000/-	Group A
Not less than Rs. 2900/- but less than Rs. 4000/-	Group B
Over Rs. 1500/- but less than Rs. 2900/-	Group C
Rs. 1150 or less	Group D

This scheme of classification has been accepted by the Government.

Check Your Progress 2

- Note: 1) Use the space given below for your answers.
 2) Check Your answers with those given at the end of the unit.

- Discuss in brief the pattern of classification of services during the British period.

- Critically evaluate the present system of classification.

- Discuss the recommendations of the III and IV Central Pay Commissions on the classification of services.

8.11 LET US SUM UP

Classification is the process of division of things or persons on the basis of certain common

characteristics. In personnel administration, classification of services means grouping of various positions on the basis of duties and responsibilities. We have discussed in this unit the meaning, importance, bases and advantages of classification of services. There are two major types of classification i.e. Position and Rank Classification, the former prevailing in the the USA and the latter in the UK and India. The classification of civil services in India has been influenced very much by the British pattern. The unit has discussed the classification of services during the pre-Independence period. In the initial stages they were classified into Covenanted and Non-covenanted Services. Later changes were brought about on the basis of Aitchison Commission's recommendations, by the Government of India Act, 1919. We have discussed the classification of services after Independence, and also critically evaluated the existing system. The unit highlighted the views of the Administrative Reforms Commission and the changes brought about in the system of classification of services on the basis of the recommendations of the Third and Fourth Central Pay Commissions.

8.12 KEY WORDS

First Pay Commission: This Commission was appointed in 1946, under the chairmanship of Sri Srinivasa Varadachariar to enquire into and report on the conditions of service of the Classes I, II and Subordinate Central Services. The terms of reference of the Commission included consideration of the structure of pay scales and standards of remuneration, the leave rules and retirement benefits.

Fourth Pay Commission: This was set up by the Government of India in July 1983 under the chairmanship of Justice P.N. Singhal. It was constituted with the objective of examining the then existing structure of emoluments and conditions of service as well as other benefits available to all central government employees, personnel belonging to All-India Services, employees of union territories and armed forces. It was assigned the task of suggesting changes that may be desirable and feasible.

Gazetted Status : A government employee having gazetted status is one whose appointment, transfer, promotion, retirement etc., are announced in the official gazette in a notification issued by order of the Governor. A gazetted officer holds charge of an office and his/her duties are of a supervisory nature.

Manpower Planning: It is the process of developing and determining objectives, policies and programmes that will develop, utilise and distribute personnel or human resources in an organisation so as to achieve economic and other goals.

Second Pay Commission: The Commission of Enquiry on emoluments and conditions of service of central government employees (1957-59) also known as the Second Pay Commission was appointed by the central government on 21 August, 1957. It was set up to examine the principles which should govern the structure of emoluments and conditions of service of central government employees.

Third Pay Commission: It was set up by the Government of India in 1970 under the chairmanship of Shri Raghunath Dayal. It was to give consideration to the principles which should govern the structure of emoluments and conditions of service of central government employees and to formulate measures which should be taken to change the structure of emoluments and service conditions.

Unified Grading Structure: This is a system where all posts in the civil service would be grouped into categories so that all those which require similar qualifications and involve similar difficulties and responsibilities fall in the same category. All the civil service posts after evaluation are assigned to certain common pay scales, each representing a grade. These grades may be divided into levels like junior, middle and senior. The progress of an officer of an established service among the grades, within each level is to be on the basis of proved performance.

8.13 SOME USEFUL BOOKS

Goel S.L. 1984. *Public Personnel Administration*, Sterling Publishers: New Delhi.

Jain, R.B. (Ed), 1983. *Public Services in a Democratic Context*, Indian Institute of Public Administration: New Delhi.

- Jain, R.B. (Ed), 1976. *Contemporary Issues in Indian Administration*, Vishal Publications: New Delhi.
- Misra, B.B. 1970. *The Administrative History of India*, Oxford University Press: London.
- Panandikar Pai, V.A. 1966. *Personnel System for Development Administration*, Popular Prakashan: Bombay.
- Sinha, V.M. 1986. *Personnel Administration—Concepts and Comparative Perspective*, R.B.S.A. Publishers: Jaipur.
- Stahl, O. Glenn, 1976, *Public Personnel Administration (7th edition)*, Harper and Row: New York.

8.14 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
Classification is the grouping of various positions having similar duties and responsibilities in one class. Classification of services is important because it
- brings some orderliness into the system and ensures uniform treatment to those who are grouped together on certain criteria;
 - determines the duties, responsibilities, qualification requirements, salary structure, authority to be vested etc.
 - determines the operational jurisdiction of the services; and the nature of the responsibility to be discharged.
- 2) Your answer should include any four of the following points:
- Facilitates proper division of work
 - Removes arbitrary standards
 - Promotes employee motivation
 - Ensures effective manpower planning and utilisation
 - Lays down uniform work standards
 - Speeds up the recruitment process and indicates training needs
 - Helps in maintaining upto-date personnel records.
- 3) Your answer should include the following points:
Two types of classification of services
- a) Position Classification
 - b) Rank Classification
 - Position classification is prevalent in the USA. In this system, positions which are comparable in respect of their functions, duties and responsibilities are brought together into a class. Hence class consists of those positions which are similar in relation to the subject matter of work, level of difficulty and responsibility and qualification requirements.
 - The rank classification system prevails in the Britain and India. Here the employees are classified in a hierarchical order and the salary and status of a person is determined with reference to the service one is assigned after recruitment.

Check Your Progress 2

- 1) Your answer should include the following points:
- Classification of services into covenanted and non-covenanted services.
 - Threefold classification of services into Imperial, Provincial and Subordinate Services.
 - Changes brought about in the classification of services under the Government of India Act, 1919.
- 2) Your answer should include the following points:
- The designation of the officers in India based on rank classification system does not indicate anything about the functions, duties and responsibilities. All it indicates is his/her position in the hierarchy of officials.
 - The numerical calling in the classification is only a matter of convenience, as there is a constant overlapping of pay criteria in posts between two different classes.

- The system has not been designed either to bring about orderly grouping of services or as a tool of managing the personnel.
- 3) Your answer should include the following points:
- The Third Central Pay Commission felt that a scheme of classification based on the work content at different levels of the various occupational groups, and hence of pay ranges, is necessary.
 - The term 'class' also has to be avoided so as to create a healthy psychological climate.
 - The existing classes of I, II, III and IV are to be redesignated as A, B, C and D based on certain pay ranges.
 - The Fourth Pay Commission endorsed the group-wise classification of services and brought about certain changes in the scale of the posts falling in these groups.

UNIT 9 GENERALISTS AND SPECIALISTS

Structure

- 9.0 Objectives
- 9.1 Introduction
- 9.2 Generalists—Meaning
- 9.3 Role of Generalists
- 9.4 Specialists—Meaning
- 9.5 Role of Specialists
- 9.6 Controversy between the Generalists and Specialists in India
- 9.7 Evolving a Suitable Way Out
- 9.8 Conclusion
- 9.9 Let Us Sum Up
- 9.10 Key Words
- 9.11 Some Useful Books
- 9.12 Answers to Check Your Progress Exercises

9.0 OBJECTIVES

After studying this unit, you should be able to :

- explain the meaning of generalists
- discuss the role of generalists in administration
- comment on their role in administration
- highlight the controversy between the generalists and specialists; and
- suggest suitable ways of resolving the controversy.

9.1 INTRODUCTION

The generalists and specialists are two broad functional categories in the government. They play a very important role in rendering advice to the political executives, policy making and in implementation of policies. The present day administration has become more specialised in nature and hence requires different types of personnel with necessary skills, knowledge and qualities to discharge its functions. The controversy between these two groups of functionaries, both of whom are necessary in modern organisations, is however age old, and still one of the fiercely fought-out issues of Public Administration. As early as in 1958, James Fesler recorded the revival of the controversy in England. After a decade, in 1968, the Fulton Report on Civil Services opened the issue afresh and provoked debate. In India, following the tradition of the of Indian Civil Service (ICS) from the days of British, the supremacy of the generalists was more or less accepted initially and not very seriously challenged. The Indian Administrative Service (IAS), the successor of the ICS, gained in importance with its personnel generally occupying the top posts both in the central as well as the state governments besides the positions of heads of various departments. But this predominance of the generalists in administration led to discontent which has gained momentum in recent years.

In this unit, we will discuss the meaning, functions and the role of generalists and specialists in administration so that their claims and counter claims, leading to the controversy could be understood in a proper perspective.

9.2 GENERALISTS—MEANING

Before we discuss the role of generalists in administration, let us first know the meaning of the term 'generalist'. According to Leonard White "general administration is understood to mean those duties which are concerned with the formulation of policy; with the coordination and improvement of government machinery and with general management and

control of the departments". Thus a generalist administrator is concerned with all types of administrative process indicated by the word POSDCORB i.e. planning, organising, staffing, directing, coordinating, reporting and budgeting.

The generalists secure their entry in administration on the basis of their having obtained a university degree, irrespective of the subjects in it. Their having attained a certain level of education indicates the essential minimum extent of intellectual and mental development. Also the posting of a generalist civil servant in any department of the government has nothing to do with his/her education or any administrative experience. For example, a generalist entrant with commerce background can be posted in irrigation department.

In a purely negative sense, a generalist is a person who is not an expert or a scientist. But in a positive sense, the notion of a generalist is applicable to a person who is called a professional administrator, if administration is to be regarded as a field and a profession, as that of law, engineering or medicine. In his/her professional capacity a generalist possesses the skills and techniques of a manager and a kind of politician. As a manager, generalist is entrusted with the responsibility of getting things done; and as a "politician", he/she is responsible for interpreting the public opinion in the context of the complex social, economic and even political problems of the state.

There are various meanings attached to the term 'generalist'. In one strand of thought, particularly the British, generalist means an amateur administrator who has had education in linguistics or classics with a "liberal education augmented by certain personal qualities of character, poise and leadership, good intuitive judgment, right feelings, and a broad background rather than narrowly specialised knowledge and skills".

The second usage, very close to what the Second Hoover Commission of USA meant by a Senior Civil Service, identifies generalist as a "rank-in-man corps" (about which we will discuss in detail in Unit 13 of Block 3 of this Course) of highly experienced administrative specialists or career executives who are available for flexible assignments and capable of furnishing essential administrative advice and necessary policy support.

There is yet another school of thought which considers a person as a generalist who is known by the proportion of administrative work actually performed compared with his/her specialist duties. According to this school, a specialist can turn out to be a generalist, when he/she performs managerial or administrative duties, either in the higher hierarchies of his/her own functional field or outside his/her specific discipline.

A related and fourth usage refers to a person as a generalist who combines both high competence in professional or administrative skills with training in the area he/she administers. These are considered to be 'super bureaucrats' who can take a large and long-range view and are not limited by a narrow picture of their substantive specialisation.

A generalist, has, however, been traditionally defined as one who possesses no specialist or technical qualification in the sense of having earlier gone through a specific vocational or professional course. But lately, even persons belonging to techno-professional disciplines such as engineering, medicine, agriculture etc., are gaining entry to the generalist fold, the assumption being that there need be no correlation between the substance of their specific knowledge and the discharge of their generalist duties, howsoever specialised some of these assignments may be. In an organisation, be it a government department or a public enterprise or any other administrative institution, as one moves up in the hierarchy, the functions become more and more generalist in nature. The generalist functions of policy making and direction assume importance. These functions more or less remain the same even in technical departments like irrigation, health, agriculture etc. Hence what seems significantly important to be a generalist, is a mind, a mental discipline, a way of thought and an angle of vision, which he/she acquires apart from the liberal education, and through movement from post to post with wide-ranging, diversified experiences. This helps the generalist in adopting a comprehensive yet integrative approach to a variety of problems, uncontaminated by too much knowledge about any one of them. Having known who a generalist is, now let us discuss his/her role in administration.

1.3 ROLE OF GENERALISTS

The ancestry of the generalist dominating the administrative machinery at the top can be

traced to the administrative philosophy of England in nineteenth century where generalism was made an absolute principle of administration. The two authorities that helped in the build-up of a generalist image by lending their solid support towards the recognition of generalist supremacy were the Northcote Trevelyan Report on the Organisation of Permanent Civil Service (1854) and the Macaulay Report on the Indian Civil Service (1854) about which we have read in Unit 7 of this Block. The emphasis was on young graduates, who with no specific education or technical background, should form the elitist part of the administration. In India also, as in England, this administrative arrangement came as the logical extension of the same philosophy. The Indian Civil Service during the British period dominated the administrative scene with its members deployed on various positions in government. The experts and specialists during those days were fewer in number and the Indian Civil Service was groomed into an elite service.

If it is assumed that generalists are equipped with a vibrant mind and a perceptive understanding of the entire field of administration, it is but natural that they would be given the role of overseeing the top rung of the administrative management. Thus generalists have a supreme role in the formulation of policy i.e. in assisting the political executives to evolve it—with all the requisite data and advice as to the strong and weak points of a projected policy. It is the generalist, who functioning generally as Secretary or Head of Department, does the coordinating job and takes the necessary measures, even in specialised matters, before they are put up to the ministers who often are not specialists in those fields. The role of generalists in such cases is one of the conveyor belt which funnels right kind of data and advice in such a manner that it can be used by top policy makers for action. The 'balancing' role i.e. performing reconciliatory function between conflicting viewpoints, is also played by the generalists. This is possible because of their capacity to view things in an overall perspective, generated on account of their non-specialist background and exposure to wider fields of experience and administrative reality.

The generalists also play a dominant role in problem-solving spheres. Since most important techno-professional work in the governmental organisations has become inter-disciplinary, one arbiter in the form of a generalist administrator is needed to articulate a rational, cost-effective, most beneficial alternative solution. Moreover, in the implementation of decisions, apart from policy formulation, the generalists role is well accepted and recognised.

The generalist has to function as a synthesiser, integrator and coordinator of knowledge as well as of action. He/she is a person who is supposed to be competent enough to handle any situation or job pertaining to law and order, emergency, public relations, planning, social change etc. The field experience the generalist has is assumed to generate in him/her certain qualities like prompt and sound decision making, tact, imagination, objectivity, organisational leadership etc. A special position is assigned to the generalists in administration, as the political executives, who are usually lay people with exposure to only peoples' problems and not to technical expertise depend on the 'administrator' i.e. generalist, with whom they have identity of approach, ideas and ideals.

9.4 SPECIALISTS—MEANING

A specialist is one who has special knowledge in some particular field. Specialists in government, are therefore, those who are recruited to posts for which professional, scientific, technical or other specialist qualifications are essential and includes engineers, scientists, doctors, lawyers, statisticians, economists and other technical people. To qualify as a specialist, the basic requirement should be an 'institutional' speciality, that is to say, one must have a pre-employment spell of either techno-professional academic education and/or pre-entry vocational or occupational training. The hallmark of a specialist is, thus, said to be devotion to the discipline, continued commitment to his/her professional cause and practice and pursuit of a speciality. Pro-generalists generally view specialists as narrow, uni-disciplinary professionals who treat all issues from a very limited angle or vision. Also they are incapable of comprehending in a holistic manner the complexities of live administrative and management problems and hence are unfit to hold top policy posts.

9.5 ROLE OF SPECIALISTS

There is no doubt that present day administration has become technical, professional and specialised. The concept of 'development' viewed as a dynamic process, directed towards transformation of the entire society including socio-political and economic aspects, has a major impact on the functions of bureaucracy. If the state has to be accepted, in the process of modernisation, as regulator, mediator, provider of services, economic and social diagnostician, the bureaucracy has to offer the basic support to the states playing such a role. For doing so, the bureaucracy must be professionally equipped. Whether it is an administration dominated by generalists or specialists the fact remains that every one must be professional in the role, as without professionalism the chances of success are limited.

The assumption that the technical element in the administration is a minor factor or experts do not have holistic, comprehensive approach cannot be totally correct. One of the important factors responsible for the narrow outlook of the specialists is the system of their education and training. It may not similarly be correct that generalist has all the necessary specialised elements or can fully comprehend and judge between conflicting expert advice. Hence, the services of both are required in administration.

The specialist inputs are required in tackling the complex and technical problems of modern administration which have become quite technical. Also the various areas in the administration call for varied skills, expertise and experience. In programme planning in the scientific and technical fields, and in execution of such projects, the specialists' inputs are vitally necessary. All the policy making and decision making functions in the specialist jurisdiction of the government must be the responsibility of the specialists.

Administration is taking charge of managing vast changes following the assumption of all developmental functions by the government in the social and economic life of the people. Administration in future is going to be characterised by new developments in the fields of science and technology, social and behavioural sciences, decision making, human relations in management etc. Each of these areas require professionalistic intervention. For example, the introduction of the computer has made a significant impact on the nature of administration. It helps not only in information storage, retrieval and communication, but also in decision making.

Apart from these, even in the traditional areas of administration there is increasing recognition of the role of specialists. For instance, a District Collector, as head of the administration at district level, in the discharge of regular functions, requires the expert advice of other specialists working in the district like the engineers, District Health Officers etc.

Check Your Progress I

Note : 1) Use the space given below for your answers.

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

1) Discuss the role of generalists in administration.

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2) Who are the specialists? Comment on their role in administration.

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9.6 CONTROVERSY BETWEEN THE GENERALISTS AND SPECIALISTS IN INDIA

The genesis of the 'generalist and specialist' controversy in India can largely be traced to the concept of 'nearness' or 'remoteness' from the area of top policy making. It is more post-centred rather than person-oriented, and the tussle between the two is in reality for holding certain positions. The real debate should be around formulating a satisfactory and adequate staffing policy or better still, evolving a progressive, constructive and objective-oriented, egalitarian personnel philosophy. Let us now discuss the reasons responsible for the controversy between the generalists and specialists.

Certain historical reasons are responsible for establishing the supremacy of the generalist in Indian administration, which also accentuated the dichotomy between these two categories of personnel. As we have read in Unit 7 of this Block the public service in India during the British period was more or less a closed system with no lateral entry. It comprised young persons who on the basis of a competitive examination gained entry to it. It was a hierarchical career pattern from the district to the central level with majority of the posts reserved for members of the Indian Civil Service. The 'intelligent amateur theory' reigned supreme in the constitution of the generalist services. As you all are aware, this continued even after Independence as it was felt that the old frame of public services was quite useful to provide stability to the government, in tackling the problems of law and order, integration of princely states etc. Hence the concept of All-India Services was evolved with the Indian Administrative Service replacing the earlier Indian Civil Service. Hence, the supremacy of the generalist civil service established in India, was the result of certain historical circumstances. This led to resentment in the technical and functional services which also wanted to be entrusted with policy making functions.

The suitability of the generalist for all policy making positions is questioned by specialists on the ground that the change in the functions of government in present times calls for certain professionalism which is not possessed to such an extent by the generalists. Also by reserving all senior managerial positions to the generalists especially to the IAS, the government is deprived of the expert advice and specialised knowledge of the specialists. However it is generally argued by the pro-generalists that the field experience gained by them at the district and state levels in the initial years of their career helps them in the task of decision making. But the specialists feel that this field experience is not sufficient to discharge the multi-varied tasks of the government which requires special or expert knowledge. And also, this sort of field experience is not just the prerogative of the generalists as it can be secured by the specialists. For example, a doctor working in a Primary Health Centre is exposed to all sorts of field problems as can be experienced by a District Collector. This makes him/her acquire certain administrative skills in addition to his/her technical competence.

Another point of contention between the generalists and specialists comes from their being organised into separate hierarchies. This leads to situations where the expert advice rendered by the specialist is submitted to the generalist for his/her approval. This is justified on the ground that since specialists tend to have a biased outlook tilted towards their speciality and since policy making needs to consider matters in totality, the generalist is best suited to take the final decision. This is due to specialists being denied access to senior administrative positions.

Yet another aspect of the controversy relates to the privileged position enjoyed by the Indian Administrative Service due to high salary, better career prospects and also its monopoly of top administrative positions as posts of secretaries in the government departments; in fact even the positions of heads of most executive departments are reserved for the generalists. Career wise too, a member of the Indian Administrative Service after serving for about ten years or so in a state administration, moves to the Central Secretariat and at times becomes even the Secretary of a department or ministry. The specialists feel that their position and status in the administrative hierarchy is not commensurate with the contribution they make to the technological advancement of the country. Their being denied access to the policy making powers is attributed to their being overshadowed by the generalists.

The generalists often move from one department to the other and at times to a public

enterprise or even a semi-government institution. But the mobility of the specialists is restricted in the sense that they are transferred or promoted in the same department. The specialists view the frequent movement of the generalists as a hindrance in the way of acquiring adequate and in-depth knowledge in any one aspect of the department's work. This, the specialists feel may have a negative impact on proper policy making.

The superficiality of this much spoken polarisation between a generalist bureaucrat and a specialist technocrat is being gradually realised and accepted in many quarters. It is being felt that the 'intelligent amateur' theory prevalent in Britain during the nineteenth century does not hold good now. With the growth of science and technology the administration has become very complex in nature. Hence the present day administration requires the services of both generalists and specialists and there is need for encouraging cooperation between the two.

India's Second Five Year Plan mentions that 'distinction between administrators and technical personnel exercising administrative functions, and/or between officials in different grades and cadres which are sometimes drawn, are already out of place'. The Fourth Five Year Plan is even more forthright in making a commitment for altering the structure of administration so that specialists, technicians and experts may be enabled to make their contribution in a reasonable manner at all levels of administration.

It is important for us to discuss the recommendations of the Administrative Reforms Commission (1969) on this issue. The Commission took note of the fact that the nature of the functions of the government has undergone a significant change. With emergence of new areas of administration it needs a diversity of skills to administer various programmes of development. It felt that still a great relevance is placed on the 'generalist'. Due to growing technological sophistication, the Commission observed that many of the posts in the specialised and technical areas can be filled adequately by experts who have the knowledge of the relevant discipline. It is only due to their lack of opportunity and proper career development that the specialists have not acquired necessary skills for holding the higher administrative positions in the Secretariat. The Commission recommended (a) a rational system of filling policy advisory positions with men possessing the required qualifications and competence, (b) senior management posts to be filled by both generalists and specialists, (c) adoption of a rational pay structure so as to reflect the actual responsibilities of each job, (d) to enable talent in the lower ranks to move up to higher positions in the civil service on the basis of competence and performance.

The Fulton Committee (1968) in its report on the re-organisation of the British Civil Service so commented that "our aim is not to replace specialists by administrators, or vice-versa. They should be complementary to one another. It is rather, that the administrator, trained and experienced in his subject matter, should enjoy a more fruitful relationship with the specialist than in the past, and the service should harness the best contribution from each".

There is no denying the fact that in their own functional situations both generalists and specialists have important contributions to make. It is neither feasible nor desirable to place one category by the other. Indeed it is not as though something tremendous is going to be achieved if all generalists were to be replaced by specialists. Similarly, jobs of pure specialists cannot also be taken over by generalists, as for example, the functions of the Chief of Army Staff cannot be taken over by a Secretary to a Government department. Thus, the co-existence among the specialists and generalists has to be accepted as a fundamental fact of administrative life, the real issue is in what fashion or in what structure the relationship should exist.

7 EVOLVING A SUITABLE WAY OUT

The way to tackle this problem is to experiment with integrated hierarchy in place of present 'separate' and 'parallel' hierarchies. In separate hierarchies, policy is determined by the generalists and the function of the specialists is to execute it. Whereas in parallel hierarchy, each class has its own parallel sub-hierarchy and work between the two is coordinated by frequent liaison. The organisation of generalists and specialists in separate hierarchies, with policy and financial aspects of the work reserved exclusively for generalist administrators, has certain disadvantages such as slowing down the process of decision

making and management, generating inefficiency and preventing the specialists from exercising the full range of responsibilities normally associated with their professions.

To overcome these and also to remove the barriers that at present debar the specialists from reaching the top levels of management, wider outlets need to be provided by suitably modifying the prevailing concept of 'monopoly of generalism' i.e. by encouraging liberal entry of specialists as administrative and policy functionaries at key levels. More importantly the specialists should be integrated into the main hierarchy, and along with other generalist administrators, sharing equal responsibilities in policy formulation and management. They should enjoy identical status, executive responsibility and authority which would help in preservation of their morale and confidence. Such an integration scheme enables technical experts to be in the 'central pipeline' so that technical advice and policy structures are not separated into water-tight compartments. A total distinction between policy making and executive functioning is neither possible nor desirable because policy has often to flow out of executive experience. Integrated hierarchy could be brought about by constituting a unified civil service consisting of both generalists and specialists with uniform emoluments and other conditions of service. In India, while no steps were taken in this direction, Pakistan went ahead in creating a unified civil service in 1973 wherein all the services and cadres in their civil service were merged in one service.

Of late, certain measures have been taken in our country to induct specialists into higher administrative positions at the Centre as well as in States. The Department of Atomic Energy has all along been headed by a nuclear scientist. Similarly, the Department of Space and Electronics also had technical persons as Secretaries and so is the case with the Department of Science and Technology which has a scientist as a Secretary. Scientific research organisations and departments are also dominated by scientists.

Another experiment which has been tried to give specialists due place in areas of policy making and administration is conferring on them the ex-officio status of Joint/Additional Secretary to the Government. For example, members of the Railway Board, who are heads of operating departments, are ex-officio secretaries in the Ministry of Railways.

The present need obviously is for more purposive development of professionalism in administration. The base of such professionalism is not necessarily provided by a single speciality but a variety of backgrounds and disciplines. For example, the administrators of price-policy must know in sufficient depth and detail all the economic implications of that particular measure. Hence it becomes essential for the government to organise at the top an expert layer of personnel, who though initially coming from either the generalist or specialist background, would need to be developed into a professionally competent group in order not merely to effectively execute programmes but also to aid and advise the top political executives in matters of important policies.

The ARC was also of the opinion that there is a need for more purposive development of professionalism in public services. This could be brought about through innovative training programmes and career planning and development. It is desirable to inculcate the desired functional specialism required for the generalists and also 'generalist' qualifications for the specialists. Though proper career planning is not being seriously thought of in public services, the Department of Personnel, Training, has to think seriously in this direction. The Central Training Division in the Department of Personnel, through training programmes like the Executive Development Programmes for senior officials, annual training conferences on specific themes etc. is trying to make both the generalists and specialists aware of the developments in the subject matter, and also about various aspects of management, programme planning etc.

One of the major causes of discontent among the specialists, as discussed earlier, is the demand for higher salary and emoluments on par with the generalists. It appears that the imbalances still persist. Even the recommendations of the Fourth Pay Commission about which we will discuss in Unit 19 of Block 5 could not achieve much breakthrough in this matter. But the government has to see to it that some kind of parity is established in the pay scales of generalists and specialists. The talent and skill of specialists needs to be suitably rewarded.

8 CONCLUSION

The conventional 'specialist vs. generalist' formulation is not merely fallacious, it is also roughly inadequate to meet the problems of present day Public Administration. It is fallacious because the assumption of exclusive direct relationship between study of 'generalist' subjects such as humanities, social sciences and attributes like open-mindedness, broad vision and comprehension, sound intuitive judgment, coordinative skills etc., can neither be established nor sustained in reality. There is also the further untenable assumption that those who pursue technical disciplines, become by the mere fact of studying them, capable of possessing these attributes.

The increasing need for both scientific concepts and theories as well as experiential knowledge, high quality judgment, and decision making capacity have made such dichotomy as 'generalist vs. specialist' meaningless. The important qualities which policy makers at the top must possess now, be they generalists or specialists, are high level intellectual ability, dedicated commitment to a cause, awareness of significant aspects of needs of development, a willingness to take risks and a strong determination to accomplish desired results. Thus, the word 'versus' between the two important occupational groups needs to be replaced by the phrase 'and' so that both might team together to fulfil the terminated goals.

The partnership responsibility of the two groups in facing the new challenges under conditions of quickening socio-economic change is a necessary ingredient of national goal fulfilment. The necessity for collaborative role of generalists and specialists is now recognised and accepted almost everywhere. The real question to be posed and faced before is not 'generalist vs. specialist' but how to develop this new brand of public administration professionals who blend expertise with the nature of work.

Check Your Progress 2

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

Discuss the reasons for the controversy between the generalists and specialists in administration.

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Comment on the suitable ways that can be evolved to minimise the tussle between the two.

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What are the recommendations of Administrative Reforms Commission on the issue of generalists and specialists?

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9.9 LET US SUM UP

Generalists and Specialists are the two broad functional categories in administration who provide necessary inputs in policy formulation and implementation. We have discussed the meaning and different connotations attached to the term, 'generalist'. The unit highlighted the role of the generalist in administration in various capacities as a synthesiser, integrator, arbiter and coordinator. We have also explained the meaning of specialists and his/her significant contribution to administration in present times. Various reasons for the controversy which arose between the generalists and specialists have been discussed in detail. Gradually it is being realised that both generalists and specialists constitute important components of administration and there is no question of one replacing the other. Certain ways are evolved to minimise the tensions between the two and efforts have been made to induct specialists into policy making administrative positions. Career planning and development of both generalists and specialists has been emphasised. The unit has dealt in detail with suitable ways of resolving the controversy.

9.10 KEY WORDS

Career Planning and Development : Career refers to an individual's entire worklife. Career planning and development refers to all those steps taken, which affect a person's progress or promotional opportunities in the organisation, his/her changing employment possibilities leading to higher status, pay raise and better conditions of service.

Egalitarian Personnel Philosophy : A personnel policy which seeks to provide equal rights and opportunities to all the people.

Executive Development Programme : This is a training programme meant for Group A officers of All-India/Central Services which aims at enhancing their awareness towards the socio-economic environment, imparting knowledge of modern management concepts, techniques, tools etc.

Fallacious : A formal word used to express that an idea, argument or reason is wrong because it is based on incorrect information or faulty reasoning.

Fulton Committee : The Committee appointed in the UK in 1966 to study the organisation, recruitment, management and training arrangements for the civil service and to recommend changes in the context of changed responsibilities of the civil services and the new educational system.

Parallel Hierarchy : In this type of work arrangement system a specialist, like for example a Director General will be working along with a generalist like Deputy Secretary.

Professionalism : Specialised competence or knowledge in a field.

Rank in Corps : It is career pattern where the focus is on the person and the corps or any particular unit to which he/she belongs and keeping this in view, all matters relating to assignment, training etc., are considered.

Second Hoover Commission : The expansion of activities of the government in the United States during the post-Second World War period necessitated the appointment of a Commission on Organisation of the Executive Branch of the Government (1953-55) popularly known as Second Hoover Commission. (The first Hoover Commission was constituted in 1949.) It was set up to look into the operations of the government and offer recommendations for improvement.

Separate Hierarchy : In this system where the generalists and specialists are organised in separate hierarchies, the policy is determined by the generalists and the specialists are responsible for its execution.

9.11 SOME USEFUL BOOKS

- Avasthi & Maheshwari, 1987. *Public Administration*, Lakshmi Narain Aggarwal : Agra.
 Commission on Personnel Administration, 1969. *Report of the Administrative Reforms*, Government of India, Manager of Publications: Delhi.

Jain, R.B., 1976. *Contemporary Issues in Indian Administration*, Vishal Publications : New Delhi.

Singh Mohinder & Hoshiar Singh, 1989. *Public Administration in India : Theory and Practice*, Sterling Publishers : New Delhi.

Subramanian, Malathi, 1987, *Management of Public Administration (Patterns in the Generalist Vs. Specialist)*, Deputy Publications : Delhi.

9.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points :

The role of generalists in :

- Policy formulation.
- Policy implementation.
- Integrating various viewpoints.
- Rendering advice to the political executives.
- Problem solving process.

2) Your answer should include the following points :

- Specialists are those who have knowledge in some particular field and are recruited to posts for which professional, scientific, technical or other specialist qualifications are required.
- Specialist inputs are required in tackling complex and technical problems of modern administration.
- In programme planning in scientific and technical fields and in execution of such projects services of specialists are required.
- They have an important role to play in policy formulation and decision making in the specialised areas.
- Their expertise is required in traditional areas of administration as well as new spheres of activity.

Check Your Progress 2

1) Your answer should include the following points :

- The supremacy of generalists in administration which was established during the colonial period resulted in dichotomy between the generalists and specialists.
- The suitability of the generalists for all policy making positions is questioned by the specialists as the functions of government in present times calls for professionalism.
- Organisation of the generalists and specialists into separate hierarchies.
- Privileged position enjoyed by the Indian Administrative Service due to high salary, better career prospects and its monopoly of top administrative positions which is being denied to specialists.
- Restricted mobility among the specialists.

2) Your answer should include the following points :

The recommendations of the Administrative Reforms Commission included :

- a rational system of filling policy advisory positions with men possessing the required qualifications and experience;
- senior management posts to be filled by both generalists and specialists;
- adoption of a rational pay structure which would reflect the actual responsibilities of each job;
- to enable talent in the lower ranks to move up to higher positions in the civil service on the basis of competence and performance.

3) Your answer should include the following points :

- Constitution of integrated hierarchy in place of 'separate' and 'parallel hierarchy'.
- Providing for entry of specialists as administrative and policy formulating functionaries at key levels.
- Development of professionalism in administration through training, career planning and development of both generalists and specialists.

NOTES



UTTAR PRADESH
RAJARSHI TANDON OPEN UNIVERSITY

UGPA - 04

Personnel Administration

Block

3

PERSONNEL AGENCIES

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BLOCK 3 PERSONNEL AGENCIES

This is the third Block of Course 4 on Personnel Administration. The Block comprises four units. It will give you an idea about the various personnel agencies in our country and their role in administration of personnel matters of public service employees.

Unit 10 Role and Functions of Department of Personnel/UPSC/SPSC/SSC

Personnel constitutes the most important input in Public Administration. In this unit, we will highlight the need for a sound organisational structure in the form of a Central Personnel Agency which would be responsible for all important activities relating to personnel like recruitment, training, promotion, career development, cadre management etc. In this unit, we will describe the evolution of Department/Ministry of personnel, its structure and functions. This unit will also discuss setting up of Public Service Commissions in India, at the Centre and States which are entrusted with the task of recruitment of civil servants as well as regulation of service matters. The structure, functions of the Public Service Commissions, their advisory role will also be analysed. There is another personnel agency i.e. the Staff Selection Commission which is responsible for making lower level appointments to non-technical grades in the government. In this unit, we will deal with its genesis, structure, role and functions.

Unit 11 Central and State Training Institutes

Training has a very important role to play in development of personnel. This unit highlights the different roles of training as a basic input for personnel performance, for their attitudinal change, increased productivity, implementation of plans etc. It discusses different types of training i.e. foundational, on-entry, in-service and the role of different Central Training Institutes in imparting these types of training to civil servants. The unit discusses the role, functions of the State Training Institutes and analyses the various measures which need to be taken to make the State Training Institute a nodal agency for training in the state.

Unit 12 Administrative Tribunals

An important feature of personnel administration is setting up of Administrative Tribunals which provides for adjudication of grievances relating to service matters of government employees. This unit deals with the evolution of administrative Tribunals with special reference to Central and State Administrative Tribunals. It discusses their structure, composition, jurisdiction, powers and authority. The procedure for application to the tribunal is also dealt with exhaustively. The advantages and limitations of tribunal are also analysed in the unit.

Unit 14 Career Planning and Development

Human resources are the most valuable asset in an organisation and it is essential to develop them to their fullest potential. Hence their career planning and development assumes an important place in personnel administration. This unit explains the meaning of career planning & development and brings out its importance. It discusses the different types of career, and the steps for bringing about career planning and development through recruitment, promotion and retention programmes. It highlights the fact that individuals have different career development needs at different stages of their career and also describes as an illustrative case the typical career pattern of a person belonging to the Indian Administrative Service.

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UNIT 10 ROLE AND FUNCTIONS OF DEPARTMENT OF PERSONNEL/ UPSC/SPSC/SSC

Structure

- 10.0 Objectives
- 10.1 Introduction
- 10.2 Need for Central Personnel Agency
- 10.3 Evolution of Department of Personnel
- 10.4 Structure of the Ministry of Personnel, Training, Administrative Reforms, Public Grievances, Pensions and Pensioners' Welfare
- 10.5 Role and Functions of the Ministry of Personnel, Training, Administrative Reforms, Public Grievances, Pensions and Pensioners' Welfare
- 10.6 Evolution of Union Public Service Commission
- 10.7 Constitution of the Union and State Public Service Commissions
- 10.8 Functions of the Public Service Commission
- 10.9 Advisory Role of the Public Service Commission
- 10.10 Staff Selection Commission — Genesis
- 10.11 Role and Functions of Staff Selection Commission
- 10.12 Structure of the Commission
- 10.13 Let Us Sum Up
- 10.14 Key Words
- 10.15 Some Useful Books
- 10.16 Answers To Check Your Progress Exercises

10.0 OBJECTIVES

After studying this unit, you should be able to:

- highlight the need for Central Personnel Agency,
- discuss the evolution, structure, role and functions of Ministry of Personnel, Training, Administrative Reforms, Public Grievances, Pensions and Pensioners' Welfare,
- trace the evolution of Public Service Commissions and comment upon their advisory role,
- discuss the functions of Public Service Commissions, and
- explain the structure and functions of Staff Selection Commission.

10.1 INTRODUCTION

The role of 'personnel' in 'administration' is crucial to its effective functioning and that is why 'personnel administration' is at the heart of Public Administration. If administration is the instrument at the hands of political executives who are responsible for the governance of the country in a democratic set up, the personnel constitute the pivot around which administration revolves. The broad goals of Public Administration, its functions and basis, policies and programmes, measures and methodologies, behaviour and action, its mission and vision and delivery system depend upon the personnel in administration. The total tone and quality of Public Administration is in fact dependent upon the personnel working in public offices and institutions.

It is therefore, of utmost importance that attention is focused on this vital 'input' i.e. personnel administration. While dealing with many of its integral aspects, the inevitable question that comes up for study is the organisation needed for it — that is

to say, who would plan for it, who recruits, selects and retains personnel who undertakes their deployment and development, who compensates, promotes and motivates, and other related aspects. All this has to be done not on an ad-hoc basis but as part of an institutional arrangement, as a system and as a continuous management task.

In Government of India, all these activities in relation to personnel are attended to the Department of Personnel which is the Central Personnel Agency. Then there is the Union Public Service Commission, (UPSC) an advisory body which is assigned the task of recruitment and selection of personnel to civil services. Similarly recruitment to lower level grades in administration is done through Staff Selection Commission (SSC). In this unit, you will study about the role, evolution and functions of the Department of Personnel, UPSC/SPSC and the Staff Selection Commission.

10.2 NEED FOR CENTRAL PERSONNEL AGENCY

The State today is no longer performing only the peripheral and regulatory function but in the perspective of the people's revolution of rising expectations, has become change agent, accelerator of economic development, prime mover of social advancement and upgrader of individual fulfilment and cultural enrichment. In the process, it permeates into various facets of the citizen's life. With the change in the purpose and philosophy of the state, the functions of the government have also correspondingly changed in terms of variety, complexity and universality. Due to expansion of the governmental tasks, methodology of operation of the administration would have to acquire a new direction and orientation. To meet the legitimate urgencies and demands of the people, the government must necessarily undertake massive modernisation programmes and transformatory tasks, converting the old traditional administration to a development administration defined by Weidner as an action-oriented, change-oriented and goal-oriented administrative system concerned with the achievement of definite programmatic objectives.

In such an administrative arrangement, "personnel" is the most significant of the three inputs, the other two being "machinery" and "methods". Organisational refinement and procedural sophistication cannot carry the administrative "delivery system" beyond a point, unless the personnel working on the machine and manipulating the methods can be made professional masters of their work. Total administrative system vitally depends for its effectiveness and ultimate success on its personnel sub-systems.

For grooming such personnel, professionally, motivationally and culturally a sound organisational support system is necessary. Creation of such an institutional structure can be found in what has come to be called Central Personnel Agency (CPA). The CPA constitutes the nodal agency for authority which is the clearing house for all significant personnel activities, which could give unified central direction in formulating futuristic policies and also in planning other developmental and promotional programmes. In other words, this institution, the Central Personnel Agency or Department, has to play the leadership role in respect of a dynamic and forward looking personnel policy-making and application of modern personnel practices. The value and validity of such an institution lies in its professional approach, multidisciplinary orientation and expert staffing, apart from bold experimentation in structural patterns.

10.3 EVOLUTION OF DEPARTMENT OF PERSONNEL

In a large and complex organisation like the Government of India, the personnel functions of the Central Government used to be performed by the Ministry of Home Affairs through its Services and Establishment Officer's Wings. In the discharge of these responsibilities the Home Ministry worked in close liaison with the

Establishment Division of the Ministry of Finance which was almost a joint-management exercise. The Union Public Service Commission, a constitutional authority set up under Article 315 of the Constitution of India, played a vital advisory role in this framework of Central Personnel Administration, besides making recruitment and selection through examination and interviews for the higher civil services and posts under the Union Government. There were also some other organisations and agencies, consultation with which was required for a comprehensive and effective management of personnel in government. This arrangement which continued till August 1970, made for division of responsibility and amounted to a lack of unified central direction in the matter of personnel. This emphasised the necessity of personnel functions being handled from a central direction, by a Ministry or Department which should be a focal point of direction and formulation, guidance and superintendence, evaluation and control. There was a need for making this Ministry or Department fully responsible for not only the current day to day tasks but also prospective, developmental programmes in the context of a changing environment of national goals and democratic socialist ideologies of a welfare state.

It was the Estimates Committee of the Third Lok Sabha (1966) which for the first time advocated the creation of a single agency under the Cabinet Secretariat, responsible for regulation of the terms and conditions of civil services. It observed that "the ever expanding role of the government in a welfare state with its national concomitant of a large civil service, calls for effective personnel control through a single agency. This unified agency should be under the control of the Cabinet Secretariat and made responsible for regulating the terms and conditions in respect of services as a whole, replacing the earlier dual control of the Home Ministry and the Finance Ministry".

In Britain also, at about the same time, the "Committee on Civil Service" under the chairmanship of Lord Fulton, after diagnosing the ills of multiple control and management system in the civil services in Britain suggested two major institutional changes:

- 1) the responsibility for recruitment and selection carried out by the Civil Service Commission should be brought together with other functions of central management within a single organisation.
- 2) The expanded and unified central management of the service should be made the responsibility of a new Civil Service Department created specifically for that purpose.

These recommendations were accepted by the British Government and accordingly a Civil Service Department was set up.

In India the Administrative Reforms Commission (ARC) enquired into the various aspects of public personnel administration in depth. The Deshmukh Study Team of the Commission which studied the machinery of the Government of India and its procedures of work has pointed out that "the fashioning of an effective central personnel agency and the allocation to it of all functions of an overall character in the field of personnel administration is one of the most important reforms required in the machinery of the Government of India". It visualised that the Central Personnel Agency should come into being in the form of a Department of Personnel with a full-time and wholly independent secretary as its head.

Visualised Personnel Functions of Central Personnel Agency (CPA)

Some of the principal functions of the Central Personnel Agency of the Government of India, as visualised by the Study Team, related to:

- 1) Formulating overall personnel policies, in areas like recruitment, promotion, morale, vigilance and discipline, career development, training and maintaining liaison with the UPSC and other concerned organisations;
- 2) Providing guidance and leadership to the departmental personnel agencies in personnel management, both generally and through advice on individual cases;
- 3) Hunting for talent and regulating appointment to key posts, keeping in touch with the process of the Bureau of Public Enterprises;

- undertaking and promoting research in personnel administration, serving as a clearing house of information on modern aspects of personnel management, and manpower planning for government requirements;
- overseeing generally the implementation of policies and regulations formulated by the department through a system of inspections and reporting.

Structural Blueprint for Central Personnel Agency

To effectively undertake the above charter of tasks, the following structural blue-print for the CPA had been suggested:

- i) A policy wing consisting of
 - a policy-formulation division; and
 - a policy implementation division.
- ii) A career systems wing consisting of
 - an appointments division dealing with key appointments, talent hunting, etc., and
 - a cadre management division dealing with management problems of the IAS and centralised aspects of Central Secretariat Service.
- iii) A development division for formulating development and training programmes.
- iv) An inspection and house-keeping wing consisting of
 - an inspection division to oversee implementation, and
 - a house-keeping division serving as the internal personnel office of the department.

ARC's Recommendations on Department of Personnel

The Administrative Reforms Commission (ARC) had generally agreed with the recommendations of the Deshmukh Study Team. The ARC's own recommendations in so far as Department of Personnel was concerned were as follows:

- a) A separate Department of Personnel should be set up, with a full Secretary in charge who should work under the general guidance of the Cabinet Secretary.
- b) This Department should have the following functions and responsibilities:
 - formulation of personnel policies on all matters common to the Central and All-India Services, and inspection and review of their implementation;
 - talent hunting, development of personnel for "senior management" and processing of appointment to senior posts;
 - manpower planning, training and career development;
 - foreign assistance programme in personnel administration;
 - research in personnel administration;
 - discipline and welfare of staff and machinery for redress of their grievances;
 - liaison with the Union Public Service Commission, State Governments, professional institutions, etc., and
 - staffing of the middle-level positions of the Centre (of Under-Secretaries and Deputy Secretaries) with the assistance of and on the advice of the Establishment Board.
- c) The Department of Personnel should not itself administer any service cadre. The administrative control of different service cadres should vest with individual Ministries and Departments concerned.
- d) The administration of the IAS, IPS and the centralised aspects of the Central Secretariat Service should be the responsibility of the Ministry of Home Affairs.
- e) The management of the Indian Economic Service and of the Indian Statistical Service should be transferred to the Department of Economic Affairs.
- f) The Cabinet Secretary should by convention be regarded as Secretary-General of the new Department of Personnel, without being formally so designated. He should be actively involved in the development of and selection for "senior management" but not in appointments below that level.
- g) The new Department of Personnel should be placed directly under the Prime Minister.

An Advisory Council on Personnel Administration may be set up to act as a feederline of new ideas and thinking on personnel administration. It should be composed of official and non-official experts in different aspects of personnel management drawn from all over the country.

The Establishment Board should be located in the new Department of Personnel and the Secretary of this Department should be its Chairman. The Board should deal with appointments only upto and including Deputy Secretary.

On the acceptance of the recommendations of the ARC, the Department of Personnel was set up in 1970. It was then located in Cabinet Secretariat and functioned under Prime Minister of India, assisted by a Minister of State in the Department of Personnel.

The question of location of Department was itself a thorny, somewhat politicised issue, debated differently in different quarters. While the Study Team of the ARC (headed by Deshmukh) suggested its being placed under the Ministry of Home Affairs, the ARC recommended its placement under the Prime Minister directly, to enable it to function under the general guidance of the Cabinet Secretary who should be regarded by convention as Secretary General of the Department of Personnel. The Government of India agreed with the ARC and lodged the Department in the Cabinet Secretariat where it remained till 1977, when, with the change of regime in the Central Government (from Congress Party to Janata Party) the Department was merged with the Ministry of Home Affairs as one of its Departments "within the Ministry". It again changed – from "within" to "under" the Ministry of Home Affairs as a separate Department in January, 1985. Finally, in March, 1985, the erstwhile Department of Personnel became a fullfledged Ministry of Personnel, Training, Administrative Reforms, Public Grievances, Pensions and Pensioners' Welfare under the overall charge of the Prime Minister assisted by a Minister of State for Personnel.

1.4 STRUCTURE OF THE MINISTRY OF PERSONNEL, TRAINING, ADMINISTRATIVE REFORMS, PUBLIC GRIEVANCES, PENSIONS AND PENSIONERS' WELFARE

The Ministry comprises three separate Departments viz.,
Department of Personnel & Training;
Department of Administrative Reforms and Public Grievances; and
Department of Pensions and Pensioners' Welfare

The three departments are functioning under the charge of Secretary (Personnel) who is assisted by three Additional Secretaries, six Joint Secretaries and other supporting staff including Directors, Deputy Secretaries, Under Secretaries, etc. The Department of Personnel and Training has six wings which are mentioned below along with a brief outline of their functions:

Policy & Planning Wing:

- Research in Personnel Administration; Liaison with expert institutions, Universities, Industries and Civil Services Department of Foreign Governments; Advice on Personnel Administration etc.

Training Wing:

- Formulation and Coordination of training policies for All India and Central Services; all establishment and training matters relating to the National Academy of Administration, Mussoorie, including Refresher Courses for IAS and other officers; training programmes sponsored at Indian Institute of Public Administration; liaison with training institutions within the country and abroad; National Training Policy; organisation of research/evaluation of training programmes, etc.

All India Services Wing:

- All matters relating to recruitment and post recruitment conditions of Service; framing and application of rules and regulations for the All India Services etc.

- iv) **Establishment Wing:**
- All Establishment matters; Union Public Service Commission, Staff Selection Commission, State Public Service Commission; Recruitment Rules; interpretation relating to Civil Service Rules and Regulations; determination of conditions of service for Civil Services etc.
- v) **Vigilance Wing:**
- Vigilance cases relating to officers of IAS, Indian Forest Service and some other Group 'A' services; disciplinary proceedings; Central Vigilance Commission (CVC) and State Vigilance Commission; establishment matters of Central Bureau of Investigation (CBI) and CVC; complaints of corruption relating to Central Ministries, State Governments, Union Territories, commercial firms etc.
- vi) **Executive Officer's (E.O.'s) Wing:**
- Processing of cases with the Appointments Committee of the Cabinet; all appointments of the Board of Management of the Public Sector Undertakings; Maintenance of Executive Record forms of IAS and Central Secretariat Service (CSS) officers; training of Central Secretariat Service Officers in State/Central Field Organisation; Training and Fellowship in Institutes in India and abroad; requests from Foreign Governments and International Organisations for Indian Personnel for service under them; Maintenance and proper custody of confidential reports of IAS and CSS (Gr.I and Selection Grade) Officers; Middle Management; Senior Management; Career Management, etc.

10.5 ROLE AND FUNCTIONS OF THE MINISTRY OF PERSONNEL, TRAINING, ADMINISTRATIVE REFORMS, PUBLIC GRIEVANCES, PENSIONS AND PENSIONERS' WELFARE

The Department of Personnel and Training within the Ministry of Personnel, Training, Administrative Reforms, Public Grievances, Pensions and Pensioners' Welfare is the central agency responsible for policy formulation and coordination of all activities in the sphere of public personnel management, including administrative vigilance, training, staff welfare, machinery for joint consultation and compulsory arbitration, reservation of scheduled castes and tribes and other categories in the civil services, administrative reforms, public grievances, and pensions. The Department does the rule-making job for the various all-India and central services, which include final interpretation of regulations in cases of doubt and also the overview of implementation and cadre management. It also concerns itself with developmental aspects of the civil servants through training (inside and outside the country), career management through experience-cum-productivity oriented deployment, deputation and assignments, applied and futuristic research on personnel policy and planning besides performing promotional functions by instituting objective rewards and punishment systems, conflict-management mechanisms and need-based employee-welfare schemes. The Department of Personnel controls IAS and Central Secretariat Services and looks after all administrative matters relating to Central Vigilance Commission (CVC) Central Bureau of Investigation (CBI), Administrative Tribunal, Union Public Service Commission, Staff Selection Commission and Indian Institute of Public Administration (IIPA). It also oversees the functioning of Lal Bahadur Shastri National Academy of Administration, Mussoorie and Institute of Secretariat Training and Management, New Delhi.

The Ministry during its two decades of existence, has undertaken some important measures like:

- Option of voluntary retirement to government employees after 20 years of service with 5 years additional service benefit.
- National Management Programme for Officers of Central/All India Services, of Public and Private sector executives in cooperative endeavour with four Indian Institutes of Management (Ahmedabad, Bangalore, Calcutta & Lucknow) and Xavier Labour Relations Institute, Jamshedpur which is a good effort to orient our administrators towards concepts of Management.

- Complete restructuring of the Pension scheme of Central Government which enables payment of pension and other benefits/dues by the date of retirement.
- The experiments of holding Pension Adalats and Shikayat Adalats for on-the-spot settlement of grievances of retired staff and others aggrieved.
- Special Recruitment drive for Scheduled Castes and Scheduled Tribes so as to wipe out the backlog of vacancies reserved for them but not filled by them.

The role of the Ministry, in the emerging context of modern day requirements of a democratic state should not lie just in the maintenance of status quo but in the building of a planned system where the best in the society gets attracted towards Civil services. The field for a modern Ministry of Personnel is vast impinging on every aspect of bureaucrat's life like career development, cadre management & review, staff welfare, public grievances, research in personnel policies etc. It is also true that it is not possible to bring about significant changes in all these areas at once in the present system. Resource constraint, paucity of adequate and trained manpower, structural support and many other factors tend to come in the way of reforms.

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

Comment upon the need for having a Central Personnel Agency.

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What were the recommendations of the ARC on the Department of Personnel?

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Discuss the functions of Ministry of Personnel, Training, Administrative Reforms, Public Grievances, Pensions and Pensioners' Welfare.

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0.6 EVOLUTION OF PUBLIC SERVICE COMMISSION

was the Government of India Act, 1919, which for the first time recognised the need for the setting up of a Public Service Commission in India. It was of the view that an expert body, free from political interference should be set up, entrusted with the task of recruitment of civil servants and regulation of their service matters. The objective of the Public Service Commission as indicated in the Act (vide section 96c) is to "discharge in regard to recruitment and control of the public services in India, such functions as may be assigned thereto by rules made by the Secretary of State in Council".

In 1924, the Lee Commission again recommended that the Statutory Public Service Commission contemplated by the Government of India Act 1919, should be set up without delay with the following functions:

- i) Recruitment of personnel for the public services and the establishment of proper standards of qualification for admission to these services.
- ii) quasi-judicial functions connected with the disciplinary control and protection of the services.

It was not until 1926 that the Public Service Commission was set up for the first time consisting of four members in addition to the Chairman. The functions of the Commission were advisory in nature. The Public Service Commission (Function) Rules of 1926 provided that the Commission be consulted on matters connected with

- recruitment to All-India and Central Services, Class-I and Class-II
- determining qualifications for recruitment by selection and syllabi for examinations
- promotion and disciplinary matters of these services
- pay and allowances, pensions, provident or family pension funds, leave rules and conditions of service of these services. The Lee Commission did not suggest for the establishment of similar Commission in the provinces.

Later, the first Round Table Conference held in London in 1930, the British Government in its Constitutional proposals of 1933 and the Joint Committee on Indian Constitutional Reforms (1933-34) emphasised the establishment of Public Service Commission in provinces in addition to the Federal Public Service Commission. These suggestions found a concrete shape in the Government of India Act 1935 which envisaged a Public Service Commission for the Federation and a Provincial Public Service Commission for each province or group of provinces. They were entrusted with the functions of conducting examinations for appointment to the public services and the government was under an obligation to consult the commission on major matters concerning their conditions of service.

With effect from 1st April, 1937, the then Public Service Commission at the Centre became the Federal Public Service Commission (FPSC).

With the promulgation of the Constitution of India on January 26, 1950, the Federal Public Service Commission came to be known as the Union Public Service Commission (UPSC). The objectives of the UPSC, in broad terms are:

- to conduct written examination and interview for the purpose of appointment to specified group of civil services and posts of the Government of India
- to advise the Government in matters of framing rules in regard to methods of recruitment, principles of promotion, disciplinary aspects, certain conditions of services such as disability pension etc.

10.7 CONSTITUTION OF THE UNION AND STATE PUBLIC SERVICE COMMISSIONS

In Part XIV- Chapter II of the Constitution of India, vide Article 315, it has been provided that:

- i) Subject to the provisions of this article, there shall be a Public Service Commission for the Union and a Public Service Commission for each State;
- ii) Parliament may by law provide for the appointment of Joint Public Service Commission if two or more states agree that there be one Public Service Commission for that group of States, and if a resolution to that effect is passed by the House or where there are two Houses, by each House of the Legislature of each of those States.
- iii) The Union Public Service Commission, if requested to do so by the Governor of a State, may with the approval of the President, agree to serve all or any of the needs of the State.

Membership

The Chairman and other members of the Public Service Commission are appointed, in the case of Union Public Service Commission or a Joint Commission by the President of India and in the case of State Public Service Commission, by the Governor of the State. It has also been provided that (as

nearly as may be) one-half of the members of every Public Service Commission should be persons who have held office for at least ten years either under the Government of India or under the Government of State.

Tenure

A member of a Public Service Commission holds office for a term of six years from the date on which he enters upon his office or until he attains, in the case of Union Public Service Commission, the age of 65 years and in the case of a State Public Service Commission or a Joint Commission, the age of 60 years, whichever is earlier.

On the expiry of the term of office, a person who held office as a member of the Public Service Commission is ineligible for re-appointment to that office. The Chairman of the UPSC shall be ineligible for further employment under the Government of India or Government of any State. However, on ceasing to hold office, the Chairman of a State Public Service Commission would be eligible for appointment as Chairman or as any other member of the Union Public Service Commission but not for any other employment. Similarly, a member other than the Chairman of the UPSC shall be eligible for appointment as the Chairman of the UPSC or the Chairman of a State Public Service commission but not for any other employment.

The President, or the Governor as the case may be, may determine, by regulations, the number of members of the Commission and their conditions of service, and also make provision as regards the number of members or the staff of the Commission and their conditions of services. Conditions of service of a member of the Public Service Commission cannot be varied to his disadvantage after his appointment.

Removal

The Chairman or any other member of the Public Service Commission can be removed from their office by the order of the President on ground of proved misbehaviour, after Supreme Court's enquiry and confirmation of guilt in accordance with the procedure prescribed under Article 145. The President in the case of UPSC or Joint Commission, and the Governor in the case of State Commission, may suspend from office the Chairman or any other member of the Commission in respect of whom a reference has been made to the Supreme Court, until the President has passed appropriate orders on the Supreme Court's report. The President, has the authority to remove by order the Chairman or any other member of a Public Service Commission, if:

- i) he is adjudged an insolvent, or
- ii) engages himself in any paid employment outside the duties of his office, or
- iii) he is unfit to continue in office by reason of infirmity of mind or body.

10.8 FUNCTIONS OF THE PUBLIC SERVICE COMMISSION

As stipulated in Article 320, the functions of the Public Service Commission are as follows:

- It shall be the duty of the Union and the State Public Service Commissions to conduct examination for appointments to the services of the Union and the services of the State respectively.
- It shall also be the duty of the Union Public Service Commissions, if requested by any two more States to assist those States in framing and operating schemes of recruitment for any services for which candidates possessing special qualifications are required.
- It shall be the duty of the Union Public Service Commission or the State Public Service commission, as the case may be, to advise on the following matters (on which a Public Service Commission shall have to be consulted),---namely,

- a) on all matters relating to methods of recruitment to civil services and for civil posts;
- b) on the principles to be followed in making appointment to civil services and posts and in making promotions and transfers from one service to another and on the suitability of candidates for such appointments, promotions or transfers;
- c) on all disciplinary matters affecting a person serving under the Government of India or the Government of a State in a civil capacity, including memorials and petitions relating to such matters;
- d) on any claim by or in respect of a person who is serving or has served under the Government of India or the Government of a State, in a civil capacity, that the costs incurred by him in defending legal proceedings instituted against him in respect of acts done or purporting to be done in the execution of his duty shall be paid out of the Consolidated Fund of the State;
- e) on any claim for the award of a pension in respect of injuries sustained by a person while in service under the Government of India or the Government of a State or under the Crown in India or under the Government of an Indian State in a civil capacity, and on any question as to the amount of any such award.

A Public Service Commission shall also advise on any other matter which the President, or as the case may be, the Governor of the State, may refer to them.

It has further been provided that the President, in respect of the all-India services also in respect to other services and posts in connection with the affairs of the Union (and the Governor in respect to other services and posts in connection with affairs of a State) may make regulations specifying the matters in which it shall not be necessary for a Public Service Commission to be consulted.

It is pertinent to note that a Public Service Commission need not be consulted in respect of appointment or posts in the services in favour of any backward class citizens or the manner in which claims of the members of the scheduled castes or tribes will be taken into consideration for appointment under Union or a State (in terms of Art. 335).

Through an Act of the Parliament (or Legislature of a State), additional functions may also be extended to a Public Service Commission.

The Public Service Commissions will be required to present annually to the President (or Governor as the case may be) a report as to the work done by the Commission and such a report shall be caused to be laid before each House of Parliament (or the Legislature of the State), together with a memorandum explaining the cases of non-acceptance by the Government of the advice of the commission and the reasons therefor.

10.9 ADVISORY ROLE OF THE PUBLIC SERVICE COMMISSION

The Public Service Commissions are entrusted with important constitutional duties and obligations and yet are assigned only an advisory role. The nature of the Federal Service Commission under the Government of India Act, 1935, was also advisory. The Public Service Commission renders advice to the government and the latter is under no legal obligation to act according to its advice. The constitution makers intended to give the Commission only an advisory role as they did not want the Cabinet or the Executive to be bound by the advice of any other agency.

But a question arises whether the Commission with its advisory status can effectively exercise its functions. Though the government is not bound by the advice of the Commission, necessary safeguards have been provided in the Constitution against the possible disregard of the advice of the Commission by the government. As said earlier, every year, along with the submission of the Commission's annual report before the House of Parliament in case of UPSC and the State Legislature in case of State Public Service Commission, a memorandum also needs to be presented, explaining the cases of non-acceptance of the advice of the government along with the

reasons. Further, any advice tendered by the Commission cannot be rejected without the approval of the Appointments Committee of the Cabinet. Due to these checks, the number of such cases had remained low.

The Public Service Commissions in their forty years of functioning has substantially realised the Constitutional objectives of equality of opportunity and non-discrimination amongst all citizens of India for public employment. Indeed, the Commissions have ensured that not only no preferential treatment is accorded to the "elites" of the society but also that candidates from backward classes and other strata of society, with intrinsic merit are also selected to the civil services to make it really "representative". The Commissions have also shown, in good measure, their firmness to stand up to "executive" pressure and stick to their stand and advice, without fear or favour.

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) Trace the evolution of Public Service Commission in India

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2) Discuss the functions of the Public Service Commission

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10.10 STAFF SELECTION COMMISSION—GENESIS

It may be seen from the functions of the Union and State Public Service Commissions that they recruit only a small percentage of the total number of positions in the Government of India or the States. The objective of setting up of Staff Selection Commission is to rationalise the arrangement of making lower level appointments to the non-technical grades of the Government of India.

The genesis of the Staff Selection Commission could be traced to the recommendations of the Estimates Committee of the Parliament. In its 47th Report (1967-68), it recommended the setting up of a Staff Selection Commission, taking the responsibility for conduct of examinations for recruitment to lower categories of posts from the Union Public Service Commission. The UPSC was overloaded with the task of holding examinations for recruitment leading to delays in the conduct of examinations, announcement of results leading to problems in filling up vacancies in the Government of India particularly at the junior levels. Hence there arose a need for constituting a separate body entrusted with the task of recruitment to the junior levels. As an interim measure, an examination wing was added to the Secretariat Training School which was re-named later as the Institute of Secretariat Training and Management.

The Administrative Reforms Commission (ARC) in their Report on Personnel Administration drew attention to the fact that the bulk of the staff of the government at the centre and in the states belonged to the class III and IV categories. Keeping in view the identical nature of qualifications required for entry into these posts in various offices, the Commission recommended pooling of the recruitments of the non-technical posts by different departments and selection of personnel either by

joint recruitment or through a Recruitment Board. After a careful consideration of this recommendation, the Government of India decided to constitute the Subordinate Selection Commission in 1975. It was renamed as Staff Selection Commission which came into existence in July 1976. The Commission is required to conduct examinations and make recommendations for recruitment to Lower Division Clerk's Grade, Stenographer's Grade and several other categories of Class III (Gr.C) appointments under the various departments and subordinate offices of the government.

10.11 ROLE AND FUNCTIONS OF STAFF SELECTION COMMISSION

The Staff Selection Commission in the first instance, took over all the ongoing functions relating to the conduct of examination previously performed by the Examination Wing of the Institute of Secretariat Training and Management. Slowly, the Commission has taken over by and large, all the middle and subordinate level non-technical recruitment of the entire central government establishments in and outside Delhi, which constitute numerically about 55% of the entire work force of the government.

The Commission is responsible for conduct of Clerks Grade examination; examinations for recruitment of Auditors, Junior Accountants, Income Tax and Central Excise Inspectors, Sub Inspectors of Delhi Police/CBI/Narcotics, Junior Technical Assistants etc. It also holds limited departmental competitive examinations for Upper Division Clerk Grade, Grade 'C' Stenographers, Grade 'D' Stenographers

The Commission follows three distinct procedures of recruitment:

- 1) Recruitment through written examination where personality traits are not considered important at the time of initial entry (eg. Lower Division Clerks, UDCs, Auditors, Stenographers etc.)
- 2) Recruitment through written examination and interviews where personality traits are important even at the initial entry stage (eg. Inspectors of Income Tax and Central Excise, Sub-Inspectors of Delhi Police, CBI etc.)
- 3) Selection through interviews where an All-India examination is not warranted but a proficiency or trade test is administered if necessary.

10.12 STRUCTURE OF THE COMMISSION

The Staff Selection Commission comprises a Chairman, Secretary and two members. It has a secretariat of 300 staff of which 47 are gazetted officers. The Commission has a network of six Regional Offices headed by Regional Director functioning at Allahabad, Bombay, Calcutta, Delhi, Guwahati and Madras. These assist the Commission in the implementation of its policies and programmes, supervision and overseeing of field operations, maintaining liaison with the state governments and making arrangements for smooth and impartial conduct of examinations and interviews at centres within their jurisdiction.

The Staff Selection Commission has lately assumed a new role of advising the Ministries/Departments/Organisations to review and recast essential and desirable qualifications for specific categories or groups of posts, having regard to the requirements of the job and availability of candidates. Also due to rigorous efforts made by the Commission in making its examinations popular in the areas where there is sizeable number of scheduled castes and scheduled tribes, there has been an enormous increase in the response of those categories in taking the examination.

It has emerged as a catalytic agent and motivator in organising pre-recruitment training programme for scheduled castes and scheduled tribes applicants through provision of centrally prepared coaching material, coaching-cum-guidance centres etc. It also undertakes special recruitment drive (special examination) for filling up vacancies reserved for blind, deaf and dumb candidates.

The procedures and practices adopted by the Staff Selection Commission as an examining and recruiting agency are largely based on the system adopted over the decades by the UPSC. But it has also made some innovations of its own to suit the requirements of mammoth recruitment at the base level of the government which contributes significantly to the stability of the administrative hierarchy.

Check your progress 3

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

1) What are the reasons for the setting up of Staff Selection Commission.

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2) Discuss the functions of the Staff Selection Commission.

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10.13 LET US SUM UP

In this unit, we discussed the evolution and importance of Central Personnel Agency, which is responsible for all personnel activities right from policy formulation to other promotional and developmental programmes. The unit highlighted the functions of the Department of Personnel which was created in 1970 as Central Personnel Agency, and later in 1977 became a fullfledged Ministry of Personnel, Training, Administrative Reforms, Public Grievances, Pensions and Pensioners' Welfare. This unit dealt extensively with the evolution and functions of Public Service Commissions in India which is responsible for recruitment and other service matters of civil servants. We have also discussed the advisory role of the Public Service Commission, and the necessary safeguards which have been provided in the Constitution against any possible disregard of the advice of the Commission by the government. Apart from the Union and State Public Service Commissions, there is a Staff Selection Commission created in 1976 with the responsibility of recruiting personnel to middle and subordinate level non-technical categories of posts in the government. The unit also explained the role and functions of the Staff Selection Commission.

10.14 KEY WORDS

Career Management: It is the task of ensuring orderly, systematised progression of people in organisation through a series of jobs or positions, each offering increased challenge, autonomy and responsibility. Its objective is to attain a better performance from its personnel in realising the goals of the organisation with the fulfilment of developmental needs of people working in it.

Feederline of new ideas: A channel through which ideas can be transmitted successively to the main system.

Insolvent: A person without money, goods or any estate sufficient to pay debts incurred by him/her.

Lee Commission: The Commission under the Chairmanship of Lord Lee set up in 1923 which was also known as Royal Commission on the superior civil services in India.

Manpower Planning: It is the process of developing and determining objectives, policies, programmes that will develop, utilise and distribute manpower so as to achieve economic and other goals.

Cadre Management: It is the task of periodic review of cadres of various services to bring about rationalisation of the cadre structure, with a view to enhance, the efficiency and morale of officers. It also includes making projections of requirements of personnel for future.

10.15 SOME USEFUL BOOKS

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Felix, A Nigro 1963. *Public Personnel Administration*, Holt: New York.

Government of India, *Administrative Reforms Commission, 1967. Personnel Administration - Report of the Study Team*, Manager of Publications: Delhi.

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Hazarika, Niru, 1979. *Public Service Commission: a Study*, Leela Devi Publications: Delhi.

India, Lok Sabha (Third), 1966. *Estimates Committee; 93rd Report – Public Services*, Lok Sabha Secretariat: New Delhi.

Sabharwal N.K., 1980. *Structure and Functions of Central Personnel Agencies in India in Asian Civil Services Technical Papers Vol.5* edited by Amara Raksataya & Henrich Siedentopf, Asian & Pacific Development Centre: Kualalumpur.

Stahl, O. Glenn, 1983. *Public Personnel Administration* (8th edition), Harper and Row Publishers; New York.

Verma, S.P. and S.K. Sharma, 1985. *Managing Public Personnel Systems*, Indian Institute of Public Administration: New Delhi.

10.16 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- Expansion in the tasks of government, which now has to undertake modernisation, development programmes, converting the traditional administration into development administration.
- Need to make the personnel working in organisations professional masters of the work as the administrative system depends on their effectiveness.
- Creation of an institutional structure like Central Personnel Agency for grooming such personnel in a professional manner.
- It shall be a nodal agency for giving unified central direction to personnel activities.
- Important role assigned to the agency in formulating forward looking, dynamic personnel policies and application of modern personnel practices.

- 2) Your answer should include the following points:
- Setting up of Department of Personnel with a Secretary in charge under the Cabinet Secretary.
 - Functions of the Department relating to formulation of personnel policies, development of personnel, research in personnel administration etc.
 - The Department to be divested of the function of administering any service cadre.
 - The Cabinet Secretary to be the Secretary General of the Department by convention.
 - The Department to be placed directly under the Prime Minister.
- 3) Your answer should include the following points:
- The ministry is responsible for policy formulation and co-ordination of activities in the sphere of personnel administration including administrative vigilance, training, staff welfare, administrative reforms, public grievances and pensions.
 - Exercise of control over Indian Administrative Service and Central Secretariat Services.
 - It looks after administrative matters relating to Central Vigilance Commission, Central Bureau of Investigation, Tribunal etc.

Check Your Progress 2

- 1) Your answer should include the following points:
- Recommendation of Government of India Act 1919 which for the first time recognised the need for setting up of a Public Service Commission.
 - Recommendation of the Lee Commission regarding the setting up of Public Service Commission.
 - Creation of Public Service Commission in 1926.
- 2) Your answer should include the following points:
- Conduct of examination for appointments to the services of the Union and States.
 - To render advice on matters relating to methods of recruitment to civil services and civil posts.
 - On principles to be followed in making appointment to civil services and posts and also in making promotions and transfers.
 - On disciplinary matters.
 - On claims by persons serving under the Government of India or state, for reimbursement of costs incurred in defending legal proceedings instituted against him/her or for award of pension in respect of injuries sustained by a person while in service under the government.

Check Your Progress 3

- 1) Your answer should include the following points:
- Increase in the workload of UPSC in holding examinations for recruitment.
 - Delay in conduct of examinations, announcement of results leading to problems in filling up vacancies at the junior levels in the government.
 - Recommendation of the Estimates Committee of the Parliament which stressed the need for setting up of Staff Selection Commission.
 - Commission entrusted with the task of recruitment to lower categories of posts in the Government of India.
- 2) Your answer should include the following points:
- Conduct of examinations for recruitment of Clerks, Auditors, Junior Accountants, Income-Tax, Central Excise Inspectors, Sub-Inspectors of Delhi Police/CBI/Narcotics etc.
 - Holds limited departmental Competitive examinations for UDC, Grade 'C' & 'D' Stenographers.
 - Renders advice to the Ministries/Departments/Organisations in reviewing, recasting certain essential and desirable qualifications for specific categories of posts.
 - Organises pre-recruitment training programmes for scheduled castes and tribes.

UNIT 11 CENTRAL AND STATE TRAINING INSTITUTES

Structure

- 11.0 Objectives
- 11.1 Introduction
- 11.2 Roles of Training
- 11.3 Types of Training
 - 11.3.1 Foundational Training
 - 11.3.2 On-Entry Training
 - 11.3.3 In-Service Training
- 11.4 Central Training Institutes
- 11.5 State Training Institutes
- 11.6 Functions of State Training Institutes
- 11.7 Making State Training Institute a Nodal Agency for Training in the State
- 11.8 Conclusion
- 11.9 Let Us Sum Up
- 11.10 Key Words
- 11.11 Some Useful Books
- 11.12 Answers To Check Your Progress Exercises

11.0 OBJECTIVES

After studying this unit, you should be able to:

- discuss the different roles of training,
- describe the types of training imparted by the Central Training Institutes,
- explain the functions of State Training Institutes, and
- discuss the various measures that can be taken for making the State Training Institute a nodal agency for training in the State.

11.1 INTRODUCTION

Training is an important input for human resource development. It can be viewed as a reciprocal process of teaching and learning, a way of acquiring knowledge and related methods of work. It lays emphasis on the critical significance and value of human asset, which, given the required orientation and knowledge can be more lasting than the other assets like physical, fiscal etc., which depreciate over a period of time. The inadequacy in personnel is directly related to the insufficiency of their training which, in a comprehensive sense, is the real remedy for augmenting manpower resources in Public Administration. The most practical and effective way to overcome this shortage is not by increasing the number of people in the organisation, but by instituting programmes of training to make available, as quickly as possible, the skilled and knowledgeable personnel (administrative, managerial, professional and technical). The objective is to make the available personnel functionally more useful, professionally more purposeful, better equipped and more relevant by creating newer capabilities. Training has indeed everything to do with these people in the organisation — their weaknesses, inadequacies, the changing of their attitude, or to say briefly, their entire life in the world of work; making them effective employees, perhaps better persons, aiming at the same time a brighter future for the organisation.

It was to keep in view the importance of training, and to make it an organised, systematic, comprehensive activity that, many training institutions were set up in India after Independence, both at the national and state levels. These institutes

impart a variety of training programmes like foundational, on-the-job, in-service etc. In this unit, you will study about different roles of training, the importance of Central and State training institutes and the nature of various training programmes, conducted by the institutes. It also highlights the role of State Training Institute as a nodal agency for training in the State.

11.2 ROLES OF TRAINING

Training is the process of inculcating in the employees appropriate habits of thought and action and development of necessary skills, knowledge and attitudes. The ultimate objective of training is to enable employees to become effective in their present and future tasks. Let us now discuss the different roles of training.

Training as a Basic Input for Performance

It is not enough to merely recruit qualified persons in government service. It is essential to train them towards the various goals and objectives of the organisation to which they belong and to provide them technical, conceptual and human skills for performance of different activities. If training is not imparted, perhaps such skills would be acquired partially by trial and error or by the application of the rule of thumb and in some cases after committing, several mistakes which might prove to be detrimental to the organisation as well as the public interest.

Training as an Aid to Attitudinal Change

Training enables entrants in the government service to become familiar with the specific objectives of their work in the organisation. It also makes them feel that they have a certain contribution to make towards the society through their work. Therefore, training generates in them an awareness of the role and importance of their work. Training also enables a person to develop the right attitude towards time and cost and thereby a sense of urgency in the disposal of work. It is again very helpful in developing the right work ethic and concern for the citizens and enables a person to appreciate a systems approach towards the work and thereby motivates him/her to cooperate with others in the performance of work.

Training as an Aid to Increased Productivity

Training develops proficiency in the specifics of work, this builds up confidence in the personnel and thereby increases their interest and capability in performance of tasks. In other words, training develops the personality of the employees and attunes to the requirements of work and thus, increases productivity, organisational effectiveness and efficiency.

Training as an Important Tool in the Context of Implementation of Development Plans

The need for training is all the more important in the present context of complex nature of work, larger in magnitude and multi-disciplinary in character. The implementation of plans and programmes for socio-economic development of the nation, alleviation of poverty in the rural and urban areas, and generation of employment to meet the demands of rising population requires considerable amount of involvement of personnel working in government departments in terms of time and attention and appropriate skills. In meeting the goals of development administration, training has a very important role of not only providing knowledge for personnel development and work skills, but also changing their attitudes and values.

Training as a learning process has to be continuous because the needs of development and modernisation cannot be met by the training of personnel at a single point of time. Training to be effective, should not be treated as an ad hoc exercise but as an on-going activity.

11.3 TYPES OF TRAINING

priorities of an area or field. Also it has its own clientele or target group that has to be trained and this determines the scope of operations of the institutions. Now let us discuss broadly, about the various types of training programmes conducted by the different training institutions.

11.3.1 Foundational Training

The fresh recruits to the civil services, who after successfully competing in the civil services examination join the services, need to be imparted some similar and common training. The basic objective of this type of training is that, irrespective of the educational disciplines from which the civil servants come, they should be exposed to the basics of administration, fundamentals of the country's socio-economic reality, political environment, government's ideology, the overall system of inter-relationships, inter-dependencies between the different organs, agencies of the government, between citizens and administration, etc. The idea is also that they should develop 'camaraderie' and civil service comradeship, which will prove helpful in their later careers when they work together in the various departments of the Government of India. This sort of training, is considered 'on campus training' when it is organised in one campus, under the same atmosphere, in the same surroundings to give them an idea of common living, understanding and functioning together. Keeping these objectives in view the foundational training programme for civil servants was evolved in 1959. Under this programme the recruits for IAS and other non-technical services coming through combined competitive/civil services examination are sent to the Lal Bahadur Shastri National Academy of Administration, Mussoorie.

This training now is extended to include recruits of higher technical services like Indian Railway Service of Engineers, Central Engineering Service (Roads) etc.

This sort of foundational training is also concerned with professional aspect of personnel development, it is concerned with the generation of skill, promotion of specific competence and improvement of particular job-centred efficiency. This type of training is conducted in professional training institutes, staff colleges etc. and also imparted on the job, or at the workplace through learning by objectives. This training is also essentially of an 'on-entry' type, different from 'in-service' or 'refresher' training the objective of which is to update the old skills or to impart new skills relevant to the functions performed. Foundational training, relating to professional tasks for the first inductees emphasises, besides showing improved ways of doing things and new technical know-how of work, the socio-cultural dynamics of the particular service.

11.3.2 On-Entry Training

This training, which can also be termed 'post-entry training' may take various forms like orientation, induction, on the job etc. This on-entry training is to be distinguished from later career programmes or in-service training which is given to the employee during their mid-career or 'maturation stage' i.e. at the higher/senior career stage. This in-service training about which, you will study later may take various forms like refresher training, retraining, managerial training (management development programmes), executive development programmes etc. On-entry training, at the entry point in service becomes very important, as it prepares fresh recruits to the new job. It is the training which is imparted after recruitment and before assignment to a job. The 'on-entry' training can be divided into the following phases:

Orientation

It provides a general introduction to public employment usually during the first few days or weeks of service. It is a sort of familiarisation exercise, which focuses on the work environment i.e. organisational set up, its aims and objectives, rights and duties of employees etc.

Induction

Induction training which is also a sort of post-entry training goes beyond orientation and involves instruction (at the outset of public employment) regarding the performance of tasks related to particular positions, of duties of a certain grade in a cadre or service. Induction training has a specific job-centred focus and includes

usually weeks or months of formal instruction soon after the initial appointment. The primary object of this is to accelerate the learning process of the individuals about the basics of work, its content, procedures, rules and regulations etc.

Induction training is imparted to recruits of All-India Services, Central and Technical Services in their own departments during the remaining period of probation, before being given independent charge. For instance, the Institute of Secretariat Management and Training at Delhi which is also a Central Training Institute conducts induction training for Section Officers of Central Secretariat Service and Indian Foreign Service (B) and orients them towards government procedures, noting, drafting etc. Also, it holds induction training programmes for directly recruited members of Indian Economic Service and Indian Statistical Service towards organisational set up of Central Secretariat and Parliament. Such courses are held regularly at various Central Training Institutes.

On-the Job-Training

This type of training is based on the premise that a person's best learning takes place on the job. This relates to 'learning while working' through "trial and error" method or informal practical introduction to the job or under the guidance of the first-line supervisor or other senior experienced persons in the organisation. This is purely job-centred i.e. training related to the nature of work and the place of work.

The rapid advance in the socio-economic, technological, educational fields makes it imperative, on the part of personnel, to update their knowledge and acquire specialisation. Hence the initial training and on-the-job training needs to be supplemented by in-service training which has to be imparted to the employee at the various stages of his/her career. This enables one to update necessary skills and knowledge and face the increasing job responsibilities. Now we will discuss the significance of in-service training and its various types.

11.3.3 In-service Training

In-service training is the training imparted to the employees in their mid-career or at a later stage in their service. Hence it is also known as mid (later) career training. Staff development is a continuous process and it is an important factor contributing to organisational effectiveness. The fundamental assumption behind in-service training is that since the basic or initial training imparted to the employees at the time of joining is not sufficient for their whole career, there is a need for inducting in them new knowledge, and skills, better attitudinal and behavioural patterns, which would enable them to face the rapidly changing technological and administrative environment. It stresses on the development of coherent thinking and problem solving ability, which enhances their performance levels.

A conference on issues in in-service Training organised by the Training Division of the Department of Personnel, Government of India in 1981 observed that in many organisations, the in-service training is sought to achieve the following objectives:

- to maintain the present standard of performance;
- to improve the present standard of performance;
- to give to the employees new skills necessary to meet changing job requirement;
- to enable the employees to perform jobs at higher levels as they rise in the hierarchy.

As we discussed earlier in the unit, in-service training takes the form of either refresher courses, retraining, or management training etc.

Refresher Courses

Often employees are imparted training time and again in their own occupational jurisdictions or functional areas or professional specialities. The basic objective of such courses is to enable them to refresh their knowledge and skills which they had learnt in their early careers, or to renew/sharpen their skills or to know certain new things, with which the employees, being immersed in the daily routine, have not been able to keep in touch. This is particularly so in technical occupations like, medicine, agriculture, engineering, science or other related professional fields. Refresher

programmes are conceived as 'consolidation of knowledge, skill and experience'.

In 1985, the Ministry of Personnel, Training Administrative Reforms, Public Grievances, Pensions and Pensioners' Welfare made it mandatory for all IAS officers of junior, middle and senior levels to attend the one week refresher course. This sort of vertical participation from junior to senior levels was necessary to facilitate interaction between those who formulate policies and those who implement them and provide for sharing of experiences in policy planning and programme implementation among participants.

Re-training

A somewhat different, though to an extent allied, concept of training is available in 're-training', which would include instruction in a new field of specialisation or at least an extensive training in the old field of specialisation. Ordinarily, re-training is imparted when an employee or a group of employees is to be assigned new tasks or expanded duties of such magnitude as to constitute almost a new work-assignment. This is necessary to offer the employee broader skills to tackle the job-challenges of a new area.

Management Training

Management Training is a relatively new and interesting development in the area of personnel management in general, and in the field of training, in particular. Though, generically it may cover all training above the supervisory level, the specific typology of this training is found in Executive Development Programmes (EDPs) and Management Development Programmes (MDPs). These programmes are meant for Group A officers of All India/Central Services. These are aimed at enhancing the awareness of middle level officers, towards the socio-economic environment, imparting knowledge of modern concepts and practices of management, providing an understanding of some of the modern management techniques and tools, and building up an appreciation of human factors in administration. The Executive Development Programme is of 6 weeks duration and intended for officers with 6-10 years service in Group A, while the Management Development Programme is of 4 weeks duration and is meant for All India/Central Services Group A with 11-15 years of service.

An assumption which is widely prevalent in the senior circles of bureaucracy is that the highest level of management does not need any kind of training and that there is very little for them to learn. Such assumptions are not only inaccurate, but also damaging to the public interest. It is true that their job does not basically involve the practice of any particular specialisation, it mainly involves policy-formulation, and rendering of advice, but to make their outlook and approach integrative and global, they also need to be exposed at times, towards specific studies of a set of policy problems or a detailed study of the whole policy making process in some area of administrative activity. In addition, this training has to be imparted in different ways of problem solving, leadership patterns, attitudinal changes, motivational techniques etc. This could be done by sending senior management to professional institutions for pursuing programmes of advanced training.

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) Comment upon the different roles of training.

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2) Discuss the significance of foundational training.

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In addition to these, the banking institutions and public sector undertakings also have their own training centres. Training institutions in the area of rural development have been set up too like for instance, the National Institute of Rural Development at Hyderabad, the Institute of Rural Management, Anand. These institutions are doing pioneering work in training for management of rural development. A number of state governments have also established their own State Training Institutes (STI's) which provide post entry and in-service training to members belonging to state civil services and other employees of government departments, about which you will study later.

The training institutions, besides conducting their own technical and professional programmes, organise short-duration, mid-career courses like Management Development Programmes (MDP), Executive Development Programmes (EDP), Management in Government Programmes (MIGP), depending on the seniority groupings of the trainees. The content of the training programmes cover areas like Personnel Management, Human Resources Development, Behavioural Sciences, Financial Administration, Rural Development, Municipal Administration, Organisation and Methods, Industrial Relations etc. The training institutes manage these programmes partly through their own faculty and partly through guest faculty invited from outside for their specialisation, expertise and experience in the specific areas of work.

11.5 STATE TRAINING INSTITUTES

The state civil services functioning at the intermediate levels constitute an important component to the civil services in India. In recent years, with the significant change in the nature and functions of the state government which includes maintenance of law and order, civic services, revenue collection, development activities, there has been considerable increase in the number of entrants to these services and other staff. The new tasks of government, calls for increasing degree of specialisation, modern management skills and techniques and also understanding and commitment on the part of personnel, to perform the tasks.

Training effort, by and large, in most states, has for long been a neglected aspect. The need for imparting institutional and on the job training to civil servants at various levels in the states has been emphasised by different Administrative Reforms Committees. These include Maharashtra Administrative Reorganisation Committee (1962-68), Andhra Pradesh Administrative Reforms Committee (1964-65), Mysore Pay Commission (1966-68). The need for formal and institutional training for civil servants was also clearly recognised by the Administrative Reforms Commission and its study team on State Level Administration (1967-69). Both recommended that each state should have a training college/institution. The study team felt that "training is a continuous process and should be imparted not only to new recruits but also to those who are already in service..... In a few states the institution of the officers training school is not in vogue. It is desirable that each state should have an officers Training School of its own". All these led to increasing awareness of training amongst the states and paved the way for setting up of State Training Institutes (STIs) in their respective states for providing post entry and in-service training to their employees.

There are about twenty one STIs. Some of the important ones are:

- i) Institute of Administration, Hyderabad.
- ii) Sardar Patel Institute of Public Administration, Ahmedabad
- iii) Haryana Institute of Public Administration, Chandigarh.
- iv) Himachal Pradesh Institute of Public Administration, Shimla
- v) Institute of Management in Government, Trivandrum.
- vi) Punjab State Institute of Public Administration, Chandigarh.
- vii) HCM Rajasthan State Institute of Public Administration, Jaipur.
- viii) Administrative Training Institute, Calcutta.
- ix) Administrative Training Institute, Nainital
- x) State Planning Institute, Lucknow.
- xi) Administrative Training Institute, Mysore.

11.6 FUNCTIONS OF STATE TRAINING INSTITUTES

The STI normally performs the following specific functions;

- 1) Provides training to officers of the All India Services allotted to the state with a view to acquainting them with the socio-economic, cultural and historical background of the state and the administrative system of the state government relevant to their functions and to sensitise them to problems peculiar to the state.
- 2) Conducts courses for officers of the All India Services and the state services which are sponsored by the various concerned ministries of the Government of India.
- 3) Organises foundation courses for officers of the state civil services with a view to foster a spirit of camaraderie in them and to orient them to common basic values of the administrative system of the state.
- 4) Organises induction courses for directly recruited officers of the State Administrative Services and such other services which do not have induction training facilities in their concerned departments. Training is imparted, at times, in specific areas like general management, financial management, office management, computer application etc., in cases where the departments concerned do not have adequate infrastructure to impart training in the above areas.
- 5) Conducts refresher and in-service training courses for officers of the state government in specific areas of interest.
- 6) Organises programmes for training of trainers of the departments and other training institutions in the state.
- 7) Ensures that appropriate and adequate training is imparted to officials of all the departments at all stages and at suitable intervals at departmental and other training institutions and coordinate all such activities in the state.

As discussed earlier there are about twenty one State Training Institutes in our country and it is necessary to bring about some degree of uniformity in their structure and activities. This can be done, by identifying the STI as the professional training institution for the State Administrative Service, adopting the pattern of training as imparted by National Academy of Administration (for IAS), for the State Administrative Service and also making the STI responsible for conducting a common foundational course for direct entrants to class II civil services to be followed by an inductational training programme.

1.7 MAKING STATE TRAINING INSTITUTION A NODAL AGENCY FOR TRAINING IN THE STATE

The State Training Institution as the Apex or nodal state level institution has a very important role to play in the training of personnel in the State. The main role of this institution is to not only organise induction, refresher, in-service training programme for the main services of the state, but also to assess the training needs of officers at different levels of all the departments/organisations at the state, and provide necessary training programmes. It has to draw up master plans for training of all the civil servants in the state. If the STI has to discharge its nodal role effectively, it has to assume the responsibility of evaluating training activities from time to time with a view to upgrading the standards of training.

The state training institute if it has to develop as a centre of excellence in training has to develop and linkages with relevant national level institutions in the country, horizontal linkage vertical with other STI's functioning at the same level in other states as to strengthen each other and provide a Co operation effect in the field of training. Also, the training activity should be decentralised, with the setting up of centralised training centres at the Regional/Divisional/District level for staff

recruited at the district levels. For instance, the Himachal Pradesh Institute of Public Administration has ten branches at its districts. Similarly the Institute of Management in Government, (Kerala) has two centres at Cochin and Calicut.

Another important aspect is the training of trainers of the Institute, as the quality of trainers determines the impact of the training programmes. The trainers need to be exposed to field research work where they are confronted with real life problems faced by the trainees encouraged to develop case studies for discussion during training programmes. They are also made aware of developments in training technologies on a continuous basis. Replacing the lecture system by more sophisticated systems like syndicates, role play, case study methods etc. becomes an absolute necessity. Also if the STI has to discharge its nodal role effectively, it has to assume the responsibility evaluating the training activities from time to time with a view to upgrading the standards of training.

The general approach to training and crucial role that the STI has to play in the overall context of training in the state, should be unexceptionable with necessary modifications to take into account the special circumstances and conditions in a particular state.

11.8 CONCLUSION

The number of training institutes, both at the centre and the states, is indeed very large. There has been a phenomenal growth in the types of training programmes as well as the categories of participants. A noteworthy feature of this is that the significance of training in generating new knowledge, skills and attitudinal changes is being realised. But one is tempted to infer, judging from the explosion of training programmes that, there has been significant changes in the efficiency and effectiveness of the governmental machinery, in achieving its goals, but unfortunately such a correlation cannot be positively established. The mushrooming of central and state training institutes is not commensurate with the output in terms of performance. There is always a long gestation period for judging the efficacy of training. It is a slow but steady process. For this the faculty, material, infrastructural facilities and latest techniques have to be harnessed and their quality improved. The objectives of training have to be defined, training needs have to be assessed, the existing infrastructure has to be utilised and further strengthened to meet future needs and the roles and functions of different training institutions have to be coordinated. A system needs to be evolved to absorb new training techniques and innovations and to share variety of experiences in training with other national and international institutions.

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 functions of State Training Institutes.

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2) What measures can be taken to enhance the role of State Training Institute as a nodal agency for training in the state.

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11.9 LET US SUM UP

Training has a very significant role to play as a basic input for performance. It acts as an aid to attitudinal changes and increases productivity. It is an important tool in the implementation of development plans. This unit has discussed the evolution of Central and State Training Institutes in our country. After independence, training became a focal point of concern of government and a part of personnel policies of the government. We also have read about the different types of training imparted to the personnel which includes foundational training, on-entry and in-service training. This unit has highlighted the functions of the State Training Institutes and has also discussed the steps to be taken to enhance the role of State Training Institute as a nodal agency for training in the state.

11.10 KEY WORDS

Camaraderie: Friendly fellowship

Comradeship: Companionship

Case Study Method: It is a technique of training which utilises actual or created problems as cases for trainees, who are expected to discuss, analyse the case and arrive at a course of action.

Gestation Period: The effect of training can be judged over a long period of time as it involves measuring the effect on various counts such as the adoption of tools and techniques whether quantitative or behavioural; all this can be seen only over a long period of time.

Learning by Objectives: Training imparted to the employees in the organisation, keeping in view the objectives of the organisation, its system and climate. It gives validity to whatever is learnt by the employees and also reinforces the application of new learning on the job.

Management Development: It refers to all learning experiences provided by an organisation to its employees for the purpose of providing and upgrading skills and knowledge required in current and future managerial positions.

Management in Government Programme: It is a training programme meant for officers of both central and state governments with 5-10 years of service in Group A or at least 8 years of service in Group B. This programme is aimed at acquainting them with theories and practices of management, its tools and techniques and upgrade their management skills. It orients them in general management, office management, financial management, project planning etc.

Organisational Development: It is a planned effort which involves systematic diagnosis of the organisation, the development of a strategic plan for its improvement and mobilisation efforts to carry out the programme or the plan.

Organisational Effectiveness: It refers to achievement of organisational goals, which contribute to overall objectives of the organisation through optimum utilisation of resources.

Role Play: It is a technique of training in which some problem, real or imaginary which involves human interaction is presented and then roles are assigned to the trainees which are enacted in the classroom. The central idea of role play is that the trainee understands the situation from a perspective different from his own like for example a manager attending a training programme and enacting the role of a trade union leader.

Rule of Thumb: A rule suggested on the basis of rough calculation by practical rather than scientific knowledge.

Systems approach to work: Developing in the employees a perspective of how the organisation has to be seen as one total system. Though organisation may consist of several parts, each part is dependent upon the other. Whatever decisions, problem-solving methods are to be adopted, the organisation as a whole has to be kept in view.

Syndicate Method: This method basically consists of dividing the trainees into a number of groups or syndicates to work on different subjects. These syndicates discuss the issues involved in the assigned subject and present a paper. This is learning through participation.

Trail and Error Method: It is that form of experimentation or problem solving in which a variety of methods or theories are tried and discarded before arriving at one which produces the desired result or correct answer to the problems.

11.11 SOME USEFUL BOOKS

Chaturvedi, T.N. (Ed) 1989. *Training in Public Administration: The changing Perspective*, IIPA: New Delhi.

Maheshwari, S.R. 1989. *Indian Administration* (4th edition), Orient Longman: New Delhi.

Mathur, Hari Mohan (Ed) 1982. *Issues in In-Service Training*, IIPA: New Delhi.

Mathur, Hari Mohan. 1980. *Training of Civil Servants in India in Training in Civil Services—India, Malaysia, Pakistan and Phillippines* Ed. by Amarakasataya and Henrich Siedentopf; Asian and Pacific Development Administration Centre: Kualalumpur.

Saxena, A.P. (Ed) 1985. *Training in Government-objectives and opportunities*, IIPA: New Delhi.

11.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- Role of training as
 - a basic input for performance
 - an aid to attitudinal change
 - an aid to increased productivity
 - an important tool in the implementation of development plans.

2) Your answer should include the following points:

- The foundational training is significant in that it provides exposure to the recruits regarding fundamentals of the country's socio-economic realities, political environment, ideology of the government and system of interrelationships between different organs, agencies of the government, between citizens and administration etc.
- It helps in developing 'Camaraderie' and civil service comradeship.
- It is considered on campus training where the civil servants undergo training under the same atmosphere, which gives them an idea of common living, understanding and functioning together.
- It helps in generation of skill, promotion of competence and improvement of efficiency of job performance.

3) Your answer should include the following points:

- In-service training contributes towards inducting in the employees fresh knowledge, newer skills, better attitudinal and behavioural patterns.
- Develops coherent thinking, problem solving ability which enhances their performance levels.
- Observations of the Conference on issues in in-service training organised in 1981, by the Training Division of Department of Personnel.

Check Your Progress 2

1) See section 11.6

2) Your answer should include the following points:

- Developing appropriate linkages with relevant national level training institutions and also with other state level institutions.

- Training activities of the State Training Institutes to be decentralised with setting up of regional and district training centres.
- Training of trainers.
- Incorporating new techniques of training like case study method, syndicates, role play etc.
- Evaluation of its training activities from time to time to upgrade its standards of training.

UNIT 12 ADMINISTRATIVE TRIBUNALS

Structure

- 12.0 Objectives
- 12.1 Introduction
- 12.2 Administrative Tribunals — Evolution
- 12.3 Structure of the Tribunals
- 12.4 Composition of the Tribunals
- 12.5 Jurisdiction, Powers and Authority
- 12.6 Procedure for Application to the Tribunals
- 12.7 Advantages and Limitations of the Tribunals
- 12.8 Conclusion
- 12.9 Let Us Sum Up
- 12.10 Key Words
- 12.11 Some Useful Books
- 12.12 Answers To Check Your Progress Exercises

12.0 OBJECTIVES

After studying this unit you should be able to:

- discuss the evolution of the Administrative Tribunals
- explain the structure and composition of the Administrative Tribunals
- describe the jurisdiction, powers and authority of the Administrative Tribunals; and
- state the procedure for application to the Tribunals.

12.1 INTRODUCTION

The objective of a Democratic Socialist Republic has obviously to be the welfare of the people in terms of economic, social and political development, level of the living and quality of life. India's Independence in 1947, marked a significant transition from exploitation, domination and discrimination to emancipation, national reconstruction and development. People, and their enrichment, in all its many splendoured aspects became the focus of the state. It had begun the gigantic task of nation building on a systematic basis through Five Year Plans and social progress within the frame work of a national-cultural consensus.

Simultaneously with the basic transformation in the philosophy of the state, the goals of the government and the courses of action for the administration also underwent a drastic change. The old law and order and revenue collecting administration became "development administration", to reflect the programmatic metamorphosis. To translate the developmental goals into reality the development administration has to depend upon bureaucracy. Administration cannot rise beyond the level of its personnel and hence, contented and motivated public personnel are essential to put into action the preferred developmental goals.

The personnel employed in government organisations become part of the government. But as individual employees, they may have certain grievances, complaints regarding their service matters against the government. All their problems, conflicts, grievances etc. need to be looked into expeditiously and with justice, objectivity and fairplay. Hence an appropriate institutional structure in the form of Administrative Tribunals was set up in our country entrusted with the responsibility of adjudication of service disputes of public service personnel.

In this unit, we will study about the evolution of the Administrative Tribunals with special reference to Central Administrative Tribunal. State and Joint Administrative

Tribunals, their jurisdiction, powers and authority. The composition of the Tribunal and its functioning will also be dealt with. The unit will also discuss the advantages and limitations of the Tribunals.

12.2 ADMINISTRATIVE TRIBUNALS — EVOLUTION

The growth of Administrative Tribunals both in developed and developing countries has been a significant phenomenon of the twentieth century. In India also, innumerable Tribunals have been set up from time to time both at the centre and the states, covering various areas of activities like trade, industry, banking, taxation etc. The question of establishment of Administrative Tribunals to provide speedy and inexpensive relief to the government employees relating to grievances on recruitment and other conditions of service had been under the consideration of Government of India for a long time. Due to their heavy preoccupation, long pending and backlog of cases, costs involved and time factors, Judicial Courts could not offer the much needed remedy to the government servants, in their disputes with the government. The dissatisfaction among the employees, irrespective of the class, category or group to which they belong, is the direct result of delay in their long pending cases or cases not attended to properly. Hence, a need arose to set up an institution, which would, help in dispensing prompt relief to harassed employees who perceive a sense of injustice and lack of fairplay in dealing with their service grievances. This would motivate the employees better and raise their morale which in turn would increase their productivity.

The Administrative Reforms Commission (1966-70) recommended the setting up of Civil Service Tribunals to function as the final appellate authority, in respect of government orders inflicting major penalties of dismissal, removal from service and reduction in rank. As early as 1969, a Committee under the chairmanship of J.C. Shah had recommended that having regard to the very large number of pending writ petitions of the employees in regard to the service matters, an independent Tribunal should be set up to exclusively deal with the service matters.

The Supreme Court in 1980, while disposing of a batch of writ petitions observed that the public servants ought not to be driven to or forced to dissipate their time and energy in the court-room battles. The Civil Service Tribunals should be constituted which should be the final arbiter in resolving the controversies relating to conditions of service. The government also suggested that public servants might approach fact-finding Administrative Tribunals in the first instance in the interest of successful administration.

The matter came up for discussion in other forums also and a consensus emerged that setting up of Civil Service Tribunals would be desirable and necessary, in public interest, to adjudicate the complaints and grievances of the government employees. The Constitution of India was amended to enable the setting up of Civil Service Tribunals (through 42nd amendment Article 323-A).

This Act empowered the Parliament to provide for adjudication or trial by Administrative Tribunals of disputes and complaints with respect to recruitment and conditions of service of persons appointed to public service and posts in connection with the affairs of the union or of any state or local or other authority within the territory of India or under the control of the government or of any corporation owned or controlled by the government.

In pursuance of the provisions of Article 323-A of the Constitution, the Administrative Tribunals Bill was introduced in Lok Sabha on 29th January, 1985 and received the assent of the President of India on 27th February, 1985.

12.3 STRUCTURE OF THE TRIBUNALS

The Administrative Tribunals Act 1985 provides for the establishment of one Central Administrative Tribunal and a State Administrative Tribunal for each state like

Haryana Administrative Tribunal etc; and a Joint Administrative Tribunal for two or more states. The Central Administrative Tribunal with its principal bench at Delhi and other benches at Allahabad, Bombay, Calcutta and Madras was established on 1st November, 1985. The Act vested the Central Administrative Tribunal with jurisdiction, powers and authority of the adjudication of disputes and complaints with respect to recruitment and service matters pertaining to the members of the all India Services and also any other civil service of the Union or holding a civil post under the Union or a post connected with defence or in the defence services being a post filled by a civilian. Six more benches of the Tribunal were set up by June, 1986 at Ahmedabad, Hyderabad, Jodhpur, Patna, Cuttack and Jabalpur. The fifteenth bench was set up in 1988 at Ernakulam.

The Act provides for setting up of State Administrative Tribunals to decide the service cases of state government employees. There is a provision for setting up of Joint Administrative Tribunal for two or more states. On receipt of specific requests from the Governments of Orissa, Himachal Pradesh, Karnataka, Madhya Pradesh and Tamil Nadu, Administrative Tribunals have been set up, to look into the service matters of concerned state government employees. A Joint Tribunal is also to be set up for the state of Arunachal Pradesh to function jointly with Guwahati bench of the Central Administrative Tribunal.

12.4 COMPOSITION OF THE TRIBUNALS

Each Tribunal shall consist of a Chairman, such number of Vice-Chairmen and judicial and administrative members as the appropriate Government (either the Central Government or any particular State Government singly or jointly) may deem fit (vide Sec. 5.(1) Act No. 13 of 1985). A bench shall consist of one judicial member and one administrative member. The bench at New Delhi was designated the Principal Bench of the Central Administrative Tribunal and for the State Administrative Tribunals. The places where their principal and other benches would sit is specified by the State Governments by notification (vide Section 5(7) and 5(8) of the Act).

Qualification for Appointment

In order to be appointed as Chairman or Vice-Chairman, one has to be qualified to be (is or has been) a judge of a High Court or has held the post of a Secretary to the Government of India for at least two years or an equivalent-pay-post either under the Central or State Government (vide Sec. 6(i) and (ii) Act No.13 of 1985).

To be a judicial member, one has to be qualified to be (is or has been) a judge of a High Court or has been a member of the Indian legal service and has held a post in Grade I of that service for atleast three years.

To be qualified for appointment as an administrative member, one should have held at least for two years the post of Additional Secretary to the Government of India or an equivalent pay-post under Central or State Government or has held for at least three years a post of Joint Secretary to the Govt. of India or equivalent post under Central or State Government and must possess adequate administrative experience.

Appointments

The Chairman, Vice-Chairman and every other member of Central Administrative Tribunal shall be appointed by the President and, in the case of State or Joint Administrative Tribunal(s) by the President after consultation with the Governor(s) of the concerned State(s), (vide Section 6(4), (5) and (6), Act No. 13 of 1985).

But no appointment can be made of a Chairman, Vice-Chairman or a judicial member except after consultation with the Chief Justice of India.

If there is a vacancy in the office of the Chairman by reason of his resignation, death or otherwise, or when he is unable to discharge his duties/functions owing to absence, illness or by any other cause, the Vice-Chairman shall act and discharge the functions of the Chairman, until the Chairman enters upon his office or resumes his duties.

Terms of Office

The Chairman, Vice-Chairman or other member shall hold office for a term of five years from the date on which he enters upon his office or until he attains the age of

- a) sixty five, in the case of Chairman or Vice-Chairman,
- b) sixty two, in the case of any other member, whichever is earlier.

Resignation or Removal

The Chairman, Vice-Chairman or any other member of the Administrative Tribunal may, by notice in writing under his hand addressed to the President, resign, his office; but will continue to hold office until the expiry of three months from the date of receipt of notice or expiry of his terms of office or the date of joining by his successor, whichever is the earliest.

They cannot be removed from office except by an order made by the President on the ground of proven misbehaviour or incapacity after an inquiry has been made by a judge of the Supreme Court; and after giving them a reasonable opportunity of being heard in respect of those charges (vide Sec. 9(2), Act No. 13 of 1985).

Eligibility for Further Employment

The Chairman of the Central Administrative Tribunal shall be ineligible for further employment under either Central or State government, but Vice-Chairman of the Central Tribunal will be eligible to be the Chairman of that or any other State Tribunal or Vice-Chairman of any State or Joint Tribunal(s).

The Chairman of a State or Joint Tribunal(s) will, however, be eligible for appointment as Chairman or Vice-Chairman or any other member of the Central Tribunal or Chairman of any other State or Joint Tribunals. The Vice-Chairman of the State or Joint Tribunal can be the Chairman of the State Tribunal or Chairman, Vice-Chairman of the Central Tribunal or any other State or Joint Tribunal. A member of any Tribunal, shall be eligible for appointment as the Chairman or Vice-Chairman of such Tribunal or Chairman, Vice-Chairman or other member of any other Tribunal.

Other than the appointments mentioned above the Vice-Chairman or member of a Central or State Tribunal, and also the Chairman of a State Tribunal, cannot be made eligible for any other employment either under the Government of India or under the Government of a State.

The Chairman, Vice-Chairman or other member shall not appear, act or plead before any Tribunal of which he was the Chairman/Vice-Chairman/member (vide Section 11(f), Act No. 13 of 1985).

The Chairman shall exercise (or delegate to Vice-Chairman or any other officer of the Tribunal) such financial and administrative powers over the benches, as are vested in him.

Salaries and allowances and other terms and conditions of service, including all retirement benefits in respect of Chairman, Vice-Chairman and members of the Tribunal will be such as prescribed by the Central Government and cannot be varied to their disadvantage, after appointment.

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) Comment on the need for setting up of Administrative Tribunals.

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2) What are the different types of Administrative Tribunals?

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3) What are the qualifications for appointment of Chairman, Vice-Chairman and members of Tribunals?

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12.5 JURISDICTION, POWERS AND AUTHORITY

Chapter III of the Administrative Tribunal Act deals with the jurisdiction, powers and authority of the tribunals. Section 14(1) of the Act vests the Central Administrative Tribunal to exercise all the jurisdiction, powers and authority exercisable by all the courts except the Supreme Court of India under Article 136 of the Constitution. This relates to matters of recruitment, other service matters in respect of officers belonging to all India Services or of members of Civil Services of the Union or those holding civil posts under the Union or Defence Service. No court in the country, except the Supreme Court is entitled to exercise any jurisdiction or authority in matters of service disputes. The same authority has been vested in the State and Joint Administrative Tribunal.

One of the main features of the Indian Constitution is judicial review. There is a hierarchy of courts for the enforcement of legal and constitutional rights. One can appeal against the decision of one court to another, like from District Court to the High Court and then finally to the Supreme Court. But there is no such hierarchy of Administrative Tribunals and regarding adjudication of service matters, one would have a remedy only before one of the tribunals. This is in contrast to the French system of administrative courts, where there is a hierarchy of administrative courts and one can appeal from one administrative court to another. But in India, with regard to decisions of the Tribunals, one cannot appeal to an Appellate Tribunal. Though Supreme Court under Article 136, has jurisdiction over the decisions of the Tribunals, as a matter of right, no person can appeal to the Supreme Court. It is discretionary with the Supreme Court to grant or not to grant special leave to appeal.

The Administrative Tribunals have the authority to issue writs. In disposing of the cases, the Tribunal observes the canons, principles and norms of 'natural justice'. The Act provides that "a Tribunal shall not be bound by the procedure laid down in the Code of Civil Procedure 1908, but shall be guided by the principles of natural justicethe Tribunal shall have power to regulate its own procedure including the fixing of the place and times of its enquiry and deciding whether to sit in public or private".

A Tribunal has the same jurisdiction, powers and authority, as those exercised by the High Court, in respect of "Contempt of itself" that is, punish for contempt, and for the purpose, the provisions of the contempt of Courts Act 1971 have been made applicable. This helps the Tribunals in ensuring that they are taken seriously and their orders are not ignored.

12.6 PROCEDURE FOR APPLICATION TO THE TRIBUNALS

Chapter IV of the Administrative Tribunals Act prescribes the procedure for application to the Tribunal. A person aggrieved by any order pertaining to any matter within the jurisdiction of the Tribunal may make an application to it for redressal of grievance. Such applications should be in the prescribed form and have to be accompanied by relevant documents and evidence and by such fee as may be prescribed by the Central Government but not exceeding one hundred rupees for filing the application. The Tribunal shall not ordinarily admit an application unless it is satisfied that the applicant has availed of all the remedies available to him under the relevant service rules. This includes the making of any administrative appeal or representation. Since consideration of such appeals and representations involve delay, the applicant can make an application before the Tribunal, if a period of six months has expired after the representation was made and no order has been made. But an application to the Tribunal has to be made within one year from the date of final order of rejection of the application or appeal or where no final order of rejection has been made, within one year from the date of expiry of six months period. The Tribunal, may, however admit any application even after one year, if the applicant can satisfy the Tribunal that he/she had sufficient cause for not making the application within the normal stipulated time.

Every application is decided by the Tribunal on examination of documents, written representation and at times depending on the case, on hearing of oral arguments. The applicant may either appear in person or through a legal practitioner who will present the case before the Tribunal. The orders of the Tribunal are binding on both the parties and should be complied within the time prescribed in the order or within six months of the receipt of the order where no time-limit has been indicated in the order. The parties can approach the Supreme Court against the orders of the Tribunal by way of appeal under Article 136 of the Constitution.

The Administrative Tribunals are not bound by the procedure laid down in the code of Civil Procedure 1908. They are guided by the principles of natural justice. Since these principles are flexible, adjustable according to the situation, they help the Tribunals in moulding their procedure keeping in view the circumstances of a situation.

12.7 ADVANTAGES AND LIMITATIONS OF THE TRIBUNALS

Administrative Justice through Administrative Tribunals, serves more adequately the varied and complex needs of modern society than any other method. It has also proved useful and effective. There are certain definite advantages of the Tribunals which are:

Appropriate and effective justice: The Administrative Tribunals are not only the most appropriate means of administrative justice, but also effective means of providing fair justice to individuals. Now the public service employees feel assured that in cases of denial of justice and fairplay to them, the Tribunals restore to them the benefits that rightfully belonged to them.

Flexibility: There is considerable amount of flexibility and adaptability in the functioning of Tribunals. Principles of natural justice play an important role in the operation of Tribunals. They are not bound by rigid rules of procedure or previous decisions or rule of law. The rules of natural justice are adaptable to the situation. While court justice tends to be highly technical, Tribunals are free from technicalities of law.

Less Expensive: Justice by Administrative Tribunals is inexpensive in terms of costs involved. This is in contrast to the long and cumbersome procedures involved in judicial courts and huge costs incurred in engaging lawyers, court fees and other

incidental expenses. Hence, the Tribunals have now become popular judicial forums which provide easy accessibility to the government employees, who are encouraged to move the Tribunal even in minor service matters.

Relief to Courts: The Administrative Tribunals have provided great relief to the judicial courts which are preoccupied with so many petitions relating to Civil, Criminal and Constitutional matters.

Despite these advantages there are certain limitations in the functioning of tribunals. These include:

- i) The Administrative Tribunals, do not rely on uniform precedents and hence, this might lead to arbitrary and inconsistent decisions.
- ii) There is no hierarchy of Administrative Tribunals and this has completely excluded the scope of judicial review on service matters.
- iii) The Tribunal consists of administrative members and technical heads who may not possess any background of law or judicial work.
- iv) The Administrative Tribunals as discussed earlier have the power to issue writs, which till now was exercised only by the Supreme Court and High Courts under the Constitution.
There is no clear cut provision regarding the sharing of authority of issuing of writs, between the Courts and Tribunals.
- v) One more inadequacy noticeable in the present Administrative Tribunals is from structural-functional angle. This is the absence of an appellate forum within the Tribunal which causes considerable inconvenience. For example, if a bench of the Tribunal gives a judgement, it has got applicability all over the country as there is only one Central Administrative Tribunal for whole of India and the various benches located in different parts of the country are parts of the same Tribunal. If there was such an appellate mechanism within the Tribunal system, wherein appeals can be filed against any unsatisfactory judgment, it would have been a desirable form of obtaining justice both for the government employees as well as the government.

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 procedure for making an application to initiate the matter before the Administrative Tribunal for redressal of grievance.

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- 2) Comment on the limitations of Tribunals.

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- 3) No court in the country, except the is entitled to exercise any jurisdiction or authority in matters of service disputes.

12.8 CONCLUSION

The number of Administrative Tribunals is constantly on the increase. This system has proved useful and effective. It not only provides relief to the ordinary courts but also ensures speedy and inexpensive justice for the public functionaries in cases involving their service matters. Administrative Tribunals claim a number of advantages which the ordinary courts of law do not possess e.g. low costs involved in fighting the case, accessibility, freedom from technicality, greater flexibility, expeditious disposal of the case and expert knowledge in specific field.

Despite these advantages there are two important factors which are posing problems in their effective functioning. Firstly, usually they are not manned by trained and experienced persons from judicial field, which is important to provide an adequate view of administrative action; and secondly, it is said that the officials working in the Tribunals generally do not have the impartial outlook and detachment which judicial officers would have.

Thus, it is essential to have judicial umbrella over the Tribunals to help in maintaining the 'quality of justice'. Therefore, there is a need for introducing more and more judicial elements in the Administrative Tribunals. Simultaneously, the law courts too should have sympathy and clear understanding of the administrative element to eliminate the unpleasant features.

12.9 LET US SUM UP

In this unit, you have read about the evolution of Administrative Tribunals, the objective of which is adjudication of disputes relating to service matters of public service personnel. It has given you an idea about the different types of tribunals, their structure, composition, jurisdiction, powers and authority. It has also highlighted the procedure for application to the Tribunals and also the advantages and limitations in their functioning.

12.10 KEY WORDS

Administrative Adjudication: Refers to a case in which an administrative agency in implementing legislative policy, determines issues or cases involving legal rights or obligations of private parties or agencies and is required to act judicially under a statute.

Administrative Tribunals: There are special bodies established by legislature to adjudicate upon certain disputes arising from administrative decisions or to determine specific issues; in a judicial spirit.

Bench/Bar: Traditionally the bench symbolically represents the judges and the bar, similarly represents the lawyers or the advocates.

Dissipate: Waste

Judicial Review: The Supreme Court of India has been vested with power of judicial review, which means, it can review the laws passed by the legislature and orders issued by the executive to determine their constitutionality.

Metamorphosis: Showing or relating to change of form, to develop into another form.

Principles of Natural Justice: The objective of these principles is to provide fair, impartial and reasonable justice. These principles include:

- 1. No person should be a judge in his/her own cause
- 2. No decision should be given against a party without affording them a reasonable hearing

- iii) Quasi-judicial enquiries should be held in good faith and without bias and not arbitrarily or unreasonably. To give every citizen a fair hearing is as much a canon of good administration as it is of a good legal procedure.

Rule of Law: Rule of law propounded by Lord Dicey, means that no person is above the law of the land and that every person, whatever be his/her rank or status, is subject to ordinary law and amenable to the jurisdiction of the ordinary Tribunals. Every citizen is under the same responsibility for every act done by him/her without lawful justification and in this respect there is no distinction between officials and private citizens.

Writ: It is a legal document that orders a particular person to do or not to do a particular thing.

12.11 SOME USEFUL BOOKS

Basu D.D. 1986. *Administrative Law* (2nd ed), Prentice Hall of India: New Delhi.

Gupta, Balram K., July-September 1985. *Administrative Tribunals and Administrative Justice (A review of the Administrative Tribunals Act, 1985)* *Indian Journal of Public Administration Special Number on Administrative Reforms — Revisited*, IIPA: New Delhi.

Jain, P.C., 1981. *Administrative Adjudication — A comparative study of France, U.K., U.S.A. and India*, Sterling Publishers Pvt. Ltd.: New Delhi.

Maheshwari, Shriram. 1990. *Indian Administration*, Orient Longman: New Delhi.

Nayak, Radhakant. 1989. *Administrative Justice in India*, Sage Publications: New Delhi.

12.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - To provide speedy and inexpensive relief to the employees in dealing with their service grievances.
 - Judicial courts because of their heavy preoccupation, long pending and backlog of cases, costs involved and time factors could not offer the much needed remedy to the government employees.
- 2) Your answer should include the following points:
 - Central Administrative Tribunals
 - State Administrative Tribunals
 - Joint Administrative Tribunals
- 3) Your answer should include the following points:
 - To be appointed as Chairman or Vice-Chairman, one has to be qualified to be (is or has been) a judge of High Court or has held the post of a Secretary to the Government of India at least for two years or an equivalent pay post.
 - To be qualified for appointment as an Administrative Member, one should have held at least for two years the post of Additional Secretary to the Government of India or an equivalent pay-post.

Check Your Progress 2

- 1) Your answer should include the following points:
 - An application should be in prescribed form, accompanied by relevant documents, evidence and prescribed fee.
 - Tribunal may admit an application on being satisfied that the applicant has availed of 'all the remedies' available to him under the relevant service rules.

) Your answer should include the following points:

- Arbitrary and inconsistent decisions.
- Exclusion of scope of judicial review on service matters.
- Lack of background of law and judicial work amongst members.
- No clear cut provision regarding the sharing of authority of issuing of writs between the courts and tribunals.
- Absence of an appellate forum within the tribunal.

Supreme Court

UNIT 13 CAREER PLANNING AND DEVELOPMENT

Structure

- 13.0 Objectives
- 13.1 Introduction
- 13.2 Career Planning and Development — Meaning
- 13.3 Importance of Career Planning and Development
- 13.4 Classification of Career
- 13.5 Steps for Career Planning and Development
- 13.6 Career Stages
- 13.7 Typical Career Pattern
- 13.8 Let Us Sum Up
- 13.9 Key Words
- 13.10 Some Useful Books
- 13.11 Answers To Check Your Progress Exercises

13.0 OBJECTIVES

After studying this unit you should be able to:

- define career planning and development.
- highlight its importance
- discuss the various types of career
- describe the steps for career planning and development; and
- explain career stages and typical career pattern.

13.1 INTRODUCTION

Career development, both as a concept and a concern is of recent origin. The reason for this lack of concern regarding career development for a long time, has been the careless, unrealistic assumption about employees functioning smoothly along the right lines, and the belief that the employees guide themselves in their careers. Since the employees are educated, trained for the job, and appraised, it is felt that the development function is over. Modern personnel administration has to be futuristic, it has to look beyond the present tasks, since neither the requirements of the organisation nor the attitudes and abilities of employees are constant. It is too costly to leave 'career' to the tyranny of time and casualty of circumstances, for it is something which requires to be handled carefully through systematisation and professional promoting. Fortunately, there has lately been some appreciation of the value of career planning and acceptance of validity of career development as a major input in organisational development.

In this unit, you will study about the meaning, classification of career and objectives of career development. There will also be a discussion about the different stages of an employee's career and career pattern of a person belonging to the Indian Administrative Service.

13.2 CAREER PLANNING AND DEVELOPMENT—MEANING

Broadly, the term career is used to refer to an individual's entire work life. It can be defined in a narrow sense, to be the succession of jobs and/or ranks held by a person in a particular organisation. An individual's career begins with placement in a job and ends with departure from the organisation which may be through retirement,

resignation or death. In between, the career progression consists of changing tasks, tenure in various jobs, temporary or permanent promotions, transfers etc.

Now, let us first try to understand the concept of career development or career planning. In this context, three definitions are presented below:

- i) Career planning and development are concepts which include all those events either happening to or initiated by individuals which affect a person's progress or promotion, his/her widening and/or changing employment possibilities and acquiring a different and normally higher status, better conditions of service or increased satisfaction with the job.

This definition, revolves round events or occurrences an individual goes through during his/her working period, which take him/her through the hierarchic ladder, expand his/her areas of duties and responsibilities lead to pay-raise and elevate his/her status.

- ii) Career development is the process which enables an organisation to meet its current and projected manpower requirement, through provision of career opportunities for its employees. It aims at optimising the effectiveness of human resources of the organisation, through planned development and their knowledge, skills and potentialities.

This definition places greater emphasis on the organisation and the objectives which are accomplished through developing the careers of individuals working in it.

- iii) Career planning refers to planned and systemised progression of events and development in the field of work or vocation of individuals during the employable periods of their life.

This definition seeks to balance the two dimensions i.e., the objective of the organisation and the individual ambitions of getting to the top. Career, it cannot be forgotten, is intensely particularistic in its basics; it must relate to an individual without whom it loses all relevance.

Whatever may be the aspects and areas of emphasis, career development, essentially is an integral part of a holistic human resources management of the organisation. It must concern itself with the growth of both individuals and the organisation. For as individuals, the employees seek their total fulfilment (personal, ego, social and economic needs etc.) in the organisation, and organisation in turn fulfils itself, its charter of goals, only through its employees. This mutuality, thus, represents a commonality of concern in the development of career. Individual and organisational careers are not separate. It becomes their responsibility to assist employees in career planning, so that both can satisfy their needs.

The basic character of career development is futuristic in the sense that its policies and programmes are devoted to tomorrow. It envisions distant horizons i.e. futures of the human components of organisation in the context of complementary development potentials. It is multidimensional in the sense that broadly, all the functions of management and multi-tiered aspects of personnel policy and practices from entry in the organisation to the point of separation from it, including, for example, recruitment, probation, training, deployment, transfers, promotion, motivation etc. have a bearing on career development. Career development is considered to be the 'pivot' around which the entire personnel management system revolves; it is the 'typhen' that joins each stage, phase, event of individual's work life; it is the 'buckle' that fastens an employee to the organisation.

Career planning or development is primarily 'proactive' in the sense that it must anticipate and take steps to manipulate future, rather than be overtaken by emerging situations. It does not belong to the realm of 'crisis management' nor is it related to mere 'maintenance' functions; it is the other name of 'future management'. The process involves smooth succession, symbolises systematised continuity and a planned progression with a pre-determined purpose.

13.3 IMPORTANCE OF CAREER PLANNING AND DEVELOPMENT

Since the most valuable asset of an organisation is human resources which generate the needed manpower, it is essential to retain them and develop them to their fullest potential. Career planning and development benefits both the individual and the organisation. Adequate succession planning helps an organisation by providing continuity and generating employee motivation. Also if the organisation is to survive and prosper in an ever changing environment, its human resources must be in a constant state of development.

Career planning and development is required and hence has to be designed to fulfil the following basic objectives:

- a) To secure the right person at the right time, in the right place. It assures the adequate availability of qualified personnel in the organisation for future openings. This has two facets:
 - positively, to make succession-planning timely and smooth;
 - negatively, to avoid a "square peg-in-a round-hole" in the organisation.
- b) To ensure that the road to the top is open for all.
- c) To facilitate effective development of available talent.
- d) To impart to the employee maximum satisfaction, consistent with their qualifications, experience, competence, performance as well as individualistic needs and expectations, leading to a harmonious balance between personal and organisational objectives. Individuals who see that their personal development needs are met tend to be more satisfied with their jobs and the organisation.
- e) To strengthen the organisation's manpower retention programmes based on adequacy of career compensation, motivation management. It seeks to improve the organisation's ability to attract and retain high talent personnel, since outstanding employees always are scarce and they usually find considerable degree of competition to secure their services. Such people may give preference to employers who demonstrate a concern for their employees' future. Proper career planning and development would insure against any possible dislocation, discontinuity and turnover of manpower.

To fulfil such a broad agenda of objectives, the organisation must analyse the strength and weaknesses of the existing infrastructure, its internal support system, the typical career patterns that require to be moulded according to particular needs, the elements that go into evolving and installing an effective career development programme etc.

13.4 CLASSIFICATION OF CAREER

Career can be of three sub-types:

- 1) **Monolithic career** is identified with pursuance of career in one institution or departmental jurisdiction.
- 2) **Cadre-career** is one where a cluster or conglomeration of posts are arranged vertically i.e. hierarchically from lower to higher with different levels of responsibilities. Here, any member belonging to that cadre, can be deployed to any of the posts, within the cadre-jurisdiction, commensurate with the seniority, pay, experience, qualification etc.
- 3) **Inter governmental careers** are identified with more than a single governmental jurisdiction. An example of this is All India Services, where members belonging to this service move from Centre to the States to occupy administrative positions. In America also, a good example of this kind of career pattern has been discernibly characterised by movement among the three levels of public employment—federal, state and local. This type of career pattern in a sense,

indicates the end of monolithic career identified with one institution or government.

There can also be two other concepts of career, namely, closed career and open career, depending on the limitations on entrance or the norm of recruitment. This closed career system can be described as 'Monastic' system, which means that once, at a young age, usually pre-determined, one enters the 'Monastery' or a specific cadre order, one has to spend an entire life time in that jurisdiction with no chance of coming out of it.

The open-type career system, permits entrance at any or all grade-levels, though this multi-level induction would be governed by certain qualification requirements and competitive eligibility conditions prescribed for such grades or groups of categories of posts. Those already in that service, on fulfilment of stipulated eligibility conditions, can apply for such recruitment. An important feature of the open career system is that there is positive encouragement for inducting of new talent at middle and upper levels.

There can be further classification of career system i.e. rank-in-job and rank-in-corps. In the former, the focus is on the assignments, the job to be performed and the fitting of an individual into the job. This job-oriented concept originating in the USA and Canada emphasises orderly classification of positions on the basis of duties and responsibilities. It is the logical corollary of systematic division of responsibilities and division of labour.

In the other type i.e. rank-in-corps, the focus is on the person. This is prevalent in the U.S.A. Here, assignment, training, utilisation, recognition, rank etc., are viewed in terms of the individual and the corps to which a person belongs rather than in terms of a merely structured hierarchy of positions. This system facilitates the matching of employee skills with job needs.

Of these various types of career, the cadre system enables a person recruited at the lowest point to go higher up, through a gradation of assignments which are all clustered or kept together in one cadre without a very precise and scientific position-classification system. This system of position classification is a characteristic feature of rank-in-job type of career, which we have discussed above.

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) Explain the meaning of career planning and development.

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2) What are the objectives of career planning and development?

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3) What do you understand by monolithic career, cadre career and inter governmental career?

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13.5 STEPS FOR CAREER PLANNING AND DEVELOPMENT

The career planning and development process is a continuous endeavour. If 'career' means a continuous and long stretch of professional work-life covering a series of jobs or positions of higher responsibility commensurate with time and experience, then there should be some planning, imparting management programmes for the incumbents whether they are operated through 'cadre' system or 'position-classification'. This begins with the placement of person through recruitment and goes on to ensure their growth potentiality through training, promotions, and adaptation of proper retention system.

Recruitment

Recruitment to positions in government is done from the open market to fill in the jobs in the organisation. It is undertaken, after doing a good preparatory assessment of current needs and anticipated manpower requirements on the basis of an analysis of estimated growth of the organisation, its diversification of functions and necessary skills required. This means there is an attempt at perfect matching of people and job. An important first step in this procedure is to prepare, an inventory of positions giving information about the duties, responsibilities and functions of each job, together with the requisite academic qualifications, training and skills, and personality traits essential for performing these duties and discharging the responsibilities. For building up this inventory, information has to be collected on the number of jobs and positions broken down into occupational groups and sub-groups at each level of career fields, the number of vacancies likely to occur due to normal turn-over, retirement etc. and the additional needs, or cadre expansions on account of implementation of developmental or new programmes. On the personnel side, for a proper development of career, it is simultaneously necessary to take stock of currently available manpower resources, compilation of requisite bio-data of existing incumbents, covering the levels of their knowledge, academic qualifications and training. This should also indicate a chronological record of different assignments held, skill drills gone through levels and kinds of exposure and quality of performance. Such informative data-details, together with an estimate for future manpower requirements (planned on the basis of available forecasting techniques) provide a sound base for planning, developing and managing the cadres of personnel in the organisation, including recruitment and selection of eligible and qualified personnel at various levels of hierarchy, at different points of time.

If recruitment from open market is to be designed, any such policy should be based on the organisation's philosophy or ideological concern. The organisation, has to decide whether problems of tomorrow can be solved by existing people with some appropriate training or re-training, whether there should be 'lateral entry' in each grade, what should be the correct age distribution of recruits etc., once the answers to these are determined, the organisation can proceed further.

At the same time, it is apparent that whatever option is exercised, the career development framework for all the people in the organisation is bound to be different. For obviously, career graph for a young recruit with 35 years to go will be differently drawn from the one for an older lateral recruit with only 10 years to go.

The policy of the management about an optimum mix of newcomers in the organisations and the old employees who have earned their way up, will determine what kind of career opportunities are to be made available to these two categories of personnel. In both the cases, the aspects that need to be kept in view in planning their careers are variety of exposures that need to be given to them in the corporate

interest, time span, hierarchy of grades to be built into the system, structure, policies of organisation and last but not the least the nature of management.

Promotions

There is no doubt that 'promotion' basically must be related to the 'tomorrows' of the organisation. It is important to note that current competence of individuals cannot alone be the basis for elevation but certain relevant traits are required like growth-potentiality, capacity to take on higher responsibilities, risk-bearing dynamism, a vision and a perception for total organisational progress. Indeed, if rewards are not commensurate with demonstrated accomplishments, the organisation is bound to suffer. Career planning, must include not only the very best and brilliant achievers in the organisation, but also those who are senior, averagely competent and adequate and who have rendered long service by growing with the organisation.

The whole system of promotion, owes its rationale to two important factors:

- Personnel factors connected with the reward for longevity, loyalty and good work; motivation for better performance, urge for recognition; search for job satisfaction and goal of self actualisation or fulfilment.
- Organisational factors connected with accomplishment of its objectives through obtaining of right persons at the right time within its own jurisdiction, generation and availability of such requisite skills and specialised knowledge specific to the relevant tasks and programmes.

Career development thus, will need to be balanced and dovetailed with the appropriate criteria for promotional decisions. The organisation should pay proper attention to the handling of people of different nature like for example, those who are over confident, those who are impatient, insecure etc. Programmes of re-training, redeployment etc. are to be suitably adopted as per the situational compulsions and adapted to individual needs of each target groups as different career types require to be planned and managed differently.

Retention

Apart from the promotion system, the employees' retention programmes policy must cover all other compensation packages, including salary, bonus, wages etc., which are financial in nature. Non-financial compensation covers the satisfaction that a person receives by performing meaningful job tasks or from the physical and psychological environments in which the job is performed. Needless to say, all this builds up an image of the organisation and exert influences against migration of employees from it. Developmental policy coupled with succession planning, particularly at the middle and top levels, which are critical ingredients of career development help in boosting the morale of personnel and strengthen the organisation organisational growth and progress. The motivation management operating through fringe benefits, satisfiers, motivators and so on, is crucial in career planning and development. Creating a sound infrastructure for satisfying the hierarchy of needs is equally an essential components. Motivation and satisfaction should be built into the job, internalised in the organisation's culture system. We cannot expect people working in the organisation to put in their best unless they are contented, are sure that they can look for a progressively better future through a just and fair deal in terms of compensations, rewards for good performance, futuristic job enrichment programme and other measures aimed at their self-fulfilment, it means, in short, a progressive and satisfying career. In other words, the organisation must have continual concern in the future of the employees, their career, whose development management has to be within their agenda of activities.

13.6 CAREER STAGES

Individuals have different career development needs at different stages in their careers. When an organisation recruits an employee in any of the grades of its cadre for a fairly long tenure, the employer must not only take interest in but also take constructive charge of the employee's career from then on. On entry, the employee is in a kind of 'budding' stage which really is the formative phase of his/her career. This stage is that of establishing identity. The organisation's responsibility at this stage is to

ensure that the employee's concerns are taken care of, he/she is helped to settle down and establish himself/herself. As you have read in unit 11 of this block at this stage, not only induction-training in the form of organisational work familiarisation programmes, but also technical or professional training or on-the-job training at the institutions are imparted to the employees. But at times, generalised foundational programmes are also developed, for example, like for civil servants so as to give them an 'input' (primarily academic) in economics, history, culture, social policy, constitution, issues of public administration etc. This sort of training also serves an important purpose of bringing together civil servants of different cadres for cross culturisation among themselves who would be meeting as colleagues while working in different areas in future.

The next phase is the establishment and developmental stage (also known as 'blooming' stage). This involves growing and getting established in a career. During this early career period, the executive would be in the junior administrative grade or selection grade. This is the period when the organisation must not only orient the employees in a manner that will create maximum learning opportunities and favourable attitude towards the organisation. It should also be ensured that the assignments assigned to them are optimally challenging by giving them a genuine test of their abilities and skills. In this stage, it is necessary to develop strategies for motivating a plateaued employee so that he/she continues to be productive. Another way could be to ensure an adequate transition from technical work to management work with suitable training and developmental opportunities, particularly for those who have management talent and want to occupy a managerial position. The programme that usually is organised at this level is what has come to be known as Management Development about which you have read in unit 11 (if the seniority range of the participants is slightly lower, then it is referred to as Management Orientation). Some area-specialisation input is also to be imparted so as to enable them to update their specialist skills. In other words, the developmental strategy is a blend of specialist-professional exposure combining certain aspects of theory and practice.

The executives/managers from this point, reach the higher career stages which would be stable or 'mature' (also known as 'full bloom' stage). People here would be in the super time scale, occupying senior management positions, involving high level policy and programming assignments. The organisation must at this stage help people to flourish, to the maximum extent possible by giving them wider range of responsibilities for performance and broader opportunities for adjusting to their changing role as their career shifts from the more specialised to generalised advisory role. In this top level stage of policy-planning-advisory area, the organisation must see to it that their career interests are catered for and self actualisation facilities are provided, which enables the employees to devote their full time, attention, energy to the organisation. Developmental strategies in this part of career, must then be orientéd towards policy making, programme planning and review and problem solving. The focus should be on advanced study and education for professionalised efficiency, total preparation for leadership, a kind of spiritual attitude reflected in a spirit of dedication to public service, and an urge to work for a cause higher than oneself etc.

The table below, gives an idea of the different phases of an individual's psycho-social and personality gradation and career elevation patterns. This helps in installing the career development and management programmes in an organisation.

Psycho-social phases and the career stages

	Social	Individual	Organisational
1)	Formative stage (Budding Stage)	On-entry career	Junior scale/grade
2)	Developmental stage (Blossoming stage)	Early career	Senior scale/grade
3)	Mature stage (Full bloom stage)	Mid career	Selection grade/ supertime scale
4)	Decline stage (withering stage or retiring stage)	Late career	Top management positions

13.7 TYPICAL CAREER PATTERN

Let us now understand the typical career pattern of a person belonging to the Indian Administrative Service. An IAS Officer in the junior scale on entry to the service, takes up junior positions in sub-division, Magistracy in cities/metropolitan areas, senior sub divisional charge or independent office charge in Collectorate. While in charge of such positions, spanning about four years, one prepares himself/herself for higher responsibility, before moving to senior scales in fifth year or so. In that phase he/she heads developmental departments, becomes Under Secretary or Deputy Secretary in the State Government. After nine years of service, an IAS officer while on deputation to Central Government, can be Deputy Secretary and Director, in the fourteenth year before entering the Selection Grade. After seventeen years of service, he/she can become Joint Secretary in the Centre, and in the State, become Commissioner of a Division or equivalent positions including Secretary to the State Government, in the super-time scale, Super-time Scale Officers i.e. Joint Secretary and above, including Additional Secretary and Secretary to the Government of India constitute Senior Management, who after periods of exposure to difficult challenges in the field, responsibilities in the Secretariat, and wide ranging experience in the developmental departments and public undertakings, take charge of the policy formulation, discharge planning, evaluation functions etc.

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 stages in the career of an employee?

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2) Explain the typical career pattern of a person belonging to the Indian Administrative Service.

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13.8 LET US SUM UP

Career planning and development, as a concept, though of a recent origin, has a very important place in personnel administration. It has become an integral part of human resources management in organisations. This unit has discussed about the meaning of career planning and development and the broad objectives it seeks to achieve in order to be beneficial for both the individual and the organisation. The unit has also dealt with the different types of career which includes monolithic career, cadre career, inter-governmental career, closed and open career. This unit highlighted the continuous process of career planning and development, which has to find place in the system of recruitment, promotion and retention. It has also given you an idea about the different career stages a person undergoes i.e. budding stage, blooming and mature stages and different career development needs required in these stages. As an illustrative case, the unit has described a typical career pattern of a person belonging to the Indian Administrative Service.

13.9 KEY WORDS

Deployment: Appropriate arrangement/organisation of personnel for fulfilment of functions.

Hierarchy of Needs: Abraham Maslow, in 1943 outlined the overall theory of motivation in his classic paper 'A theory of Human Motivation'. He analysed the relationship between the human beings and organisations from the stand point of 'human needs'. According to him, a person's motivational needs are arranged in a hierarchical manner running from lower to higher level. These needs are: physiological, security, social, esteem and self actualisation needs. Fulfilment of each need is a goal to a person at a point of time and hence once that need is satisfied, the person moves to the next order need. This process continues in the daily life of all human beings.

Incumbent: Refers to a person who officially holds a particular post at a particular time.

Motivation: Willingness on the part of employees to put forth their efforts in fulfilment of organisational goals.

Plateaued employee: An employee whose career reaches a stage when job functions and work content remain the same, with no change or further development. This condition demotivates the employee in work performance.

Position classification: It is the process of categorisation of positions in the organisation into groups or classes on the basis of their duties, responsibilities, qualifications, skills required to perform them. Here duties and responsibilities of positions determine pay and qualification requirement of persons.

Probation: It is the period which follows the appointment of a person in employment, during which the person's work performance, conduct and personality is assessed, by the superiors.

Redeployment: Reorganisation or redistribution of people for achievement of certain tasks.

Square peg-in-a round-hole: It is an informal expression meant to describe someone who does not seem to be suitable to fit into a particular position.

Succession Planning: An exercise done with the objective of providing continuity in succession or movement of qualified people to the positions in the organisation as and when the opportunities arise.

13.10 SOME USEFUL BOOKS

- Dey, Bata K., 1989. '*Civil Service Training and Career Management in India*' in *Training in Public Administration: The Changing Perspective*, IIPA: New Delhi.
- Goel, S.L., 1986. *Public Personnel Administration*, Sterling Publishers: New Delhi.
- Stahl, O' Glenn, 1983. *Public Personnel Administration*, (8th edition), Harpert Row: New York.
- Hondy, Wayne R. and Noe Robert M., 1987. *Personnel: The Management of Human Resources*, Allyn and Bacon Inc.: Boston

13.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Career planning and development includes all those events an individual undergoes in an organisation during working period, which takes the person through the hierarchic ladder with expansion in duties and responsibilities with resultant increase in pay and status.

- It is a process which enables an organisation to meet its current and future manpower requirement through provision of career opportunities for its employees.
 - Planned and systematised progression of events in the field of work of individuals during their employable periods of life.
- 2) Your answer should include the following points:
- Monolithic career is one which an individual pursues in one institution or department.
 - Cadre career is one where a person moves from lower to higher levels of responsibility as here the posts are arranged vertically. A member belonging to that cadre can be deployed to any of posts within that cadre jurisdiction that is commensurate with seniority, pay, qualification etc.
 - Inter governmental career is one in which a person moves from one level of government to another as in the case of members belonging to All India Services.

Check Your Progress 2

- 1) Your answer should include the following points:
- The 'budding' stage of an employee at the time of entry in the organisation. A person tries to establish oneself in this stage. It is the responsibility of the organisation to impart induction training at the stage.
 - Next is the 'blooming' stage where a person tries to develop and establish in the career. Maximum learning opportunities need to be provided and favourable attitude towards the organisation is tried to be created.
 - The third is stable or 'mature' stage where people reach the higher career stages in the organisation. The organisation needs to help the person to develop to maximum extent, give wide range of responsibilities.
- 2) Your answer should include the following points:
- A person belonging to the Indian Administrative Service on entry takes up junior positions in sub division, Collectorate for nearly four years.
 - Movement to senior scales in fifth year, where a person heads development departments.
 - Deputation to Central Government after nine years of service.
 - Entry to selection grade after fourteen years of service.
 - Reaching super time scale, where one becomes Joint Secretary, Additional Secretary in the Centre and in the State become Commissioner of a Division or Secretary to the state government or any other equivalent position.

NOTES





Personnel Administration

Block

4

PERSONNEL MANAGEMENT: POLICIES AND PRACTICES

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BLOCK 4 PERSONNEL MANAGEMENT: POLICIES AND PRACTICES

Block of EPA-04 is divided into 5 units. It will explain the personnel policies of recruitment, training, promotion and performance appraisal. Personnel functions have already been discussed in Block 1 of the course. This Block will deal with the functions in detail and in context of the civil services in India.

UNIT 14: Personnel Policy

The unit will explain the meaning of policy making. The public personnel system in India will be dealt with. The characteristics of personnel system, the various changes that have been brought out in the system, the constitutional policy and modern personnel functions will form a part of the unit. A detailed discussion on the suggestions of Administrative Reforms Commission regarding unemployment in personnel administration will be made. The unit will also explain the functioning of the Department of Personnel and the need for new personnel policy perspective.

UNIT 15: Recruitment (Reservation in Services)

The unit on 'recruitment' aims at familiarising students with the meaning of recruitment, its significance and essentials of a good recruitment system. The different types of recruitment will be highlighted. The unit will deal with the advantages of principle of merit recruitment.

UNIT 16: Promotion

The unit on 'promotion' will give an idea about the meaning and importance of promotion system in an organisation especially in context of civil services in India. The principles of promotion will be analysed and essentials of a good promotion policy will be highlighted. The unit will also deal with the promotion policy in India in detail.

UNIT 17: Training

This unit aims at familiarising us with the meaning, types and objectives of training. It will discuss the importance of training in developing countries like India. The evolution of training in India will be highlighted. The unit will throw light on the training techniques and methods and various institutions engaged with training in India. A critical evaluation of the Indian system of training will also be made. The process of training in India will be discussed. The need for reservation of posts in public services will also be highlighted and the constitutional provisions with regard to reservations will be dealt with.

UNIT 18: Performance Appraisal

The unit will discuss the meaning of performance appraisal, its objectives and importance. The methods of Performance Appraisal viz. efficiency rating system, merit rating system, service rating system etc. will be highlighted. Factors affecting performance appraisal will be dealt with. The unit will also discuss the drawbacks of the present system of performance appraisal and the recommendations of Administrative Reforms Commission regarding improving the system.

UNIT 14 PERSONNEL POLICY

Structure

- 14.0 Objectives
- 14.1 Introduction
- 14.2 Policy Making : Meaning
- 14.3 Public Personnel in India
- 14.4 Organisation for Personnel Policy
- 14.5 Department of Personnel
- 14.6 The New Policy Perspective
- 14.7 Let Us Sum Up
- 14.8 Key Words
- 14.9 Some Useful Books
- 14.10 Answers to Check Your Progress Exercises

14.0 OBJECTIVES

After studying this unit, you should be able to:

- ▶ examine the various normative personnel policies and practices that are followed at the macro level;
- ▶ highlight the gaps that exist between personnel policies and practices; and
- ▶ discuss the mechanism for evolving cohesive framework of constructive personnel management system.

14.1 INTRODUCTION

Administration is the means of translating the state policies into programmatic action. An administration can discharge its role only through the media of required resources, the most important of which is the human resource or human capital. Public Administration must, therefore, so fashion its policies and programmes that the resources upon which it depends are not only adequately mobilised but also effectively utilised. The same is true of the human resource also. Management of human resources, therefore, is an important ingredient in the management system of the government. For managing the human resource of the system, what is inescapably necessary is a well co-ordinated policy framework which integrates different aspects of personnel as an input.

The human input in management as a basic resource and not just a material commodity, has been a rather late realisation with the top management. For a long time, personnel in the administration has been taken for granted, they had not been taken as something which required to be treated with special consideration and distinctive differentiation. Personnel were considered to be nothing but mere cog in the organisational mechanism — which had its counter-productive toll on the system-efficiency. All this was due to wrong and misplaced policy-perception about the important contribution made by the personnel. This unit will try to highlight the meaning of personnel policy and constitutional policy especially in Indian context. The unit will deal with modern personnel functions and reports of the Estimates Committee and Administrative Reforms Commission on Personnel Organisation. A brief discussion on Department of Personnel and new policy perspective will also be made.

14.2 POLICY MAKING : MEANING

'Policy making' is one of the common terminologies used in the discipline of Public Administration and management, though more popular one is the 'decision-making', the differences between the two being those of depth and sweep, and not of quality of process. Decisions are taken by everybody, every moment, on every thing — whether they are of great significance or on comparatively inconsequential matters. Though, from a normative angle, the term 'policy making' refers to planned and calculated exercise in

rationality, in actual practice they are often subjective, probabilistic and arbitrary, as more often they are arrived at individually and not collectively.

Policy making is also a variety of decision-making, differentiated by the fact that policies are "generally taken to belong to the jurisdiction of more substantive or heavier significance, valid for a longer time-range and operative as a guiding framework for more sweeping action". Thus, policy making has been defined as "that dynamic process for a normative event, arrived at through assessment of relevant facts and evaluation of judgement, providing major guidelines for further action directed at the future with the object of achieving a given objective by the best possible means." The stages that are resorted to in this procedural exercise are — (i) isolation of issues, (ii) identification of problems, (iii) analysing the problems and looking for ideas, (iv) incubation (re-analysis of problems and development of ideas), (v) synthesis, (vi) evaluation, (vii) adoption of programme, (viii) implementation and (ix) follow-up.

However, though every decision and every policy are expected to be made on any subject after taking into account all available, relevant facts and evaluating requisite dimensions and alternatives involved, all the stages mentioned above are generally not relied upon in the actual practice. Under imperfect conditions of Public Administration, often the required data are not either available or made available to the policy-makers who, consequently, depend on their own particularistic experience, individualistic knowledge and professionalised expertise, combined with intuition, to come to what could be described as 'optimal' decision-cum-policy-making. It is not as if such decisions are necessarily 'bad decisions or policies' arrived at on such considerations are 'irrational policies'. The real issue in decision/policy-making in Public Administration is not that it is not formulated in accordance with a proper procedure but it is often formulated in an ad hoc manner, as a reactive response to certain emerging situations rather than in a pro-active manner based on futuristic planning, fore-thought or far-sight. This is also true of Indian Public Administration and policy-making in the country.

Indian Public/Personnel Scenario

Public Administration in India inevitably suffers from the same vices or inadequacies in forms of well-integrated, well co-ordinated and comprehensive policy framework. The public personnel administration is also characterised by similar ad hocism, confusion, chaos and haphazardness.

It is a common knowledge that Public Administration in this country has travelled a long way off, from the law and order and regulatory days of 1947 and before. Administration was then far removed from the people, having very little to do with the national development, economic regeneration, social progress and people's well-being; its temper was authoritarian and its style was deeply formalistic. Its aim being preservation of status-quo, administration was not developmental and promotional. 1947 was the significant watershed, providing the final parting of the ways with the past not merely in the administrative ideology but also in its operational ways.

These new changes were reflected in atleast the following three dimensions :-

- i) the purpose of the State has changed with the adoption of a new vision and mission of people's welfare;
- ii) the functions of the State have registered fundamental growth and phenomena 1 explosion in terms of variety, complexity and scale, together with the large size of machinery and structure;
- iii) the methodology of the State-operation has also undergone radical transformation in terms of innovative practice, dynamic process, data-handling technology and leadership styles;
- iv) the personnel in the system has also numerically expanded, in terms of categories, groups, specialities, etc.

But the old characteristic however, continue in that there has been no significant and radical change in the thinking and back-up action for reforming the system in the new functional context. There has been no new, novel and dynamic policy thrust in public management system in general and personnel system in particular.

The reality is that the days of negative, 'night-watchman' role performed earlier by the government are gone. The government, now has to play a more positive and pervasive part in shaping the citizen-life in all its multi-faceted aspects, more as an all round change-agent, accelerator of economic and social advancement, animator, if not the prime-mover, of total national development. Any modern government must harmonise the goals of the collective, communitarian welfare with the ideals of individual progress and enrichment of the quality of every life. General landscape of the new government is that it has to cater to the needs, demands and challenges of "the revolution of rising expectations" of the people who now, refuse to live under the shadow of poverty, hunger, illness, ignorance and squalor.

The Constitutional Policy

The personnel, in the context of the New Public Administration, as in India, have to be fine-tuned to the new ideology of the State and technology of dynamic, yet people oriented governance. They have to be enthused with the vibrant commitment towards the developmental objectives as enshrined in the basic charter of the State, that is, the Constitution of the country.

The Indian Constitution promulgated w.e.f. 26th January, 1950, makes eloquent pronouncement of the lofty ideals in its Preamble which assures justice, liberty, equality and fraternity to all its citizens; its section on Fundamental Rights makes provision for the individual safeguards against State authoritarianism and ensures fundamental freedom for all citizens. The Directive Principles of State Policy enjoin upon the State the fundamental duty to create a promotive environment so that the citizens can lead a life of happiness, richness and fulness. This Constitutional culture has developed on the government a much wider rectangle of responsibility to shape the entire fabric of social and individual life in a more positive and constructive fashion.

14.3 PUBLIC PERSONNEL IN INDIA

Against this changed ideological backdrop of the State, as a carrier of new values, the traditional 'folk-lore' administration in India has become development administration — "action-oriented, goal-oriented administrative system" concerned with the achievement of definite programmatic goals, in which the most important component is the personnel. Public Personnel Administration similarly constitutes the central focus of Indian administrative system. If this vital sector is neglected, deficiencies would develop in the other sectors as well. As in human organism so in administrative organisation, vitality is a function of internal health and not derived from external cosmetics or superficial make-up. People in the administration must be efficient, effective, professionalised and well-motivated to accomplish the goals set for them. This requires adoption of strategic policy for the induction, retention and optimal utilisation of personnel in the administrative system. The policy must cover all the aspects in the life of the human beings or personnel in government right from their birth in the bureaucracy to their separation from it.

Modern Personnel Functions

Some of the modern personnel functions of some significance may be noted, which would define in the ultimate analysis, the policy frame for personnel management :

- Survey of the contingent needs of the public services in the context of total development goals of the administration.
- Manpower planning
- Cadre management
- Job evaluation and position classification system
- Recruitment
 - Positive recruitment
 - Talent-hunting
 - Selection techniques
 - Psychological tests
- Training and development programmes
- Career systems planning
- Compensation and remuneration administration
- Motivation and productivity, participative management principles
- Welfare programmes

- Conduct, discipline and public service ethics
- Terminal benefits systems (Retirement benefits etc.)
- Developing personnel organisation and capability

The Government of India has also undertaken to perform many of these functions as its new charter of activities. The awareness to look at the personnel from new angles, as input needing constant renewal has not come overnight. Initially, there was no planned policy-guide for handling personnel in the public organisations. There was on the contrary, vast army of persons at the lower echelons, particularly at the messengerial (Group 'D' or Class IV) and clerical (Group 'C' or Class III) levels who, mostly were denied opportunities of growth and were engaged in non-productive and routinistic functions. They were psychologically demotivated and highly discontented as promotions in the civil service were beyond their easy reach; they were not suitably trained, and were left to fend for themselves; they constituted a kind of drainage on the efficiency of the government. The middle levels consisting of Group 'B' (or Class II) and some segments of Group A (or Class I) were also not comfortably, certainly not ideally, placed in terms of decision-making, delegation of power and exercise of constructive authority. The general management at the Group 'B' level was devoid of any sense of positive responsibility and felt cut off from the mainstream of functional bureaucracy.

Post-Independence Studies for Formulation of Personnel Policy

The conditions in pre-Independence period were attributable to a lack of well-thought-out policy and programming for the proper utilisation and motivation of public personnel. There was no plan for their career development; there was no uniform policy for objective performance appraisal and management of bureaucracy for merit-oriented achievement. This paucity of policy has not only hindered transaction of developmental goals but also nearly crippled the personnel administration.

After Independence there had been several investigations undertaken into the personnel system, together with structural and methodological aspects of Public Administration in India. Upto mid-60s there have been atleast twelve such investigations conducted by different Committees and Commissions as also by some eminent experts. They may be mentioned as follows :

- 1) The Secretariat Reorganisation Committee 1947
- 2) The Central (First) Pay Commission 1946-47
- 3) Report on Reorganisation of the Machinery of the Govt., 1949
- 4) Report on Public Administration, 1951
- 5) Report on the Machinery of Govt. — Improvement of Efficiency, 1952
- 6) Public Administration in India — Report of a Survey, (Paul Appleby) 1953
- 7) The States Reorganisation Commission, 1955
- 8) The Report on the Public Services (Qualification for Recruitment) 1956
- 9) The Commission of Enquiry on Emoluments and Conditions of Service of Central Government Employees (2nd Pay Commission) 1957
- 10) V.T. Krishnamachari's Report on Indian State Administrative Services etc. 1962
- 11) The Report of Committee on Prevention of Corruption, 1964 (Santhanam Committee)
- 12) Five Year Plans

All these reports have made their contribution towards making the personnel system more effective, and to align with the challenges of new environment. Their recommendations have made impact on policy formulation with an eye to dynamise public personnel management. But obviously, all these were not enough. The system still needed a lot of changes.

Check Your Progress I

Note 1) Use the space given below for your answers.

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

- 1) What do you mean by policy making ?

2) Briefly list out the functions of personnel management in modern times.

14.4 ORGANISATION FOR PERSONNEL POLICY

Apart from a lack of policy, there was also organisational deficiency to tackle the problems of personnel. There was no cohesive, centralised organisation in the Government of India from which the unified direction regarding personnel policies and programmes could flow. In the field of Central Government, with regard to personnel, the Ministries of Home Affairs (Services and Establishment Wings) and Finance (Establishment Division) all along had joint management responsibilities, with Union Public Service Commission playing an important advisory role. The Establishment Officer to the Government of India, functioning under the Cabinet Secretary, was another official agent for performing some high level personnel-placement tasks. All this made for division of responsibility and resulted in negation of unified central direction. There was more of crisis-oriented personnel management and less of a centrally planned, positive or forward looking thrust in personnel programming. It had led inevitably to attending to mere 'maintenance' functions at the minimum level, leaving out the more significant 'growth' functions at the optimum level. The casualty was again the personnel.

Estimate Committee's Report (1966) on Personnel Agency

To plug this organisational loophole, the Estimates Committee (of the Third Lok Sabha) in its 93rd Report (April, 1966) observed that "the ever expanding role of the government, in a welfare state with its natural concomitant of a large civil service, calls for effective personnel control through a single agency." This unified agency should be under the control of the Cabinet Secretary and made responsible for regulating the terms and conditions in respect of services as a whole, replacing the earlier dual control of the Home Ministry and the Finance Ministry.

Administrative Reforms Commission on Personnel Organisation

To attend to the emerging problems in the field of administration, the systematic deficiencies of the public governance and to look at the various issues in Public Administration from a holistic angle, the Government of India constituted an Administrative Reforms Commission in 1966. The terms of reference were elaborate and comprehensive. The sectors of administration which it was asked to look into were also quite exhaustive. The Administrative Reforms Commission assisted by 20 Study Teams submitted 20 reports of which 5 reports dealt with the public personnel administration, namely :

- 1) Report on the Machinery of the Government of India and its procedures of work
- 2) Report on Public Sector Undertakings
- 3) Report on Personnel Administration
- 4) Report on Centre-State Relationships
- 5) Report on State Administration

ARC's Report on Personnel Administration

'Personnel' was also the exclusive subject matter of one report, namely, Report on

Personnel Administration aided and advised by as many as 3 study teams, namely :

- 1) Patil Study Team on Personnel Administration;
- 2) Thorat Study Team on Recruitment, Selection, UPSC/State PSCs, and Training;
- 3) Nagarkatti Study Team on Promotion Policies, Conduct Rules, Discipline and Morale.

The Commission formulated its own recommendations on the various facets of personnel administration in India. This Report formulated important policies and programmes on the country's future personnel management system.

The Commission made specific policy suggestions related to:

Functionalism, Specialism and Staffing

- A functional field must be carved out for the IAS, consisting of land revenue administration, exercise of magisterial functions and regulatory work in the states and in the fields other than those looked after by other services.
- All posts in a functional area whether in the field or at headquarters or in the Secretariat should be staffed by members of the corresponding functional services or by functional officers not encadred in a service.
- The posts at the level of Deputy Secretary or equivalent at the Central headquarters, which do not fall within a particular functional area, should be demarcated into eight areas of specialisms as follows :
 - i) Economic Administration
 - ii) Industrial Administration
 - iii) Agricultural and Rural Development Administration
 - iv) Social and Educational Administration
 - v) Personnel Administration
 - vi) Financial Administration
 - vii) Defence Administration and Internal Security
 - viii) Planning
- Senior management posts in functional areas should be filled by members of the respective functional services.
- Senior management posts outside the functional areas should be filled by officers who have had experience as members of the policy and management pool in one of the eight specialisms. They should have completed not less than seventeen years of service.

Unified Grading Structure

- The posts in the civil service should be grouped into grades so that all those which call for similar qualifications and similar difficulties and responsibilities are grouped in the same grade. The number of such grades may be between 20 and 25.
- All the Class I posts may be evaluated and assigned to, say 9 common pay scales. These nine grades or pay scales may be divided into three levels, namely junior, middle and senior. The progress of an officer of an established Class I service along with the grades within each level should be on the basis of proved performance. Promotions from the junior to the middle level and from the middle to the senior level should be by selection.

Cadre Management Planning

- For all the services, advance projections should be made of the requirement of personnel for five years at a time. Mid-term appraisal also should be made if circumstances warrant it and necessary correctives made on the basis of the appraisal. Such projections should be made by cadre management committees which should be constituted.

Recruitment

- For the Indian Administrative Service/Indian Foreign Service and other non-technical Class I Services, recruitment should be made only through a single competitive examination, it being left to the candidates to express their order of preference for the different services.
- A Committee should be set up to go into the questions of devising speedier methods of recruitment, in general, of bringing down the proportion of candidates to posts, of reducing the expenditure on publicity, and of revising the syllabus of the examinations for the higher services.
- The upper age limit for entrance to the competitive examination may be raised to 26

- In order to provide greater opportunities for the advancement of talented personnel who are not already in Class I :
 - a) The quota of vacancies in Class I to be filled by promotion may be increased upto a maximum of 40 where the existing quota falls short of that percentage ;
 - b) Every one who has completed 6 years of service in Government and is less than 35 year of age may be given one and only one chance to sit for the open competitive examination for Class I non-technical services, irrespective of the chances already taken, provided that he/she fulfils conditions relating to educational qualifications.

Training

- Government should, with the assistance of experienced administrators and experts in training techniques, formulate a clear-cut and far sighted national policy on civil service training, setting out objectives and priorities and guidelines for preparation of training plans. Training for middle level management in the Secretariat (for Deputy Secretaries and other officers with equivalent status) should have the following three broad elements:
 - a) training in headquarters work;
 - b) special courses in each of the eight broad specialisms ; and
 - c) sub-area specialism training.
 Training in policy and planning should be provided as a part of training for all specialisms.

Performance Appraisal

- At the end of each year, the official reported upon should submit a brief resume, not exceeding three hundred words, of the work done by him, bringing out any special achievement of his. The resume should be submitted to the reporting officer and should form a part of the confidential record. In giving his own assessment, the reporting officer should duly take note of the resume and after making his own comments and assessment, submit the entire record to the next higher officer, namely, the reviewing officer. The reviewing officer should add his own comments, if any, and also do the grading.

Promotion

- Half of the vacancies available for promotion of Class II officers to Class I, including All-India Services, may be filled up by the existing method and the other half on the basis of an examination. Class II officers may be allowed to sit for this examination, provided that they have put in a prescribed minimum number of years of service, say, five, and have not been graded as 'not yet fit for promotion'.

Discipline

- Provisions should be made in the rules for summary disposal of disciplinary cases in respect of any misdeed or other irregular acts arising from insubordination, contempt, and unbecoming conduct including intimidation or threat of violence.

Tribunals

- Civil Service Tribunals should be set up to function as final appellate authorities in respect of orders inflicting major punishments of dismissal, removal from service and reduction in rank.

Voluntary Retirement

- A civil servant may be allowed to retire voluntarily after he has completed fifteen years of service and given proportionate pension and gratuity.

Incentives

- Incentives for timely completion of a specific project may be provided through suitable awards such as rolling cup or a shield. In individual cases, commendatory certificates may be issued.

These and other recommendations of the Report on Personnel Administration have far-reaching significance, in terms of restructuring the new personnel policy and affecting almost all public services.

14.5 DEPARTMENT OF PERSONNEL

The Administrative Reforms Commission (ARC)'s recommendations envisaged careful handling of the new dynamic and forward-looking functions in the field of

personnel. It required new policies in many areas and aspects. The old organisation for handling personnel matters was obviously inadequate to tackle the new personnel problems based on the recommendations of the Administrative Reforms Commission on the Central Personnel Agency. The Government set up in August, 1970, a new Department of Personnel. One of the Study Teams of the ARC, namely, Deshmukh Study Team on machinery of the Government of India and its Procedures of Work, had first made the suggestion that "the fashioning of an effective Central Personnel Agency and the allocation to it of all functions of an overall character in the field of personnel administration is one of the most important reforms required in the machinery of the Government of India." It was envisaged that progressive leads could flow out from the Department of Personnel if only the new departments were to induct into it persons from a variety of services, including the technical and professional, so that the leadership of the agency in the matter of personnel rested on a solid foundation.

The organisational structure of the Department of Personnel was as follows:

- Policy and Planning Wing
- Training Wing
- All India Services Wing
- Establishment Wing
- Vigilance Wing
- E.O. s Wing

It may be noted barring the Policy and Planning Wing, all the other Wings together with their functions existed in the Ministry of Home Affairs from which the Department of Personnel was carved out in August, 1970. The Policy and Planning Wing had been entrusted with the task of formulating and giving shape to the policy and planning activities in the field of personnel administration in the Government of India. This Wing also formed a base for a kind of 'perspective planning' — approach to personnel management and for all foundational-cum-applied research on overall aspects of public personnel administration. This charter of responsibilities could have been met only by staffing the Policy and Planning Wing with experts and professionals in personnel management. Also, it would have been better if certain amount of 'prioritisation' was done at the beginning itself, as there was a potent risk of the 'routine' taking over the germinal and significant activities in the government. This was exactly what happened. Policy Planning Wing (PPW) was entrusted with the normal responsibility of handling the Administrative Reforms Commission's recommendations contained in the report on Personnel Administration as also the day-to-day routine activities like Cadre Reviews through all the usual hierarchies of the government. No proper methodology for handling research studies was in fact evolved. Later several other items of routine work were also added to the PPW which took away research-thrust from its activities. The PPW degenerated into another normal Wing of the government, doing mostly regular routine functions and not, as originally envisaged, futuristic personnel studies on major policy issues.

Training Division, no doubt, did quite a bit of leadership role in the area of training, and functioned as a clearing house for all training ideas and programmes. But it also had to attend to so many routine jobs that its main functions as an apex policy-maker on training lost their focus and consequently suffered considerably.

The other Wings/Divisions had nothing very new to offer; they continued to do in the new Department of Personnel what they were doing in the old Ministry of Home Affairs. In the matter of staffing, the same old policy of relying on the conventional sources like IAS and other Central Services was followed, with no change at all. Structurally, the same old hierarchy and procedurally, the same old work-ways and styles were continued. No worthwhile professional infiltration was in sight, even though administration was assumingly getting technical and science and technology were making deep dent into governmental programmes. The tragic gap surfaced, because of the total lack of concern for new personnel policy, interlinking all the new ventures

Department of Personnel, as a Central Personnel Agency was a new structure-functional innovation in India on the lines of Britain's Fulton Committee recommendation on establishment of Civil Service Department to which the personnel functions of the Treasury (counterpart of India's Ministry of Finance) as also those of Civil Service Commission (counterpart of India's UPSC) were

transferred, in order to make it an integrated organisation for personnel administration. While British experiment was hailed by many as satisfactory, India's, however, was not considered to be very satisfactory and successful, as the later experience has proved. After the initial euphoria, it was seen that the Department was routinised, like any other Department of the government. None of the recommended measures relating to functional charter in the new areas, the dynamic thrust in procedural aspects of work, bold agenda of research, unconventional staffing patterns, cutting stranglehold of age-old bureaucratic hierarchy etc., were taken to make the new Department really effective. The leadership role of the Department was neglected and advantages of its direct working link with the Prime Minister through Cabinet Secretary were soon lost!

Even so, some, though not many new policies in the field of personnel were evolved at the initial stages of its existence, mainly on the basis of ARC's recommendations. These are:

Advisory Council on Personnel Administration

An Advisory Council on Personnel Administration, consisting of good mix of inside and outside experts, known professionals in the field, experienced Directors of Institutes of Management and Public Administration/National Academy etc. was set up, which was to function as a feederline of new ideas, developing research-base for radical policies and suggesting novel programmes. (After a two year tenure, however, the Council was disbanded!)

Premature Voluntary Retirement

The new scheme for Premature Voluntary Retirement with five years additional service benefit was adopted as a policy to weed out the dead woods or the inefficient personnel and those who are not comfortable in the government from functional and adjustmental points of view.

Administrative Tribunal

The Administrative Tribunal was another milestone in new policy experiments in the personnel. The civil servants all over the country have largely benefited from these Administrative Courts in terms of time, cost, harassment in alternative systems of grievance-handling.

Joint Consultative Machinery

Another important schematic innovation was Joint Consultative Machinery and Compulsory Arbitration (based on 2nd Pay Commission's recommendations) for conflict management with the employees. The Staff Relations Policy had its fruition in this JCM experiment which has largely been successful in averting agitational methods to settle employer-employee disputes. But these few new policy schemes apart, the history of the public personnel administration here is a story not to be very eloquent about!

14.6 THE NEW POLICY PERSPECTIVE

Personnel policy is an integrated function which encompasses many aspects of the personnel management. In fact, there are inseparable inter-linkages as amongst the diverse personnel activities. Personnel management starts even before the actual employment or recruitment in the organisation. In fact, recruitment itself has to be moulded by the overall employment policy of the organisation. Whether there has to be a greater proportion of direct recruitment i.e. emphasis on 'catch them young' as a principle or there should be more reliance on age, experience and longevity by promoting the people already in the organisation to higher positions are matters of policy which management has to decide before-hand. The long-term planning of cadre (if there is a 'cadre system' in the services) or determining individual positions (if there is a 'position classification system') have to be done in the beginning and also as a part of a policy of having the right person on the right job in the right time at the right cost. Even this salutary personnel principle is not followed in most of the organisations, though all pay lip service to this dictum. The methodological issues of recruitment and selection processes — whether there should be positive recruitment, 'campus'- recruitment or other forms of aggressive lateral recruitment, also constitute matter of overall recruitment programmes. The employment policy must have to be linked up with training and development policy, retention policy, promotion policy,

compensation policy, motivation policy, career management policy etc. Besides, there have to be well thought-out and positively articulated staff welfare policies and conflict management policy (i.e. Employer-Employee Relationship Policy). It is obvious that all these are basic building blocks of a comprehensive personnel policy. Unfortunately, they are not framed in any systematic manner nor are they followed in any effective fashion. There is too much of casualness and adhocism in this regard.

No serious attempt has been made to focus attention on the positive aspects of personnel growth and development of potentials. Looking into the 'human side of tomorrow' seems nobody's business. Talent hunting has been conspicuous by its absence. Careers for most are not managed by the senior management of the administration, on any scientific and objective basis with an eye on the future but they appear to manage themselves! Both rewards and punishment in the government and in other public organisations are tardily handled, no one can, under the rules, be sumptuously rewarded even if there is a high level of performance nor can any person be punished heavily for failure to achieve or even to perform. There is too much of safety, security and safeguard mechanisms in the government so much so that there can be only 'hiring' but no 'firing', once one is in. Public organisations in India do not seem to have any commitment toward staff motivation nor do they work for the development of their own people, with the result that there is no semblance of 'succession policy' anywhere in the public administrative system. The most common experience is the pervasive existence of a pernicious phenomenon called 'toplessness' in a large number of establishments. Vacancies, and consequential vacuum, often exist and persist for months at a stretch with concomitant adverse effect on efficiency. Targets are fixed but never seem to be achieved and there is no disgrace attached to target-slippage because goal-consciousness and result-orientation are not taken to be basic to our personnel policy framework.

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) Analyse the working of Department of Personnel.

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2) Discuss any three policy suggestions relating to personnel administration as made by the ARC.

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3) Briefly discuss the new policies that have been evolved in the field of personnel.

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14.7 LET US SUM UP

The analysis in the preceding unit reveals that whatever has happened is due to lack of professional approach to the personnel management. There is even less concern for evolving any positive policy towards public personnel who have been the object of callous neglect, and thoughtless indifference. The Public Administration has unfortunately ignored, the human being, the only asset that appreciates in time, the only resource that represents the 'dynamic difference' between success and failure of the organisation. The system has so far taken the human element for granted — while it should have been the other way round, the human element needs to be taken into account, in the computation of organisation's future policy planning, growth and prosperity. By not doing so, the administrative system has naturally plunged into irrationalities, anti-scientific attitudes, and exaltation of nowness and todayism i.e. functioning only for the present and not the future, the 'futurism' has been side-tracked, in fact jettisoned completely.

No holistic perception is there anywhere — there is too much of sectarianism, clannishness, and divisive outlook on the part of system managers and policy makers.

In the turbulent environment of dynamic development involving destabilisation, disequilibrium and discontinuity, human resource management policy needs to be equipped with thoroughgoing professionalism, scientific rationalism and objective futurism. But nothing of the kind is in evidence. Whatever the policy-makers do has nothing to do with policy making.

The result is that the personnel system has been suffering from crippling insufficiency, deficiency and incapacity to rise to the occasion, to meet the challenges of change. Personnel, because of a lack of back-up policy for them, have been doomed with no result-orientation, no innovation, no achievement-motivation, no dynamism, no hope for future. The people in the system have become and would remain prisoners of frozen orthodoxy, mindlessly following archaic rules and regulations tied to the apronstring of the past, and interested only in maintenance, not breakthrough. The system reflects negative characteristics and positive dysfunctionalities, but no policy to correct this imbalance and mismatch between vision and mission, between dream and reality, between promise and performance, has been adopted.

This unit has tried to throw light on the concept of public policy, efforts made so far to improve personnel system in India and the problems and loopholes confronting this system. One thing has to be remembered that the time is long past to rectify the past mistakes. Time is now to adopt the right policy for ushering in a right personnel system. There is no time to wait, no time to waste ! The subsequent units will give you an idea about the different policies and practices of public personnel system.

14.8 KEY WORDS

Directive Principles of State Policy : These principles are enshrined in Chapter IV of the Constitution, these are in the nature of general directions or instructions to the State. These embody the objectives and ideals which the Union and State governments must bear in mind while formulating policy and making laws.

Fraternity: The idea of fraternity ensures the dignity of the individual and unity and integrity of the nation.

Fundamental Rights: The citizens in a democracy enjoy certain rights without which he/she cannot achieve the fullest physical, mental and moral development. These rights are fundamental. The doctrine of fundamental rights implies that the government exists for the sake of individuals whose freedom and happiness are of great importance. These are justiciable rights and are enshrined in Parts III & IV of the Constitution. These rights are available to all citizens and are binding on all public authorities in India, on the Central Government as well as state governments and local bodies. These rights are right to equality, right to freedom, right against exploitation, right to religious freedom, cultural and educational rights and right to Constitutional remedies.

Human Capital : Sum total of knowledge, skills and aptitudes of the people in the society.

Manpower Planning : It is the process of developing and determining objectives, policies and programmes in an organisation that will develop, utilise and distribute manpower in order to achieve economic and other goals.

Perspective Planning: Long-term overall planning.

14.9 SOME USEFUL BOOKS

- Ghosh, P, 1969. *Personnel Administration in India*, Sudha Publications (P) Ltd.: New Delhi.
- Goel, S.L. 1984. *Public Personnel Administration*. Sterling Publishers Private Limited : New Delhi.
- Cdiorne, George S, 1962. *Personnel Policy : Issues and Practices*, Charles E. Merrill Books, Inc.: Columbus, Ohio.
- Stahl, O. Glenn, 1975. *Public Personnel Administration*, Oxford & IBH Publishing Co.: New Delhi.
- Sampson, Charles, 1983. *Values, Bureaucracy and Public Policy*, University Press of America: London.

14.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points
 - policy making is a variety of decision-making
 - it is arrived at through assessment of relevant facts
 - it is a procedure that involves identification of problems, analysis, adoption of programme, implementation and follow-up
 - sometimes policy makers depend on their own particularistic expertise, knowledge and experience to formulate policies.
- 2) Your answer should include the following points
 - manpower planning
 - cadre management
 - job evaluation
 - position classification
 - career systems planning
 - remuneration administration
 - motivation
 - welfare programmes

Check Your Progress 2

- 1) Your answer should include the following points
 - the organisational structure of the Department of Personnel comprises Policy and Planning, Training, All India Services, Establishments, Vigilance and E. O. 's Wings
 - the Wings are involved with performance of their respective functions
 - the functioning of the Department showed a lot of problems
 - none of the recommended measures relating to functional Charter in the new areas, was taken to make the new Department effective
 - the leadership role of the Department was neglected.
- 2) Your answer should include any three of the following points recommendations regarding
 - unified grading structure
 - cadre management planning
 - recruitment methods
 - training
 - performance appraisal
 - promotion
 - discipline
 - tribunal

- retirement benefits

3) Your answer should include the following points

- setting up of Administrative Tribunal
- introduction of voluntary retirement scheme
- establishment of Joint Consultative Machinery
- establishment of Advisory Council on Personnel Administration.

UNIT 15 RECRUITMENT (RESERVATION IN SERVICES)

Structure

- 15.0 Objectives
- 15.1 Introduction
- 15.2 Importance of Recruitment
- 15.3 Meaning of Recruitment
- 15.4 Process of Recruitment
- 15.5 Types/Methods of Recruitment
- 15.6 Merit System
- 15.7 Methods of Testing Merit
- 15.8 Essentials of a Good Recruitment System
- 15.9 Recruitment System in India
- 15.10 Need for Reservations
- 15.11 Constitutional Safeguards
- 15.12 Reservation of Posts in Public Services
- 15.13 Let Us Sum Up
- 15.14 Key Words
- 15.15 Some Useful Books
- 15.16 Answers to Check Your Progress Exercises

15.0 OBJECTIVES

After reading this unit, you should be able to:

- explain the meaning and importance of recruitment in the personnel administration
- highlight different steps in the process of recruitment and throw light on the different types of recruitment
- describe the origin and importance of 'merit system' in recruitment and the various methods followed for testing the merit and suitability of the candidates
- discuss the Indian system of recruitment of civil servants and its limitations; and
- examine the need and provisions relating to reservation for scheduled castes and scheduled tribes etc., in the civil services in India.

15.1 INTRODUCTION

We all know that the manifold functions of modern governments are carried out jointly by the ministers and civil servants. Civil servants are the full-time, paid, permanent, professional servants of the State. They are taken in the service of the State by a process which is called the process of recruitment. The quality and efficiency of the civil service depends upon the policy of recruitment. If the recruitment policy is good, then the country will have better and efficient civil servants and then naturally the administration will be successful. But if the recruitment is neglected, then the administration will fail and the civilised life may collapse. We can, therefore, say that 'recruitment' is considered as the most important aspect of personnel administration in all the countries. If undeserving and inefficient persons are recruited in the services, no amount of training can improve the country's administration. In the present conditions, due to the scientific and technological progress many new problems have come up before the administration. In order to solve these problems, able and meritorious persons are needed in administration. Old methods of recruitment have now totally changed and today, almost all the countries have accepted the 'merit system' for the recruitment of civil servants. Recruitment system of a country depends, to a great extent, upon the constitutional provisions and socio-political policy of that country. In this unit we will discuss the importance, meaning, types and process of recruitment. The merit system of recruitment will be highlighted. We will also examine the Indian recruitment system and the policy of reservation in the civil services.

15.2 IMPORTANCE OF RECRUITMENT

Recruitment is the most important process in the administrative system. The tone and calibre of the civil servants is decided by the process of recruitment. The usefulness and relevance of the government and administration to the society depends upon a sound system of recruitment. If the recruitment policy is faulty and wrong, the dull, incompetent and inefficient persons will get into the civil services which will make administration permanently weak and inefficient. Even best policies of training and promotion cannot improve the capacity and efficiency of faultily recruited persons and make them bright and efficient. It is, therefore, necessary that the recruitment policy should be sound and it should be implemented impartially and efficiently.

Recruitment is the entry point of the persons in the civil services. It is the key to a strong public service, According to Stahl, recruitment is "the corner stone of the whole public personnel structure". In the modern times, due to technological progress, administration has become more and more complicated and complex. It requires the best, the talented and the most efficient persons to run the administration. Moreover civil service has become the most important career service in the present times. No element of the career service is more important than the recruitment policy.

Need of sound recruitment policy was realised in ancient India and China, where principles of merit system and competitive examinations were adopted. In modern times almost all the countries have adopted the merit system for the recruitment of public servants.

15.3 MEANING OF RECRUITMENT

The term 'recruitment' does not have a precise meaning. According to some writers like L.D. White, meaning of the term 'recruitment' is limited to attract the suitable and proper candidate for the post to be filled up. Some other writers think that recruitment is the entire process of filling up the vacant posts, beginning from advertisement to the appointment and placement of a selected persons in the vacant post. In the words of J.D. Kingsley, "Public recruitment may be defined as that process through which suitable candidates are induced to compete for appointments to the public service"

We can, thus, say that recruitment is an integral part of the wider process of 'selection', which includes the process of examinations, interviews and certification etc. The entire process of filling up the vacancies in the government services seem to be wider than recruitment. Recruitment is, however, commonly understood as the process by which persons are taken in the services to fill up the vacant posts.

Recruitment is a common activity both in the private and public administration. However, we should remember that in public administration, recruitment policy is determined by the constitutional requirements and political outlook. No such imitations are there in the case of private administration.

15.4 PROCESS OF RECRUITMENT

The process of recruitment, normally, consists of a number of steps which may be briefly stated as:

- 1) Requisitioning of the jobs/posts,
- 2) Determining the conditions and qualifications and other aspects of recruitment policy,
- 3) Designing of the application forms,
- 4) Advertisement of the posts/examinations etc.,
- 5) Scrutiny of applications,
- 6) Holding of examinations, interviews, other tests etc.,
- 7) Certification,
- 8) Selection,
- 9) Appointment, and
- 0) Placement.

Requisitioning of the Jobs/Posts

The process of recruitment in the government begins with asking the various government departments and agencies about their requirements of personnel. How many persons are required? How many posts are to be filled up by direct appointment? How many posts are to be filled up by promotions? All this information is collected by the recruiting authority before the beginning of the process of recruitment. Different vacant posts are classified and total final requirements are estimated. At the same time, requirements of the different vacant posts are also considered for determining the qualifications, experience etc., required for the posts.

Determining Qualifications, Conditions and Requirements

The second step after the requisition of jobs is to determine the required qualifications, and other conditions for announcement in the newspapers, bulletins and other methods. The decision regarding the minimum educational qualifications, previous experience, age limit, residence, nationality, physical fitness etc. are taken at this stage. The constitutional provisions and government's policies relating to recruitment are considered before finalising these matters.

Designing the Application Form

At this stage, it is necessary to design a suitable application form, which will be given to the applicants for different posts or vacancies. The application form should contain the columns which will give all the relevant information about the applicant's age, educational qualifications, residence, nationality, experience, physical and family background, religion, caste etc. Different application forms are designed for different posts or examinations or for different services.

Advertisement

After determining the qualifications, other conditions and requirements etc. the next stage is to announce the post/examinations in the newspapers and bulletins or in radio and television etc. All the information necessary to attract and induce the maximum number of competent applicants to apply for the competitive examination is given in the advertisement. Application forms are supplied, within a specified date, to all those who want to apply. Sometimes the 'proforma' of the application form itself is printed in the newspapers and the candidates are asked to apply on their own.

In order to attract more and more suitable candidates, many times the 'advertisement' is repeatedly printed, broadcasted or telecasted. The recruiting agency may publish their own periodicals for the benefit of the prospective candidates e.g. the Government of India publishes 'Employment News' every week. Sometimes a specific day of every week is reserved for this type of advertisement by the Government's recruiting agencies e.g. UPSC. Advertisements are published in all newspapers on every Saturday of the week. Advertisement is thus an important step in the process of recruitment.

Scrutiny of the Applications

The applications, in the prescribed proforma are received within an announced date, time and the applications are scrutinised. All those who do not fulfil the minimum prescribed requirements/qualifications or conditions of application, are rejected at this stage and informed accordingly, whenever possible.

Those candidates, who possess the minimum qualifications required for being eligible to take the competition, are given information about their selection, interview or examination schedule. If necessary, 'call letters' for interviews or 'hall tickets' for the examination giving necessary details, about the date, time, place of examination/ interview etc. are sent to the eligible candidates. At this stage many of the incompetent and unqualified applicants are eliminated from the process of recruitment. However, it should be noted here that scrutiny of the application forms should be done very carefully by the competent authorities, so that no injustice is done to a qualified candidate.

Holding of Examination/Interview/Tests etc.

In order to select the most suitable and competent candidates it is necessary to test their ability or 'merit'. This can be done by conducting examination or interview or other type of tests. Examination is the formal process of testing the merit of a person. Through examination we can test (a) the qualification of a candidate, (b) determine the rank or position of a candidate, (c) determine the order of merit of the candidates or (d) establish a list or register of eligible candidates. Examination or interview are

conducted for one of the above mentioned purposes. The scheme of examination is decided according to the job requirements and government's policy. The pattern of examination therefore, depends on different types of examinations like qualifying and main examination, general studies or technical examination, objective type or essay type examination etc. A list of successful candidates is prepared at the end of the examinations.

Similar procedure is also followed in case of interviews or other type of tests. Then a final list of successful or qualified candidates is prepared.

Certification

After conducting the examination, interviews or other type of tests etc., the names or roll number of the successful candidates are declared in the newspapers or on the notice board. A list of successful and hence, eligible candidates, is prepared and it is certified by the personnel agency like the Public Service Commission. This list of certified candidates is sent to the Government with the recommendation that the candidates may be selected and appointed from this final list of certified candidates only. This is the final work of personnel agency like the Public Service Commission. Normally the Government makes the selection and appointment of the qualified candidates from this certified list only. But in exceptional cases, only because of some very concrete reasons, a candidate may be rejected from this list by the Government. But in such a case it has to give an explanation in the Parliament.

Selection

Selection is an activity of choosing from among those candidates who are eligible, qualified and available. Although the eligibility of a candidate is tested through examinations/interviews and eligible candidates are certified by the personnel agency like the Public Service Commission, the final act of selection is the responsibility of the government. Even if a list of eligible and certified candidates is sent by the personnel agency, it is ultimately the government which has the power to select or reject a candidate. The normal practice is to select the candidates from this list only. But if the government finds that a particular candidate has an objectionable past record, or had been involved in violent, anti-national or criminal kind of activities then it has the power to reject appointment to such a candidate. For this purpose police records are verified and secret enquiry about the candidate and his character is conducted in many countries. If the government is satisfied then only the candidates are selected for appointment.

In democratic countries like India, the government normally makes appointments out of the certified list of candidates recommended by the Public Service Commission. However, due to some reasons, if a candidate is rejected, the government has to give a reasonable and satisfactory reason for it, in the Parliament. Because in democracy the Government has to be ultimately responsible and responsive to the people.

Appointment

After selecting the suitable and qualified candidates, the formal appointment is done by the government. It should be noted that in all the countries appointments are done by a 'competent executive authority' and not by the personnel agency like the Public Service Commission. The constitutional and legal system of a country determines as to who should have the powers to make appointments. The formal appointment letters are issued by or in the name of the legally recognised 'appointing authority' only. For example in India, all appointments in the Central Government are done in the name of the President of India, whereas all appointments in the State Governments are done in the name of the Governors of the States.

Appointment letters issued by the Government are of different types like:

- 1) Permanent Appointment
- 2) Temporary Appointment
- 3) Provisional Appointment
- 4) Appointment on Probation
- 5) Appointment for indefinite term.

Initially no candidate is given permanent appointment letter. Normally a selected candidate is appointed on 'probation'. The probation period may range from 6 months to 1 year or upto 3 years. During the probationary period a person is considered to be in 'Temporary service'. During the probationary period a candidate

is posted in different positions and his/her performance is evaluated by the immediate superior authorities and the relevant reports are submitted to the 'appointing authority'. After the successful completion of the probationary period a candidate is given 'confirmation' in the service and then this appointment is considered to be permanent. After this he is posted on a permanent government post.

Placement or Posting

After the successful completion of the 'probationary period', service of a candidate is 'conformed' and he is placed or posted in a right place. This is called as placement or posting. He is given charge of some specific nature of work associated with that post. He is given a chance to work on that post for a few years, so that he can learn from his experience. In some cases, before a person is posted, some kind of pre-entry or orientation training regarding the particular work assigned to him, is given. But in many other cases he is posted and allowed to learn while doing his work.

Check Your Progress I

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

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

1) What is the importance of recruitment in Personnel Administration?

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2) What are the important steps in the process of recruitment?

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15.5 TYPES/METHODS OF RECRUITMENT

There are different kinds or methods of recruitment followed in different countries of the world. They are:

- 1) Direct Recruitment or Indirect Recruitment
- 2) Positive or Negative Recruitment
- 3) Mass Recruitment or Individual Recruitment

Let us understand these different kinds of recruitment one by one.

Direct and Indirect Recruitment

There are two methods of Recruitment — Recruitment from within i.e. by promotion and recruitment from without means from the outside available sources of supply. When the vacant posts in the government are filled up by the suitable and qualified candidates available in the open market then it is called as Direct Recruitment. But when the vacant posts are filled up by the suitable and experienced candidates who are already in the service of the Government then it is called as Indirect Recruitment by promotion. Both the methods of recruitment have some advantages and disadvantages. But in all the countries of the world both direct and indirect methods are adopted for the recruitment of the Civil Servants. Posts at the lower levels are normally filled up by direct recruitment and posts at the higher level are filled up by promotion i.e. by indirect recruitment. A judicious and practical combination of both types of recruitment is adopted in different countries according to their political and administrative policies.

Advantages of direct recruitment on the basis of merit principle and disadvantages of indirect recruitment by promotion

Direct Recruitment (on Merit Principle)

Advantages

- 1) It gives opportunity to all qualified persons. It is, therefore, a democratic principle.
- 2) The source of supply is wider.
- 3) Young and better qualified people enter the civil services.
- 4) New ideas and changing technical, administrative and socio-political conditions are reflected in the services.
- 5) Service can keep pace with the changing conditions and techniques.
- 6) Employees will work hard to improve their qualifications.

Disadvantages

- 1) Inexperienced young persons are recruited to responsible positions. They do not have the confidence and skill in the discharge of their duties, at least in the beginning.
- 2) Training becomes very necessary for the inexperienced young persons appointed by direct method of recruitment.
- 3) Curbs the chances of progress for those who are already in the services of the government.
- 4) Employees do not work efficiently and loyally, if they have no chance of promotion for them.
- 5) This method increases the burden of the Public Service Commission.
- 6) Employees will go to other prosperous services if there are no future chances — Competent and able persons will migrate to other employments.
- 7) Employee's experience, hard work and efficiency is totally neglected.

Indirect Recruitment (by Promotion)

Disadvantages

- 1) It gives opportunity to only limited persons, who are already in service. It is undemocratic.
- 2) The source of supply is narrow and restricted.
- 3) Young and competent persons are denied the chance to enter the services.
- 4) There is a fear of stagnation and conservatism in this as new ideas are not inducted.
- 5) Civil services cannot keep pace with the rapidly changing world.
- 6) Employees will wait for the opportunities for promotion.

Advantages

- 1) Persons appointed have the necessary experience of administration and government work. They discharge their duties with responsibility and confidence.
- 2) Prolonged training is not necessary for the persons recruited by this method.
- 3) It provides ample opportunity for employees for progress and advancement in the service.
- 4) It encourages employees to work hard for promotion. They continue to work efficiently and loyally.
- 5) This method reduces the burden of the Public Service Commission to a great extent.
- 6) If there are chances of promotion, employees will continue in the service and civil services become attractive for the competent persons.
- 7) Hard work, efficiency and experience of the employees is utilised for the good of the country.

- 8) Examinations, interviews and other methods of merit testing are not foolproof and faultless methods of testing the ability and qualities of the applicants. The direct recruitment is less reliable method.
- 9) Direct method of recruitment is time-consuming and costly.
- 10) If all top positions are filled up by direct recruitment, then the Government service cannot become an attractive career service. Young persons will become the higher 'bosses' of the old aged and experienced persons.
- 8) Work on the desk and experience of work really reveals the qualities and ability of the persons. Indirect recruitment therefore is more reliable method.
- 9) Indirect method is less time-consuming and less costly.
- 10) Promotions are essential aspect of 'career-service'. Civil service is taken up in the prime youth with expectations of advancement and pursued until retirement. Without chances of promotion career service cannot exist.

After studying the merits and demerits of the two types of recruitment, we can conclude that each system has some positive and negative aspects. In the process of appointment of government servants no one system can be adopted exclusively. A good recruitment policy should combine the two methods to achieve the best results. In almost all countries, including India, both direct and indirect methods of recruitment are followed by the government.

Positive and Negative Recruitment

When the recruiting agency actively searches the best qualified and most competent candidates for appointment in the government service, it is called as positive method of recruitment. On the contrary negative method of recruitment aims at keeping the unqualified and unfit candidates out without adopting any active role in attracting the best candidates. At present in most of the countries, the positive methods like newspaper advertisements, propaganda, literature, cinema slides etc. are adopted to attract the best men and women to come forward. At the same time when the number of applicants is much more than the available vacancies, then negative method of eliminating the unqualified and less competent persons are adopted.

Mass or Individual Recruitment

When a large number of non-technical unspecialised posts of general nature are to be filled up, then mass recruitment techniques are adopted. Advertisement in mass media of communication, a large number of applications, cumbersome procedure of examination and interviews etc. have to be adopted to fill up large number of vacant posts in the government. But when particular posts requiring specialised knowledge, skill or technical know-how and experience, are to be filled up then individual recruitment method is possible and desirable. In such cases the number of posts to be filled up is very small. Both these methods are used by the Public Service Commissions in India.

15.6 MERIT SYSTEM

All the democratic countries of the world have now adopted the Merit System of recruitment. The vacant posts in the government services are filled up by selecting the most suitable and qualified persons on the basis of the principle of merit tested through open competition. The aim of open competition is to judge the merit, qualifications and competence of the candidates. This is mostly done through written examinations, oral tests, interviews, performance tests, verification of past records and experience etc.

Although it is believed that in ancient China and India, selection of the officials was made by merit principle the modern merit system, however, is of comparatively

recent origin. It was first introduced in India in the year 1854 and in Britain in the year 1855. In the USA the merit system was for the first time introduced by the Pendleton Act of 1883 when a disappointed job-seeker assassinated President Garfield.

Before the merit system was adopted the following three main systems were existing in different countries of the world.

- 1) Sale of Offices
- 2) Patronage System
- 3) Spoils System

In the pre-revolutionary France, the vacant posts were sold by public auction to the highest bidder. This brought revenue to the state, enabled the rich people to acquire the government posts and freed the government from patronage, favouritism and political interference.

Patronage system was followed in Britain and many other countries. Under it the appointments in the government were made by the appointing authority by selecting or choosing the candidates whom it wanted to favour on personal or political grounds. Family and kinship, relations, personal-loyalty, political links and all kinds of favouritism and nepotism were involved in the patronage system of recruitment. This system continued in Europe and India almost until the second half of the nineteenth century.

Spoils system was followed in the USA, where appointments in the government were considered as the spoils for the party winning the elections. When a new party came to power it used to dismiss all the government servants appointed by the earlier government. Then it filled up all the vacancies, right from a secretary to a postman, with its own supporters. The permanent civil service was, therefore, not existing in America. Political supporters having sympathy and loyalty to the ruling party or those having personal loyalty to the newly elected President, were appointed as government servants. This system continued for more than a century till the Pendleton Act 1883 was passed and merit system was introduced in the USA.

Because of the growth of democratic sentiments and increasing complexity of the administration the above mentioned methods of recruitment became outdated and the system of recruitment on the basis of ability and merit has now been accepted by almost all the democratic countries of the world. The patronage or spoils system is nowhere followed now. On the contrary merit system has become universally accepted method of recruitment in the present times.

15.7 METHODS OF TESTING MERIT

We have seen that in most countries the appointments of the civil servants are made on the basis of merit and ability. The questions, therefore, arise as to who should test the merit and what methods of testing and determining merit should be adopted? It is accepted in all the countries that the administration of recruitment by merit principle should be entrusted to a central, impartial, non-political and independent Personnel Agency, like the Public Service Commission or Civil Service Commission. The merit and ability of the candidates is tested by such Central personnel agencies appointed by the government.

The merit of the candidates is normally tested by adopting any one or the combination of the following methods:

- 1) Written examination
- 2) Oral test/Interview
- 3) Performance Test
- 4) Evaluation of qualifications, experience and past record of work
- 5) Physical test
- 6) Psychological test.

Written Examination

Written examination is the most common method adopted for testing intelligence, memory, knowledge, imagination and capacity for logical presentation of information. Written tests are of two types:

- 1) Free answer or essay type

2) Short answer or objective type.

Essay type examinations are common in India. The question paper contains a few questions and the candidates have to write fairly long essay type answers in two to three hours. In this method the candidate is tested in regard to his/her general intellectual capacity, factual information, his power of expression, his memory, his calibre of logical analysis and his clarity of thought. But there is one difficulty about essay type examination system. Its assessment is difficult and subjective depending upon the calibre of the examiner. It is not objective.

The other type of examination is short answer or objective type. The question paper contains a large number of questions requiring short answers to be given within a prescribed time. Candidate is asked to indicate whether a given statement is true or false, to point out 'correct' answer out of the given series of answers, to fill up the blanks with correct words, to match the different statements correctly. The candidate is not required to write long answers, but to tick mark on the question-sheet itself. This type of objective-written examination is useful in testing the candidate's factual information and correct knowledge and at the same time his capacity of quick judgement and memory also. Making and assessment of such type of objective tests are objective and leaves no room for the examiner's subjective judgement. It is cheap, reliable and fair method of testing the ability and capacity of a large number of candidates.

Both these types of written examinations are followed in different countries. At higher levels where knowledge, expression and logical thinking is necessary essay type of examinations are preferred. At lower levels where the number of candidates is very large, objective type examinations are preferred. Sometimes written examinations are designed to test the general knowledge, ability and intellectual calibre of the candidates. In India and Britain, written examinations are held in some compulsory general papers like General knowledge, and General English etc. At the same time candidates are also examined in some optional academic papers of their choice, mostly drawn from the curricula of the colleges or University system. The philosophy behind this type of written examination is that intellectual capacity is more important than specialised knowledge, in administration. It is believed that an intelligent, and sharp person is useful for all kinds of administrative functions.

This philosophy is not accepted in countries like the USA and France. There written examinations are designed to test the candidate's knowledge of the specific subjects related to particular needs of different services or posts. For example for appointment in Police Department his knowledge of law, criminology and geography and for recruitment in Finance Department, his knowledge of finance, accountancy, economics etc. are tested through written examination. Therefore, in these countries, the common combined competitive examinations (like India) are not possible. Separate examinations have to be held for different services.

Oral Test/Interview

Written examinations cannot reveal the personality and personal qualities of the candidates. In order to be a successful administrator, a person requires certain qualities like patience, initiative, presence of mind, alertness, power of decision-making, drive, clarity and leadership qualities. These qualities cannot be tested by written examination. Therefore, oral test is necessary to correct the weaknesses and shortcomings of written examination.

Oral tests or interviews are of different types. For example oral test taken in the Universities is just a conversation between the candidate and his examiner this is called as viva voce test. The interviews taken for recruitment in the administrative service are intended to assess the total personality of the candidate and supplement the results of the written examination. Such interviews are called as personality tests. Sometimes interviews are taken to eliminate the unfit candidates. Such interviews are taken before the written examination. For specialised posts candidates are interviewed by experts in that field and his expertise, skill and knowledge is tested. Simultaneously the experience and past records of his work is also verified.

All the above mentioned interviews are held to assess the personality, personal qualities and suitability of the individual candidates for the job. This is simply impossible through the system of written examinations. In recent times group tests are also becoming common. In many countries group discussions, group meetings and

group behaviour tests are organised to test candidates' personality and personal qualities like behaviour, quickness, adaptability, leadership qualities, confidence, initiative, etc.

Performance Test

There are some jobs which require skilled and trained persons in particular trade, craft or work. For example mechanics, drivers, stenographers, typists, electricians etc. In the selection of candidates for these posts performance tests are taken. The candidates are asked to perform on the actual work to show how well they can do it. The performance test may be supplemented by written test to assess their knowledge of technical terms, tools and methods etc.

Evaluation of Past Record

There are many posts for which written examinations and/or interviews are not suitable. Specialist and technical posts in legal, medical, engineering, scientific and similar other services are filled up by assessing the qualification, experience and past record of the work of the candidates. The applicants, who fulfil the minimum required qualifications, are asked to produce their relevant documents regarding their qualifications, past experience and service record etc. A board of experts assesses these evidences produced by the candidates and makes selection after personally meeting and interviewing the candidates. This method is followed for the appointment of high level scientific, technical and specialised posts in the government service. University teachers are also recruited by this method.

Physical Test

It is necessary that the government servants must have good health. If they are not physically fit, they cannot give their best to the service. It is, therefore, almost, compulsory that every person has to undergo a medical examination before joining the government service. Only after obtaining a certificate of physical fitness, a person is finally selected. Apart from this the physical tests are compulsory for recruitment in the police, armed forces, manual and field services etc.

Psychological Test

In recent times psychological test has been introduced in many countries. It is considered to be necessary to test intelligence, mental calibre and mental maturity of the candidates to be recruited in higher positions. Similarly, aptitude of the candidate is also tested by adopting modern psychological tests. Psychological test is only to supplement other types of tests. It is not a full-fledged and independent method of selection.

We can conclude that merit system of recruitment is common in all the countries. In this portion of our unit, we have studied different methods of testing merit like written examination, interviews, performance test, evaluation of past record of work, physical and psychological test etc. All these methods are made use for recruitment of suitable and able candidates in the Government Service. The ultimate purpose of all this is to get the best persons recruited to the service.

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 different kinds or methods of recruitment followed in different countries.

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2) Explain the different methods of testing merit?

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15.8 ESSENTIALS OF A GOOD RECRUITMENT SYSTEM

So far we have studied various methods of recruitment followed in different countries. We know that recruitment is the most important step in personnel administration. If recruitment policy is not good then incompetent and unqualified persons will enter the civil services and they will spoil the administration of the country. It is, therefore, essential that the recruitment policy should be well planned and sound. It is also necessary to understand as to what are the essentials of a good recruitment policy. What makes a recruitment system good and sound? This is the question we are going to discuss in this section of our unit.

- 1) Recruitment policy must be positive. It must be planned to attract the best, most competent and qualified persons in the government service.
- 2) Recruitment policy must be democratic. It must be planned to provide opportunities to the maximum number of qualified and competent persons. All sources of supply should be given information about the vacancies in the government.
- 3) Recruitment policy must be attractive. It must permanently create a good employment market for the government service. Attractive literature and publicity techniques must be used to attract the best talented persons to join the government service. This flow should continue.
- 4) Recruitment policy must be impartial and non-political. First of all recruitment must be done by an independent, impartial and non-political recruiting agency like the Public Service Commission. There should be no interference from the government or politicians in recruitment of civil servants. Government should normally recruit only those candidates who are selected and recommended by the Public Service Commission.
- 5) Recruitment must be based on merit principle. Only able, capable and meritorious candidates must be recruited after testing the merit and abilities of the candidates.
- 6) Recruitment agency must adopt scientific and modern methods of testing merit. It is necessary that scientific and up-to-date methods written and oral tests must be used to test the ability and calibre of the candidates. From time to time these methods must be reviewed and new up-date methods must be adopted.
- 7) Recruitment Policy must have a good combination of direct and indirect systems — able and capable candidates who are already in the service must be given promotions and recruited to higher posts. At the same time, fresh, new, talented young persons must be recruited directly. Both systems have to be combined to make a good recruitment policy and achieve best results.
- 8) Placement of right person to the right job. After the selection process is over, the candidates must be given placement in such a way that right person is appointed to the right job, that is the job which is suitable to him and takes into consideration his qualifications and capabilities.

15.9 RECRUITMENT SYSTEM IN INDIA

There are the following services in India

- 1) All-India Services (like I.A.S., I.P.S., I.F.S.)
- 2) Central Services
- 3) State Services

Our recruitment system is based on British model. It is based on testing the general ability and intelligence of the candidates by the merit system employing open competition method. In the Indian Constitution the work of recruitment to the

All-India Services and Central Services is entrusted to the Union Public Service Commission. The final recruiting authority has been given to the President. In case of State Services, the work of recruitment is entrusted to the State Public Service Commission and the final recruiting authority is given to the Governor of the respective state.

For the All-India Services and higher Central Services, the UPSC conducts combined competitive examinations. A systematic combination of written examination and oral test is employed for recruitment. For higher levels only graduates are allowed to appear for competitive examinations. Presently, the UPSC takes combined civil service examinations common for the All-India Services (I.A.S., I.P.S., I.F.S., etc.) and higher Central Services. Following stages are followed in this scheme of UPSC examinations:

1) Qualifying Preliminary Examination (Objective)

This preliminary examination consists of two papers — one paper is General Studies and one paper is optional subject chosen by the candidate. Both papers are objective type. Only those who qualify in the preliminary examination are allowed to appear in the main examination:

General Studies	— 150 marks
Optional Paper	— 300 marks

2) Main Examination — (Written and Oral)

The main examination consists of two parts — The written examination and the interview. Written examination consists of eight papers. Each paper carries 300 marks and all the papers are essay type.

1.	One Indian Language	— 300 marks
2.	English	— 300 marks
3 & 4.	General Studies (2 papers)	— 600 marks
5 & 6.	First Optional (2 papers)	— 600 marks
7 & 8.	Second Optional (2 papers)	— 600 marks

(written)

2400 marks

Question papers are set in English and Hindi and the answer can be written in any one of the languages.

Those who qualify in the written examination are called for an interview (of 250 marks) conducted by the UPSC. The marks obtained in the written and oral tests are added and merit list is prepared on that basis. The list is sent to the Ministry of Home Affairs for allocation, appointment and final placement.

Selection for the Central Services Class III and Class IV is entrusted to a different agency called as Staff Selection Commission. This Commission conducts competitive examinations for selection of persons for clerical, secretarial and typing positions in the Central Government.

State Public Service Commissions are there in all the states and they follow the similar methods in recruitment of Higher State Civil Services. For Class III and IV categories of State Services many states have also appointed State Staff Selection Boards or Regional Selection Boards.

Railways, Audit and Accounts Department, Industrial establishments and Public Sector Undertakings have their own recruitment arrangements in India. They are kept out of the above mentioned centralised recruitment scheme under the UPSC.

15.10 NEED FOR RESERVATIONS

In India, certain communities, like, the scheduled castes, scheduled tribes, low ranking castes and sub-castes were subjected to constant deprivation. The centuries of exclusion, humiliation, poverty, persecution, oppression, and all sorts of exploitation have left a scar on the history of India and a terrible mark on those communities and castes. The history has pushed them to permanent disadvantage and left them economically, educationally and socially backward. Therefore, preferential treatment

to those people was felt justified on the premise of past discrimination and future advancement. Such preferential treatment is expected to overcome the frozen inequalities and effects of the past injustice. It is viewed that preferential treatment is nothing but egalitarianism and social justice.

15.11 CONSTITUTIONAL SAFEGUARDS

The Constitution of India guarantees equality of opportunity for all the matters of public employment. At the same time Article 16, Clause 4, of the Constitution allows that the State can reserve seats or posts for any backward class of citizens which, in the opinion of the State deserves it. Article 335 of the Constitution empowers the State to give special consideration to the depressed and backward sections of the society. It should be made clear that the term 'backward' was not defined in the Constitution. There is no fixation of percentage of jobs in the Constitution, for these backward communities. Beginning with reservation of posts in public services, ameliorative measures include reservation of seats in legislative and other representative bodies, preferential treatment in admission to educational institutions and incentives for their economic advancement. Thus we have the phenomenon of reservation in three spheres, reservation in legislature, reservation in educational institutions and reservation in government services.

The first reservation has been provided in the Constitution itself, while the second in creation of the Parliament and the third has emanated purely from an executive body concerned with the representation of scheduled castes and scheduled tribes in services. These reservations or special privileges were initially granted for a period of ten years only. They were extended subsequently from 1960 to 1970, 1970-1980, 1980-1990 and 1990 to 2000.

15.12 RESERVATION OF POSTS IN PUBLIC SERVICES

Reservation of jobs in government on caste and community basis is not new in India. A number of representations and agitations were made by a number of people particularly the non-Brahmin communities and castes for the adequate representation for all castes of people in the government employment. The Montague-Chelmsford Reforms in 1919 provided certain special representation for non-Brahmin classes. The Reforms encouraged the organisation of the less privileged classes to demand the removal of unequal representation in the Public Services. The Government of India in 1925, initiated action to reserve certain percentage of posts in government to the minority communities. In 1934, an order was issued to reserve 25% of all vacancies to be filled by direct recruitment to Muslims, and 8.75 per cent to other minority communities. In 1943, the Government also reserved 8.5 per cent of vacancies for the scheduled castes and raised it to 12.5 per cent in 1946 to correspond to the proportion of their population to the total population of the country. Thus, the importance of representative bureaucracy in Public Services was realised in view of socio and economic inequalities in India. However, the tribals are not provided with any reservation by the British Government. The claims of tribals for reservation of posts was only recognised by the Independent India.

The Government of India, after Independence reviewed the whole reservation policy and has withdrawn the reservations to the competitive posts for communities other than scheduled castes. In 1951 the Constitution was amended to empower (Article 15 (4)) the State to make a special provision for the development of socially and educationally backward class of citizens which in the opinion of State is not adequately represented in the services under the State. However, the Constitution has not prescribed the extent of reservation.

The reservations in the services are made for the scheduled castes and scheduled tribes by the Government of India and also by the State Governments. Rules and regulations are framed for implementation of the reservation policy. Originally 12 ¼% was reserved for the SCs. and STs. It was raised to 15% in 1970. At present government has reserved 15 per cent of the jobs for the scheduled castes and 7.5 per cent for the scheduled tribes.

Check Your Progress 3

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

1) What are the essentials of a good recruitment system?

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2) Why are reservations necessary in India?

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15.13 LET US SUM UP

Recruitment is the first and the most important step in personnel administration. If recruitment policy is faulty, the administration will fail, because unqualified, incompetent and inefficient persons will enter the civil services. In this unit, we have examined the importance, meaning, process and methods of recruitment. We have also studied the merit system and various methods of determining the merit. The Indian system of recruitment and the reservation policy has also been examined in this unit. In the next unit we will examine the process of promotion as a method of indirect recruitment.

15.14 KEY WORDS

Egalitarianism : principle of advocating equal rights for all.
Patronage system of recruitment : this type of system is also called spoils system. Patronage in this is seen as a means of political control, the proteges of the ministers or the elected functionaries are nominated to the civil service. The public jobs are distributed as personal or political favours to their supporters. The system prevailed in Britain and the USA.

15.15 SOME USEFUL BOOKS

Avasthi, A and Maheshwari S.R., 1982. *Public Administration*, Laxmi Narayan: Agra.
Bhattacharya, Mohit, 1987. *Public Administration*, World Press: Calcutta.
Sharan, P., 1981. *Modern Public Administration*, Meenakshi Prakashan: New Delhi.
Sharma, M.P., 1988. *Public Administration in Theory and Practice*, Kitab Mahal, Allahabad.

15.16 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
- recruitment is the most important process in the administrative system.
 - the tone and calibre of the civil servant is decided by the process of recruitment.

- usefulness and relevance of the government and administration to the society, depends upon a sound system of recruitment.
- recruitment is the entry point of the persons in the civil services.
- it is the key to a strong public service.
- no element of the career service is more important than the recruitment policy.

2) Your answer must include the following points:

- requisitioning of the jobs/posts.
- determining qualifications, conditions and requirements.
- designing of the application forms.
- advertisement of the posts.
- scrutiny of applications.
- holding of Examination/Interview/Test etc.

Check Your Progress 2

1) Your answer should include the following points:

- direct recruitment or indirect Recruitment
- positive or negative Recruitment
- mass Recruitment or individual Recruitment

2) Your answer should include the following points:

- written examination
- oral Test/Interview
- performance test
- evaluation of qualifications, experience and past record of work
- physical test
- psychological test.

Check Your Progress 3

1) Your answer should include the following points:

- recruitment policy must be positive.
- it must be planned to attract the best, most competent and qualified persons
- must be democratic, it must give opportunity to the maximum number of qualified and competent persons.
- must be attractive, impartial and non-political.
- must be based on merit principle.
- recruitment agency must adopt scientific and modern methods of testing merit.
- must have a combination of direct and indirect system of recruitment.
- placement of right person to the right job.

2) Your answer should include the following points:

- scheduled castes, scheduled tribes, low ranking castes and sub-castes were subjected to almost a constant deprivation.
- the centuries of exclusion, limitation, poverty, persecution, oppression and all sorts of exploitation have left a scar on the history of India.
- the history has pushed them to permanent disadvantage and left them economically, educationally and socially backward.
- preferential treatment to those people was felt justified on the premise of past discrimination and future advancement.
- such preferential treatment is expected to overcome the frozen inequalities and effects of the past injustice.
- it is viewed that preferential treatment is nothing but egalitarianism and social justice.

UNIT 16 PROMOTION

Structure

- 16.0 Objectives
- 16.1 Introduction
- 16.2 Importance of Promotion
- 16.3 Meaning of Promotion
- 16.4 Need of Promotion in Civil Services
- 16.5 Types of Promotion
- 16.6 Principles of Promotion
- 16.7 Methods of Testing Merit for Promotion
- 16.8 Essentials of a Good Promotion Policy
- 16.9 Promotion System in India
- 16.10 Let Us Sum Up
- 16.11 Key Words
- 16.12 Some Useful Books
- 16.13 Answers to Check Your Progress Exercises

16.0 OBJECTIVES

After studying this unit, you should be able to:

- describe the meaning, importance and need of promotion in personnel administration;
- discuss the types, methods and principles of promotion like merit principle, seniority principle;
- explain the essential elements of a sound promotion policy; and
- highlight the promotion system as followed in India in the past and at present.

16.1 INTRODUCTION

The vacant posts in the government services can be filled up directly by recruitment from outside and also indirectly by giving promotion to those persons who are already in the government service. This indirect method is called 'promotion system'. In all the countries, both the direct and indirect methods are followed. In India also promotion is considered as an integral part of the career service. The two important principles that are followed in making promotion are the principle of Merit and the principle of Seniority. Both of these have some positive as well as negative aspects. The best way is to combine the merit principle with seniority and make promotions on the basis of merit-cum-seniority.

In India promotions were given to the government employees right from the days of East India Company. Seniority was considered to be more important in the beginning but later on merit system was also accepted. Today also seniority-cum-merit principle is followed in the country.

16.2 IMPORTANCE OF PROMOTION

For a government servant promotion is a reward for his/her faithful and hard work. If there are no chances of promotion for a servant, he will not work hard. He will search for a better job outside and leave the place where he is employed as early as possible. For many servants the government service is a life long service. They enter this service when they are very young and continue to work till retirement. They are retained in the services by making provisions for promotion. Civil service cannot be called as a career service without promotions. Without promotions we cannot attract the best talents to join the government service; we cannot retain the most talented and potential persons in the service; and we cannot get the best from them for the service and for the nation. It is clear that without promotions, we cannot have efficient, competent and satisfied civil servants in the country. Promotion satisfies a natural human urge to make progress and advancement in life. It gives great moral boost to the employees of the government.

16.3 MEANING OF PROMOTION

Meaning of promotion can be understood from two angles. For the Government, promotion is a system of indirect recruitment i.e., filling up the higher posts by selecting able and competent persons from those, who are already in the service. For the government servant, promotion is an advancement from a lower post, class or service to a higher post, class or service involving higher duties, responsibilities and authority. It also means elevation in the status and increase in the salary for the employee. Mere increase in salary is not promotion. Going up or advancement in rank, status, duties, power, responsibilities and also increase in salary is referred as promotion in the civil service.

Promotion changes the rank, status, designation and salary of an employee. When a Junior Assistant becomes a Senior Assistant, a Deputy Secretary becomes a Secretary, a Class II servant becomes a Class I servant than it is called as promotion. Promotion may mean change in the grade, i.e., from a lower grade to a higher grade in the same class. Promotion may be from lower class to higher class i.e., from Class II to Class I. Promotion may also be from one service to another higher service i.e., from State Services to All India Services. It is thus clear that promotion may be from lower class to higher class, lower service to higher service.

It should be remembered that transfer from one post to another post of the same status or responsibility is not promotion. Similarly annual increment i.e. annual increase in the same salary scale is also not promotion. Promotion means change of status as well as pay-scale.

16.4 NEED OF PROMOTION IN CIVIL SERVICES

Civil Service is a career service. A person who joins the civil service spends his life time in it. He makes progress and advances up in the service with the passage of time. From his recruitment as a young person till his retirement as an old person, it is the chances of promotion which keeps him in the service. Promotion is thus, an integral part of the career service. A proper device of promotions can only make the civil service as an attractive career and attract the best talents to join it.

Promotions can also serve as rewards for the servants. Opportunity of promotion is a possible reward for hard work, efficiency and faithful service. Government servants will work hard to get possible promotions. This means that promotion chances increase the efficiency and contentment of the civil services.

Recruitment of best persons is the first and foremost important step in the personnel administration. But to retain the talented persons in the services is also equally important. By the device of promotion, it is possible to retain the best, talented and efficient persons in the civil services.

Human being is a growing creature. Everybody wants to make progress and advancement in life and seeks recognition from others. These basic human urges of advancement and recognition should be satisfied by the organisation, where he is working. Otherwise he will not be satisfied with his work and would like to change his job. This may cause problems for the civil services. These two basic human urges of recognition and advancement can be satisfied by the device of promotion.

A sound promotion system fosters the feeling of belongingness in the servants. It also contributes to maintaining a continuity in the policies and programmes of the organisation. Promotion system builds up sound traditions and conventions in the civil service and adds to the goodwill of the government.

If there are adequate chances of promotion to higher levels in the government service, then competent persons would be ready to join the services at lower levels also. This will increase the efficiency of administration.

With the passage of time in the government service, persons acquire up-to-date practical experience of work. Their continuity in the service makes them competent to shoulder higher responsibilities. This experience and competence acquired by the civil servants can be utilised by giving them chances of promotions to higher and more

responsible positions. The best use of manpower is possible only through a sound system of promotion.

As the servants grow older in age, their family responsibilities keep on increasing. They need more money. Promotions give them opportunity to satisfy their increasing material needs and give their best to the services. This also reduces the chances of the occurrence of malpractices and corruption in the services. The servants will not nurse grievances against the Government. They would render more efficient, honest and faithful service to the government. There would be greater discipline and higher morale among the civil servants.

16.5 TYPES OF PROMOTION

There are three types or categories of promotion:

- 1) Promotion from a lower grade to a higher grade in the same class, (i.e. from a Junior Assistant to a Senior Assistant or from a Junior Typist to a Senior Typist or Assistant Superintendent to Superintendent).
- 2) Promotion from a lower class to a higher class (i.e. from Class I to Class II, from clerical class to executive class).
- 3) Promotion from a lower service to a higher service (i.e. from State Service to All India Services, etc.).

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) Explain the significance and meaning of promotion.

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2) Why is promotion necessary in the civil services?

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16.6 PRINCIPLES OF PROMOTION

The principles of promotion need to be established because, in any government service, the opportunities for promotions are limited. Only a limited number of higher posts fall vacant; sometimes or other and that too not at regular and frequent intervals. A large number of servants working at the lower levels wait for these few vacancies.

Everyone of them aspires to get promotion. But it is practically impossible to give promotions to all ambitious persons. In fact, only few of them are promoted to the higher positions and a large number of servants are denied the promotions. This is bad but unavoidable. Because the structure of administration is like a pyramid, the number of posts at the lower levels is large (level F in the Figure 1). As we go up higher and higher, the number of posts are lesser and lesser (EDCB) and ultimately the pyramid ends at a single point (i.e. the Chief Executive or head of the Department i.e. level A in Figure 1).

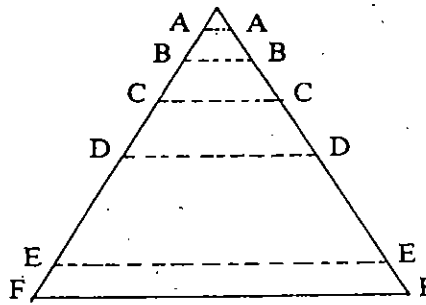


Figure I showing the pyramidal structure of Administration

Due to the above mentioned pyramid like structure of administration there is always an unavoidable conflict at the time of promotion. Those who are unsuccessful in getting promotion feel disappointed and lose interest in work. If the promotion is made *arbitrarily* then this adds to their indifference, inefficiency and insult. It is, therefore, necessary that promotions should be based on some well-defined and recognised principles.

Following are the principles of promotion, which are followed as alternatives or in combination.

- 1) Principle of Seniority
- 2) Merit Principle
- 3) Seniority-cum-Merit Principle

Seniority Principle: Seniority means length of service in a particular post or scale or grade. It is a very simple principle. The length of service or seniority is the sole basis in making promotions. According to it, one who has longer length of service must get the promotion. The seniormost person is eligible for promotion first. A seniority list can be prepared and order of **precedence** can be decided according to experience and age.

The principle of seniority is very simple to apply. It is most objective. It leaves no scope for favouritism or nepotism. It gives respect to age and experience. It is in accordance with the established practices in society. A younger person does not become a boss of the older and more experienced persons. It is more democratic because it gives a chance of promotion to everybody irrespective of merit. Everybody cannot become meritorious but everybody is bound to become senior with the passage of time. It is safe for every employee and, therefore, seniority principle is readily accepted by the staff as against the merit principle.

But principle of seniority has many drawbacks. Those who are senior are not necessarily fit for promotion. Mere length of service is not a criterion of fitness. Experience is gained by a person in the first few years of service, but afterwards his experience does not increase indefinitely with the length of service. It is said that ten years experience is nothing but one year's experience repeated ten times. Seniority and experience are, therefore, not a rational criteria. All persons in a grade are not fit for promotion. Promotions are few and, therefore, all persons cannot get promotions. Seniority does not necessarily coincide with age. A younger person who joined the service at an early age may be senior to a person who joined the service late in his life. Seniority principle does not ensure that only fittest person will be posted at higher posts. On the contrary inefficient and conservative persons may get promoted to higher post adversely affecting the over-all performance of the government services. Seniority principle is not rational and just. Hard work, efficiency and initiative of the energetic young persons is not rewarded. On the other hand, physically weak, aged and less energetic persons are promoted to higher positions where hard work, alertness and energy are required.

Principle of Merit: Principle of merit is contrary to the principle of seniority. This principle implies that the most meritorious, best qualified and most competent person must be selected for promotion to the higher post. In the civil service higher position means more powers and responsibilities and it requires more competent and hard working persons. Therefore, those who have merit and qualifications must be promoted to higher positions. Merit, therefore, must be the sole criterion for promotion. The principle of merit is accepted because able and competent persons only deserve promotions and incompetent persons should be left behind. At higher levels in administration only efficient, hard-working and meritorious persons are

equipped. The merit principle selects the most suitable person for promotion. Energy, initiative and hard work are rewarded by merit principle. This increases efficiency and competitive spirit in the administration. It motivates the employees at the lower levels to work hard and take interest in their work.

But merit principle of promotion is difficult to implement objectively. Merit is a complex concept. It includes intellectual attainment along with personality, capacity or leadership, strength of character, etc. It is not easy to measure the merit objectively. Merit principle of promotion excludes senior and experienced persons from the competitive chance of improvement. Experience, seniority and age is set aside by the merit principle. Older persons cannot compete in the written examination or interviews etc. against the younger persons. The administrative experience and skills attained by a person in the service with the passage of time, is totally neglected by the merit principle.

Practical Combination of Seniority and Merit Principles: We have seen that both the principles of seniority and of merit have some advantages as well as drawbacks. In practice, therefore, a third method is adopted where the seniority and merit principles are combined for making promotions. For example, a minimum length/years of service (seniority) is fixed and then the fittest and meritorious person amongst those who possess that minimum experience, is selected for promotion. This means the 'best amongst the seniors' is selected for promotions. Another way of combining these two principles is that the minimum qualification and competence is tested and when all other things being equal the seniormost of them is preferred for promotion. This means the "seniormost amongst the meritorious" persons is selected. It is observed that in most of the countries including India, the general pattern of promotion is based on the following lines :

Promotions to the higher posts are made on the basis of merit principle only.

Promotions to middle level posts are made on the basis of seniority-cum-merit principle.

Promotions to lower level posts, are made on the basis of seniority principle (but here also exceptional merit is rewarded).

.7 METHODS OF TESTING MERIT FOR PROMOTION

We have seen that 'merit' is considered to be a more important element compared to 'experience' in making promotions in the government service. Now the question is whether to test the merit essential for promotion to higher posts? In the last unit on recruitment we have studied the methods of testing merit for direct recruitment in civil service, like written examination, interview etc. Those methods are not applicable for testing the merit for promotions. It should be noted that here we have to test the merit of those persons, who are already in the service. They possess minimum educational qualifications required for recruitment in the service. They have already passed in the written and oral tests at the time of their recruitment. Now the merit is to be tested for promoting them to higher posts. This is more difficult and delicate.

Many employees, old and young, experienced and inexperienced, senior and junior are working together for many years in the same grade and in the same organisation and are waiting to get promotion to the higher grade. The vacancies at the higher level are very few. Each of them thinks that he is most competent and fit for the higher post. In such a situation it is very difficult and delicate to test their merit for promotion to higher positions.

Generally the following three methods are employed for testing the merit for promotion:

Written and Oral Examination

Efficiency Rating

Personal Judgement of the Head of the Organisation.

Written and Oral Examination

In many countries written examination is taken for promotion. It is an objective method of testing merit. It eliminates all kinds of favouritism and nepotism. It relieves

the authorities from the troublesome work of making judgement about individual employees. It keeps the employees up-to-date about the developments. It gives equal chance to everybody to aspire and compete for higher positions. It is good when the number of aspiring persons is very large or when the higher job requires specified knowledge. In many countries departmental examinations are taken. Everybody who wants a promotion, is required to pass the qualifying departmental examination. (It is common in the Banking Services in India.) Brilliant and hard-working employees get quick promotions by passing these examinations. The system of written examination for promotion has some drawbacks also. The employees neglect their routine administrative work because they are preoccupied with examinations. Faithful and devoted employees feel neglected. Older and experienced employees cannot study and memorise things for examinations. Less experienced younger employees who are fresh from their college, normally get more marks in written examinations compared to their experienced colleagues. Therefore, written examinations are not very popular for promotion among the experienced employees. Although these promotional examinations are competitive, but closed i.e. confined to those who are already in the service, they result in a lot of jealousy and heart-burning amongst the competent competitors.

In order to avoid the drawbacks of the system of written examination, in many countries, oral test or interviews are taken after the candidates pass the written examination. Candidate's overall personality, attitudes and manners etc. are judged through the interviews. His past experience and record is also assessed at the time of interview. Whether a person is fit to be appointed to a higher position and whether his personality is suitable for the higher post is also judged at the time of oral examination.

Efficiency Rating

It is an old and universal practice in the Civil Service to maintain the service record of each person. These service records are known by various names like confidential report, service book, personal record or personal file etc. In the past, these records were mostly used to locate a person with bad records and to keep him away from promotion. But now these service records are used to evaluate the relative merits of the employee for the purpose of promotion. This is comparatively a new method which was first adopted in the USA for rating comparative ability and merit of the employees for the purpose of promotion.

Maintenance of service record itself is not efficiency rating. The service record provides the necessary data on the basis of which evaluation or rating can be done. In large organisations, there are many branches, divisions and sections having large number of employees. In each section, branch or department every year a confidential report relating to the overall service-record of each and every employee is prepared and maintained by the concerned head or superintendent or superior officer. These records are used for rating the efficiency and suitability of an employee at the time of promotion. This efficiency rating system is now widely followed for testing merit for promotions.

The efficiency rating system is most useful for finding the most able and efficient person for promotion. It is a fair and reliable system of rewarding the most efficient person and eliminating those who are comparatively less competent. It not only rewards merit but also the careful and faithful service. It keeps the employees alert and up-to-date. It guarantees the promotion to the best out of the available staff. These are some of the positive points of the efficiency rating system. But there are many negative aspects of this system. It is not objective. It depends upon the subjective judgement of those superior officers, who prepare the service record, and also of the rating officers. It is difficult to prepare a good 'rating form' which will include all qualities, traits or criteria necessary for effective rating. More sensitive employees become nervous and self-conscious because of this system and their morale is depressed. The rating system leaves room for negligence, low integrity and subjective judgement of the rating officer. What qualities or traits must be taken for comparative rating and how to integrate the various judgements relating to different qualities or traits into one final decision? These questions pose many difficulties before the promotions are finalised. Therefore, this efficiency rating system does not provide an automatic basis of promotion. The final judgement has to be taken by the promotion making authority.

his method, efficiency is rated on the basis of service records. Records are maintained in respect of all employees. Assessment is done on the basis of some qualities, traits, performance, output records, evidences, or check-lists, etc. Qualities like knowledge of work, personality, judgement, initiative, accuracy, willingness to take responsibility, neatness, punctuality, organising ability, etc. or output of the employee is rated as below.

- Above average
- Average
- Below Average
- may be rated as (in Britain & India)
- Outstanding
- Very Good
- Satisfactory
- Indifferent
- Poor

- Sometimes it is rated as (in USA)
- Highest Possible a) Extraordinary
 - Very good b) Satisfactory
 - Ordinary c) Unsatisfactory
 - Bad or
 - Very Bad d) Highly Unsatisfactory

Sometimes rating is done by giving grades like A, B+, B, C, etc. or giving marks i.e. numbers.

Personal Judgement of the Head of the Organisation

In this system merit is determined by the head of the organisation. The head or the boss knows everybody. He has personal understanding about the overall performance of each and every employee working under him. He therefore, at the time of promotion, relies upon his own personal judgement and makes promotion of the employees of his own choice. This system is based on nepotism and favouritism. It is like a spoils system. It gives scope for dictatorial tendency. It encourages politics and sycophantism (flattery) in administration. Sycophants surround the head of the organisation all the time. As a result there is lot of inefficiency, insecurity and uncertainty among the workers. Consequently their morale is depressed. Only 'Yes men' and sycophants' have good chances of promotion in this system.

This system of promotion, left to the judgement of the head of the office, is mostly used in business and industry but is not very common in the civil service. However, some very top level executive promotions are made in this system. Only in small organisations personal knowledge of the various employees is possible. Correct use of discretion and judgement depends upon the integrity and impartiality of the concerned head of the department. In practice, the actual judgement of the promotion authority is influenced by the service record, past performance and efficiency rating of the employee concerned. However, in the final selection of an employee, the personal judgement of head of the organisation plays its part.

We have discussed the various methods of testing merit for promotion in the preceding text.

Usually, all these methods are suitably combined to fill up posts by promotion. The variations are different in different countries.

Your Progress 2

- i) Use the space given below for your answers.
 - ii) Check your answers with those given at the end of the unit.
- Examine the pros and cons of the principle of seniority.

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.....

Discuss the disadvantages of promotion system based on the personal judgement of the head of the organisation.

16.8 ESSENTIALS OF A GOOD PROMOTION POLICY

Civil service is a career service. It offers life time job to the capable persons. It provides opportunities for them for growth and advancement. Only good promotion system can make this possible. At the same time only a fair promotion policy ensures supply of capable and competent persons for filling up higher positions without any breakdown. A good promotion policy is absolutely necessary for the success of civil service. Following are the essentials of a good promotion policy.

- 1) Promotion policy must be well planned in advance.
- 2) There must be a clear and sound classification of the civil services.
- 3) Posts or grades in each service or class must be arranged in a hierarchical manner.
- 4) Line of promotion and rules of promotion must be clearly laid down in advance.
- 5) Instead of a single person a board or committee should be responsible for making promotions.
- 6) A systematically accepted method of promotion must be followed strictly.
- 7) Employee must know that the vacancy for promotion is an opportunity and not a right and he must earn the promotion in competition with others.
- 8) Seniority should not be given excessive weight. Principles of seniority, merit and efficiency must be combined. Candidate's past performance, service record, and capability to assume higher responsibilities must be decisive elements. Various suitable devices like efficiency rating, examination, interviews, etc. must be adopted to test the merit for promotion.

16.9 PROMOTION SYSTEM IN INDIA

The question of promotion was first discussed during the British Raj in India in the year 1669, when the principle of seniority was accepted for promotion by the East India Company. The Charter Act of 1793 clearly accepted the principle of 'seniority' for promotions in the civil service. This principle remained in force till the enactment of the Indian Civil Service Act 1861. Although the seniority principle was continued, allowance was also made for merit, integrity, competence and ability in making promotion. Formula of seniority-cum-merit was followed till 1947.

In Independent India, the matter of promotion received attention in 1947 itself. The First Pay Commission (1947) recommended that direct recruitment and promotion system must be combined for filling up the positions in the civil service. According to it, principle of seniority must be adopted for those posts where more familiarity with office work is a necessary requirement, top positions must be filled up on the basis of merit and middle level positions on the basis of seniority-cum-merit basis.

The Second Pay Commission (1959) also recommended the principle of merit for filling higher level posts and the principle of seniority-cum-fitness for middle and lower levels in administration. Administrative Reforms Commission (1969) also recommended the principle of seniority-cum-merit for promotions. The governing principle of promotion in India, during the last forty years is that of 'seniority-cum-merit'. The relative weightage of the two factors of 'seniority' and 'merit' varies from service to service.

Promotions in India are made by the Union or State Government on the recommendation of the Head of the Department, sometimes with the approval of the Union or State Public Service Commissions. In some cases approval of the Finance Department is necessary while in the cases of some top level promotions, the approval of the Prime Minister or Chief Minister is also required.

For the purpose of promotions, in many departments, we have Departmental Promotion Committees. Promotions are made in accordance with the seniority and

on the basis of confidential reports. Principle of seniority-cum-efficiency is adopted invariably for promotions at lower and middle level posts like Assistants, Senior Assistants, Section Officers, Superintendents, etc. In addition to this practice, in some cases, government employees are allowed to appear in competitive examinations held for promotions. At higher levels of promotion a Departmental Promotion Committee makes promotions out of a list prepared on the basis of 'merit and suitability in all respects with due regard to seniority'. The system of promotion varies from service to service and class to class in India. After critical evaluation of the present Indian system of promotion, we find that there are some shortcomings in it. They are:

- 1) heads of the departments deliberately exclude some persons from the list of potential competitors;
- 2) personal records of the employees are not maintained satisfactorily and impartially;
- 3) employees are not informed about the vacancies to be filled up by promotions;
- 4) seniority is given too much importance instead of merit;
- 5) absence of systematic promotion machinery makes promotions unjust, arbitrary and haphazard; and
- 6) there is no effective system of appeals in cases of injustices in promotions.

In order to overcome these shortcomings it is suggested that a suitable and systematic promotion policy must be adopted. Service-records must be kept objectively and impartially. An effective machinery for evaluation and for appeals must be established. Promotion boards or committees must be established in all government services at all levels. Qualifying examinations and interviews may be started for making promotion at middle level positions. Instead of seniority the merit system must be adopted.

Check Your Progress 3

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

1) What are the essentials of a good promotion system?

.....

Discuss the Indian system of promotion.

.....

5.10 LET US SUM UP

Promotion is nothing but a process of filling up the vacancies indirectly from within the service. Promotion is an integral part of the career service. It helps the competent persons to rise to higher positions in the service. It also helps the government to make use of the best talents and experience of the persons who are already in the service. In most of the countries of the world merit principle of promotion has been accepted but at the same time, seniority also is given due consideration. In this unit, we have discussed the importance, need, meaning and types of promotion. We have also examined the relative merits and demerits of the two principles namely 'Seniority' and 'Merit' and various methods of testing merit for promotion, including 'efficiency testing'. A discussion on the promotion system in India was also made.

16.11 KEY WORDS

Career Service: A service which a person joins at a very young age and continues throughout his life till retirement in the same service.

Seniority: Length of service counted from the date of joining the service.

Efficiency Rating: Comparative evaluation of the performance of an employee on the basis of his past service records.

Service Record: Personal record of service about an employee maintained by his office.

16.12 SOME USEFUL BOOKS

Avasthi and Maheshwari, 1982. *Public Administration*, Laxmi Narayan: Agra.

Bhattacharya, 1987. *Public Administration*, World Press: Calcutta.

Sharan P. 1982. *Modern Public Administration*, Meenakshi: New Delhi.

Sharma M.P. 1988. *Public Administration in Theory and Practice*, Kitab Mahal: Allahabad.

16.13 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- for a government servant promotion is a reward for his faithful and hardwork.
- without promotions we cannot attract the best talents to join the government service.
- we cannot retain the most talented and potential persons in the service.
- we cannot get the best from them for the service and for the nation.
- we cannot have efficient, competent and satisfied civil servants in the country.
- promotions satisfy a natural human urge to make progress and advancement in life.
- it gives moral boost to the employees.
- for the government, promotion is a system of indirect recruitment i.e. filling up higher posts by selecting able and competent persons who are already in the service.
- for the government servant, promotion is an advancement from a lower post, class or service to a higher post, class or service involving higher duties, responsibilities and authority.
- it means elevation in the status and increase in the salary for the employee.
- promotion may be from lower grade to higher grade, lower class to higher class, lower service to higher service.

2) Your answer should include the following points:

- civil service is a career service.
- a person who joins the civil service spends his life time in it.
- he makes progress and advances up in the service with the passage of time.
- from his recruitment as a young person till his retirement as an old person it is the chances of promotion which keep him in the service.
- promotion is an integral part of the career service.
- a proper scheme of promotions can only make the civil service an attractive career and attract the best talent to join it.
- opportunity of promotion is a possible reward for hardwork, efficiency and faithful service.
- government servants have to work hard to get possible promotions.
- promotion chances increase the efficiency and contentment of the civil services.
- by the device of promotion opportunity, it is possible to retain the best, talented and efficient persons in the civil services. Otherwise they will leave the civil service and join other prosperous services.
- the two basic human urges of recognition and advancement can be satisfied by the device of promotion.

Check Your Progress 2

1) Your answer should include the following points:

Pros

Cons

- | | |
|---|--|
| <ul style="list-style-type: none"> • No scope for favouritism or nepotism. • Gives respect to age and experience • In accordance with the established practices in society. • A younger person does not become a boss of the older and more experienced persons. • It is more democratic because it gives chances of promotion to everybody irrespective of the merit. | <ul style="list-style-type: none"> Those who are senior are not necessarily fit for promotion. Here length of service is not a criterion of fitness. Seniority and experience are, therefore not a rational criteria. Seniority principle does not ensure that only fittest persons will be posted at higher posts. On the contrary inefficient and conservative persons may affect the overall performance of the government services. |
|---|--|

2) Your answer should include the following points:

- in this system merit is determined by the head of the organisation.
- this system is based on nepotism and favouritism.
- it is like the spoils system.
- it gives scope for dictatorial tendency.
- encourages sycophantism in administration.
- sycophants surround the head of the office all the time.
- as a result there is lot of inefficiency, insecurity and uncertainty among the workers.
- consequently their morale is depressed.
- only 'Yes Men' and 'Sycophants' have good chances of promotion in this system.

Check Your Progress 3

1) Your answer should include the following points:

- a good promotion policy is absolutely necessary for the success of a career civil service.
- promotion policy must be well planned.
- clear and sound classification of the civil services
- posts or grades in each service or class must be arranged in a hierarchical manner.
- line of promotion and rules of promotion must be clearly laid down in advance.
- instead of a single person, a Board or Committee should be responsible for making promotions.
- accepted method of promotions must be followed strictly.
- employee must know about the vacancy for promotion. He must be told that promotion is an opportunity and not a right.
- seniority should not be given excessive weight.
- principles of seniority, merit and efficiency must be combined.
- candidate's past performance, service record, and capability to assume higher responsibilities must be decisive elements.
- services like efficiency rating, examinations, interviews, etc. must be adopted to test the merit for promotions.

2) Your answer should include the following points:

- First Pay Commission (1947) recommended that direct recruitment and promotion system must be combined for filling up the positions in the civil service.
- Second Pay Commission (1959) recommended the principle of merit for filling higher level posts and the principle of seniority-cum-fitness for middle and lower levels in administration.
- Administrative Reforms Commission (1969) also recommended the principle of seniority-cum-merit for promotions.
- governing principle of promotion in India, during the last forty years has been that of seniority-cum-merit.
- the relative weightage of the two factors of 'seniority' and 'merit' varies from service to service.

- Present Indian system of promotion, we find, has some shortcomings in it. These are:
- heads of the departments deliberately exclude some persons from the list.
 - personal records of the employees are not maintained satisfactorily and impartially.
 - seniority is given too much importance instead of merit.
 - absence of systematic promotion machinery.
 - no effective system of appeals in cases of injustices in promotions.

UNIT 17 TRAINING

Structure

- 17.0 Objectives
- 17.1 Introduction
- 17.2 Importance of Training
- 17.3 Training in Developing Countries
- 17.4 Meaning of Training
- 17.5 Objectives of Training
- 17.6 Types of Training
- 17.7 Methods and Techniques of Training
- 17.8 Historical Development of the Concept of Training of Civil Servants
- 17.9 Indian System of Training
- 17.10 Agencies and Institutions of Training in India
- 17.11 Critical Evaluation of the Indian System of Training
- 17.12 Let Us Sum Up
- 17.13 Key Words
- 17.14 Some Useful Books
- 17.15 Answers to Check Your Progress Exercises

17.0 OBJECTIVES

After studying this unit, you should be able to:

- bring out the need, importance, meaning and objectives of training;
- make an overall assessment of the various types and methods of training employed in different countries;
- discuss the historical evolution of the idea of training of civil servants in general;
- describe the past and present system of training and institutions of training in India; and
- make a critical assessment of the Indian system of training.

17.1 INTRODUCTION

In the earlier units, we have seen that only well educated, qualified and meritorious persons are recruited in the civil services. Most of them are graduates and degree/diploma holders. They have already obtained the minimum educational qualification required for entering the government service. Their education is normally completed before they enter the civil service but the process of education continues even afterwards. However, they need a different type of education, which will help in their daily work and improve their skill and efficiency in administration. This new type of work-education is called training in the civil service.

In modern times, the administration has become more and more complex and complicated. It requires special knowledge and technical skills. Normal college and University education does not fulfil these requirements of modern administration. Therefore, there is an increasing need of training the civil servants. Training has now become an integral part of the modern personnel management. In almost all the countries including India, elaborate arrangements are made to provide suitable and effective training to their civil servants. In this unit, we are going to examine the importance, need, meaning, types and techniques of training. We shall also discuss about the historical development of the idea of training of the civil servants and make a critical evaluation of the present system of training in India.

17.2 IMPORTANCE OF TRAINING

Before familiarising ourselves with the meaning of training, we should try to understand the importance of training in developing countries like India. Training of civil servants has become an important aspect of modern personnel management. It has been recognised by all the governments that suitable and effective training programme for their civil servants is absolutely necessary for efficient and up-to-date administration. On the one hand, the functions of the governments have increased

and expanded rapidly and on the other, administration has become more and more complex, specialised and technical. The recruitment policies and programmes based on 'merit system' try to select the best qualified and competent persons in the civil service. Most of the selected persons are well qualified and educated, they are degree or diploma holders. But the University degree or diploma is not enough to make them best administrators. It is necessary to have some practical knowledge of the actual work of administration. This practical knowledge is imparted through training. Training prepares an employee for the new administrative tasks. Training improves his/her skills and efficiency. Training prepares him for higher and higher responsibilities. In fact, the very induction of an employee into an organisation needs training. An employee must know about the goals and objects of his organisation; the nature of work he is expected to perform in the organisation; and the techniques and methods of doing his actual work. All this knowledge can be imparted only through a systematic training programme. Similarly, with the passage of time, the knowledge and skills acquired by an employee become out-dated. He needs new and up-to-date knowledge and skills. This up-dating of knowledge and skills is possible only through training which is a continuous activity.

Although the formal education of an employee is normally completed before he enters the civil service, but the process of education, in the form of training, continues even afterwards. Training is thus, necessary before entering the civil service and even afterwards. Like education, training is also a life long process. But training has narrow and specific objectives as compared to education. As you read in Unit 2, Block I, education is much wider than training. Education influences the entire process of the upbringing of an individual from the childhood, the formation of the personality, character, habits, manners, attitudes, mental and physical capabilities etc. Education, in general, aims at broadening the mind. But training aims at improving the specific skills and knowledge required for some particular kind of work or profession. However, both education and training are, closely related to each other and many times they overlap each other. The importance of training has been recognised by most countries, including India. They have devised suitable training programmes for their civil servants and established many training institutions for implementing these programmes. However, these arrangements are inadequate and a greater need of training is felt in many countries.

17.3 TRAINING IN DEVELOPING COUNTRIES

Training of civil servants is of basic importance in all countries but the need and importance of training is more urgently felt in developing countries. There are many factors responsible for this urgent need for training in developing countries. They are:

- 1) There is generally a shortage of trained and qualified persons in most developing countries;
- 2) Training facilities and training institutions are inadequate in these countries;
- 3) Functions of the Government have increased rapidly. They are called upon to perform many new functions, which require highly skilled and technically trained personnel;
- 4) Administration is engaged with complex, technical and specialised functions,
- 5) Socio-economic conditions, in these countries are rapidly changing. In order to meet the challenge of these rapid changes, there is a need of innovation in administration; and
- 6) There is public pressure on the Governments to implement the development programmes with extraordinary speed and efficiency.

Because of the above mentioned factors, the need for training of civil servants is more urgently felt in developing countries. In fact, we can say that in these countries, the entire success of the development policies depends upon chalking out systematic/suitable training programme and its timely implementation through the appropriate training institutions.

17.4 MEANING OF TRAINING

The dictionary meaning of training is "imparting instruction in a particular art,

profession or occupation". In Public Administration, training means conscious efforts made to improve the skills, powers, and intelligence of an employee and to develop his attitudes and value-system in a desired direction. In broad and general terms, training is a life long phenomenon. Training, informally and unconsciously begins with our childhood itself. But in the narrow and specialised sense, training of civil servants, is a deliberate effort, directed to increase the specific skills and vocational competence of the civil servants in their routine work. William Torpey (Public Personnel Management, New York, 1953) defined training as "the process of developing skills, habits, knowledge, and aptitudes in employees for the purpose of increasing the effectiveness of the employees in their present government position as well as preparing the employees for future government positions". About the meaning of training, we can say that:

- 1) Training is a conscious, deliberate and planned effort;
- 2) Training is specific and limited;
- 3) It means imparting instructions about a particular work or profession;
- 4) Its purpose is to improve the skill, knowledge and effectiveness of the employees in their task; and
- 5) It also aims at preparing an employee for higher responsibilities.

17.5 OBJECTIVES OF TRAINING

Following are some of the major objectives of training of civil servants:

Firstly, the training improves the efficiency of the employees in administration;

Secondly, training improves the occupational skill and knowledge of the employees, so that they can do their work effectively;

Thirdly, training inducts a new employee into the organisation and imparts him knowledge of the goals and objectives of the organisation, his own role in the organisation and techniques and methods of carrying out his duties. Consequently, the employees can best contribute to the attainment of organisational goals;

Fourthly, because there are constant changes in the goals and techniques of the organisations, training adjusts the employees with the new organisational changes;

Fifthly, training makes up for the deficiencies of the newly recruited persons. Fresh University graduates are given necessary training to shape and mould them in the desired direction and make them suitable for government work.

Sixthly, training keeps the employees informed about the latest developments in his field and thus, keeps his knowledge up-to-date;

Seventhly, training improves the integrity and morale of the employees. The very existence of the training process gives the trainees an added sense of dignity and pride in their work and office;

Eighthly, training develops a sense of community service and belongingness in the employees. They realise that their work is an essential part of the organisation and the community. Therefore, they put more efforts in their work. This gives the employees a sense of pride and self-fulfilment in their work. It is, therefore, said that everybody in the civil service must get an opportunity of training of one kind or other;

Ninthly, training makes the employees, people oriented. It inculcates a basic principle in them, that they are public servants and not masters. This is necessary in a democratic administrative system;

Tenthly, training prepares the employees for higher positions and greater responsibilities; and

Finally, training fosters homogeneity of outlook and broadens the vision and outlook of the employees.

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) Explain the importance of training in modern times and make a distinction between training and education.

2) What are the aims and objectives of training?

17.6 TYPES OF TRAINING

There are different types of training imparted in different countries. Some of the major varieties of training are as follows:

- 1) Formal and Informal Training
- 2) Short-term and Long-term Training
- 3) Pre-entry and Post-entry Training
- 4) Centralised and Departmental Training
- 5) Skills Training and Background Training
- 6) Orientation Training.

Formal and Informal Training

Informal training is training by experience, which an employee acquires during the course of his actual routine work in his organisation. No special efforts are necessary for informal training. This is a routine organisational activity. It does not require planned training programme, specialist trainers or some training institutes. This kind of informal training neither prescribes a specific time period, nor a group of trainees is especially selected for it. This has been traditional method of training in Public Administration and is preferred even now by practical administrators. But this process is "very hard way of learning" and requires a lot of persistence and patience on the part of the employees. It is slow, ineffective and frustrating. Formal training is free from these defects. That is why informal training is not popular amongst most of the countries.

Formal training, is that kind of training which is carefully planned, arranged and conducted under the expert supervision and guidance. Specialist trainers in a training institute or under the auspices of the departmental training programme, impart formal training to a specially selected group of trainees during a specific time period. It consists of a chalked out course of study with lectures, seminars, work shops, group discussions, conferences, work projects and written reports; etc. It may lead to the award of a professional degree or a certificate of satisfactory completion of training. It may be imparted before the entry into the service or during the probationary period of the career service. It may be full-time or part-time. It may be orientation course or it may be a course of general nature. The formal training has defined objectives, pre-determined course of topics, planned course of action and systematically chosen methods or techniques. It inculcates necessary administrative skills through well defined courses conducted at appropriate stages during the career-service. As the need of improving the administration efficiency is felt urgently everywhere, the system of formal training is becoming more and more popular. In fact, the best way is to supplement informal training by formal training programmes. Both must be combined to give best results, but the various training programmes adopted in different countries like pre-entry training, post-entry training, orientation training, etc., normally focus more on formal techniques of training only.

Short-term and Long-term Training

These two types of training depend upon the duration of the training course. The duration of the training depends upon the subject-matter of training course, the nature of the service and the needs of the government. If the training course is completed in a few weeks or a month or two it may be called short-term training compared to the long-term training programmes conducted for a period from six months to one or two years.

Pre-entry and Post-entry Training

It is clear from the names itself, that the training imparted before entering the civil service is pre-entry training whereas that which is given after a person enters the service is called as post-entry training. For pre-entry training, in recent times, many training institutions have been set up to provide training courses for administrative and managerial positions in the government. Similarly, there are many institutions and centres which provide training to the candidates appearing for competitive examinations. In some places, practice of internship and apprenticeship is commonly employed for pre-entry training of the probable potential recruits in the services. Practical administrative training is also provided in some Universities and Colleges. Comprehensive pre-entry training programmes are there in the USA and many Western countries.

Post-entry training is given after a person joins the service. Post-entry training is very common in many countries. It is also called in-service training. The in-service training may be a combination of formal or informal methods and it is imparted at all levels in the service. It helps in improving the efficiency and performance of the employees and makes them professionally more competent and able. Sometimes post-entry training is not directly concerned with the actual work of the employee but directly it is of much help to improve his general ability and organisational performance.

Centralised and Departmental Training

When training programme is made within a department or office, its aims are limited, it only aims to improve the specific knowledge and skill relating to the department and it is only conducted for its own employees, this type of training is called departmental training. Such training is imparted by experienced officers of the department itself. Police Training College is an example of this type of training. But when training to the officers of many departments is provided by a Central Training Agency, it is called centralised training. The training programme of the Lal Bahadur Shastri Academy of Administration is an example of centralised training system in India.

Skills Training and Background Training

Background training is of general nature. It provides knowledge of such subjects which help the trainees to understand the social, economic, political, administrative, and constitutional background and conditions prevailing in the country. The purpose is to broaden the mind and knowledge of the employees and to make them aware of the society and their own role in the society. But when it is intended to improve the skills of the employee in a particular kind of work, it is called skills training. It aims at providing employees with the knowledge of special skills, techniques, procedures, methods, (craft) or complicated systems, etc., necessary to carry out his specialised kind of work. Craftsmanship training, income-tax officer's training are examples of the skills training whereas the I.A.S. entrants training at LBS National Academy of Administration at Mussoorie is an example of background training.

Orientation Training

A new entrant must know about his organisation, his work and his working situation and methods. He has to be introduced to his new organisation. This is done through orientation training. Orientation training is planned effort to adjust an employee to his organisation and his job. Basic objective of orientation training is to introduce an employee to the basic concept of his job, new work environment, aims and objectives of his organisation and his own place in the organisation. Orientation training is also necessary to keep the civil servant up-to-date and attend to new developments in his field. Orientation training is becoming more and more important in India.

Training of civil servants is of prime importance in all countries. In order to make civil service more efficient and effective, everywhere, suitable training programmes are chalked out. Training is necessary not only for new entrants but also for those who are already in the service. It may be of any type — formal or informal, short-term or long-term, pre-entry or post-entry. Training programmes must be planned according to the requirements of different services keeping in view the socio-political and administrative conditions prevailing in the country. However, we can conclude that, whatever may be its type, training is a permanent need of Public Administration.

17.7 METHODS AND TECHNIQUES OF TRAINING

There are many techniques and methods of training followed in different countries. Some of the important methods are as follows:

Training by Experience on the Job

A person is posted on one job and allowed to learn from the experience gained by doing that job. Then he is posted to another section/department to learn by experience about that new section. In this way an employee may be transferred from branch to branch, section to section or department to department and allowed to learn by doing a job. Senior and experienced officers help the trainee in this process of learning by giving necessary oral and written instructions and directions from time to time. In order to give him wide experience of administration, a trainee is sometimes sent to work in an outside office or organisation. Short visits to other related offices, inter-departmental exchanges or study tours etc., are also arranged. This is like the method of internship or apprenticeship commonly used in industrial management training. This method is cheap and simple. With the passage of time a person learns the techniques of administration and improves his performance as an administrator. But this method is slow and time consuming. Many times it does not have clearly defined objectives and specific time limit. However, this method of training is extensively adopted in most of the countries.

Training by Formal Instructions

In this method of training formal instructions are given by the senior officers to the trainees by arranging some lectures, or classes. Lectures of outside experts are also arranged. A specific course is planned and lectures, classes, group discussions, seminars, addresses or workshop, etc., are arranged for imparting the necessary training to the employees. Head of the Office/department also addresses the employees and gives them necessary instructions. This is arranged through an agency or institute of training. Now-a-days in most of the countries, this technique of training by formal instructions has been followed. Selected group of trainees are given formal courses in specialised training institutes. At the time of the formal training, necessary written instructions, information, documents, rules and regulations, etc., are also provided to the trainees. Films, Audio-visual aids and computers are also used for this type of formal training.

Conference Method of Training

This method of training has become very common now. A selected group of trainees from different departments are brought together to discuss various problems in a meeting or a conference. The trainees are the active participants in this method of training. Some specific cases are given for discussion in the conference. All the participants express their views and opinions based on their own experiences. This method, called as case-analysis method of training, provides the opportunity to learn from the experiences of others. In lecture method of training, the trainer has an active role whereas in conference method the trainees have the active role. They learn from each other by exchange of experiences and ideas. The chairperson of the conference plays the role of a guide and instructor. His role is to put the discussion on the right track. In the USA and many other countries the conference method has become very popular. In India also this method is used for short term training of higher civil servants like IAS, etc.

In conclusion we can say that all the governments have to make training arrangements and establish suitable training organisations for the civil servants. While the broad objectives of training are decided by the governments, it is the duty of the training organisations to plan the training programmes and adopt suitable methods of training. No one method is best. Different methods may be combined to suit the requirements of the jobs of the training programmes. Lectures and talks of the senior departmental officers or experts may be arranged. Seminars, conferences, workshops, group discussions and field visits may be organised. Refresher or orientation courses may be conducted. Case-analysis method can be adopted. All these methods may be employed singly or in combination according to the needs and facilities available.

17.8 HISTORICAL DEVELOPMENT OF THE CONCEPT OF TRAINING OF CIVIL SERVANTS

Although training of civil servants is comparatively a new phenomenon, the training of military personnel has been a regular feature of military administration for thousands of years. In ancient India, there was the institution called the Guru-Shishya Parampara (Teacher-pupil relationship) under which the student stayed away from his home in the Gurukul/Ashram, to learn the best of the knowledge, skills and arts from the Guru. Rulers, artists, artisans and even administrators were perfectly trained under the Gurukul system. But this arrangement was restricted to the upper strata of society. Ordinary citizen's profession was decided by his birth and caste and he used to get informal training of the family craft or profession from his family and caste group. In middle ages in Europe the craftsmen were trained by formal apprenticeship with experienced craftsmen. Conscious and systematic training began only after the industrial revolution in the field of private industry, business and management. Industrial expansion required skilled and expert workers to operate the intricate machines. Naturally, the need of industrial and technical training of workers was felt urgently. The training of employees, thus, became necessary for the success of the industrial administration. But in the field of civil administration training was not considered to be necessary because the functions of the governments were limited and administration was a simple activity. Civil servants were expected to learn by experience through a process of trial and error. This method of "the hard way of learning" continued for a long time.

In modern times the social and political conditions have changed. Modern State has become a Welfare State. Functions of government have tremendously increased. All governments have to promote the welfare of the people, plan for the socio-economic development and implement development policies and programmes efficiently. Scientific and technological developments have rapidly changed the lives of the people. After the Second World War, many new states have come into existence, where the democratic governments are being established. All these changes have made administration a very complex activity. We need highly skilled personnel to run modern administration. For this purpose, the need of planned and purposeful training of the civil servants has been felt urgently everywhere in the world. More and more attention is now being given to civil service training in all the countries. In almost every country a National Academy or Institute has been established to provide some kind of training to its civil servants. There are also specialised training institutions in every country.

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. Explain pre-entry and post-entry training.

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2. Discuss the evolution of the concept of civil service training.

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17.9 INDIAN SYSTEM OF TRAINING

History of civil service training in India can be traced back to the days of East India Company which established Haileybury College in 1805 for the training of the young recruits to the civil services. The Indian Civil Service was manned by the products of the Haileybury College until 1855 when the first competitive examination was held. The successful ICS candidates were required to spend 1 to 2 years in British University and learn subjects like Indian History, Indian Law and Indian language, etc. During the Second World War, a camp school was set up at Dehradun to impart training to the new entrants in the ICS. After independence, the Indian Civil Service was converted into Indian Administrative Service and the institutional training was imparted to the new recruits at the IAS Training School, Metcalfe House, Delhi. The Indian Administrative Service Staff College was set up at Shimla to train senior officials and recruits other than direct recruits. Both these training institutions were subsequently merged and the National Academy of Administration was set up in September 1959 at Moussorie. The academy is now named as Lal Bahadur Shastri National Academy of Administration, which is the most important central institution of training of the higher civil services including the All-India services.

During the British Raj it was believed that the education received before joining civil service was sufficient to qualify a person for the job. After joining the service, he was generally left to learn by experience on the job. Formal training was not considered to be essential for the civil servants. Only the ICS and technical personnel were provided with institutional training. Police, Telegraph, Railways, Income-tax, Accounts and Audit were the departments which required training arrangements for their technical personnel. However, in spite of all these arrangements, government relied more on training by experience on the job till Independence.

The problem of civil service training has assumed special significance only after Independence. With the changes in the social, political and constitutional conditions, the nature of government work has changed, the functions and machinery of the government has expanded and many new services have been constituted. As a result of all these rapid developments, it has become imperative for the Central and state governments to plan and provide suitable training to their civil servants. Accordingly, a number of National Training Institutions have been set up by the Central Government. In almost all the States there are State level Training Institutions like Administrative Staff Colleges and Police Training Centres. Apart from these institutions, many other academic bodies and Universities also provide training to the civil servants.

Indian system of the training of civil servants is largely conditioned on the British pattern. At the higher level the emphasis is on a University degree. The principle of catch them young results in recruitment of persons who have no education or training in Public Administration. They are usually brilliant youngmen and women with a background of liberal University education. Before giving them new administrative responsibilities, they need a systematic training in the skills and techniques of administration in the total ethos of modern democratic administration. Therefore, new entrants to the All-India Services and higher Central and State Services are provided with well planned institutional training in India. But systematic arrangements for the training at middle levels of Class II, Class III and subordinate services do not exist in the country. They are largely expected to learn by experience on the job. A few departments have their own staff colleges or training institutes e.g. Railways, Central Excise, Post and Telegraph etc. The Institutions like Central Secretariat Training School, Central Statistical Organisation, Institute of Economic Growth etc. provide practical job-related training to the middle and subordinate level staff. However for most of the services, at middle and lower levels, there is on the job training under expert supervision.

There is emphasis on the training of higher civil services in India. The initial post-entry training is imparted in two different ways:

- 1) Institutional training (for Administrative, Police, Audit and Accounts, Income Tax service etc.
- 2) Departments Training under the guidance of senior and experienced officers (for Defence Accounts, Customs, Posts and Telegraph Services etc.).

Probationers of the All-India Services, like I.A.S., I.P.S., I.F.S. and Central Services Class I are given the institutional training in two phases:

- 1) Foundational Course, and
- 2) Professional Course.

Foundational Course: is a combined course for the new entrants of All-India Services, like, I.A.S., I.P.S., I.F.S. and Central Services Class I. The foundational course is of five month's duration conducted by the Lal Bahadur Shastri National Academy of Administration at Mussoorie. In the foundational course emphasis is laid on the teaching of the subjects like Public Administration, Economics, Planning, Law, Political Theory, Indian Constitution, Cultural History of India, the National Movement etc. For those entrants who cannot read and write Hindi, special lessons are also given in Hindi.

The idea behind the foundational course is that the officers of the higher services in India should live together for five months and develop a spirit of belongingness to common public service; a feeling of comradeship and a broad common outlook. At the same time the officers of higher services acquire an understanding of the Constitutional, economic, social, political and historical context within which the administrators have to function. The foundational course removes the barriers between various services. It can be called a 'National Course' of training of higher services in India.

At the end of the five months foundational course an examination is held in which all the probationers have to appear and all are expected to pass.

Professional Course: After the completion of the foundational course of five months at the National Academy, the second phase of training in professional course is given to the probationers. Those who belong to the I.A.S. continue to stay at the National Academy and a further professional training is given to them for a period of about two to three months. During this spell of professional training, they study in more details the problems of Public Administration, district administration, revenue administration, development administration, Indian Penal Code, Criminal Procedure Code, Legal and Constitutional system, economic theory and economic planning, etc. After completion of the first spell of professional training, the I.A.S. probationers are sent to the State to which he or she has been allotted, for practical on the job training for one year. At the end of the year, the IAS probationers again come to the Academy for the second spell of problem-oriented professional training. Emphasis is placed on the discussion of particular administrative problems. Case-analysis, and conference method of training are adopted. At the end of the second spell of training at the Academy, the I.A.S. probationers appear at an examination conducted by the UPSC. For the training of the probationers of other All-India Services (like IPS, IFS) and Central Services, the specialised and professional training institutions have been established. After the completion of the foundational course at the National Academy, they are sent to various specialised training institutions for further professional training. The IPS (Indian Police Service) probationers go to National Police Academy at Hyderabad to receive professional training in drill, handling of weapons, crime and criminology, law, combating techniques, etc. The probationers of Indian Audit and Accounts service receive professional training at Central Audit and Accounts Training School, Shimla. The duration of professional training ranges from one to two years.

Training Methods

Four types of methods are involved in the entry point training of the foundational and professional courses at the various training institutions mentioned above.

- 1) Lectures on the subject matter of the course
- 2) Assignments given to trainees
- 3) Case-analysis method
- 4) Apprenticeship i.e., on the job training.

Refresher Course

Apart from the foundational and professional courses conducted by the various training institutions for the new entrants to the various higher services, the refresher courses have also assumed great importance in the country. These refresher courses are short-term training courses of the duration ranging from one week to four weeks. The senior and experienced civil servants are given the refresher courses two to three

times in their career. For the purpose of conducting these short-term training programmes, there are many institutions in the country.

For the IAS officers apart from the intensive entry point training of two years as discussed earlier, there are two types of training programmes.

- 1) Four Week's Training programme — in general management and administration arranged two to four times in the career of an employee.
- 2) One week compulsory refresher programme for every IAS officer every year.

Apart from IAS officers, other officers of higher civil services like IPS, IFS, Income Tax, Railways etc., are also given refresher training at regular intervals in their career. These refresher courses are conducted by the National Academy of Administration, or other institutions like (i) Indian Institute of Public Administration, New Delhi, (ii) Administrative Staff College, Hyderabad, (iii) National Police Training College, Mount Abu, (iv) National Institute of Rural Development, Hyderabad (v) Indian Institute of Management, Ahmedabad, etc. Various professional institutions in the field of various services like Police, Income-tax, Audit and Accounts, Railways, Telecommunication, Foreign Trade, Forests etc., also conduct the refresher courses for the senior officers of their respective services. A majority of State governments have also established state training institutions in their respective states for providing post-entry and in-service training to their employees. Besides, many University Departments of Public Administration and the public enterprises etc., also provide short-term training courses for the higher and middle level civil servants.

17.10 AGENCIES AND INSTITUTIONS OF TRAINING IN INDIA

Compared to most of the developing countries, India has a long tradition of training in the Civil Services. Ever since the days of East India Company, institutional training has been provided to the higher civil servants. After independence, the social, economic and political changes resulted in tremendous expansion the government machinery and its functions. In order to meet the requirements of the rapid post-independence changes, the need for systematic and up-to-date training of the civil servants was felt urgently. Training needs were emphasised by all efforts of the administrative reforms in the country. Today training of civil servants has become an integral part of the personnel policy of the central as well as state governments. A number of new training institutions have been set-up by the Central as well as state governments. These institutions provide both general and professional training to the civil servants at the entry point and also during their career. The number of the training institutions is very large. Some of the most important institutions of civil service training are briefly described below.

- 1) **Lal Bahadur Shastri National Academy of Administration, Mussoorie:** Established in 1959, the Academy is the most important training institution in the country. It provides the following:
 - i) Combined foundational course for all the probationers of the All-India Services like IAS, IFS, IPS and of the Central Services Class I.
 - ii) Professional and problem-oriented training for the new-entrants of the Indian Administrative Service.
 - iii) Refresher courses of four weeks for the senior IAS officers.
 - iv) One week training programme for the IAS Officers,
- 2) **Central Police Training College, Mount abu:** Upto 1975-76 it provided entry point professional training for the new entrants to the Indian Police Service. (It is now given at the National Police Academy at Hyderabad.) Now this college provides refresher training and in-service courses to the middle and higher level senior police officers of both IPS and of the State Police Service.
- 3) **National Police Academy, Hyderabad:** Established in 1976, it provides professional training for the new entrants to the IAS. It also conducts refresher course for the senior IPS Officers.

4) **Administrative Staff College, Hyderabad:** It was established in 1957 on the model of the Administrative Staff College of Henley (England). It provides 4 months advance level training for the highly placed senior administrators and experienced executives drawn from the government Public sector, and private business and industries. Exchange of experiences and ideas in group discussions, syndicates and panels is the method emphasised for the training.

5) **National Institute of Rural Development, Hyderabad:** Established in 1956 — organises regular orientation courses for the higher and middle level civil servants engaged in the field of rural development administration. It is also engaged in research in the area of rural development.

6) **Indian Institute of Public Administration, New Delhi:** Established in 1953 — Apart from research in Public Administration, the IIPA organises short-term orientation and refresher courses for the senior and middle level servants of the Central and state governments. These courses are regularly conducted for the benefit of senior and middle rank officials. These specialised professional courses heavily rely upon lectures by senior officers and experts in the subject. At the same time exchange of ideas and experiences in the group discussions and field visits are also arranged. The IIPA also organises a nine month educational programme for the senior and middle level civil servants. This is the only course of its kind in the whole country.

Many of the Central Services also have set up their own training institutions, where institutional training of professional nature is provided to their respective civil servants. Some of the leading training institutions are listed below:

- 1) Indian Institute of Management, Ahmedabad;
- 2) Income Tax Training School, Nagpur;
- 3) Railway Staff College, Baroda;
- 4) Institute of Secretariat Training and Management, New Delhi;
- 5) National Forest Research Institute, Dehradun;
- 6) Central Audit and Accounts Training School, Shimla; and
- 7) All-India Institute of Local Self-government, Bombay.

17.11 CRITICAL EVALUATION OF THE INDIAN SYSTEM OF TRAINING

Training of civil servants has assumed great importance after Independence. It has become an integral part of the Government's personnel policy. A number of new training institutions have been set up in the country to provide both general and specialised training programme. A large number of employees are benefited by these training arrangements in the country. In spite of this boon, the training system has not been able to fulfil the expectations that have been there from it. There have been many weaknesses in the Indian system of training.

Firstly, in the light of the vastness of the country and rapidly expanding sphere of the Government functions the training arrangements are not adequate to meet the training requirements. Only a small number of civil servants (one out of five) benefit from the present training facilities.

Secondly, too much emphasis is laid on entry-point and in-service training of the higher civil service like, All-India Services and Central and State Class I Services. The training needs of the middle and lower level personnel are neglected. Up-to-date in-service training and Refresher Courses for the lower level staff are not adequately planned. As a result of this neglect, a vast majority of civil servants (80 to 90%) have no opportunity of training.

Thirdly, there is a general lack of seriousness on the part of the Government in the matter of civil service training in the country. Many times wrong type of training programme is planned and wrong methods are adopted. Selection of the trainees is not done carefully. An unwanted and inefficient person is selected in place of a right and appropriate person. In most of the organisations, bureaucratic politics and patronage play an important role in the selection of trainees. If at all a right person gets, selected by chance, he may be sent to a training course which has no direct relation with his job. Serious thought is not given to utilise the training opportunity, after a trainee returns back to his organisation.

Fourthly, the contents of the training programmes are not always relevant and meaningful for the trainees. There is no relationship between the training contents and actual placement of the trainees. Many training agencies do not have co-ordination between the training programmes and needs of systematic career development. Most training courses do not fulfil the requirements of democratic polity and development administration.

Fifthly, in most cases the training institutes follow traditional lecture method of training. Up-to-date and modern methods of training are not easily adopted. Lecture method occupies almost 80% of the training in most institutions.

Finally, training system is not linked with the education and research in the country and systematic evaluation of the training results and follow-up of the effects of training on the efficiency in administration is not attempted. Thus there are various problems in training methods and techniques in India and there is a lot of scope to improve the Indian training system in the years to come.

Check Your Progress 3

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

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

1) Which are the important training institutions in India?

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2) Critically evaluate the Indian system of training.

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17.12 LET US SUM UP

In modern times training of civil service has become an integral part of personnel management. As the functions of the Government have increased, the administration has become a complicated, complex and technical activity requiring specialised knowledge and skills. Systematic and coherent training of civil servants has, therefore, become absolutely necessary. In almost all the countries today elaborate training arrangements have been made and appropriate training institutions have been set up to provide suitable and effective training for the civil servants. India is not an exception to this. In post-independence period, training of higher civil services has received very careful attention in the country. Both pre-entry or entry-point training as well as in-service training courses have been systematically planned and innumerable general and specialised training institutions have been set up in the country. An increasing number of civil servants are now receiving some kind of training at some point during their career.

In spite of this boon in the field of civil service training and proliferation of the training institutions in the country, the Indian system of training has not been able to fulfil the desired expectations. There are many weaknesses in it and a lot remains to be done to improve the Indian system of civil service training in the days to come.

In this unit, we have studied the objectives, need, meaning, types and techniques of training. We have also examined the historical development of the concept of civil service training in general and the rapid development of the Indian training system, in particular. The present system of training in India has also been critically evaluated in the unit.

17.13 KEY WORDS

Entry-point: Period after the selection but before the actual placement to a job.

Probationer: Recruits to the All-India Services during the training period are called probationers. A probation period normally lasts for one year.

Orientation: Updating of knowledge and skills of an employee in accordance with changing requirements of the job, development of new scientific and technological methods and specific subject knowledge. This is given at regular intervals in an employee's service in order to prevent him/her in becoming static and inefficient.

17.14 SOME USEFUL BOOKS

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17.15 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress I

- 1) Your answer should include the following points:
 - in modern times, the administration has become more and more complex and complicated.
 - it requires special knowledge and technical skills.
 - College and University education does not fulfil the requirements of modern administration.
 - training has now become an integral part of the modern personnel management.
 - it has been recognised by all the governments that suitable and effective training programme for their civil servants is absolutely necessary for efficient and up-to-date administration.
 - most of the selected persons are well qualified and educated.
 - but the University degree or diploma is not enough to make them best administrators.
 - it is necessary to have some practical knowledge of actual work of administration. This practical knowledge is imparted through training.
 - training prepares an employee for the new administrative tasks.
 - training prepares him for higher and higher responsibilities.
 - training improves his skills and efficiency. In fact, the very induction of an employee into an organisation calls for training.
 - an employee must know about the goals and objectives of the organisation, the nature of work he is expected to perform in the organisation, and the techniques and methods of doing his actual work. All this knowledge can be imparted only through a systematic training programme.
 - similarly, with the passage of time, the knowledge and skills acquired by an employee become out-dated. He needs new and up-to-date knowledge and skills. This up-dating of knowledge and skill is possible only through training and orientation.
 - training is a continuous activity.
 - like education training is also a life long process.
- 2) Your answer should include the following points:
 - training improves the efficiency of the employees in administration.
 - improves the occupational skill.
 - inducts a new employee into the organisation.
 - gives him knowledge of the goals and objectives of the organisation.
 - adjusts the employees with the new organisational changes.
 - make up for the deficiencies of the newly recruited persons.
 - keeps the employees informed about the latest developments.
 - improves the integrity and morale of the employees.
 - develops a sense of community service and belongingness in the employees.

- makes the employees people-oriented.
- prepares the employees for higher positions and greater responsibilities.
- fosters homogeneity of outlook and broadens the vision and outlook of the employees.

Check Your Progress 2

1) Your answer should include the following points:

- pre-entry training prepares future recruits for the service.
- in recent times many training institutions have been set up to provide training courses for administrative and managerial positions in the government.
- practice of internship and apprenticeship is commonly employed for pre-entry training of probable potential recruits in the services.
- comprehensive pre-entry training programmes are there in the USA and many western countries.
- post-entry training is given after a person joins the services.
- it is also called in-service training.
- the in-service training may be a combination of formal or informal methods.
- it is imparted at all levels in the service.
- it helps in improving the efficiency and performance of the employees.
- makes them professionally more competent and able.
- it helps to improve his general ability and organisational performance.

2) Your answer should include the following points:

- conscious and systematic training began only after the industrial revolution in the field of private industry, business and management.
- industrial expansion required skilled and expert workers to operate the intricate machines.
- the training of employees, thus, became necessary for the success of the industrial administration.
- but in the field of civil administration training was not considered to be necessary because of limited function.
- civil servants were expected to learn by experience through a process of trial and error.
- this method of the hardway of learning continued for a long time.
- in modern times the social and political conditions have changed.
- modern State has become a Welfare State, functions of governments have tremendously increased.
- all these changes have made administration a very complex activity.
- there is a need for highly skilled personnel to run modern administration.
- for this purpose, the need for planned and purposeful training for the civil servants has been felt urgently everywhere.

Check Your Progress 3

1) Your answer should include the following points:

- Lal Bahadur Shastri National Academy of Administration.
- Central Police Training College.
- National Police Academy.
- Administrative Staff College.
- National Institute of Rural Development.
- Indian Institute of Public Administration.

2) Your answer should include the following points:

- there have been many weaknesses in the Indian system of training.
- the training arrangements are not adequate to meet our requirements.
- only a small number of civil servants benefit from the present training facilities.
- too much emphasis is laid down on entry point.
- the training needs of the middle and lower level personnel are neglected.
- there is a general lack of seriousness on the part of the government.
- in most of the organisations, bureaucratic politics and patronage play an important role in the selection of trainees.
- the contents of the training programmes are not always relevant and meaningful for the trainees.
- in most cases the training institutes follow traditional lecture method of training.
- training system is not linked with the education and research methods existing in the country.

UNIT 18. PERFORMANCE APPRAISAL

Structure

- 18.0 Objectives
- 18.1 Introduction
- 18.2 Need and Importance of Performance Appraisal
- 18.3 Meaning of Performance Appraisal
- 18.4 Objectives of Performance Appraisal
- 18.5 Methods of Performance Appraisal
- 18.6 Factors Influencing Performance Appraisal
- 18.7 Performance Appraisal in Government
- 18.8 Recommendations of the Administrative Reforms Commission
- 18.9 Let Us Sum Up
- 18.10 Key Words
- 18.11 Some Useful Books
- 18.12 Answers to Check Your Progress Exercises

18.0 OBJECTIVES

After studying this unit, you should be able to:

- explain the need and importance of Performance Appraisal;
- describe the meaning, objectives and methods of Performance Appraisal;
- describe the various factors which influence the Performance Appraisal; and
- explain and assess the Performance Appraisal system followed by the Government in India.

18.1 INTRODUCTION

In the government, promotions are given to the civil servants on the basis of seniority or merit. The most important question is how to fairly judge the merit of a candidate who is already in the service? For being fair and impartial, it is necessary to assess the performance of the individual in the organisation. This is now systematically done in all the countries of the world. The assessment of an individual's performance in the organisation is called Performance Appraisal.

With the rise and development of modern management science, the system of performance appraisal, has gained additional significance in the study of personnel management. Since the concept of 'accountability' of the government has become more important in recent times, the need for performance appraisal of civil servants is more and more felt in all governments.

The system of performance appraisal draws upon the talent from within, based on the experience gained by the employees in the organisation. It compels the management to have a promotion policy based on the system of performance appraisal. It also gives justice to those employees who are efficient and capable. It serves the short-term purpose of assessing the capabilities and usefulness of an employee to the organisation and in the long-term it determines his potentials for elevation to the higher post and position.

18.2 NEED AND IMPORTANCE OF PERFORMANCE APPRAISAL

In every organisation all employees work to achieve the common aims and objectives of the organisation. But all employees do not have same capacities and qualities. The individuals' qualities differ from person to person. All are not equally efficient and able. But all have to work together. In order to keep their morale high, it is necessary to inform them, from time to time, about their own level of performance in the organisation. This can be done by adopting a fair system of Performance Appraisal. Performance Appraisal helps to improve the organisational health, viability and

growth through optimal utilisation of the human resources in the interest of the organisation. Individual employee gets feed back which enables him to develop himself to meet the objectives of the organisation. Performance Appraisal is, thus, a means and not an end by itself. Performance Appraisal system is necessary not only for individual's work improvement but also for the overall improvement of the organisation. It is necessary for the adoption of a fair and impartial promotion policy, which can only keep the employee's morale high. Performance Appraisal is also necessary to assess the usefulness and capabilities of a person in terms of his contribution towards the achievement of the goals of the organisation. It is also needed to develop the potentials of an employee to prepare him to accept more responsibilities of the higher post, which he aspires through promotion. It helps not only in improving the viability and health of the organisation but also pinpoints the shortcomings of an employee. By informing the shortcomings to the concerned persons, the superior officer can secure better utilisation of services either through correction or position-change. Performance Appraisal is, thus, a very important activity of modern personnel management.

18.3 MEANING OF PERFORMANCE APPRAISAL

Performance appraisal system has been defined in many ways. The simplest way to understand the meaning of performance appraisal is as follows:

"A regular and continuous evaluation of the quality, quantity and style of the performance along with the assessment of the factors influencing the performance and behaviour of an individual is called as performance appraisal."

Performance appraisal also means an appraisal of the growth potential of an employee, with a view to providing information to the organisation leading to positive action and enabling feed-back to the individual aimed at his performance improvement, personal growth and job-satisfaction. In short, we can say that performance appraisal is expected to result in an assessment of:

- a) growth potential of the employees;
- b) corresponding training needs for the employees;
- c) capabilities for their placement in higher posts,
- d) conduct and discipline of the employees; and
- e) the need of the organisation to evolve a control mechanism.

18.4 OBJECTIVES OF PERFORMANCE APPRAISAL

The main objective of the system of performance appraisal is to reward those who are working efficiently and honestly in the organisation. At the same time, it also aims at eliminating those who are inefficient and unfit to carry out their responsibilities. It has to be done almost continuously, so that no injustice is done to a deserving individual. It is, therefore, necessary to clearly define the organisational objectives, targets and priorities. It is further necessary to define clearly the role and responsibilities of the persons involved in the functioning of the organisation.

Performance appraisal also aims at helping the management in carrying out their tasks more effectively. A sound system of performance appraisal results in framing:

- a) a sound selection policy;
- b) an effective promotion and placement policy;
- c) an improved system of career and manpower planning;
- d) a realistic training programme;
- e) a good reward and punishment system; and
- f) an effective system of control and discipline in the organisation.

These elements are essential for any modern personnel management system. No country can neglect them for long.

We can thus say that the main objectives of performance appraisal are as follows:

- i) To carry out a fair and impartial assessment of the quality, quantity and style of the work performance of the individuals working in the organisation.

Annual Confidential Report

Individual performance of the employee is usually assessed on the basis of an Annual Confidential Report given by the superior about the subordinate based on a form. This form contains all those entries which can determine the adequacy and quality of work done as well as the general personality and integrity of the person reported upon. The reporting officer also can comment about his fitness for promotion or otherwise. In order to avoid ambiguity and subjectivity in this system a common grading of 'outstanding', 'above average', 'fair' and 'below average' is prescribed to judge each item in the form. The A.C.R. written by a superior reporting officer is evaluated by a 'reviewing officer' and finally endorsed or countersigned by the next higher officer.

The above mentioned 'service-record rating' system based on 'Annual Confidential Report' which accounts for the individual's experience, previous contribution, personal history, personality traits, etc., has been accepted in almost all countries for performance appraisal. In recent years, there are further improvements in this system. If there is an 'adverse' remark in A.C.R. about a person, he is informed about it. The intention is that he should correct himself. He is also given an opportunity to represent to the higher authority about the 'adverse' remark. Such representation is considered by a higher reporting and reviewing authority and finally a decision about it is taken.

Service Rating Method or Efficiency Rating

For performance appraisal it is necessary to determine the efficiency with which an employee performs his several duties in the day-to-day working. This is done through service-rating or efficiency rating methods. There are several service rating/efficiency rating systems in vogue in advanced countries like, the USA and UK. Those commonly used in the USA are man to man comparison, linear scale rating, graphic scale rating, graded answer, and work report, etc. The computers are being used for the purpose of service rating in the USA. The two types of service rating systems which are most commonly used in the USA and many other countries are:

- 1) Trait Rating system, and
- 2) PROBST/Graphic System of 'Personality Inventory'.

(A) Trait Rating System

In trait rating system a person's qualities like knowledge of work, aptitude, attitude towards others, job performance, etc. are rated like satisfactory/unsatisfactory, below job requirements, normal or above job requirements, etc. The final performance appraisal is based on the result of the trait rating system.

(B) PROBST/Graphic Rating System

In the PROBST service rating system the personality factors are given more importance. Following items, for example, are taken into consideration in this system of service rating.

Number of days of absence
Reasons for remaining absent
Punctuality
Promptness
Quickness, Smartness, Lazyness
Talkativeness
Gentle/Blunt/outspoken
Accepts/shirks from taking responsibilities
Obedience/disobedience
Reliable/unreliable
Personal appearance; and
Fitness for higher position. etc.

Service rating is done in different ways. In advanced countries, like the USA, this is done in very systematic manner by computers. In India sometimes rating is done by awarding marks in different columns specified for different qualities. Different gradation systems have also been followed for this purpose. It is thus evident that different methods are followed for the purpose of performance appraisal in different countries.

18.6 FACTORS AFFECTING PERFORMANCE APPRAISAL

There are various factors which, directly or indirectly, influence the system of performance appraisal. There are some factors which introduce subjectivity whereas, some other factors hinder objective assessment. Both types of factors are discussed below.

Superior Officer's Value System

Usually the superior officers are entrusted with the work of assessment and write reports of the subordinates. They are expected to do this objectively. What usually happens is that the superior officer judges the performance of the subordinates on the basis of his own value-system. Different persons believe in different value-systems based on their own socio-cultural conditions. Often it is found that the reports are influenced by the superior officer's value-system. This subjective element has great impact on the Appraisal Report which is based on superior's final judgement.

Dominant Work Orientation

Sometimes the Performance Appraisal Report of a subordinate written by his superior is found to be influenced by the dominant work orientation of the superior officer. There is over-emphasis on certain aspect of the work by the superior. This dominant work orientation introduces subjectivity in the system of performance appraisal. A superior judges the performance of the subordinate on the basis of the following dominant elements:

- a) preference for work of dynamic nature;
- b) preference for strict maintenance of routine work;
- c) emphasis on status and inter-personal relations;
- d) emphasis on qualities which do not have much functional utility; and
- e) emphasis on confirmity to some ideology.

Above elements introduce subjectivity in the process of assessment, influence the judgement of the superior and create distortions in the performance appraisal of the subordinates.

Inter-Personal Relations

Many times the psychological make up of the subordinate and the superior influences their personal relationship, apart from other situational influences. The subordinates very often take those actions which are liked by their superiors. Subordinate judges his own actions on the basis of the approval and appreciation of the superior. Such action of the subordinates satisfy the superior psychologically. The adaptability or otherwise of the subordinate plays important role in the system of performance appraisal. The inter-personal relations introduce considerable amount of subjectivity in the system of appraisal.

Loyalty

In many occasions and particularly in the Indian context 'loyalty' factor has considerable influence on the performance assessment. Loyalty may be due to common values, objectives, emotional needs, interests, caste, religion, language or region. Loyalty factor usually brings the superior and the loyal subordinate closer and closer to each other. It also increases the distance and distrust between the superior and other less loyal subordinates. This brings subjectivity in the performance appraisal system as every superior judges the subordinates on the basis of the extent of loyalty to himself.

Level of Achievement

Superior officer's own level of achievement affects the appraisal of the subordinate. If the actual difference between the levels of achievement of the superior and subordinate is quite wide, it can create problems of adjustment and objective valuation of performance.

Factors Hindering Objective Assessment

There are several factors which hinder the objective appraisal of the performance of the subordinates. These factors make it almost impossible for the superior to make objective assessment of the performance of the subordinates. These are as listed below:

- a) Superiority complex of the superior/reporting officer;
- b) Instead of assessment of overall performance, insistence of the superior to assess only specific aspect of the work;
- c) Past-record of the subordinate;
- d) Overall personality of the subordinate;
- e) Extent of work-contact between the subordinate and the reporting superior;
- f) Social status of the subordinate; and
- g) Capacity of the subordinate to exercise influence at higher level.

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) Explain the various methods of performance appraisal.

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- 2) Discuss the factors influencing the system of performance appraisal.

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18.7 PERFORMANCE APPRAISAL IN GOVERNMENT

The existing system of performance appraisal in India consists of an annual report given by the superior about the subordinate regarding his work, achievements, ability, integrity and personality. A printed form carries different types of questions, which is filled by the superior. Different grading like "outstanding", "above average", "fair", "below average" is prescribed to judge each question in the form. There are two to three officers who write the report, review the report and finally counter sign the report. Generally if there is any adverse remark, the concerned official is informed about the same, to which he can reply, if he so desires. Such reply is considered in consultation with the reporting and reviewing officer and a final decision is taken to expunge, modify or retain the adverse remarks in his report. The communication of adverse remarks to the person concerned is based on the principle of natural justice. That is, none should be punished without being heard.

There are many drawbacks in the present system of performance appraisal. The subjective elements in writing the report have been already discussed earlier. Firstly, yardsticks of value system are not commonly accepted by all the officers. Different yardsticks are applied by different officers. Secondly, many countersigning officers do not have any direct or intimate knowledge about the work of the person about whom the report is to be made. Thirdly, there is no uniformity or consistency in the method of appraisal. The reporting officer may command the clear thinking of one person and the drive of another one. Fourthly, it has been found on many occasions that the adverse remarks are not communicated to the concerned reported officer.

18.8 RECOMMENDATIONS OF THE ADMINISTRATIVE REFORMS COMMISSION

The Administrative Reforms Commission considered the issue of performance appraisal. It made the following main recommendations:

- a) The official should submit a brief resume of his own work done and any special achievements made by him. The reporting officer should take into consideration this document before making his own comments. Reviewing officer after recording both the comments should give his own comments, if any, and also do the grading.
- b) The Commission recommended that five point grading should be discontinued and instead of that three point grading should be made. The grading proposed by the Study Team was:
 - i) Fit for promotion out of tune;
 - ii) fit for promotion;
 - iii) not yet fit for promotion;
- c) Good work done during the year should receive prompt appreciation either on a file, or in a tour or inspection note. The concerned official should be allowed to quote these in his resume;
- d) Administrative Reforms Commission also recommended that in view of our new approach to the annual reports as a document spot-lighting the performance of an official during the course of the year, we recommend that this report should be called "performance report" instead of "confidential report"; and
- e) Whenever the merit of the candidates is equal, seniority should be considered for promotion.

The above recommendations have been accepted since 1977 by the Government.

Check Your Progress 3

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

1) Explain the performance appraisal method followed by the Government of India.

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2) Discuss the main recommendations of the Administrative Reforms Commission to improve the performance appraisal system.

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18.9 LET US SUM UP

In the personnel policy of any country, promotion of the servants plays a very significant role. It is, therefore, necessary that right type of persons must get promotions. The system of performance appraisal plays a key role in selecting persons of high quality and integrity to shoulder the responsibilities of higher positions. Performance appraisal has, therefore, become an integral and important aspect of personnel administration in almost all countries. It not only helps in improvement of the efficiency of the individual civil servant but also improves the overall efficiency of the organisation. Individual also gets feed-back which enables him to develop himself to meet the objectives of the organisation. In the Government, the performance appraisal system is used as a control mechanism and a tool to give incentives to those who are competent and efficient.

Several methods of performance appraisal are in vogue in different countries. In India the performance appraisal is primarily based on Annual Confidential Report written about each and every civil servant. Service-rating grading system and service-record rating system have also been recently introduced. There are several factors which affect performance appraisal system in India. The Administrative Reforms Commission made several important recommendations to improve our system of performance appraisal. Many of those recommendations have been accepted by the government. The unit has discussed all these aspects. Yet we cannot say that performance appraisal has become perfect and objective. Many reforms are still necessary to improve the performance appraisal system in India.

18.10 KEY WORDS

Performance: Refers to both the quantity (volume of output) and quality (excellence of accomplishment) of work by the performer.

Appraisal: An objective assessment, balanced judgement and unbiased evaluation of performance of the job by any performer.

18.11 SOME USEFUL BOOKS

Avasthi, A. and S.R. Maheshwari, 1982. *Public Administration*; Laxmi Narayan: Agra.

Maheshwari, S.R., 1972. *The Administrative Reforms Commission*, Laxmi Narayan: Agra.

Mathur, B.C., K. Diesh, C. Chandrasekharan (eds.), 1979. *Management in Government*; Publication Division, Govt. of India: New Delhi.

Sharan, P., 1981. *Public Administration*; Meenakshi Prakashan: New Delhi.

18.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - through fair system of performance appraisal, the employees can be informed from time to time about their own level of performance;
 - it helps to improve the organisational health, viability and growth through optimal utilisation of human resources;
 - performance appraisal is needed to prepare an employee to accept more responsibilities of the higher post which he aspires through promotion; and
 - it also pinpoints the shortcomings of an employee thus giving him a chance to improve.
- 2) Your answer should include the following points:

The main objectives are:

 - to carry out a fair and impartial assessment of the individuals working in the organisation

- to assess the extent of the various factors influencing the individuals' performance
- to reward the capable and efficient employees
- to make optimum utilisation of the human resources
- to help the management in evolving and framing sound policies and programmes relating to selection, placement, promotion, discipline, control and manpower planning.

Check Your Progress 2

- 1) Your answer should include the following points:
 - Annual Confidential Report
 - Service Rating Method or Efficiency Rating
 - Trait Rating System and PROBST/Graphic Rating System
- 2) Your answer should include the following points:
 - Superior Officer's value system
 - Dominant work orientation
 - Inter-personal relations
 - Loyalty
 - Level of achievement
 - Factors hindering objective assessment

Check Your Progress 3

- 1) Your answer should include the following points:
 - the performance of an employee regarding work, achievement, ability, integrity and personality is judged by his superior through Annual Report on a prescribed form.
 - different grading is prescribed to judge each variable in the form.
 - in the process of report writing two to three officers are involved. One writes the report, the other/s review/s it and finally countersigns the report.
 - the employee is informed about any adverse remark/s made in his report so that he could reply to it, if so desires.
- 2) Your answer should include the following points:
 - the officer concerned should submit a brief resume of his own work done.
 - instead of 5-Point Grading, 3-Point Grading should be made.
 - prompt appreciation for the good work done.
 - seniority to be considered for promotion in case the merit of candidates are equal.

NOTES



Personnel Administration

Block

5

WORKING CONDITIONS, CONDITIONS OF SERVICE

UNIT 19

Salary Administration
(Including Incentives & Other Benefits) 5

UNIT 20

Conduct and Discipline 21

UNIT 21

Administrative Ethics and Integrity in Civil Services 34

BLOCK 5 WORKING CONDITIONS, CONDITIONS OF SERVICE

This is Block 5 of Course 4 on Personnel Administration. This block is divided into three units. This block will familiarise you with the working conditions and conditions of service of the personnel in administration.

Unit 19 : Salary Administration

In this unit, the methods of pay fixation and job evaluation are discussed. This unit traces the history of salary administration in British India and describes the salary administration, incentives and other benefits of the personnel in the post-independent era.

Unit 20 : Conduct and Discipline

This unit describes the role of conduct and discipline in personnel administration. The matters which are covered under the conduct rules and the disciplinary proceedings against the civil servants, in pre-and post-Independent era in India are discussed here.

Unit 21 : Administrative Ethics and Integrity in Civil Services

In this unit, the essentials to ensure the practice of administrative ethics are described. The various causes for decline of integrity in civil services are discussed. Moreover, the legal framework to check corruption and various measures for improvement of integrity in civil services are all described here.

UNIT 19 SALARY ADMINISTRATION (INCLUDING INCENTIVES AND OTHER BENEFITS)

Structure

- 19.0 Objectives
- 19.1 Introduction
- 19.2 Methods of Pay Fixation
- 19.3 Methods of Job Evaluation
- 19.4 Principles of Pay Fixation
- 19.5 History of Salary Administration during British Rule
- 19.6 Principles Adopted for Salary Administration during the Post-Independent Era
- 19.7 Incentives—Meaning
- 19.8 Other Benefits
- 19.9 Let Us Sum Up
- 19.10 Key Words
- 19.11 Some Useful Books
- 19.12 Answers to Check Your Progress Exercises

19.0 OBJECTIVES

After reading this unit you should be able to:

- describe the methods of pay fixation & job evaluation;
- discuss the principles of pay fixation;
- trace the history of salary administration in British India; and
- describe the salary administration, incentives and other benefits in the post-Independent era.

19.1 INTRODUCTION

Compensation plan has an integral role in personnel administration and it is based on the classification plan. The significance of pay rates is reflected long before the employee enters a job. They have impact on recruiting, on public service prestiges and on the extent to which youngsters will set out to prepare themselves for government work. As a result they have an impact on the nature of school and college curricula, and on every other aspect of public personnel administration. The importance of pay or compensation is very great for every employee. The standards of living and the social prestige of an employee depend to a great extent on the pay he/she draws. A person chooses his/her career on the basis of pay which he/she expects to receive. Mason Haive remarks "pay in one form or another is certainly one of the mainsprings of motivation in our society". This unit will highlight the methods of pay fixation and job evaluation. Principles of pay fixation will also be dealt with. The unit will discuss the history and principles of salary administration in India. The need for providing incentives to the employees will also be highlighted in the unit.

19.2 METHODS OF PAY FIXATION

There are various methods of fixing up salaries of the public servants, each country follows a different method of pay fixation. It is determined by her past traditions, administrative patterns, nature of her constitution and character of the people. Some of these methods are:

- 1) Salaries are fixed by statute of the legislature. This system prevails in countries having immature personnel systems, such as Middle Eastern countries, and in local bodies and small cantons.
- 2) The legislature lays down the plan in broad schematic outlines but leaves the details to be determined by the Executive. Such is the case in India and in the federal Governments.
- 3) Salaries are fixed up by collective bargaining. Such is the case with all private enterprises and also with most of the public enterprises.
- 4) Salaries are fixed by local or area wage boards, determination of salary is based upon periodic study of prevailing rates. This method is usually adopted in public corporations and other public utility enterprises.
- 5) Lastly, there is the unplanned, haphazard system of wage determination, which is a relic of the past and is a sign of immature personnel system, but is not altogether extinct in the modern world. When a government undertakes a new activity, it usually follows no planned system of wage determination in the beginning but leaves it to time to evolve a proper system to suit that service.

There is always a need to determine salary on the basis of inputs like education, training and working environment. We must develop a pay structure which would ensure equilibrium between the inputs and the salary structure pertaining to self and in relation to others. This requires job evaluation which is the process of enquiring into the inputs required of employees for minimum job performance and equating the relative worth of the various jobs within the organisation so that differential pay may be paid to jobs of different worth.

In most of the newly created organisations, the salary structures are adopted from other organisations as job evaluation is always expensive to administer and to keep up-to-date. Many top executives feel that job evaluation should be avoided as long as problems are not too serious. However, job evaluation is a scientific method to determine pay structure.

19.3 METHODS OF JOB EVALUATION

There are two methods of job evaluation that are normally used by the organisations:

i) Non-analytical : Non-analytical methods establish grade hierarchy but are non-quantitative while analytical methods are quantitative and can be expressed in some numerical form. Small organisations prefer non-analytical methods as compared to analytical which are used by large organisations.

a) Job Ranking Method : Ranking is a direct method of comparing jobs together so that they are ranked in their order of importance. This technique simply lists the relative worth of the various jobs under consideration; jobs are not divided up factor-wise but are considered as a whole. Because of the difficulties in ranking, a large number of jobs at one time, the 'paired comparison' technique of ranking is sometimes used. Besides, we can use the technique of selecting top and bottom jobs as bench-marks for the remainder of the ranking process and ranking based on organisational charts. Ranking system is easy and quick to administer. The chief disadvantage of the method is that it is subjective as there are no 'yardsticks' for the jobs and obviously the underlying assumption of those doing the ranking cannot be examined.

b) Job Classification Method : In this method, we select one or two jobs from each level of the grading structure and prepare standard descriptions of the duties, responsibilities and requirements of these jobs. These jobs are known as bench-marks or key jobs. Job descriptions are then examined, and jobs are classified into the grades or levels that seem to be the most appropriate. Since it depends upon the

existing jobs for classification, if becomes unrealistic and cannot gauge into the changes in job contents. Besides, jobs by total content rather than in the assessment of individual traits go to make the position.

ii) **Analytical** : Analytical methods are quantitative. Therefore they can be expressed in numerical form.

a) **Weighted Point Assessment** : The point method of job evaluation analyses several factors common to the job being evaluated, and then rates each job along a scale of each factor. The general scheme is identical to that of graphic rating scale which is the most widely used device in the appraisal of employees. The rating scale includes a definition of each compensable factor.

b) **Factor Comparison Method** : The factor comparison method is more complicated than the point method. Its essential features are :

- i) Selects job factors or characteristics.
- ii) Constructs a scale for each job factor.
- iii) Measures all jobs in terms of the yardsticks.
- iv) Conducts a wage survey for selected key jobs.
- v) Designs the wage structure.
- vi) Adjusts and operates the wage structure.

To illustrate the above steps, let us take two jobs, i.e. lecturer and a clerk in a University. The factor ranking these jobs may be done as follows :

Factor Rank Order	Lecturer	Clerk
1)	Mental requirements	Skill requirements
2)	Skill requirements	Physical requirements
3)	Responsibility	Working conditions
4)	Physical requirements	Responsibility
5)	Working conditions	Mental requirements

The next step is to ascribe monetary values to each factor. If the composite wage is known, then each factor must have certain value. For the two bench-marks, we may ascribe the following monetary values :

Factor	Lecturer	Clerk
Mental requirements	800	50
Skill requirements	100	150
Physical requirements	100	150
Responsibility	300	100
Working conditions	50	150
	1350	600

The method discussed above has some limitations and not fool proof. The most difficult task in term of employment is the establishment of base compensation for the job. We must adopt a systematic method of compensation which could promote equity and satisfaction.

19.4 PRINCIPLES OF PAY FIXATION

The pay-scales of public employees are fixed in accordance with following principles.

i) Economic Position of the Country

The pay-scales of public services should be related to the means or per capita income and extent of economic position of the country. This involves the scaling down of salaries of the top officials.

ii) Cost of Living and the Price Level

Salaries in government services should also bear relationship with the cost of living, so there should be provisions for revision and adjustment of pay rates with at least

major changes in the cost of living. In short, salary scales in the public services should be both just and adequate. Inadequate salaries in the public service are an expense and not an economy. There should also be sufficient flexibility in the compensation plan to allow administrators to give some employees double or triple increment and to permit the appointment of recruits within a salary range rather than necessarily at the bottom step.

The cost of living varies from region to region in the same country. So regional and local variations should be kept in mind in compensating the employees. The level of consumer prices is among the factors relevant to the determination of rates of remuneration of government servants.

iii) State as the Model Employer

The 'model employer' principle is not suitable for determination of remuneration, but it should be taken into account.

The minimum wage of salary should not be determined only on economic considerations, but should also satisfy social tests. Even above the minimum level, government should remunerate their employees fairly.

In the present circumstances, the principle of the fixation of salaries should also take into account the remuneration in outside employment. Once the demands of efficiency of the public service are satisfied, social considerations require limitation of disparities between the highest and the lowest salaries, and their reduction as far as possible. With the minimum and maximum salaries having been determined on a combination of social and economic considerations, sound and equitable internal relatives constitute the most important single principle to be followed in the determination of the intermediate salaries and wages of government servants.

iv) Equal Pay for Equal Work

Equal pay for equal work is an important factor in the determination of pay scales. There should not be individual variations in the pay scales on the basis of favouritism. "There should be compensation of the position and not the individual."

v) Prevailing Market Rate

Four steps are involved in identifying and analysing the effects of the prevailing market rate in salary administration.

First of all, in the primitive era when human being's needs were relatively few, the Government servant was paid in kind, mainly in the form of foodgrains and the employer determined the kind of salary that had to be paid to the government servant.

The second stage brought forth the traditional labour market supply when the autonomous forces of demand and supply of labour in the market place determined what salary employer was going to pay to the government servant. The conditions of labour market as well as the competitive forces in the market determined the level of salaries.

In the third stage, we come across the institutional labour market supply, where labour organised itself in the form of trade unions with a view to protecting the economic interests of the government servants.

In the fourth stage, we perceive a tri-partite system of salary administration coming into vogue.

vi) The Policy of the Government

This is one of the main principles in the fixation of salaries. By and large, the political complexion of the Government, the ideologies professed and practised by it and the level of opposition faced by it, determine the policy of the Government in fixing the various scales of pay. The variety, magnitude and number of pay scales depend upon the challenges encountered by it from the private manufacturers and industrialists. The motive force behind salary administration by the Government is to attract, promote and retain efficient staff.

Check Your Progress 1

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

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

1) What are the methods of job evaluation?

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2) Discuss the principles of pay-fixation.

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19.5 HISTORY OF SALARY ADMINISTRATION IN BRITISH RULE

Rising prices and the consequent fall in the real pay of the Civil Servant was yet another factor in the decline of his/her status. While making general recommendations regarding the pay and pensions of the employees of Indian Civil Service, a Government of India circular letter of 23 January 1919 held out a promise to do something to restore the real pay of the Services to a level which had proved attractive twenty years ago. But it did not commit itself and merely sought the view of local Governments.

The rise in prices was of course an important factor in the new situation. While justifying its proposal to have salaries increased by at least 30 per cent, the Government of Bihar and Orissa, for instance, pointed out that between 1890-1912, the general level of prices had risen by as much as 30 to 40 per cent and that the average increase since 1900 might fairly be taken at 50 per cent. The U.P. Government even went so far as to say that as a result of the loss of real pay many officers were in debt, few officers had been able to put aside any savings, the new demands on the public services would be more exacting than in the past; the importance of securing good men/women would be greater than ever, while the attractions of service in India were likely to make a less effective appeal. It therefore recommended a 50 per cent increase of salary as justifiable and 33 per cent as essential. Other local Governments also expressed themselves generally in favour of pay increases, as the Service, even before the War, had lost its attractions; its initial terms and pay compared unfavourably with those obtained by Junior Assistants in the commercial houses of Calcutta. The Home Civil Service had thus started drawing away candidates at the top of the competitive list. The political changes in India and the increased opportunities created in England for promising young person after the War served as an additional inducement for top candidates at the combined examination to opt for the home Civil Service.

However, a more important source of dissatisfaction was the existing graded system which blocked promotion. Under this system officers were required to discharge, for a number of years, the duties of minor importance and then promoted to charges of major responsibility, such as Collectorships or District Judgeships. Separate scales of pay were accordingly fixed for officers employed on each of these classes of duties. It was laid down that no officer would be remunerated on the higher scale unless (1) he

was declared fit for the higher job, and (2) a vacancy occurred where he could be placed. Thus, when promotion was retarded, an officer received no increments for an indefinite period, and even when he was promoted to the higher scale, he had to start at the minimum of that scale. This penalty continued for the rest of his career, for until he reached the maximum, he was always drawing less than he could legitimately expect. On the other hand, if promotion was accelerated, an officer could get the higher scale sooner and attain the maximum sooner than usual.

A circular letter of 23 January 1919 therefore suggested the introduction of a time-scale incremental system under which the lower grade was subject to maximum increments with a minimum being fixed for the superior grade. An officer holding an inferior appointment under this system, kept on drawing his pay according to the inferior scale, subject to an efficiency bar, which might, as indicated by the Islington Commission, be Rs. 900 per month. The holder of a superior appointment was to draw pay according to the superior scale upto the point at which selection outweighed seniority. In discussions at different levels opinions differed as to the minimum and maximum that should be fixed for each of the scales of salary. While the minimum suggested for an inferior appointment ranged between Rs. 450/- and Rs. 600/- that for a superior post varied between Rs. 950/- and Rs. 1,100/-. Similarly, the maximum limit suggested for a superior charge ranged between Rs. 2,400/- and Rs. 3,000/- while that for the inferior was to stop at Rs. 1,500/- or Rs. 1,600/- the efficiency bar being placed at the twelfth year. The whole question was studied in all aspects by Sir Malcolm Hailey who, in a Finance Department Note of 5 July, 1919, made his recommendations on the subject. The Government of India and Secretary of State accepted these with a few modifications which specially included the overseas allowance as an integral part of the whole pay structure. The picture that finally emerged on the revision of pay scales was embodied in a Resolution of the Government issued on 13 February 1920. It came into force with effect from 1 December 1919.

19.6 PRINCIPLES ADOPTED FOR SALARY ADMINISTRATION DURING THE POST-INDEPENDENT ERA

A wage and salary administration programme must follow certain basic principles, otherwise they are not sound. Often there is more emphasis placed on the techniques and processes than on the objectives and principles of salary administration. The following are the principles of salary administration:

- 1) Job evaluation (or rating) plan and compensation plan must be separate and distinct and so understood by all.
- 2) Both the job evaluation and compensation plans should be sufficiently flexible to accommodate peculiarities of local labour conditions.
- 3) Evaluation (or rating) must be scientifically sound and easily comprehensible.
- 4) Individual responsible for the administration of the wage administration plan should, wherever possible, report directly to the same administrative level as director of personnel.
- 5) Extreme caution should be exercised in selection of wage and job analysts and others who are to be concerned with the execution of the programme.
- 6) The plan offers satisfaction to the just or reasonable interests of the employer or, in the case of a corporate enterprise, the stockholders.
- 7) Wage administration plan must at all times be consistent with management policies or programmes.
- 8) The job rating and compensation plans should be understood by and acceptable to the employees affected, in order that they may appreciate the objectivity and impartiality of the procedure.
- 9) There should be employee representation in the administration of the plan, in the conduct of locality wage surveys and in the original rating of new positions.
- 10) The wage administration plan itself must be acceptable to and in the interest of that portion of the public which is affected, directly or indirectly, by the enterprise.

- 11) The wage administration plan must be flexible and responsive to changing circumstances growing out of locality conditions.
- 12) The wage administration plan must be consistent with nature and objectives of the organisation.
- 13) The plan, therefore, must be geared to the type of conditions which prevail in the particular organisation, with due regard for the consequences of size, frequency of job changes and reorganisations.
- 14) The wage administration plan must simplify and expedite, rather than impede the other administrative processes.
- 15) The wage administrator must occupy a responsible niche in the organisation, and his/her responsibility must be to coordinate with, and in reciprocal relationship to, that of the other phases of administration.

The basic considerations or principles must guide the development, implementation and modification of salary administration system. From time to time, pay commissions have been set up to look into the matters of salary administration. They are as follows:

i) Salary Fixation by the First Pay Commission

The Indian system of classification, though not strictly based on the salary rates or the character of the work done, reflected these elements also. The First Pay Commission appointed under the Chairmanship of Sri Srinivasa Vardachariar, an Ex-Judge of the then Federal Court of India observed in its Report, submitted in 1949, that this classification was also linked up with differences in privileges in respect of disciplinary actions and right of appeal. The Pay Commission took exception to the description of the services as 'subordinate' and 'inferior', on the ground of its being derogatory and recommended its substitution by Class III and Class IV services. It rejected a plea for the Constitution of a Central Scientific Service, and instead, suggested the integration of the scientific and technical posts into the existing classification of Class I, II, III and IV. Since July 1974, the classification of Government officials under Classes I, II, III and IV was changed into 'Groups' 'A', 'B', 'C' and 'D'. The official circles view this change as the spread of democracy into the structure of services.

ii) Recommendations of the Second Pay Commission

As per the recommendations of the Second Pay Commission in its Report submitted in 1959, a single standard scale for Class II was accepted. Pay scales and/or grades in Class III were even more numerous. For the clerical staff there were four supervisory grades plus three more as U.D.C., L.D.C. and Stenographers. In the Central Secretariat, the entire hierarchy was broken down into nine grades consisting of Secretary, Additional Secretary, Joint Secretary, Deputy Secretary, Under Secretary, Section Officer, Assistant, U.D.C. and L.D.C.

According to V.A. Pai Panandikar, the present four-fold classification was not organised on any systematic basis. A conceptual framework was essentially lacking and the basic categories arose entirely by a historical accident. The numerical calling superimposed on the various services was merely a matter of convenience. In other words, the present classification system was never designed nor intended either for orderly grouping of services or as a tool for managing the personnel. The absence of a clear-cut principle of classification has certainly taken a toll of effective personnel administration. The Second Pay Commission estimated in 1959 that there were 517 different scales of pay, out of which only 177 had more than 100 employees each. For administering these differing provisions of pay and other benefits of service, the Government of India had to maintain a large staff to check and calculate these benefits. Because of Second Pay Commission's recommendation, the number of pay scales was reduced by nearly 200.

iii) Recommendations of the Third Pay Commission

The Third Pay Commission, set up by the Government of India on 23 April, 1970, submitted its report in two volumes in 1973, under the Chairmanship of Shri Raghubar Dayal, an ex-judge of the Supreme Court.

The Commission was to give consideration to the principles which should govern the structure of emoluments and conditions of service of Central Government employees

and to formulate measures which should be taken to change the structure of emoluments and service conditions. It had also to take into consideration the structure of death-cum-retirement benefits to the members of the armed forces and the all-India services, the main effort of the commission was to rationalise the pay scales numbering over 500 and reduce them to just 80 and, in the process, give better pay scales to different categories of employees. To reduce the disparity in pay scales, the commission raised the minimum salary to Rs. 185/- per month, as a result of which, the disparity ratio between the minimum and maximum salary was reduced from 15.4 on January 1, 1970 to 11.8. It did not recommend any change in the existing maximum salary. The Commission also made recommendations pertaining to working hours, holidays, overtime allowance and other welfare measures as well as classification of posts based on an assumed equivalence of work content of different levels of various occupational groups of employees. As regards reduction in the number of grades, the commission opined that it will result in curtailment of promotion opportunities in certain spheres. It felt that employees were now unlikely to accept a permanent reduction in their emoluments, however, small it may be. Any simplification of the pay structure can be expected to result more in the prevalent scales drawing level with the highest in a group rather than in any general lowering of these scales. The commission, therefore, did not think it appropriate to adopt the schemes of a unified grading structure. However, the commission did suggest the adoption of job evaluation on a continuing basis.

In devising its pay structure, the Third Pay Commission kept in view the text of 'inclusiveness', 'comprehensibility' and 'adequacy'. It commented that an uncritical use of comparison between Government salaries and the salaries of organised trade and industry, without considering the work content and the totality of prevailing circumstances, is not justified. The Government had to take note of its dual role, both as employer, and as the supreme authority responsible for the governance and development of the country.

The commission recommended that a common wage policy should be evolved for public sector undertakings and an effective coordinating machinery should be established to ensure that the pay scale of any public sector undertaking do not go seriously out of line with those in other public sector undertakings and under the Government. The commission fixed the pay scales of various posts under the Government with reference to their duties and responsibilities, difficulty and complexity of the task, and qualifications. It recommended that there should be a more effective application of efficiency bars in the various scales and the crossing of efficiency bar should not be a routine matter.

iv) Recommendations of the Fourth Pay Commission

The Fourth Pay Commission, set up by the Government of India in July 1983, under the chairmanship of Justice P.N. Singhal, came into being on September 1, 1983. The terms of reference of the commission included the examining of the then existing structure of emoluments and conditions of service as well as other benefits available to all Central Government employees, personnel belonging to all-India Services, employees of Union territories and armed forces personnel and suggesting changes that may be desirable and feasible. The recommendations of the Commission covered about 52 lakhs Government employees including those of the armed forces. The Commission reduced the number of pay scales of civil employees from 153 to 36. The minimum and maximum scales of pay, recommended by the Commission were Rs. 750-940 and Rs. 9,000 respectively. Its other recommendations included, inter alia, enhanced allowances, upgradation of posts in the central police in the union territories, free rationing for armed personnel, leave encashment up to 240 days at the time of retirement, educational assistance for all employees, enhanced reimbursement of tuition fee of children and medical allowance, age relaxation up to 35 years for widows, divorcees and legally separated women, introduction of modern techniques for efficient administration, regular training for officials at all levels, rationalised and improved allowances and facilities for the armed forces, earned and accumulated half pay leave as privilege leave, elimination of communal holidays and a slight increase in casual leave.

19.7 INCENTIVES--MEANING

The term incentive is used to describe material and non-material benefits to employees in addition to their normal salaries for making their best efforts to promote productivity and efficiency. It may take the form of wage payments related to employees' performance in addition to the normal salaries given for the standard work assigned to them. Such incentive plans must have a 'base line' standard so that performance over and above this standard can be rewarded. These incentive plans are linked directly or indirectly to standards of productivity or the profitability of the organisation or to both the criteria. According to Wendell French, the purpose of incentive plans is to increase the morale and motivation of employees to contribute to the goals of the organisation by offering financial inducements above and beyond basic wages and salaries. Megginson defines incentive wages as the extra compensation, paid to an individual, for all production over a specified magnitude which stems from his/her exercise of more than normal skill, effort or concentration when accomplished in a pre-determined way involving standard tools, facilities and materials.

One of the biggest challenges to modern organisations is how to ensure productivity/efficiency. Most of the individuals become slow and lazy as they realise that their performance has no relevance to them. They are convinced that their extra interest or labour would not make any difference to them. Paul Pigors has rightly posed this challenge when he stated "A continuing challenge for management is how to share the gains from higher productivity in ways that will stimulate the interest of employees in improving their performance of the job and the productivity of the organisation as a whole." Incentive systems can impel an employee to earn more by working hard.

Non-material incentives may take the form of recognition of the work of the employees through appreciation letters, merit certificates, medals etc. Such awards benefit the employees indirectly i.e. promotion or nomination to higher posts.

It has been recognised that economic gain is not the only incentive. In this connection, Allport observes, "Employees in an organisation are 'not economic men' so much as they are 'ego-men'. What they want, above all else, is credit for work done, interesting tasks, appreciation, approval and congenial relations with their employers and fellow workers. These satisfactions they want even more than high wages or job security."

R.K. Misra favours the judicious use of both monetary and non-monetary incentives to achieve productivity. He says: While budgetary restrictions and temporary improvements in performance place a limit on the potency as a motivator, non-financial incentives involve only human ingenuity as investment and also ensure a relatively stable acceleration in output. Monetary incentives imply external motivation; non-monetary incentives involve internal motivation. Both are important. It is a judicious mix-up of the two that tends to cement incentives with motivation. There are various types of incentives which are discussed below:

(i) Materials Incentive Plans (Individual Incentives, Group Incentives, Profit Sharing Plans)

It is the plan to award individuals or a group of individuals extra payment for the extra work done by them. According to Loudon the purpose of individual incentive plan "...Is to offer a financial incentive for a worker or group of workers to produce work of an acceptable quality over and above a specified quantity." According to Wolf, "Their primary purpose is to aid in obtaining minimum unit costs thereby contributing to enterprise profits." These individual incentive plans can be categorised into piece rate plans and production-bonus plans.

There are a large number of problems to institute individual incentive plans. The most serious problem is the criteria to fix standards. Besides, the scheme may generate friction among workers and also reduce quality. Employees in an organisation can be encouraged to make suggestions through a suggestion-box to promote productivity and reduce costs. This would also encourage employees

participation in the policy-making and decision-making of the organisation. Supervisory and professional employees are excluded from these plans as this is a part and parcel of their job contents. Many companies use this system. Most Government organisations are spending huge amounts for research and development (R&D) which can be shared by employees. The suggestions given by employees would be quite effective as they understand the functioning of the organisations. However, care may be taken that such suggestion plans may not result in friction and lay offs etc.

Group-Incentive Plans

The purpose of group-incentive plans is the same as that of individual incentive plans except that the incentives are paid to a group rather than the individuals engaged in a particular plant or section.

Profit-sharing Plans

The purpose of profit-sharing plans is to distribute the additional profits among employees as incentives in the form of bonus which may be paid in cash or transferred to their account. The amount credited to their account can be withdrawn only if the employees have worked for minimum period of time.

ii) Non-material Incentive Plans (In the Form of Appreciation Letters, Award of Medals, Merit Certificates etc.)

These incentive plans may take the form of appreciation letters, award of gold/silver medals, merit certificates, etc. These incentive plans can be of great use in organisations where business, commercial or industrial outlook is absent. In organisations, dealing with welfare activities or law and order or defence and so on, it is very difficult to compensate the hard work of the employees with money. Here, we can make use of non-financial incentives which keep the morale of hard-working employees strong.

Problems of Incentive System

Incentive schemes if not properly implemented can create problems, e.g., (i) There is a tendency amongst employees to improve quality at the cost of quantity; (ii) there is a danger that the safety regulations may be disregarded by workers and this may result in higher accident rates; (iii) there is a danger that the workers may undermine their health under the strain of work and finally such schemes may generate misunderstandings and jealousies among the workers because of the difference in their earnings.

However, it must be clear that a properly planned and implemented incentive scheme can promote efficiency/productivity. The study group of the National Commission on Labour has recommended that

Under our conditions, a wage incentive is concerned with an effective utilisation of manpower which is the cheapest, quickest and surest means of increasing productivity. The only practicable and self-sustaining means of improving manpower utilisation is to introduce incentive schemes and stimulate human efforts to provide a positive motivation to greater output.

Recommendation of A.R.C. on the use of Incentives to Promote Efficiency in Organisations

ARC had advocated the use of incentives to promote efficiency in organisations. ARC has recommended Recommendation No. 64.

- 1) Incentives for timely completion of a specific project may be provided through suitable awards such as a rolling cup or a shield. In individual cases, commendatory certificates may be issued.
- 2) Cash awards or one or two advance increments may be given to those who give valuable suggestions for simplification of work leading to economy in expenditure or otherwise increase efficiency.
- 3) Any exemplary or special achievement may be recognised by grant of medals as is practised at present in the Police Department.

19.8 OTHER BENEFITS

A) Allowances and Perks provided to the employees (Dearness Allowance, C.C.A., H.R.A, Travelling Allowance, Daily Allowance, Leave Travel Concession, Medical Allowance, Conveyance and Uniform Allowance etc.)

Pay is not the only form of remuneration that an employee receives from the employer. Fringe benefits are the common supplement to his/her salary or wages. For the employees, fringe benefits represent extra income, additional security or more desirable working conditions and these have considerable value in raising the employees' morale to keep them happy in their jobs and thus are worth the cost. It is suggested that fringe benefit scheme should be carefully planned. Consequently, the management should take a logical, objective and integrated attitude towards the fringe package. Considerable attention is needed in determining the optimum combination of fringe benefits for the organisation that will maximise employees' satisfaction and assure more efficiency.

Fringe benefits, nowadays, represent a substantial portion of the total personnel cost for an organisation. Employee's morale is directly and indirectly influenced by the quantum of the allowances and perks provided to the employees from time to time.

Dearness Allowance (D.A.)

It is intended to compensate the employees for the ever-rising prices and cost of living from time to time.

City Compensatory Allowance (C.C.A.)

Cost of travel in cities and other highly developed towns is increasing due to other factors such as rising cost of petroleum products and the employees need help to reach their place of work.

House Rent Allowance (H.R.A.)

It means an allowance granted to an employee to cover the house rent facility. It will be paid to the employee according to his/her basic pay.

Travelling Allowance (T.A.)

This means an allowance granted to an employee to cover the expenses which he/she incurs while travelling on official work from one place to another.

Daily Allowance (D.A.)

It is an allowance for each day of absence from headquarters which is intended to cover the ordinary daily charges incurred by the employee to maintain himself/herself.

Leave Travel Concession (L.T.C.)

This is granted to the employees once in 3 or 5 years, as they cannot undertake such journeys without help from the employers. It is a welfare measure.

Medical Allowance

Medical facility is being provided to the employees as a welfare measure with a view to save them from abnormal cost of medicine.

Conveyance Allowance

It is given in connection with the transportation of luggage from one place to another.

Uniform Allowance

Some categories of the government servants have to put on special uniforms while discharging their duties. For example, the police, the peons, etc. They receive a special allowance for their dress.

Children's Education Allowance

It is given to the employee to enable him/her to get his/her children educated under certain conditions.

In addition to the above allowances and perks provided by the Government, the employees enjoy benefits of security of tenure, leave, advances (interest-free as well as with interest), holidays, promotion, provident fund and retirement.

B) Retirement Benefits Available to the Employees

There are three forms of retirement systems namely (i) non-contributory; (ii) partly contributory; and (iii) wholly contributory. Under the first system the Government, undertakes to defray the entire cost of making the retirement allowances. The employees are not called upon to contribute any money to the retirement fund. Under the second system, the cost is partly met by the Government and partly by the employees. The contribution of the employees is secured through compulsory deductions from their salaries which are carried to a provident fund along with the Government's contributions. Under the third system the entire cost is met by the employees through deduction made from their salaries.

Each of these systems has its merits. Many people are unwilling to accept the first system. They say that the employee is under the same obligation to make provision through saving for his future needs as the persons in private employment. They advocate the wholly contributory system. On the other hand, some people maintain that the entire cost should be met by the Government. Just as the Government pays for the salaries of its employees, so it must pay for their retirement allowances which should be considered as a part of their salary. From the viewpoint of expediency it will do away with the expensive and complicated method of making deductions from pay. Finally, there are many others who look upon the responsibility as a joint one and advocate partly contributory system which occupies a middle position between the two extreme systems of non-contributory and wholly contributory. It is argued that this system will not unnecessarily burden either and will create the spirit of marking sacrifices in the employees. In India there are two main schemes of retirement benefits for the Central Government employees, namely, the pension scheme and the Contributory Provident Fund scheme.

1) Pension Scheme

The pension scheme involves cash disbursement to the retired employees in fixed monthly amounts. It guarantees them a secure life as long as they live. Secondly, pension system enables the Government to exercise greater control over the employees even after retirement. Pensions can be withheld at any time when it feels that the pensioner is engaged in any subversive activity against the State or has otherwise acted against the prestige of the Government. Pension cannot be claimed as a right. It is earned on the basis of satisfactory and approved service and future good conduct is an implied condition of every grant.

But the pension scheme, unless specially adapted to meet hard cases, results in hardship to the family of the public servant who dies prematurely in service or at the time of retirement or a few years after enjoying pensionary benefits. Moreover, he cannot retire with pension without putting in the qualifying period of service.

Kinds of Pensions

According to circumstances and conditions under which pensions are admissible, they may be classified into ordinary and extraordinary pensions. The ordinary pensions may be of the following kinds:

- 1) Superannuation pensions, given to an officer who retires at the prescribed age.
- 2) Retiring pension, given to an officer who retires after completing a fixed period of qualifying service.
- 3) Invalid pension, given to an employee who is permanently incapacitated for his work.
- 4) Compensatory pensions, granted to an officer whose permanent post is abolished and the Government is unable to provide him with an alternative post.
- 5) Compassionate allowances when pension is not admissible on account of a public servant's removal from service for misconduct, insolvency or inefficiency.

Extraordinary pensions are either in the form of injury pensions or family pensions. Injury pensions are paid to the government employee himself in case of injury received in the course of duty. Family pensions are payable to the widow or minor

children or in some cases to the parents of an employee killed in the course of the discharge of his/her duties. The Central Government and also some of the State Governments have, of late, made provisions for family pensions for those permanent government employees who die prematurely. This is one step forward towards ensuring economic security of public servants.

Besides pensions, there are, in certain countries other benefits like insurance benefits given to the public servants at retirement. Insurance systems are usually wholly contributory, the Government incurring only the establishment charges. The Government of India and some State Governments have introduced the insurance scheme for certain classes of their employees.

ii) General/Contributory Provident Fund

Under the system, there is a provision for Provident Fund to which an employee also makes a contribution to the fund. Hence, till the time of retirement, the employee makes a big amount of Provident Fund which he/she enjoys for the rest of the life.

Circumstances of Availing the Fund Facilities

Now the question arises under what circumstances an employee may be granted the fund facilities? They can be classified under the following heads :

- 1) **Age :** Age is the main consideration of retirement. There was a time when much importance was paid to the period of service than the age. For example, 25 years of service was necessary for retirement. Age was not a decisive factor. Now a worker retires after attaining a certain age. Retirement at the age of 60 proved to be satisfactory.
In U.S.A. retirement age is 65 to 70 years.
In U.K. retirement age is 60 to 65 years and
In India retirement age is 58 but extension may be granted up to the age of 60.
- 2) **Disability :** It is necessary to grant all the facilities of retirement to a worker who has become disabled either due to illness or any accident. Generally, such accidents occur in factories which make a worker disable and for them there must be a provision of fund.
- 3) **Death :** Death may be natural or accidental. In the case of natural death if it occurs prior to the retirement, then it is necessary that the amount which the employee has collected as provident fund should go to his/her dependents after adding the interest. If the death is accidental, then it becomes the duty of the Government to look after the deceased's family.
- 4) **Resignation :** If any worker has resigned from his/her post prior to his/her retirement, due to any reason or he/she is dismissed, then he/she must be given that amount which he/she has collected up to the time of resignation or dismissal as provident fund.

So, this system of retirement is beneficial for the employees where everything is done in their own interest. The provident fund helps him/her in old age or when he/she becomes invalid. He/she always remains self-dependent. That is why all the nations of the world have adopted the system of retirement. In fact this system signifies a high level of civilization.

In certain cases, the employees have pressed for a mixed scheme which will partake of the character of a pension and a lump sum payment both. This is arranged by covering a part of the pension into a lump sum amount to be received on retirement. In India, gratuity is also paid to the employees in addition to the pension. For three classes of government servants in India viz., (i) the non-pensionable railways servants, (ii) specialists recruited on a contract basis for a period of five years or more and, (iii) temporary workmen in certain establishments like CPWD, the Mints and the Security Press, Ordinance factories, there are provident fund schemes.

Pay Commissions and Retirement Benefits

Retirement benefits have been dealt with in the 3rd and 4th Pay Commission.

i) Third Pay Commission and Retirement Benefits

The maximum qualifying service for pension was increased from 30 years to 35 years

and the maximum pay for earning pension from Rs. 1800 to Rs. 2500 while the maximum amount of pension was recommended to be raised from Rs. 675/- p.m. to Rs. 1000/- p.m., the maximum amount of death-cum-retirement gratuity was recommended to be raised from Rs. 24,000 to Rs. 30,000. Improvements in the rates of family pension to the families in cases where a government employee dies while in harness were also suggested. The minimum family pension was increased from Rs. 40 to Rs. 60 and maximum from Rs. 150 to Rs. 250/- p.m.

The Commission also recommended that in the case of death of an employee after a minimum service of 7 years the family pension at a higher rate should be paid to his/her family for a guaranteed maximum period of 7 years or till he/she would have attained the age of 65 years, whichever is less. Some improvements were suggested in the amount of terminal gratuity to temporary and quasi-permanent employees. In case of death attributable to service conditions family pensionary awards have been co-recommended to be nationalised and improved.

ii) Fourth Pay Commission and Retirement Benefits

The significant recommendation made by the Fourth Pay Commission related to leave encashment up to 240 days at the time of retirement.

The latest retirement benefits based upon the recommendations of the Fourth Pay Commission are as follows:

1) Superannuation Pension

- a) It is granted to a Government servant who retires after attaining the age of superannuation viz., 58 years or 60 years as the case may be.
- b) Quantum of pension is based on the qualifying source of the Government servant and his/her average emoluments for ten months immediately preceding the date of retirement.
- c) Periods of EXOL and suspension not counting for pension falling within ten months will be omitted but emoluments for corresponding periods prior to ten months will be taken into account.
- d) Pension under Government is payable only for those who have rendered a minimum of 10 years' qualifying service. For qualifying service of not less than 33 years, full pension is admissible. The amount of monthly pension admissible is 50% of average emoluments.
- e) In respect of persons who have put in minimum qualifying service, pension will be granted proportionately with reference to the full pension admissible for 33 years service.
- f) The minimum pension is Rs. 375/- and maximum is Rs. 4,500/-.
- g) Government servant after completing 20 years of qualifying service may retire voluntarily by giving three months notice and receive pension and gratuity. In this case, weightage of five years will be given and this weightage will be limited to 33 years only. The notice can be withdrawn within the date of retirement with the approval of appointing authority. Appointing authority can accept less than three months' notice also.

2) Commutation of Pension

Maximum 1/3 of the pension (excluding relief on pension) can be commuted with or without medical certificate and a lump sum in lieu thereof can be obtained. Family pension cannot be commuted. Commutation without medical examination can be had in respect of superannuation retiring pension provided application is given within one year from the date of retirement.

Calculation of commuted value is based on the amount of pension surrendered for commutation, factor in communication value table and the age next birth day of the pensioner.

$$\text{Lump sum} = \text{Amount of pension surrendered} \times \text{Factor in commutation table corresponding to the age next birthday}$$

Pension will be reduced to the extent of communication. However, after 15 years of retirement, the portion of pension originally commuted will be restored to the pensioner.

Check Your Progress 2

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

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

1) Discuss the various types of incentives in salary administration.

.....

2) What are the retirement benefits available to the Central Government employees?

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19.9 LET US SUM UP

By and large, it may be said, that the pay-scales of Government employees in India compare favourably with the scales in private unemployment. For organised crafts, the rates of payment in public service are the same as in private. For clerical and other posts of lower category, Government scales of pay are usually better than those of private employment. For the middle posts, they are the same as those in private business or industry. The remuneration of the higher, particularly, the highest, posts in Government is generally lower than that obtaining in private employment.

It is an indispensable fact that any compensation plan or salary structure cannot satisfy all the constituents. As a matter of fact, the efficiency of an administrative system can be promoted only through dedication and loyalty of the civil service. Incentives cannot be a substitute for good industrial relations, better work-planning and scientific management. As Pandit Nehru said, "The New India must be served by earnest, efficient workers who have an ardent faith in the cause they serve and are bent on achievement, and who work for the job and glory of it and not for the attraction of high salaries. The money motive must be reduced to the minimum."

19.10 KEY WORDS

Compensation : Salary or pay.

Gratuity : A part of the pension covered into a lump sum to be received on retirement.

Incentives : Material or non-material benefits given to the employees in addition to their salaries.

Model Employer : Ideal Employer.

Pension : Fixed amounts paid every month after retirement as long as the employee is alive.

Provident Fund : Lump sum amount paid after retirement.

19.11 SOME USEFUL BOOKS

Jain, R.B., 1976, *Contemporary Issues in Indian Administration*; Vishal Publication New Delhi.

Goel, S.N., 1984. *Public Personnel Administration*, Sterling Publishers Pvt. Ltd.: New Delhi.

Sachdeva, D.R., Sogani, Meena, 1980. *Public Administration: Concepts and Application*, Vol. I, Associated Publishing House: New Delhi.

Singh Hoshiar and Singh Mohinder, 1989. *Public Administration in India: Theory and Practice*; Sterling Publishers Pvt. Ltd.: New Delhi.

19.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- Non-analytical
- Analytical

2) Your answer should include the following points;

- Economic position of the country
- Cost of living and the price level
- State as the model employer
- Equal pay for equal work
- Prevailing market rate
- The policy of the government

Check Your Progress 2

1) Your answer should include the following points:

- Material incentive plans
- Non-material incentive plans

2) Your answer should include the following points:

- Pension scheme
- General/Contributory provident fund.

UNIT 20 CONDUCT AND DISCIPLINE

Structure

- 20.0 Objectives
- 20.1 Introduction
- 20.2 Role of Conduct and Discipline in Personnel Administration
- 20.3 Matters Covered Under Conduct Rules
- 20.4 Disciplinary Action—Meaning
- 20.5 Causes of Disciplinary Proceedings
- 20.6 Types of Disciplinary Action
- 20.7 Mode of Taking Disciplinary Action
- 20.8 Disciplinary Proceedings Against the Civil Servants During the British Period
- 20.9 Constitution of India—Dealing with Disciplinary Matters
- 20.10 Successive Steps Involved in Disciplinary Proceedings
- 20.11 Issues and Problems
- 20.12 Let Us Sum Up
- 20.13 Key Words
- 20.14 Some Useful Books
- 20.15 Answers to Check Your Progress Exercises

20.0 OBJECTIVES

After reading this unit, you should be able to:

- discuss the role of conduct and discipline in personnel administration;
- describe the matters covered under conduct rules and the concept of disciplinary action;
- explain the disciplinary proceedings against the civil servants in pre-and post-Independent era in India; and
- describe the steps involved in disciplinary proceedings.

20.1 INTRODUCTION

Every organisation, public or private, has certain rules and regulations governing the conduct or behaviour of its employees. Human nature is a mixture of both vices and virtues. There should be a prescribed code of conduct and discipline to put the employees on the right track and get the goals of the organisation realised. A high moral standard of conduct among the public servants is of utmost necessity to set an example to the public at large. Integrity and discipline in the service are essential for an efficient personnel system. Promotion of the employees depends upon their good behaviour and observance of discipline in the service. In order to prevent misuse of powers, a code of conduct to regulate the behaviour of the civil servants is enforced.

With the transformation of passive police state into an active welfare state, drastic changes have been brought in the role of the state. The state's role in the management of development programmes and public affairs has been increasing. Its scope has been extended to cover all dimensions of human activity. Its administrative machinery influences every aspect of human life in numerous ways. Along with the ever-increasing responsibilities and powers of civil servants, administrative inefficiencies, such as red-tapism, lethargy, corruption etc. crept into administration. Rapid growth in the numerical strength, continuous extension in the powers of civil servants, change in the concept of civil neutrality, shift from negative to positive work and increasing emphasis on moral and professional standards have become the modern trends of personnel administration and thus it gained momentum. The success of democracy and implementation of development programmes largely depend on public personnel engaged in building the future of the country. If the public servants—the backbone of the government—are undermined by indiscipline and misconduct, it will lead to the collapse of administrative machinery.

20.2 ROLE OF CONDUCT AND DISCIPLINE IN PERSONNEL ADMINISTRATION

The Reader's Digest Great Encyclopaedic Dictionary defines conduct as "Manner conducting any business or oneself" (behaviour) and discipline as "mental and moral training" or "order maintained among persons under control or command". Hence, conduct and discipline imply the behaviour of the personnel and bringing them under control and to train them to obedience and order. Hence, conduct and discipline are essential measures to be taken to build up sound personnel system.

All the staff members cannot be expected to conduct themselves with equal zeal in an unimpeachable manner. Hence, a provision for disciplinary action is made inevitable in every organisation. In order to correct the erroneous behaviour or poor performance of the employees the role and need of conduct and discipline is to be stressed.

20.3 MATTERS COVERED UNDER CONDUCT RULES

Different categories of Government servants are governed by separate but substantially similar sets of conduct rules. Different matters such as—restrictions on political activities, relationship with press, radio and outsiders, criticism of the Government, restrictions on public demonstrations, present restrictions on matters of property, private business and investments etc. fall under the purview of conduct rules. Some sets of conduct rules in India are (1) All India Services (Conduct) Rules, 1954; (2) Central Services (Conduct) Rules, 1955; and (3) Railway Services (Conduct) Rules; 1956.

The following are the matters covered under the conduct rules;

i) Restrictions on Political Activities

By virtue of the official position, a civil servant, has some peculiar powers as well as responsibilities. But besides being an employee, he/she is also a citizen and should have minimum political rights. But at the same time, he/she cannot be a simple citizen and the public interest demands the maintenance of political impartiality in the civil services and the confidence in that impartiality is an essential part of the structure of the Government.

Political Neutrality

Political neutrality of civil servants has been regarded as one of the essential conditions for the success of a democratic form of Government. It means that civil servants should not participate in political activities. To ensure political neutrality of the public services in many countries, the civil servants are denied direct participation in political life of the country.

The political rights of the public servants may be broadly categorised into (1) rights concerning the exercise of vote and general political activity and (2) rights in respect of candidature for legislative or municipal bodies. Some limitations on the enjoyment of political rights by civil servants are placed in almost all the countries. The idea of the restraints on the political freedom of Government servants has been justified on different grounds. In the U.S.A., the belief is that civil servants should not be allowed to participate in politics on the ground that politics should be kept aloof from administration. In the U.K. the prevalent idea is that since public servants are devoted to the fulfilment of public purposes, they should remain neutral. In some other countries like France, the common idea is that the civil servants should be allowed to enjoy the political rights common to all citizens, except for such restraints as can be justified as specific cases.

Position in India

Public employees in India have the right to vote and form associations; but they are prohibited from participating in other political activities. Civil servants can neither

become members of any political party nor subscribe to its funds. A circular issued by Home Ministry in 1960 says, "Government servants are, of course, expected not to take part in any political activities in any manner. Government of India, however, welcome all classes of their employees organising themselves in healthy associations for promoting their legitimate interest in matters concerning their work and welfare".

Some of the important rules of conduct prescribed for civil servants are as follows :

- a) No Government servant shall be a member of or be otherwise associated with any political party or any organisation which takes part in politics nor shall take part in, subscribe in aid of or assist in any other manner any political movement or activity. Rule 4 of Central Services (Conduct) Rules lay down that a Government servant should not canvass or otherwise interfere or use his influence in connection with or take part in any election to a legislative body.
 - b) Seditious propaganda or expression of disloyal sentiments by a government servant is regarded as sufficient ground for dispensing with his service.
 - c) Strikes : The formation of public employee organisations and the question of strike are closely interwoven. The question of strike is the most controversial of all other matters relating to organisation of public servants. In the U.S.A., public opinion is never in favour of strike by public employees. In the U.K., there is no prohibition against the right to strike by the public employees. In India too, there is no ban on the strike of public employees. But when the Central Government employees went on a general strike in July 1960, it was declared illegal under the provisions of the Essential Services Maintenance Ordinance, 1960. This ordinance authorised the Union Government to ban strikes, in any essential service such as Posts, Telegraphs, Communication media and means of Transportation etc.
- ii) **Restrictions on Relationship with Press, Radio and Outsiders and Criticism of the Government**
- a) Moreover, the government servants are also subject to certain special obligations. Sections of the Official Secrets Act, 1923, prohibit the communication of any official document or information to anyone whom they are not authorised to communicate.
 - b) Rule 8 of the Central Services (Conduct) Rules has similar provisions. In the interest of the integrity and discipline of the service, they are also prohibited to make public criticism of any policy pursued or taken by the Government.
 - c) To ensure the security of the State, clause 2 of Rule 5 of the Central Services (Conduct) Rules requires the government servants to endeavour to prevent any member of the family from participating or assisting in any manner of activity, which tends directly or indirectly to be subversive of the Government as established by law.
 - d) The Government of India does not object to broadcastings by government officers but point out that "broadcast talks by government servants are 'public utterances' within the meaning of the Government Servants' Conduct Rules". And the talks differ from newspaper articles in that the Government of India has undertaken that the Indian State Broadcasting Service shall not be used for the purpose of political propaganda.

iii) **Restrictions on Public Demonstrations, Presents etc.**

Rule 5 of the Central Services (Conduct) Rules, 1964 debar government servants from taking part in politics. They cannot be members of any political party nor can they subscribe in aid of or assist in any other manner, any political movement or activity. Rule 4(A) of Central Civil Service (Conduct) Rules, 1955, prohibited the participation of government servants in any demonstrations of any form of strike in connection with any matters pertaining to the conditions of service. According to Rule 4(B), government servants should not join any unrecognised service association or an association which was not recognised by the Government within six months.

The Indian Penal Code defining corruption says "whoever being or expecting to be public servant accepts or agrees to accept or attempts to obtain from any person for

himself or for any other person any gratification other than what is legal remuneration as a motive or reward for doing or forbearing to do any official act...

The Rules of Conduct of All India Services says, "no member of the service shall, except with the previous sanction of the Government, accept or permit his wife or any member of his family to accept from any person any gift, of more than trifling value.

iv) Restrictions in Matters of Property, Private Business and Investments etc.

The Rules of Conduct for All India Services say:

- 1) No government servant shall except with the previous sanction of the Government, engage directly or indirectly, in any trade or business or undertake any employment.
- 2) No member of the service shall speculate any investment.
- 3) No member of service shall, except with the previous sanction of the Government, permit his son, daughter or dependent to accept employment with private firms with which he has official dealings with the Government.

Moreover, government servants are also subject to certain special obligations :

- 1) Sections of the Official Secrets Act, 1923, prohibit the communication of any official documents or information to any one whom they are not authorised to communicate.
- 2) In the interest of the integrity and discipline of the service, they are also prohibited to make public criticism of any policy pursued or taken by the Government.
- 3) To ensure the security of the State, Clause 2 of Rules 5 of Central Civil Services (Conduct) Rules requires the Government servants to endeavour to prevent any member of the family from participating or assisting in any manner or activity which tends directly or indirectly to be subversive of the Government as established by law. But, any how, the country should have the confidence that whatever party is in power, the services should serve the Government of the day with loyalty and devotion.

20.4 DISCIPLINARY ACTION—MEANING

Since all the staff members cannot be expected to conduct themselves with equal zeal in an unimpeachable manner, a provision for disciplinary action is made in every organisation. Stahl points out "No organisation is so perfect, no executive so ingenious, no personnel system so infallible that any of them can continuously avoid some measures of punishment for wrongful behaviour or poor performance of employees".

According to Dr. Spriegel,

"Discipline is the force that prompts an individual or a group to observe the rules, regulations and procedures which are deemed to be necessary to the attainment of an objective, it is force or fear of force which restrains an individual or a group from doing things which are deemed to be destructive of group objectives. It is also the exercise of restraint or the enforcement of penalties for the violation of group regulations."

Disciplinary action means the administrative steps taken to correct the misbehaviour of the employee in relation to the performance of his/her job. Corrective action is initiated to prevent the deterioration of individual inefficiency and to ensure that it does not spread to other employees.

A distinction needs to be drawn between disciplinary action of civil or criminal procedure. The former deals with the fault committed in office violating the internal regulations or rules of the administration while the latter is concerned with the violation of law to be dealt with by civil and criminal courts.

The following matters are covered in the Conduct Rules. More strictness is observed in those services where more discretion is involved:

- 1) Maintenance of correct behaviour towards official superiors,
- 2) Loyalty to the State,
- 3) Regulation of political activities to ensure neutrality of the personnel,
- 4) Enforcement of a certain code of ethics in the official, private and domestic life,
- 5) Protection of the integrity of the officials by placing restrictions on investments, borrowings, engaged in trade or business, acquisition or disposal of movable and immovable valuable property, acceptance of gifts and presents, and
- 6) Restriction on more than one marriage.

20.5 CAUSES OF DISCIPLINARY PROCEEDINGS

The following are the various causes of disciplinary proceedings.

- 1) **Acts Amounting to Crimes**
 - a) Embezzlement
 - b) Falsification of accounts not amounting to misappropriation of money
 - c) Fraudulent claims (e.g. T.A.)
 - d) Forgery of documents
 - e) Theft of Government Property
 - f) Defrauding Government
 - g) Bribery
 - h) Corruption
 - i) Possession of disproportionate assets
 - j) Offences against other laws applicable to Government Servants.
- 2) **Conduct Amounting to Misdemeanour**
 - a) Disobedience of orders
 - b) Insubordination
 - c) Misbehaviour
 - i) with superior officers
 - ii) with colleagues
 - iii) with subordinates
 - iv) with members of public
 - d) Misconduct
 - i) violation of conduct rules
 - ii) violation of standing orders
 - iii) intrigues and conspiracy
 - iv) insolvency

20.6 TYPES OF DISCIPLINARY ACTION

Disciplinary action may be informal or formal. Informal disciplinary action may mean assignment to a less desirable work, closer supervision, loss or withholding of privileges, failure of consultations in relevant matters, rejection of proposals or

recommendation. It may include curtailing of his/her authority and diminishing his/her responsibility. The reason for taking informal disciplinary action may be that offences are too slight, or too subtle, or too difficult to prove, to warrant direct and formal action.

Formal disciplinary action follows where the offence is serious and can be legally established. In such cases the penalties which are imposed on a member of the service are:

1) Minor Penalties

- a) Censure
- b) withholding of promotions
- c) recovery from pay of the whole or part of any pecuniary loss caused to Government or to a company, association or body of individuals... and
- d) withholding of increments of pay.

2) Major Penalties

- a) Reduction to a lower stage in the time scale of pay for a specified period...
- b) reduction to a lower time scale of pay, grade or post, and
- c) compulsory retirement.

In very serious cases of offence, even judicial proceedings against the offender may also be launched.

Check Your Progress 1

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

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

1) What are the matters covered under the conduct rules?

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2) What are the causes of disciplinary proceedings?

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3) Discuss the types of disciplinary action.

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20.7 MODE OF TAKING DISCIPLINARY ACTION

Like the power to promote, the power to take disciplinary action also should be vested in the Head of the Department because he/she is the person who is

responsible for the discipline and efficiency of the department. Some people advocate that the power of disciplinary action should be vested in an independent outside agency like the Public Service Commission. As, for example, in Australia, any employee, against whom an action has been taken by the departmental head, may make an appeal to the Commonwealth Conciliation and Arbitration Tribunal. In the State of Chicago, dismissal can be ordered by a trial board consisting of some members of the Civil Service Commission. This is advocated in the interest of impartiality and fairness to the employee, the argument being that since the departmental authorities are accusers, they should not also be the judges.

But in the opinion of experienced administrators, an outside agency should not be brought into sit in judgement on the action taken by the disciplinary authorities. This is because first, it undermines the authority of the Head of the Department and secondly, outside authorities are often swayed by considerations of abstract justice rather than due appreciation of the logic of administration and management. In India, the Central Pay Commission took the same view. "We do not think", it said "that it will be desirable or practicable in public interest to insist on the invention of an outside body in disciplinary matters."

All this, however, does not mean that consideration of fairness and justice should be lost sight of in taking a disciplinary action against an employee. On the contrary, suitable machinery and procedure should be provided so as to eliminate every possibility of personal prejudices.

Usually following provisions are made either in the Constitution or in the statute to check the misuse of power to take disciplinary actions:

- a) No employee shall be demoted or dismissed by an officer below in rank to one who had appointed him/her.
- b) No employee shall be punished except for a cause, specified in some statute or departmental regulation.
- c) No employee shall be punished unless he/she has been given reasonable opportunity to defend his/her case.
- d) The employee shall be informed of the charges laid against him/her.
- e) Where a Board of Inquiry is appointed, it shall consist of not less than two senior officers, provided that at least one member of such Board shall be an officer of the service to which the employee belongs.
- f) After the inquiry against an employee has been completed and after the punishing authority has arrived at any provisional conclusion in regard to the penalty to be imposed, if the penalty proposed is dismissal, removal, reduction in rank or compulsory retirement, the employee charged shall be supplied with a copy of the report of inquiry and be given a further opportunity to show cause why the proposed penalty should not be imposed on him/her.

20.8 DISCIPLINARY PROCEEDINGS AGAINST THE CIVIL SERVANTS DURING THE BRITISH PERIOD

The British Government in India relied primarily on its civil servants for its survival and strength. The then All-India Services were consequently loaded with all kinds of favours, concessions and privileges. These services were not even under the control of the Governor General: they were directly under the Secretary of State for India and his council.

i) Provisions of Government of India Act, 1919 with regard to Disciplinary Proceedings
No All India officer could be dismissed from his service by any other authority than the Secretary of State-in-Council. He had a right of appeal to that body if he was adversely dealt with in important disciplinary matters. The Government of a province was required to examine the complaint of any such officer who thought himself wronged by an official superior and to redress the grievances if he thought it equitable to do so. No order effecting his emoluments adversely and no order of censure on him could be passed without the personal-concurrence of the Governor and orders for his posting to appointments also required the personal concurrence of the Governor. His salary, pensions, etc. were not subject to the vote by the legislature

Those services, entrenched in the privileged positions and irresponsible to public opinion, found it difficult to adjust to the reform era introducing very limited responsible government under the Government of India Act of 1919. Criticism of individual members of the services by questions in the provincial and central legislatures, the 'ignominy' of working under Indian ministers in the provinces, the non-cooperation movement of 1920-22 putting the officers and their families in personal discomfort, the insufficiency of salaries due to the high level of prices prevailing in the wake of the First World War—all these embarrassed and discouraged the European members of these services and many of them were forced to opt for retirement. This trend facilitated more and more Indianisation of services because of the recommendation of the Lee Commission in 1924.

ii) Provisions of Government of India Act, 1935 in Respect of Disciplinary Proceedings

Because of the desire of some European Officers to retire rather than serve under Indian ministers, the British Government in India took more interest in providing special safeguard to the public service for the protection of its privileged position. The Government of India Act of 1935, therefore, included the protection of the interests of the public services in the list of the special responsibilities of the Governor General and the Governors (Secs. 247-249). Thus, if any officer of the Secretary of State's services was affected adversely by an order relating to his conditions of service, he had a right of complaint to the Governor (as the case may be) and the latter was to deal with the matter exercising individual judgement, that is, acting without consulting his minister.

20.9 CONSTITUTION OF INDIA—DEALING WITH DISCIPLINARY MATTERS

Article 309 provides that the Acts of the appropriate legislature may regulate the recruitment and conditions of service of the persons appointed to public services and posts in connection with the affairs of the Union or of any State. It shall be competent for the President or Governor as the case may be, to make rules regulating the recruitment and conditions of service of public service until provisions are made by an Act of the appropriate legislature.

According to Article 310, every person who is a member of a defence service or the civil service of the Union or an All-India Service or holds any post connected with defence or any civil post under the Union holds office during the pleasure of the President, and every person who is a member of a civil service of a state or holds a civil post under a state holds office during the pleasure of the Governor of the State. Notwithstanding that a person holding a civil post under the Union or a State holds office during the pleasure of the President or the Governor of the State, any contract under which a person, (not being a member of a defence service or of an All-India Service or of a civil service of the Union or a State) is appointed under the Constitution to hold such a post may, if the President or the Governor deems it necessary in order to secure the services of a persons having special qualifications, provide for the payment to him of compensations, if before the expiration of an agreed period that post is abolished or he is required to vacate that post.

Article 311 as amended by Forty-second Amendment provides that no person who is a member of a civil service of the Union or an All-India Service or a Civil Service of a State or holds a Civil post under the Union or a State, shall be dismissed or removed by an authority subordinate to that by which he/she was appointed. No such person as aforesaid shall be dismissed or removed or reduced in rank except after an enquiry in which he/she has been informed of the charges against him/her and given a reasonable opportunity of being heard in respect of those charges. Where it is proposed after such enquiry to impose upon him/her any such penalty, such penalty may be imposed on the basis of the evidence provided during such inquiry and it shall not be necessary to give such person any opportunity of making representation on the penalty proposed. This clause shall not apply where a person is dismissed or removed or reduced in rank on the ground of conduct which has led to his/her conviction on a criminal charge or where the authority empowered to dismiss or remove a person or to reduce him/her in rank is satisfied that for some reason to hold such enquiry. Or where the President or the Governor, as the case may be, is satisfied that in the interests of the security of the State, it is not expedient to hold

such enquiry. If in respect of any such person as aforesaid, a question arises, whether it is reasonably practicable to hold the enquiry mentioned above, the decision thereon of the authority empowered to dismiss or remove such person or reduce him/her in rank shall be final.

20.10 SUCCESSIVE STEPS INVOLVED IN DISCIPLINARY PROCEEDINGS

The successive steps of the procedure of disciplinary action are:

- i) calling for an explanation from the employee to be subjected to disciplinary action;
- ii) if the explanation is not forthcoming or is unsatisfactory, framing of charges;
- iii) suspension of the employee if his/her remaining in the service is likely to prejudice the evidence against him/her;
- iv) hearing of the charges, and giving opportunity to the employee to defend himself/herself;
- v) findings and report;
- vi) giving another opportunity to the employee to defend himself/herself against the proposed punishment;
- vii) punishment order, or exoneration; and
- viii) appeal, if any.

As regards the power to hear appeal, an employee appointed by the President has no right to appeal from an order passed by the President himself. A member of the All India Service may appeal from the order of a State Government to the President. A member appointed by the President may appeal to the Governor from an order passed by the State Government. All employees of lower grade services may appeal to the authority which made the rule to which the order under appeal relates.

Appeals can be preferred only if:

- i) it is permissible under rules,
- ii) it is not defective in form and preferred through proper channel.
- iii) it is preferred within six months after the date of the communication of the order appealed against;
- iv) it is not a repetition of a previous appeal to the same authority;
- v) it is addressed to an authority to which appeal lies under the rules.

No appeal lies against the withholding of an appeal by a competent authority.

Thus in connection with appeals in India, no outside authority intervenes at any state. The Constitution no doubt provides for consultation with the Union or the State Public Service Commission as the case may be "On all disciplinary matters affecting a person serving the Government of India or of a State in civil capacity", but such consultation is limited only to those cases where disciplinary order is passed by the President or the Governor.

The staff made complaints before the Central Pay Commission that the right of appeal is not of much value because higher officers to whom appeals are made, are of the same mentality and tools of the same machinery and generally support the decision of the subordinates. They suggested the association of an outside authority with the hearing of appeals. The Commission, however, rejected the proposal.

A second complaint was against the provision which authorises officers to withhold appeals in cases where no appeal lies. It was said that an officer who has awarded the punishment would never like his/her decision to be upset and would, therefore, withhold appeals in most cases. While recognising that there must be a limit to appeals somewhere, the Commission recommended that persons dismissed from service should, where their appeal has been withheld, be permitted to petition to the higher authorities for a review of their case.

Finally, it can also be noted that an appeal to the courts of law against wrongful removal or dismissal can always be made, but only after all the remedies available to the employee under the service rules have been tried and exhausted by him.

In the end, it may be mentioned that an employee can be deprived of the right to make appeal in the following cases :

- a) where a person has been removed or reduced in rank on the ground of conduct which has led to his/her conviction on a criminal charge, e.g. for embezzlement;
- b) where an authority empowered to remove him/her or reduce him/her in rank is satisfied that for some reason, to be recorded as by that authority in writing, it is not reasonably practicable to give that person an opportunity of showing causes; and
- c) where the President or the Governor, as the case may be, is satisfied that in the interest of the security of the State, it is not expedient to give that person such an opportunity.

Check Your Progress 2

Note : 1) Use the space given below for your answers.

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

- 1) What were the disciplinary proceedings against the civil servants during the British period?

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- 2) Discuss the provisions in the Constitution of India to deal with the disciplinary matters.

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20.11 ISSUES AND PROBLEMS

There are various problems concerning the disciplinary proceedings. They are as follows :

i) Lack of Knowledge of the Disciplinary Procedure

It has been seen many a time that the appointing authorities as well as employees are unaware of the details of the disciplinary procedures resulting in many problems. Since employees are expected to conform to rules and regulations and behave in a responsible manner, it is essential that these rules and regulations are properly and carefully formulated and communicated to them. The purposes and techniques of the removal process should be explained to all so that complex and unnecessary appellate action can be avoided.

ii) Delays

The time taken to take disciplinary action is very long. When an employee knows of the impending action, he/she becomes more and more irresponsible and problematic. Delays cause hardship to the employees.

iii) Lack of Fair Play

There is a tendency that the appellate authority generally supports the decision of his/her subordinates. This defeats the purpose of appeal.

iv) Withholding of Appeal

Most of the officers do not like appeals against their decisions. There is a tendency to withhold appeals.

v) **Too Many Rules**

It is a sound policy to have as few rules as possible for the proliferation of rules leads to contempt and undermines the concept of discipline. The rules must be simple and clear.

iv) **Lack of Proper Understanding**

It is wrong to conceive of discipline as something restrictive which is imposed by force or threats of punishment.

It can only be maintained by self-respecting employees who follow the seniors in whom they have confidence. Optimum performance in any organisation depends on the willingness with which employees carry out the instructions and the way they conform to the rules of conduct established to aid the successful attainment of the organisation's objectives. If unreasonable rules are imposed, great damage may be done to morale.

vii) **Lack of Tolerance**

In any case, breach of disciplinary rules may be tolerated to some extent in practice. However, it should not exceed the point where the status and prestige of the supervisors is jeopardised.

viii) **Lack of Concern for The People**

T.N Chaturvedi mentions that the questions of ethical conduct has three implications.

First, all the people must be served equally and impartially. The sense of impartiality, fairness and justice are embedded in our ethical heritage. Acts that smack of favouritism only, undermine the faith of people in administration. Secondly, the public servants must try to work in harmony and co-operation with representative institutions and voluntary organisations so that there is greater rapport with the people and there is no breakdown of communication between the working of the system and the requirements or aspirations of the citizens. Thirdly, the internal working and administrations of government agencies and offices must be consistent with these modes of behaviour, that is, a sense of fair play and involvement within and organisation will ensure a satisfactory style of functionary in relation to the public outside in general.

x) **Lack of Standards Expected from Employees**

At present, the rules and regulations which the employees are expected to achieve are vague resulting in confusion. There is a need to clarify what is expected of an employee in the way of behaviour. It would produce good results if all the employees are apprised of what is expected of them through written circulars or manual or indoctrination.

i) **Attitude of the Supervisor**

The success or failure of the disciplinary action depends upon the attitude of the supervisor. Most of them are biased and work under pressure from different quarters. Supervisors should be objective in collecting facts so that justice can be ensured.

ii) **Inconsistency**

Disciplinary action should be consistent under the same offence. Otherwise it leads to favouritism, nepotism and corruption.

iii) **Absence of Constructive Element**

The authorities should not only impose penalties but also suggest steps to stop the future recurrence.

The ultimate use of conduct and discipline should be made to promote self-discipline, penalties being applied only after the preventive measures have failed.

Paul Pigors and Charles A. Myers have said that true discipline :

starts with an effort to foster mutual understanding and an organisation centred view

is fair

17A

- is demonstrably consistent with sound principles of human relations (including due process: and the rights of appeal)
- is in accord with a policy statement on discipline which is clear and well known to all
- implements ideas that have been worked out by conferring with representatives of those who are subject to discipline.
- takes account of any extenuating features in each situation where some one feels that discipline is called for.

xiii) Absence of A Specialised Tribunal to Deal with The Litigation Cases

Viewed against the mounting arrears of litigation cases in Indian courts, the government's decision to appoint an Administrative Tribunal to deal with service matters concerning central government employees is a step in the right direction. Article 323 (A) of the Constitution provides for the formation of such tribunal to ensure inexpensive and speedier justice to the staff in case of disputes and complaints with respect to recruitment and conditions of service of persons appointed to public services and posts..... under the control of the Government of India or of any corporation owned or controlled by the Government.

Check Your Progress 3

Note : 1) Use the space given below for your answers.

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

- 1) What are the issues and problems, involved in the promotion of conduct and discipline among civil servants in India?

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20.12 LET US SUM UP

The Rules of Conduct for public employees in India are not as stern as they appear to be, for there is laxity in their enforcement in the face of frequent and numerous lapses. The Rules of Discipline likewise are rarely invoked. Even then the onus of proving beyond a shadow of doubt the charges against an employee lies on the official proposing disciplinary action. For this purpose, there will be a protracted departmental enquiry. Besides, the employees has enough opportunities and to spare to resist the action. That inefficiency and corruption have become manifest evils in the Indian administration is due, in some part, to this factor. All said and done, it is not rules that make a good civil servant but his/her own standards of conduct imposed by his/her own conscience, the 'esprit de corps' and tradition of the service and by the examples of his/her fellows and those set in authority and by the watchfulness of public opinion.

20.13 KEY WORDS

Censure : censure is strong disapproval and condemnation of something that has been done, or of the way it was done.

Embezzlement : divert (money) fraudulently to one's own use.

Ignominy : shame as public disgrace.

Insolvency : inability to pay debts.

Misdemeanour : an act that is considered shocking or unacceptable by many people, although it does not really harm anyone.

Unimpeachable : completely honest and reliable.

20.14 SOME USEFUL BOOKS

- Avasthi, A. and Maheshwari, S.P., 1987. *Public Administration*; Lakshmi Narain Agarwal : Agra.
- Durga Das, Basu, 1981. *Shorter Constitutions of India*; Prentice Hall of India Pvt. Ltd. : New Delhi
- Goel, S.L., 1984. *Public Personnel Administration*; Sterling Publishers Pvt. Ltd. : New Delhi
- Mahajan, V.D., 1982. *Select Modern Government*; S. Chand & Co. Ltd. : New Delhi
- Sachdeva, D.R. and Sogani, Meena, 1980. *Public Administration : Concepts and Applications*; Associated Publishing House : New Delhi.

20.15 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
- Restrictions on political activities.
 - Restrictions on relationship with press, radio and outsiders and criticism of the government.
 - Restrictions on public demonstrations, presents etc.
 - Restrictions in matters of property, private business and investments.
- 2) Your answer should include the following points:
- Acts amounting to crimes.
 - Conduct amounting to misdemeanour.
- 3) Your answer should include the following points:
- Formal disciplinary action.
 - Informal disciplinary action.

Check Your Progress 2

- 1) Your answer should include the following points :
- Provisions of Government of India Act, 1919 with regard to Disciplinary proceedings.
 - Provisions of Government of India Act, 1935, in respect of disciplinary proceedings.
- Your answer should include the following points.
- Provisions of article 309 of the Constitution of India.
 - Provisions of article 310 of the Constitution of India.
 - Provisions of article 311 of the Constitution of India.

Check Your Progress 3

Your answer should include the following points :

- See Section 20.11

UNIT 21 ADMINISTRATIVE ETHICS AND INTEGRITY IN CIVIL SERVICES

Structure

- 21.0 Objectives
- 21.1 Introduction
- 21.2 Essentials to Ensure the Practice of Administrative Ethics
- 21.3 Integrity—Meaning
- 21.4 Corruption in Civil Services
- 21.5 Causes for Decline of Integrity in Civil Services
- 21.6 Legal Framework to Check Corruption
- 21.7 Suggestion for Improvement of Integrity in Civil Services
- 21.8 Let Us Sum Up
- 21.9 Key Words
- 21.10 Some Useful Books
- 21.11 Answers to Check Your Progress Exercises

21.0 OBJECTIVES

After reading this unit, you should be able to:

- discuss the essentials to ensure the practice of administrative ethics;
- describe the causes for decline of integrity in civil services;
- discuss the legal framework to check corruption; and
- suggest measures for improvement of integrity in civil services.

21.1 INTRODUCTION

There is a need to develop both human and modern technology to improve efficiency. However, priority should be given to human development. These are two aspects to development technical and human. Organisations had usually been more sensitive to possibilities offered to them by the achievements of modern technology than to the refinements of human behaviour as revealed by the sciences of sociology and psychology. On the other hand, lessons drawn from experience showed that technical innovations deriving from the engineering sciences encountered considerable resistance unless supported by corresponding changes in human attitudes and behaviour. In an era of rapid change, the improvement of management in its human aspect had become a critical issue. It is important to make full use of the findings of social sciences which endeavoured to be instrumental in giving guidance in the behaviour of individuals and groups in varying circumstances. Organisations, should, therefore, be conceived as complex socio-technical systems whose management requires both technical skills and insight into the motives of human behaviour.

It is widely agreed that manipulation and lack of ethics produce strong negative side-effects and reduce organisational effectiveness. With this important value commitment, the organisations may shift their styles and climate from direction, control and surveillance to providing help, support and instruction. Mutuality and collaboration between the leaders and the led, self-control and mutual support are essential for creating an organic organisation. Let the newcomers strive to set up organised society with social democracy and high human values setting up ideal societal or public management institutions and if such timely warnings are not accepted, social upsurges are bound to develop in a mild or a violent form.

In spite of the enactment of laws, rules and regulations to ensure impartiality, honesty and devotion among the civil service, there still remains a vast area of administrative discretion which cannot be controlled by formal laws, procedures and methods. In such areas "no supervision from above" says Otto Kirchheimer, "can be as effective as an automatic control on the minds of those possessing it and creating standards of efficiency as well as honesty. Any deviation from the common standards under such circumstances is likely to be discovered sooner or later and rooted out." In the words of McCanny, in all such areas "they must answer to their own conscience, to their own senses of dignity and pride, to the opinions of their fellow-men and above all, to their devotion, to their own honest effort to define the total welfare and to serve it. The group of civil servants must be imbued with the ideal of service. It was rightly mentioned by Garner that "No society can reach heights of greatness unless in all fields critical to its growth and creativity there is an ample supply of dedicated men and women". The ideals of ethics enshrined in the various religious scriptures must be imbibed by one and all in the administration.

The basic principle that "in helping others, one is helping one's oneself", should be ingrained in the character. Then alone, the system would reflect it. On the public administrations, managers and political leaders depend, to a great extent, the work atmosphere. Only when human beings are treated as human beings, only when, none in the system feels that he/she is being exploited then only he/she can give his/her best to the organisation.

11.2 ESSENTIALS TO ENSURE THE PRACTICE OF ADMINISTRATIVE ETHICS

The following are the essentials to ensure the practice of administrative ethics.

1) Faith, determination towards pursuit of excellence of service in their professional activities

The most important factor for the success of any organisation is its leadership—political and administrative. Public services must develop ethical standards which help them in their best performance. Standards are contagious. They spread throughout an organisation, a group, or a society. If an organisation or group cherishes high standards, the behaviour of the individual who enters it is inevitably influenced. They should not develop an excessive sense of self-importance or arrogance. Senator Paul Douglas's remarks quoted below should be imbibed by the public services:

"It is fortunate that there are in government large number of men and women who lead devoted lives of public service. They work extremely hard for far less pay than they could get in private industry. They never sell out the public interest but instead defend it with great difficulties. They do all this, moreover, without receiving appreciable praise. They are generally either little known or actually ignored by the public. Sometimes, they, are bitterly attacked by interests which are seeking to obtain unfair privileges or which are swayed by unfounded prejudices. These men and women are indeed unsung heroes, who deserve far more recognition than they receive."

The future of the public services is in the hands of its members who must strive for creativity, academic excellence, and the pursuit of excellence of service in their professional activities. In this way, it would be possible to create a climate of creativity and optimum performance. Such a situation would have a chain effect.

An attitude of dedication to the set goals of an organisations should be an indispensable trait of the top leaders. This is their primary source of self-confidence to operate and function effectively and efficiently and in turn transfer the same to the public. It is not just performing development-linked administrative duties; it is taking action and encouraging people to take action required to bring about structural changes and growth in the economy. This needs to be supplemented by their belief in the organisational goals.

No organisation can develop until and unless the personnel working in the organisation are ethically committed to achieve its ideals.

In the words of Jawaharlal Nehru:

"No administrator can really do first class work without a sense of function. Without some measures of a crusading spirit. I am doing this, I have to achieve this as a part of a great movement in a big cause. That gives a sense of function, not the sense of the individual, narrow approach of doing a job in an office for a salary as wage, something connected with your life's out look or anything, perhaps being interested, as people inevitable are, on one's personal preferment in the particular work."

ii) Infusion of Ethics into Politics

Infusion of ethics into politics so that the political elite can demonstrate integrity and in still faith among subordinates about their fairness and impartiality:

Most of the problems in public administration emanate from political corruption and interference. The credibility gap between the political and administrative leadership is on the increase. Most of the commissions, committees and the daily press have been emphasising the gravity of the situation. No organisation can progress until and unless its political leaders are above board. One of the founding fathers of the Indian Constitution, Mr. H.V. Kamath, regretted that the total devaluation of moral values and ethical ideals in public life and administration today has given rise to the present day rat race for position, power and pelf by any means more by crook than by hook. The political elite must demonstrate integrity and instill faith among their subordinates about their fairness and impartiality. Faith is a contagious disease and once it is developed, it would bend the various levels of the administration into a cohesive structure. All the decisions in such an organisation are affected by the whims of political elite rather than the needs of the organisation. Thus, there is a need to train the political elite to encourage them to pursue ethical ways so that they fulfil the pledges made to the people to lead a good, clean life. Words, written or spoken, are of no use unless put into action. The emphasis should be more on performance than on paper planning. The future of this budding developing democracy depends upon the attitude of its political and administrative elite.

iii) Relations between Citizens and Personnel to Create Favourable Opinion towards Public Services

Many well-intentioned and technically sound programmes aimed at solving problems have been frustrated by lack of popular acceptance and community participation.

Public relations is the establishment of a climate of understanding. It means interpreting the programme of an organisation to the public and vice versa. The purpose of public relations is not only to supply information, but also to encourage an understanding and co-operation between the citizens and the public servants. It is the duty of every member of the organisation to maintain public relations.

There is a great deal of alienation between the people and the organisation. This has undermined the legitimacy, effectiveness and credibility of the public administration in our country. We need to promote harmony and mutual trust among the people and public administration. The objectives of public relations should be to increase prestige and good-will and protect the life of the organisation by safeguarding it against unwarranted attacks as well as to remove the genuine complaints and grievances of the people.

To improve understanding between the citizens and the personnel, public relations need to be developed in an effective manner to create favourable community opinion towards public services. This would create confidence in the minds of the people towards the competence, fairness, honesty, impartiality and sincerity of the public services.

iv) Need for Character Building

Administrative morality is a part and parcel of the general morality of the community. Finer said, "The ethics of every profession will be found, on close analysis, to be not much higher and not much lower than the general decency of the nation as a whole. Their nature, at the best, is powerfully moulded by the level of the surrounding and prevailing civilisation."

The success of any government depends upon the effective collaboration of its citizens. All the books of civics would emphasise civic consciousness for the progress of the country. This is possible only if our educational system and mass media are reoriented to character-building among the people. People's character is the ultimate source which can supply kinetic energy for modernisation and development.

There is a great need to infuse civic consciousness, patriotism and discipline among the citizens through education, adult education and functional literacy. The members of all the Communities would then cooperate with the personnel in the public services. And the personnel in the public services would work hard to bring about all round development of the people. The former President Sanjiva Reddy while inaugurating the Silver Jubilee Celebration of Kurukshetra University on January 11, 1980, rightly said the "India is in need of a new educational system which will look upon the child as a bud that opens up petal by petal and which needs the sunlight of the ideals of truth, beauty and goodness. Only such citizens would be able to contribute to national prosperity in whatever field they may be engaged."

i) Impartiality

The prestige and reputation of the civil service depends to a great extent upon the ethos, attitudes and perception of its member.

In this context, the foremost characteristics required among the civil servants are impartiality and consistency in the transaction of public business. Civil servants are required to be completely impartial to avoid corruption and favouritism; civil servants must maintain the dignity and authority of the public office. They must meticulously implement the policies and programmes as laid down in laws, regulations and rules.

An allied requirement of promoting impartiality is the necessity of developing and maintaining a national outlook. It involves on the part of the civil service, willingness to understand and be tolerant of different points of view, different cultural patterns, and different work habits. It also means willingness to work without prejudice or bias with persons of all regions, religions and cultures. It involves conduct of the highest type and exercise of judgement and restraint in all expressions of view whether public or private. Any expression which could be construed as biased or intolerant, particularly in respect of regional interests or political issues with which the organisation is confronted, must be avoided.

i) Political Neutrality

Political neutrality is an essential ingredient of civil service in a democratic setup for the integrity the efficiency of administration. It means that the civil service should give free and frank advice to the government impartially and without any political consideration. It also means the implementation of the decisions of the government by the civil service faithfully whether such decisions were in consonance with their advice or not; P.C. Sethi in his article, "New Challenges in Administration" in the Indian Journal of Public Administration (April-June, 1975) has rightly said that the concept of neutrality should be emphasised to generate:

-) public confidence in the administrators against political influences;
-) trust among the ministers that their orders would be faithfully carried out irrespective of their ideology; and
-) keeping of an atmosphere of appraisals and promotions in the civil service which would be free from political influence.

To maintain the discipline, integrity and political neutrality of the services, the Civil Services Conduct Rules framed by the Government of India lay down the code of conduct to be observed by the government servants. The service rules for ensuring neutrality of the service in politics provide that:

-) No member of the service shall be a member of, or be otherwise associated with any political party or any organisation, which takes part in politics nor shall he/she take part in, subscribe in aid of, or assist in any other manner, any political movement or activity.

- b) It shall be the duty of every member of the service to endeavour to prevent any member of the family from taking part in, subscribing in aid of, or assisting in any other manner, any movement or activity which is, or tends directly to be, subversive of the government as by law established and where a member of the service fails to prevent a member of his/her family from indulging in any of the aforesaid actions, he/she shall make a report to this effect to the government.
- c) No member of the service shall canvass or otherwise interfere or use his/her influence in connection with or take any part in, any election to any legislature or local authority.
- d) A member of the service qualified to vote in elections may exercise his/her right to vote but where he/she does so, he/she shall give no indication of the manner in which he/she proposes to vote or has voted.
- e) No member of the service shall, in any radio broadcast or in any document published anonymously or in his/her own name, or in the name of any other person, or in any communication to the press or in any public utterance make any statement of fact or opinion, (i) which has the effect of any adverse criticism of any current or recent policy or action of the Central Government or a State Government or, (ii) which is capable of embarrassing the relations between the Central Government and the Government of any State or, (iii) which is capable of embarrassing the relations between the Central Government of any foreign state.

A survey of these rules indicate that these are too strict. We must not forget that the civil service in India constitutes one of the biggest well-informed groups of our population on public affairs. The government should liberalise its policy on political rights of civil servants and allow the civil services as advised by the Central Pay Commission to breathe in an atmosphere of freedom and self-confidence.

The Committee on Petitions (Rajya Sabha) considered the political rights of civil servants in its fifty-first report presented to the Rajya Sabha in June 1977. Rajya Sabha did not favour the granting of political rights of civil servants as this would have an adverse effect on the objective and non-partisan approach expected of a government servant.

The problem is how to make the civil servant sensitive to national programmes and keep him/her away from partisan political activity. N. Rajagopalan in his article, "Political Mentality of the Public Service: A Perspective Study" in the Indian Journal of Public Administration (January-March, 1977) has rightly concluded that

"As a human being no public servant can be psychologically neutral on issues and problems which confront him. No public servant can possibly take a neutral position between welfare and stagnation, between service and apathy, and between action and inaction. A commitment to the goals and objectives of the state is inescapable, neutrality cannot be allowed to degenerate into unconcern, political sterilization, ought not become political desensitization. There is a crying need, more than ever before, for developing sense of responsiveness and positive concern in the public administration to the goals and programmes of the state in democratic governments, if public administrative is to deliver the goods and take its rightful place in the national polity."

Check Your Progress 1

Note: Use the space given below for your answer.

1. Check your answer with that given at the end of the unit.

1. What are the essentials to ensure the practice of administrative ethics?

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21.3 INTEGRITY—MEANING

The dictionary defines integrity as "soundness of moral principles; the character of uncorrupted virtues; uprightness; honesty; sincerity. Integrity is, indeed, the most essential attribute of a welfare state. The first five year plan rightly emphasised; "Integrity in public affairs and administration is essential and there must, therefore, be an insistence on it in every branch by public activity. The influence of corruption is insidious. It undermines the structure of administration and the confidence of the public in the administration. There must, therefore, be a continuous war against every species of corruption within the administration."

Vitally important though integrity of personnel is, it is, today, a largely forsaken virtue, and faces a serious threat of being driven out of existence from the public administration, indeed, from most sectors of life of this country. Instances of individuals lacking integrity are legion. Or, as Nirad C. Chaudhuri writes, "There is hardly any one from a petty clerk to a minister who is not manageable, with a proportionate amount of gratification". This statement may probably hold good for all walks of life in India of today.

21.4 CORRUPTION IN CIVIL SERVICES

Deviation from normal standards of lack of integrity takes various shapes in the form of corruption, patronage (based on communalism, sectarianism, nepotism and favouritism) and undue influence. Bribery, nepotism, misuse of power or influence, black marketing profiteering and similar other practices are not all that is meant by corruption. In fact, anyone wasting public money, lacks integrity. In general terms, corruption may be defined as the deliberate and intentional exploitation of one's position, status or resources directly or indirectly, for personal aggrandisement whether it be in terms of material gain or enhancement of power, prestige or influence beyond what is legitimate or sanctioned by commonly accepted norms to the detriment of the interests of other persons or the community as a whole.

Section 161 of the Indian Penal Code defines 'corruption' in legal terms, as under:

"Whoever being or expecting to be public servant accepts, or obtains, or agrees to accept, or attempts to obtain from any person for himself/herself or for any other person any gratification whatever other than legal remuneration as a motive or reward for doing or forbearing to do any official act, or for showing, or to show, in the exercise for his/her official function, favour or disfavour to any person, or for rendering or attempting to render any service or disservice to any person, with the Central or any State Government or Parliament or Legislature of any State or with any public servant as such, shall be punished with imprisonment of either description for a term which may extend to three years, or with fine, or with both."

Another species of corruption not generally recognised as corruption is extravagant expenditure of public money. Extravagant expenditure of public money amounts to inflicting an undue charge on the general public by spending public funds on purposes that are not essential or spending more than necessary on essential purposes.

21.5 CAUSES FOR DECLINE OF INTEGRITY IN CIVIL SERVICES

There are various causes of corruption which result in lack of integrity. These can be discussed under the following headings.

i) Historical Causes

In India, corruption has its roots in the colonial rule of the past. British administration was not interested in the overall development of the country. All superior and important positions were filled in by British people and they were paid

handsomely. Lower posts were offered to Indians. Salaries to these posts were very low. So they indulged in corrupt practices.

After World War II, scarcities led to many types of controls. It gave added opportunities to these low paid employees to resort to corrupt practices. Then it became habitual. It was during World War II that corruption reached the highest mark in India. The climate for integrity which had been rendered unhealthy by wartime controls and scarcities was further aggravated by the post-war flush of money and the consequent inflation.

ii) Environmental Causes

The second important cause of corruption in public service is fast urbanisation and industrialisation where material possessions, position and economic power determine the status and prestige of a person in the society. Since salaries are low and inflation is unabated, poor civil servants fall easy prey to corrupt practices in order to maintain status in the society.

iii) Economic Causes

Inadequate remuneration of salary scales and rising cost of living is probably one of the important causes of corruption. In recent years, the fast rising cost of living has brought down the real income of various sections of the community, particularly the salaried classes. The urge to appear prestigious by material possessions has encouraged those who had the opportunities to succumb to temptations.

iv) Lack of Strong Public Opinion Against the Evil of Corruption

People do not report to government against corrupt officials. Instead they offer bribes to get their illegitimate claims accepted. People must fight against corruption and build a strong public opinion against corruption.

v) Complicated and Cumbersome Procedures and Working of Government Offices

It is alleged that the working of certain government departments, e.g., the Customs and Central Excise, Imports and Exports, Railways, Supplies and Disposals, Police, Income Tax, etc, is complicated, cumbersome and dilatory. This has encouraged the growth of dishonest practices like the system of 'speedy money'.

vi) Inadequate Laws to Deal with Corruption

Indian Penal Code and other laws which deal with corruption cases are outmoded and provide insufficient penalties. It takes too much time to get a corrupt officials punished under the laws. Summary trials and stricter punishments should be awarded to end corruption. Therefore the laws will have to be changed accordingly.

vii) Undue Protection Given to the Public Services in India

Article 311 of the Indian Constitution which provides protection to civil servants, as interpreted by our courts, made it difficult to deal effectively with corrupt public servants. Reluctance of higher officials to take disciplinary action against corrupt officials due to their collusion with them has further aggravated the situation.

viii) Collusion of Commercial and Industrial Magnates and Others to Serve their Individual Interests

Big businessmen, dishonest merchants, suppliers and contractors, bribe the civil servants in order to get undue favours from them. Sometimes they share a portion of their illearned profit with the government servants.

ix) Pressure Groups

Pressure Groups like Indian Chamber of Commerce, Trade Associations, State Chambers of Commerce, are said to help in breeding corruption through their activities of getting favours for their communities. They influence ruling elite through dinners, parties, luncheons, etc.

21.6 LEGAL FRAMEWORK TO CHECK CORRUPTION

After going through the various causes for dealing of integrity in civil services, it is essential to look into the legal framework which intends to check corruption. It was way back in 1947 that the Prevention of Corruption Act was passed. There are

various conduct rules dealing with the civil servants. There has been appointed committee to review the existing instruments for combating corruption like the Santhanam Committee. And vigilance commissions have been set up at the central and the state level. Moreover, there is the central bureau of investigation and the institutions of Lok Pal and Lok Ayukta which are all there for prevention of corruption. Here, all these are discussed in detail.

i) Prevention of Corruption Act, 1947

The Prevention of Corruption Act, 1947, defines the scope of corruption in regard to public servants as follows:

"A public servant is said to commit the offence of criminal misconduct in the discharge of his duty:

- 1) If he habitually accepts or obtains or agrees to accept for himself or attempts to obtain from any person for himself or for any other person, any gratification (other than legal remuneration) as a motive or reward as mentioned in Section 161 of the Indian Penal Code.
- 2) If he habitually accepts or obtains or agrees to accept or attempts to obtain for himself or for any other person, any valuable thing without consideration or for a consideration which he knows to be inadequate from any person whom he knows to have been, or to be likely to or about to be transacted by him, or having connection with the official functions of himself or of any public servant to whom he is subordinate, or from any person whom he knows to be interested in or related to the person concerned.
- 3) If he dishonestly or fraudulently misappropriates, or, otherwise, abuses his position as a public servant, obtains for himself or for any other person any valuable thing or pecuniary advantage.

ii) Civil Servants Conduct Rules

Different categories of government servants are governed by separate but substantially similar, sets of conduct rules. The following sets of rules are in force:

- 1) All India Services (Conduct) Rules, 1954
- 2) Central Civil Services (Conduct) Rules, 1955.
- 3) Railway Services (Conduct) Rules, 1956

The Government has also made rules or issued instructions from time to time in dealing with particular situations regarding public servants.

- i) Lending and borrowing by gazetted officers, in 1860 and by non-gazetted employees in 1869;
- ii) Accepting gifts in 1876;
- iii) Buying and selling houses and other valuable property in 1881;
- iv) Entering into any pecuniary arrangement for resignation by one of them of any office under government for the benefit of others in 1883.
- v) Making investment other than those in immovable property and speculating, in 1885;
- vi) Promoting and managing companies, engaging in private trade and employment in 1885;
- vii) Raising subscriptions by public servants in 1885;
- viii) Being habitually indebted or insolvent, 1885;
- ix) Accepting commercial employment after retirement in 1920.

These rules invariably suffer from numerous loopholes with the consequence that the temptation to corrupt and be corrupted is too strong to be kept under check by them.

iii) Santhanam Committee on Prevention of Corruption

The Santhanam Committee, which was appointed in June, 1962 to review existing instruments for combating corruption and to advise on practical measures to make anti-corruption measures more effective, submitted its report in March 1964. Some of the important recommendations of this Committee were the Art. 311 of the Constitution should be amended so as to make the judicial process in corruption

easy and speedy, that there should be Central and State Vigilance Commissions with autonomous powers to combat corruption at central and state levels respectively.

iv) Central Vigilance Commission (C.V.C.)

The Central Vigilance Commission has jurisdiction and powers in respect of matters to which the executive powers of the Central Government extend. Its jurisdiction thus, extends to all employees of the Central Government and the employees in public undertakings, corporate bodies and other organisations dealing with any matter falling within the executive powers of the Central Government. Also, the Delhi Metropolitan Council and the New Delhi Municipal Committee fall within the purview of the commission. To begin with, the Commission has decided to include only gazetted officers and officers of equivalent status within its orbit.

Functions

- 1) It undertakes an inquiry into transaction in which a public servant is suspected or alleged to have acted for an improper purpose or in a corrupt manner.
- 2) It causes an inquiry or investigation to be made into any complaint that a public servant had exercised or refrained from exercising his/her powers for improper or corrupted purposes, and any complaints of corruption, misconduct, lack of integrity of other kinds of malpractices or misdemeanour on the part of a public servant.
- 3) It calls for reports from agencies so as to enable it to exercise general check and supervision over the vigilance and anti-corruption work in them.
- 4) It can take over under its direct control complaints for further action which may be either (i) to ask the Central Bureau of Investigation to register a regular case and investigate it, or (ii) to entrust it for inquiry to the Central Bureau of Investigation or to the agency concerned.
- 5) It may initiate review of procedures and practices of administration insofar as they relate to maintenance of integrity in administration.

The Commission submits an annual report to the Ministry of Home Affairs about its activities drawing particular attention to any recommendation made by it which had not been accepted or acted upon. The Ministry of Home Affairs places this report before each House of Parliament.

The Commission has at present a staff of 155 employees including those in Class IV. It is headed by the Central Vigilance Commissioner who is appointed by the President by warrant under his/her hand and seal. He/She holds office for a term of six years or till he/she attains the age of 65, whichever is earlier. He/She cannot be removed or suspended from office except in the manner provided for the removal or suspension of the Chairman or a member of the Union Public Service Commission. After retirement, he/she cannot accept any further employment under the Central Government or the State Government.

In addition to him/her, the Commission consists of one Secretary, one Officer on Special Duty, one Chief Technical Commissioner, Seven Commissioners for Departmental Enquiries, two under Secretaries and nine Technical Commissioners. The Chief Technical Commissioners' Organisation has been transferred to the Central Vigilance Commissioner.

The Central Vigilance Commission owes its existence to the executive resolution. It is not a statutory body. Its functions are advisory, but 'advisory' in the same sense as those of the 'public service commission'. "The independent and autonomous status of the commission, its extensive power and jurisdiction, and the fact that it indicates in its annual report in which the Administrative Authorities have not accepted its advice, make the commission an effective instrument that all complaints of corruption or lack of integrity on the part of public servant are given adequate and due attention."

Procedure

The Commission receives complaints from individual persons. It also gathers information about corruption and malpractices or misconduct from various sources, such as, press reports, information given by the members of parliament in their speeches made in parliament, audit objections, information or comments appearing

in the reports of parliamentary committees, Audit Reports and information coming to its knowledge through Central Bureau of Investigation. It welcomes the assistance of voluntary organisations like Sadachar Samiti and responsible citizens and the press.

The Commission often receives complaints pertaining to matters falling within the scope of the State Governments. Where considered suitable, such complaints are brought to the notice of state vigilance commissioners concerned for necessary action. Similarly, complaints received by the State Vigilance Commission in regard to matters falling within the jurisdiction of the Central Government are forwarded by them to the Central Vigilance Commission for appropriate action.

The Central Vigilance Commission has the following alternatives to deal with these complaints:

- a) It may entrust the matter for inquiry to the administrative Ministry/Department concerned.
- b) It may ask the Central Bureau of Investigation (C.B.I.) to make an enquiry.
- c) It may ask the Director of the C.B.I. to register a case and investigate it.

v) State Vigilance Commission

The Santhanam Committee on prevention of corruption made detailed recommendations in 1964 for strengthening of the Vigilance Organisation in each Ministry/Department to make it more effective. While the primary responsibility for the maintenance of purity, integrity and efficiency in each organisation continues to vest in the Secretary of the Ministry or the Head of the Department, an officer in each Ministry/Department has been designated as Chief Vigilance Officer and entrusted with vigilance work. While acting as Special Assistant to the Secretary or the Head of the Department in all matters pertaining to vigilance, he provides a link between the Central Vigilance Commission and the Ministries/Departments. Similarly, an officer in each attached and subordinate office, and in all public sector undertakings has been designated as Vigilance Officer. The Chief Vigilance Officer is responsible for coordinating and guiding of the activities of other Vigilance Officers in the attached and subordinate offices and other organisations with which his/her Ministry/Department is concerned. Some of the Chief Vigilance Officers/Vigilance Officers, particularly in larger ministries and departments are whole-time officers while others are part-time, depending upon the volume of vigilance work arising in an organisation.

Every Chief Vigilance Officer is to be appointed in consultation with the Central Vigilance Commission, and the Vigilance Officers in the attached and subordinate offices in consultation with the Chief Vigilance Officer of the respective Ministry/Department. The Chief Vigilance Officers are generally of the rank of a Deputy Secretary and Vigilance Officers of the rank of an Under Secretary. In public undertakings the Vigilance Officers are of such rank as may be decided by the head of the undertaking in consultation with the Central Vigilance Commission.

The Central Vigilance Commission has been given the power to assess the work of the Chief Vigilance Officers and the assessment is recorded in the character rolls of the officers.

The Chief Vigilance Officers undertake review of the existing arrangements in the organisation under their charge including the public undertakings with a view to taking suitable steps or for strengthening the existing set up, wherever necessary. All proposals for reorganisation or strengthening the vigilance organisation are first required to be referred to the Central Vigilance Commission for scrutiny.

vi) Central Bureau of Investigation

Apart from vigilance organisation in every ministry and department, the centralised agency for anti-corruption work viz. the Central Bureau of Investigation, which functions administratively under the Department of Personnel and Administrative Reforms. The latter formulates all policy matters pertaining to vigilance and discipline among public servants. It also coordinates the activities of various heads of departments and functions as the nodal authority in the matter of administrative vigilance. It also deals with (i) vigilance cases against the officers belonging to the

Indian Administrative Service and the Central Secretariat Service (Grade-I and above of the service); and administrative matters connected with the Central Bureau of Investigation and the Central Vigilance Commission as also with the policy matters relating to powers and functions of the Commission.

The Special Police Establishment is a specialised agency for making inquiries and investigations into certain specified offences and it is one of the Divisions of the Central Bureau of Investigation. It is supplementary to the State Police Force. It enjoins with the respective State Police Force, concurrent powers of investigation and prosecution in respect of offences under the Delhi Police Establishment Act, 1946. To avoid duplication of effort, an administrative arrangement has been made between the Central Government and the State Governments about the type of cases to be taken by the Special Police Establishment.

The role of the Central Bureau of Investigation may be shortly described as follows:

- 1) It can take up investigations against the higher levels and in complex cases.
- 2) It is resourceful and can get material from various sources which may not be available to normal departmental machinery.
- 3) Even if its cases in the early year proved to be weak, it is now encouraging to see that the Central Bureau of Investigation takes up only those cases for prosecution which are sound and strong.

The most important need in the interest of efficiency and progress is to fix a time schedule for a case to demarcate clear fields of responsibility between the Central Bureau of Investigation and the Central Vigilance Commission.

vii) Institutions of Lok Pal and Lok Ayukta

The Administrative Reforms Commission recommended in 1966 to the Central Government, the setting up of the Institutions of Lok Pal and Lok Ayukta which are analogous to the parliamentary commissioner in England and Newzealand, for redress of public grievances.

a) Lok Pal

He/She is appointed by the President on the advice of Prime Minister who is to consult the Chief Justice of India and the leader of the opposition in Lok Sabha. Lok Pal commands the same status as that of the Chief Justice of India. He/She is free to choose his/her own staff though their conditions of service fall under the control of parliament.

Jurisdiction

He/She has the power to investigate an administrative act done by or with the approval of a minister or a Secretary to the state or central government, if the complaint is made against such an act by a person who is affected by it and who claims to have suffered an injustice on that account. Such a complaint may be lodged by an individual or by a corporation. He/She is also authorised to investigate any administrative act brought to his/her notice by any body else other than the directly affected person.

But, no person can be forced by Lok Pal to give any evidence or produce which he/she could not be compelled to give or produce before a court.

No proceedings of Lok Pal can be challenged in any court of law except on ground of jurisdiction. No legal proceedings can lie against Lok Pal for anything done under the Act in good faith.

b) Lok Ayukta

The President of India is empowered to appoint one or more than one Lok Ayukta in consultation with the Lok Pal.

The Lok Ayukta is under the administrative control of the Lok Pal who can issue directions regarding convenient disposal of investigation. However the Lok Pal is not authorised to question any finding, conclusion or recommendation of the Lok Ayukta. The latter is supposed to have jurisdiction over actions of public servants other than those within the purview of Lok Pal. The conditions of appointment, tenure of office, removal, scope of functions, manner of making complaint, manner

of functioning, recommendation, reports, secrecy of information, contempt and protection in respect of Lok Ayukta are analogous of those in respect of Lok Pal.

Lok Ayukta in States

While attempts are going on in Parliament to put the Lok Pal Bill into effect, the office of Lok Ayukta has been set up in some states. These states are Orissa, Maharashtra, Rajasthan, Bihar, Uttar Pradesh and Madhya Pradesh. The office of Lok Ayukta in Andhra Pradesh and Karnataka is of recent origin.

Appointment

The Lok Ayukta shall be appointed by the Governor in consultation with the Chief Justice of the High Court and leader of the Opposition in Assembly. The Upa Lok Ayukta may be appointed by the governor in consultation with Lok Ayukta. He/She shall hold office for five years. He/She shall be removed subject to the provisions of Article 311 of the consultation and an inquiry to be conducted by way of proceeding before any tribunal or court of law.

Jurisdiction

The Lok Ayukta or Upa Lok Ayukta may investigate any action taken by (a) Chief Minister or Secretary, (b) Any public servant including public servant notified for this purpose by the State Government, (c) He/She will conduct an investigation only on the complaint to be filed by an aggrieved person accompanied by an affidavit (d) any person making a false complaint wilfully and maliciously to Lok Ayukta are liable for punishment, (e) The State Government may exclude any complaints, involving a grievance or an allegation against a public servant, from the jurisdiction of Lok Ayukta.

The Lok Ayukta and Upa Lok Ayukta shall present annually a consolidated report on the performance of their functions under the Act to the Government.

Organisation

It includes investigation (Police) wing, and technical wing, the enquiry wing and administrative wing. Beside these, district grievance cell and Lok Ayukta police stations are already operating in the district without any coordination. This is nothing but creation of three-tier structure of Ombudsman at the Centre, State and district levels.

The important prerequisite for independent and impartial functioning of Lok Ayukta is his/her being independent of the State Executive and Legislative.

Check Your Progress 2

- Note : 1) Use the space given below for your answers.
2) Check your answer with these given at the end of the unit.

1) What are the causes for decline of integrity in civil services?

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2) Discuss the legal framework to check corruption.

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21.7 SUGGESTIONS FOR IMPROVEMENT OF INTEGRITY IN CIVIL SERVICES

Some suggestions may be given to improve integrity in the civil services.

i) Making Conditions of Service Attractive

Government officials, particularly at lower level, are forced by poverty to regard office holding as a source of income which they would seek to maximise. Public services are rendered in exchange for extra money, services, which tend to be bad and slow if no bribe is given. Raising of pay, consequently, is a basic means to wipe out the widespread bribery in the civil services. It is good that Government has set up the Fourth National Pay Commission to look into the salary structure of federal employees.

ii) Simplification of working of Government Machinery

The root cause to proliferation of corruption seems to be the complicated procedures of Government offices. These procedures need to be evaluated and simplified. Delays must be prevented and officials made fully responsive to the needs of all the people.

iii) Creation of a Healthy Public Opinion Against the Effects of Corruption

Corruption will flourish till the general mass of people resist it with determination and strength. Most of all, the elimination of corruption requires a widespread and steadfast opposition to it, coupled with the courage to act against it. There can be no doubt that the people of India can get rid of corruption.

iv) Ensuring High Standards of Conduct among the Top Personnel

High Officials having considerable discretionary powers must be thoroughly disciplined to refuse gifts, invitations and other favours.

In this context, it is pertinent to note the efforts made by the government to carry the quest for integrity at the divisional and district levels. At the divisional level, there is a Divisional Vigilance Board which consists of the Divisional Committees, Deputy Inspector General of Police and a Divisional Vigilance Commissioner. At the district level, there is a District Vigilance Officer who is appointed by the District Collector, Deputy Commissioner from among his/her gazetted assistants in consultation with the Divisional Vigilance Board.

There has, thus, emerged a web of vigilance agencies in the country. To streamline this quest for integrity, the Vigilance Commissioners of all States hold an annual conference which is presided over by the Chief Vigilance Commissioner. This annual gathering serves useful purpose, it provides a forum for the discussion of mutual problems and exchange of experiences, and gives publicity to vigilance efforts of the Government at both the Central and State levels, thus inspiring people's confidence in the Government's sincerity of purposes.

However, this does not imply that corruption in public administration has been eliminated or is under control. Far from it, corruption has entered every nook and cranny of India's public life, and the country's public administration is ridden with it. This has happened largely because there is no political will to remove it.

Check Your Progress 3

Note : 1) Use the space given below for your answer.

2) Check your answer with that given at the end of the unit.

1) What should be done for improvement of integrity in civil services?

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21.8 LET US SUM UP

In this lesson, we have dealt, at length with the implications of administrative ethics and integrity in civil services. It is the fundamental responsibility of the management to spell out clearly as to how the ever increasing size of the Government and rising expectations of the people call for high ethical and professional standards on the part of government employees. Accordingly, the public officials are expected to furnish examples of incorrupt behaviour as their actions have a direct impact on the character of the community. The tools and techniques adopted by the Government of India and the State Governments in this challenging task have been highlighted.

21.9 KEY WORDS

Code of Conduct : A set of written rules in an organisation which state how people should behave.

Ethic : An ethic of a particular kind in an idea or moral belief that influences the behaviour attitudes and philosophy of life of a group of people.

Ethos : An ethos is the set of ideas and attitudes that is associated with a particular group of people as a particular type of activity.

Integrity : Integrity is the quality of being honest & firm in one's moral principles.

21.10 SOME USEFUL BOOKS

Avasthi, A. & Maheshwari, S., 1987. *Public Administration*; Lakshmi Narain Agrawal : Agra.

Goel, S.L., 1984. *Public Personnel Administration*; Sterling Publisher Pvt. Ltd. : New Delhi.

Jain, R.B., 1976. *Contemporary Issues in Indian Administration*; Vishal Publications : New Delhi.

21.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

) See Section 21.3

Check Your Progress 2

) See Section 21.6

) See Section 21.7

Check Your Progress 3

) See Section 21.8

NOTES



UTTAR PRADESH
RAJARSHI TANDON OPEN UNIVERSITY

UGPA - 04

Personnel Administration

Block

6

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BLOCK 6 EMPLOYER - EMPLOYEE RELATIONS

This is the last block of the course on Personnel Administration. This block will give you an idea about various aspects of Employer - Employee relations.

Unit 22: Employee Unions: In this unit, we will discuss the objectives of civil service unionism, origin and growth of employee unions pre and post-Independent India. Underline certain aspects relating to right to association, functions and activities of employees unions and explain the rules relating to grant of recognition of unions/ associations.

Unit 23: Joint Consultative Machinery: In this unit, we will discuss the significance of joint consultation in civil service staff relations, explain the evolution of joint consultative machinery. And also discuss the functioning of Joint Consultative Councils and the Board of Arbitration, highlight the suggestions for the improvement.

Unit 24: Rights of Public Servants: In this unit, we will discuss the fundamental and other rights guaranteed to the citizens and public servants, outline the restrictions imposed by the government in the exercise of the rights by public servants. And also highlight the service rights of the government employees.

Unit 25: Motivation and Morale: In this unit, we will discuss the importance of human factor in an organisation, outline the findings of psychologists and behaviouralists from the view point of human relations. Explain the meaning and types of motivation and morale along with the factors effecting them. And also analyse some important measures in building morale, through workable motivational methods.

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UNIT 22 EMPLOYEE UNIONS

Structure

- 2.0 Objectives
- 2.1 Introduction
- 2.2 Need for Employees Association
- 2.3 Objectives of Employees Unions
- 2.4 Growth of Employee Unions
- 2.5 Right to Form Unions and Associations
- 2.6 Important Functions of Employees Union
- 2.7 Restrictions on Right to Join Employee Unions
- 2.8 Rules of Recognition
- 2.9 Let Us Sum Up
- 2.10 Key Words
- 2.11 Some Useful Books
- 2.12 Answers to Check Your Progress Exercises

2.0 OBJECTIVES

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

- explain the objectives of civil service unionism in general
- understand the origin and growth of employee unions in pre- and post-Independent India
- underline certain aspects relating to right to association
- identify the important functions and activities of employees unions, and
- explain rules relating to grant of recognition of unions/associations.

2.1 INTRODUCTION

The extent of Employer-Employee relations in public service depends vastly on the nature of Civil Service unionism. The harmony and hostility of relations rests with the strengths and weaknesses and the philosophy of unionism among the government employees. Public-Employee relations are also governed by the changing nature of the public employer. A democratic attitude in solving the mutual problems. In this unit, we propose to study the objectives of Civil Service unionism, the origin and growth of employees unions and important functions and activities of the employees' union.

2.2 NEED FOR EMPLOYEES ASSOCIATION

A basic question as to why Civil servants form and join association is of more importance in Civil Service than the working and its composition. Associations are the institutions of Civil servants and their groups where objectives are many and varied. **Wors and Myers** write: "Unionism springs from the basic aspirations of those employees who become convinced that they can gain more through membership in a union than by going at it along." Membership in a trade union is encouraged by the government on the ground that representative associations not only promote good staff relations but also are essential to effective negotiations on conditions of service. An association often develops as a result of government's limited point of view and of restricted communication within the structure. Today associations are, in another sense, useful representatives of the society from which they emerge. Associations are thus, on the one hand, essential instruments for improving the welfare of their employee and on the other, they have pressed the government to become liberal in dealing with them.

Since Civil servants have been denied the right to strike and participate in the political activities by the Civil Service rules and regulations, they have demanded the provision of a machinery whereby the employees' grievances may be redressed. In order to get their grievances and complaints heard through any government machinery, they feel the necessity of forming staff associations. Through associations the employees feel better security, liberty and courage rather than remaining alone. Staff associations make it possible for civil servants to express their day-to-day difficulties and grievances to the administrative authorities in a formal way by submitting applications and petitions or by holding informal talks with the management. Civil servants seek membership of these associations because the peculiar and diverse needs of the Civil Service cannot be achieved without collective representation and bargaining. They become members with the hope that it may help lessen their anxiety and distress and will further the scope of leading a happy life. The original reasons for unionisation were the effects of continual internal reorganisation and reform. Then followed security of employment and better conditions of service. Humphreys writes: "As the changing functions and structure of the Civil Service have dictated the form and the objectives of the unions which have developed among state employees, so has the nature of the civil service determined the degree of success which has accrued to these unions." The foregoing considerations advance the acceptance of unionism as continuing feature of our politico-administrative system.

22.3 OBJECTIVES OF EMPLOYEES UNIONS

The Employees Unions regarded themselves as part of administration. They are yearning for opportunities for full participation in the development of the country. The employees unions are positive assets to sound and progressive administration.

The following may be said to be the objectives behind the establishment of organisations:

- 1) To acquaint the government with the point of view of the employees. There might be many problems where the management and the employees might be having differing points of views. If the two are aware of the point of view of each other, harmonious relations between the two could develop.
- 2) The organisation provide an opportunity to the government to know the opinion of the employees on any given issue. No government could possibly contact all its employees individually. They could be easily contacted through the medium of the organisation. The opinion of the organisation is the collective opinion of the employees.
- 3) The organisation belongs to the employees. It stands with them through thick and thin. There is a feeling of oneness between the employees and the organisation.
- 4) The associations meet the social expectations of the members. It satisfies the ego of the office bearer. They feel that they are doing something useful and beneficial to their members.

The unions make it possible for employees to express their point of view to the government as a whole, while developing a feeling of oneness between the employees and the administration. Thus, they help in developing harmonious relations between government and employees.

The employees unions provide a feeling of identification with the securing of certain personal objectives. They want to do something for themselves. They provide an outlet for natural social aspirations of employees. The unions want to promote efficiency, protect merit systems and improve the quality of administration.

22.4 GROWTH OF EMPLOYEE UNIONS

Pre-Independence

During the early British rule, there was little or no consciousness of common needs and interests among civil servants because of the greater inheritance and partnership in the

administration by the English rulers. Indians who were largely employed at the pleasure of the Britishers, had little or no interest in the formation of an association and whatever urge there was, got submerged in the movement of the people for realisation of the goal of India's independence. Of course, before World War I there were associations of government employees such as the Amalgamated Society of Railway Servants of India and Burma (1897), the Indian Civil Service Association (1918) etc. but they were mostly manned by Britishers and the Anglo-Indians. Hence their existence carried not much significance in the development of unions except as a matter of historical interest.

During the British rule of centralised administration, the general mass of lower and middle level civil servants did not find an opportunity to get organised. By the beginning of the 20th century, however, modern association had secured for itself a place in the economic and political life of the country. Employees organised themselves to press their demands but, by and large, it was only in those cases where they could evoke public sympathy that they succeeded, and such sympathy was hard to come by.

After World War I, political and economic conditions in the country caused, partly by the freedom struggle led by Mahatma Gandhi and his followers and partly by the drain theory advocated by Dadabhai Naoroji as the cause of poverty of India, roused new aspirations in the minds of civil servants to form associations. Further the establishment of the International Labour Organisation (1919) had its impact on the growth of trade unions and staff associations in the country. Lower grade employees working in the Railways and the Post and Telegraph Department began to organise themselves into unions. While some unions chose to operate independently others felt the need for coordination of their activities at the national level.

The formation in 1920 of the All India Trade Union Congress (AITUC) was a manifestation of these urges. Further the enactment of the Trade Union Act, 1926, facilitated the formation and growth of trade/staff unions in India. The setting up of the popular governments in the provinces in the late thirties under the Government of India Act, 1935, quickened the pace of the growth of unions and staff associations in the provinces. The Act vested in the governors the responsibility to "safeguard the interests and rights of civil servants. During World War II (1939-45) the relations between the government and its employees further deteriorated. Economic conditions began to worsen and the cost of living rose very high and this made the life of employees, especially the low paid, difficult. As a result of an intense agitation resorted to by the unions of the Railways and the Postal employees for the amelioration of their condition of service, the government appointed a "Pay Commission" to go into the whole question of scale of wages, pensions and other conditions of service and also the question of setting up some machinery for negotiations between the government and the United Kingdom. The Commission was pained to find that there was "an absolute distrust on the part of many grades of public servants as to their ever receiving a fair response from the government to their representations". It strongly recommended that the administration should encourage and foster the growth of unions of civil servants. This recommendation gave a further impetus to the development and organisation of civil service associations.

Post-Independence

After the attainment of Independence, employees in the civil service felt pride in the formation of association. Slowly and gradually, all classes of civil servants began to organise themselves into associations. The Government of India felt the importance of associations and consequently an article to this end, was incorporated in the draft constitution now the Indian Constitution in force from 26 January, 1950. Provides for the right to "form associations and unions" subject to "public order or morality". Civil servants enjoy this fundamental right as much as any other group of citizens, and their right to form unions or associations is no different from workers outside the government. This article is a milestone in the development of staff associations and unions in India as a whole.

The civil servants outside the Railways and the P&T largely remained unorganised. There were loose organisations among the Income Tax, Audit and Accounts, Customs, Civil Aviation and Public Works Departments. The All-India Federation of Income Tax Employees, though formed in 1949, was not recognised by the government as its President Asoka Mehta was not an employee of the Income Tax Department. It was only recognised in 1954 after its re-birth in 1953. It is now one of the strong federations with about 40 affiliated associations/unions.

The All-India Non-Gazetted Audit and Accounts Association was only recognised in

1956, though the employees started organising since 1923. It was de-recognised in 1959 and it took long time to get re-recognition.

The All-India Ordinance Employees Federation was set up in 1947 with heterogeneous Defence workers organisations. In May 1953, they united and formed All-India Defence Employees Federation (AIDEF). In 1959, forty unions affiliated to the AIDEF left it and formed the Indian National Defence Workers Federation (INDWF) with the support of Indian National Trade Union Congress (INTUC). Both the federations have been recognised by the government. The employees unions in the Defence Ministry are large in number and strong in their representative capabilities.

In 1947, there were 27 unions in P&T recognised by the government. The government initiated a Realignment scheme, proposing all the unions to come under one Federation. Accordingly, all the Non-Gazetted employees of P&T were realigned into nine All-India Trade Unions and National Federation of P&T Employees (NFPTE) came into existence in 1954. Since then till 1968, the NFPTE enjoyed exclusive recognition. In 1969, the P&T Department recognised rival unions and the Federation of National P&T Organisation (FNPTO). In spite of rivalry, the employees unions in P&T are very strong.

The All-India Railwaymen's Federation (AIRF) was formed in 1924. It has been one of the powerful trade unions in India under the eminent leadership of V. V. Giri, Jaya Prakash Narayan, N.M. Joshi, Peter Alvarez and George Fernandes. Till 1948 AIRF had the privilege of the exclusive recognition of the government. In 1949, the government also recognised a new organisation, namely, the Indian National Railway Workers' Federation (INRWF). In 1953, a merger of the AIRF and INRWF took place and a new Federation in the name of National Federation of Indian Railwaymen (NFIR) came into existence. However, despite the unity efforts in 1957, the AIRF was revived. The Former INRWF retained the name of NFIR. In 1974, a third Federation viz., the Indian Railway Workers Federation was formed with the support of AITUC. There are also category-wise All India Associations, for Station Masters, Locomotive Running Staff, Guards, Signals and Telecommunication Staff, Commercial Clerks, Ministerial Staff. The recognition of category-wise unions also became strong.

Check Your Progress I

Note: (1) Use the space given below for your answers.

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

1) Give reasons why civil servants should have an association?

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2) Analyse the objectives of employees unions.

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3) Discuss the growth of employee unions in post-Independence period.

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22.5 RIGHT TO FORM UNIONS AND ASSOCIATIONS

The organisation of employees was confronted with a number of problems during their growth and stabilisation. The most crucial problem was the struggle to achieve the right to form Unions/Associations. The Right of Association is central to the concept of constitutional democracy. It is difficult for any body to function without freedom to associate with others. People find much of their identity in some form of group activity in economic, social, political and professional terms. It must be the obligation of the government to protect the right of Association from invasion and to refrain from making inroads into the right by its own activities.

The Constitution of India under Article 19(1)(c) guarantees the right to form associations and unions to its citizens. It is natural that government employees also resort to take up association type of activity for protecting their service conditions.

22.6 IMPORTANT FUNCTIONS OF EMPLOYEES UNION

- ◊ Protecting the rights of employees including ventilation of grievances and negotiation with the government.
- ◊ Undertaking measures for social, economic, and cultural advancement of the employees.
- ◊ Promoting academic matters including publication of journals and other literature.
- ◊ Settlement of disputes through joint consultation/collective bargaining.
- ◊ Achieving free trade union rights including full citizenship with right to contest elections.
- ◊ To ensure the framing of labour legislation to guarantee the growth of free trade unionism without discrimination between government and non-government labour.

22.7 RESTRICTIONS ON RIGHT TO JOIN EMPLOYEE UNIONS

The government's policy is to encourage the development of healthy trade union movement. The Indian Trade Union Act, 1926, and the Constitution of India, 1950, permitted the employees to form Unions/Associations. But the government through the Civil Service (Conduct) Rules, 1955, based on the Conduct Rules of 1937 and subsequent amendments in 1957 and 1964 restricted the right to join Unions/Associations.

According to the Conduct Rules, no government servant shall join or continue to be a member of any service association of government servants, (a) which has not within a period of six months from its formation, obtained the recognition of the government under the rules prescribed in that behalf. (b) recognition in respect of which it has been refused or withdrawn by the government under the said rules. However, these rules are not applicable to the Railway employees. The said Rules deprived them of trade union rights including the right to association and demonstrate. As such the utility of the Right to Association is linked with the Right to Recognition. Therefore, the employees protested against the Conduct Rules and the Recognition Rules.

22.8 RULES OF RECOGNITION

It is pertinent to note that the grant and continuance of recognition provides a legal status to the Union/Association to represent the grievances of employees, negotiate and bargain with the employer. Recognition encourages legitimate union activity. The Indian Trade Union Act, 1926 did not extend its provisions to the civil servants. The

Trade Union Law has made no provision for compulsory recognition of unions by the employers.

In spite of the limitations and restrictions the employees organisations focused their grievances from time to time since the 1920s. To curb the mounting unrest and the threat of direct action, the government issued the Central Civil Services (Conduct) Rules, 1955 and they were amended in 1964.

In 1959, a new set of Rules known as the Central Civil Service (Recognition of Service Associations) Rules, 1959 were made under Article 309 and clause 5 of Article 148 of the Constitution of India. The provisions of the Rules laid certain conditions for purposes of recognition:

- a) No person, who is not a government servant, is connected with the affairs of the Association.
- b) The executive of the Association is elected from amongst the members only.
- c) The Association shall not respond to support the cause of individual government servants.
- d) It shall not maintain any political fund or lend itself to the propagation of the views of any political party or politician.

The Ministry of Labour issued separate rules for recognition of unions of workers who are industrial employees. According to these Rules:

- a) The membership of union must be confined to workmen employed in the same industry or industries closely allied or connected with each other.
- b) The union must be a representative of all workmen employed in that industry. No class of workmen must be excluded from membership.
- c) The union must be registered under the Trade Union Law.
- d) The union must make a suitable provision in their constitution regarding the procedure for declaring strikes.

The Railway Ministry also issued another set of rules for the recognition of associations of Non-Gazetted Railway servants. However, they are not very different from the Rules of the Labour Ministry. The grant and continuance of recognition under the Labour and Railway Ministry's Rules rests with the discretion of the government and the Rules of Ministry of Home Affairs (Rules of Recognition, 1959) also provide recognition only when specified conditions fulfilled.

Except in the case of civil servants who are governed by the Recognition Rules of 1959, both Labour Ministry's rules and the Railway Ministry's rules permit the association of outsiders as the executive of the unions. However, the former employees and Retired Employees are allowed in civil service associations.

The Recognition Rules of 1959 restricted the free movement of trade unions. According to the rules every association which seeks recognition has to submit a list of members and office bearers and must have at least 15 per cent of a distinct category of government servants as members. The rules were stringent and demanded liberal application of the rules. For a long the government had not followed any clear policy in regard to recognition. The unions had to fight and struggle to get the recognition as different ministries had followed different recognition rules.

Check Your Progress 2

Note: (1) Use the space given below for your answers.

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

- 1) Discuss the important functions and activities of Employees Unions.

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- 2) Analyse the restrictions on Right to join employee unions.

22.9 LET US SUM UP

Public employees have in many countries demanded the right to form Employee Unions. There is a high degree of variation among the public employee organisations and in the nature of formal relations between the unions and their governments. Their fundamental objectives are to get redressal of the grievances of the employees pertaining to the service conditions through joint consultation, collective bargaining and by direct action if felt necessary. To secure their interests, they demanded certain rights, such as right to association, right to recognition, right to representation and right to affiliation. They want settlement of disputes in a democratic manner. They regarded themselves as a part of the administration and demanded opportunities for full participation in the administration. Immediately they may put up struggle for better service conditions inside the office and freedom to participate in public affairs with freedom of expression. Ultimately they aim at maintenance of harmonious relations between the government and employees by settling their problems through negotiation in peaceful manner and to promote efficiency, protect merit system and improve the effectiveness of administration.

22.10 KEY WORDS

Conduct Rules: An established regulation or guide for conduct procedure, usage etc., for government employees.

Recognition Rules: In Civil Service, a statement of decision concerning the manner in which organisational policies and plans should be carried out.

Right to Recognition: A term applied to employer acceptance to be the bargaining agents for his employees.

22.11 SOME USEFUL BOOKS

Aggarwal, Arjun P. 1972. 'Freedom of Association in Public Employment, *Journal of Indian Law Institute*, Jan-March, 1972.

Bhaskara Rao V. 1978. *Employer-Employee Relations*, Concept Publishing House, New Delhi.

Glan Stahl O. *Public Personnel Administration*, Harper & Bros., New York.

Mahesh Kumar Mast. 1990. *Trade Union Movement in Indian Railways*, Meenakshi Prakashan, Meerut.

22.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- Essential instruments for improving the welfare of employees.
- Press the government to become liberal in dealing with them.
- In order to get their grievances and complaints heard through any government machinery, they feel the necessity of forming staff association.
- In this associations employees feel better security, liberty and courage
- Make it possible for employees to express their day-to-day difficulties and grievances to the administrative authorities.
- Peculiar and diverse needs of the civil service cannot be achieved without collective representation and bargaining.
- The original reasons of unionisation were the effects of continual internal reorganisational reform.
- Security of employment and better conditions of service.

2) Your answer should include the following points:

- To acquaint the government with the point of view of the employees.
- The organisations provide an opportunity to the government to know the opinions of the employees on any given issue.
- Feeling of oneness between the employees and the organisation.
- The association meet the social expectations of the members.

3) Your answer should include the following points:

- All-India Federation of Income Tax employees formed in 1949, it was not recognised by the government.
- It was only recognised in 1954.
- The India Non-Gazetted Audit and Accounts Association was only recognised in 1956, though the employees started organising since 1923.
- It was de-recognised in 1959 and it took long time to get re-recognition.
- In 1947, there were 27 unions in P&T recognised by the government.

Check Your Progress 2

1) Your answer should include the following points:

- Protecting the rights of employees including ventilation of grievances and negotiations with the government.
- Undertaking measures for social, economics, and cultural advancement of the employees.
- Promoting academic matters including publication of Journals and other literature.
- Settlement of disputes through joint consultation/collective bargaining.
- Achieving free trade union rights including full citizenship with right to contest elections.
- To ensure the training of labour legislation to guarantee the growth of free trade unionism without discrimination between government and non-government labour.

2) Your answer should include the following points:

- The Indian Trade Union Act, 1926, and the Constitution of India, 1950, permitted the employees to form into associations.
- Through the Civil Service (Conduct) Rules, 1955, based on the Conduct Rules

of 1937 and subsequent amendments on 1957 and 1964 restricted the right to join unions.

- ▷ According to the Conduct Rules, no government servant shall join or continue to be a member of any service association of government servants.
 - which has not within a period of six months from its formation, obtained the recognition of the government under the rules prescribed in that behalf.
 - recognition in respect of which has been refused or withdrawn by the govt. under the said rules.
- ▷ As such the utility of the Right to Association is linked with the right to Recognition.

3) Your answer should include the following points:

- The Indian Trade Union Act, 1926 did not extend its provisions to the civil servants.
- Trade Union Law has made no provision for compulsory recognition of unions by the employees.
- In 1959, a new set of Rules known as the Central Civil Service (Recognition of Service Associations) Rules, 1959 were made under Article 309 and clause 5 of Article 148 of the Constitution of India.
- The Ministry of Labour issued separate rules for recognition of unions of workers who are industrial employees.
- Except in the case of civil servants who are governed by the Recognition Rules of 1959, both Labour Ministry's rules and the Railway Ministry's rules permit the associations of outsiders as the executive of the unions.
- Former employees and retired employees are allowed in civil service associations.
- For a long the government had not followed any clear policy in regard to recognition.

UNIT 23 JOINT CONSULTATIVE MACHINERY

Structure

- 23.0 Objectives
- 23.1 Introduction
- 23.2 Evolution of Joint Consultative Machinery
- 23.3 Emergence of Joint Consultative Machinery (JCM) and Compulsory Arbitration Scheme
- 23.4 The Salient Features of Joint Consultative Machinery Scheme
- 23.5 The Functions of Councils
- 23.6 Board of Arbitration
- 23.7 Let Us Sum Up
- 23.8 Key Words
- 23.9 Some Useful Books
- 23.10 Answers to Check Your Progress Exercises

23.0 OBJECTIVES

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

- understand the significance of the joint consultation in civil service staff relations
- explain the evolution of joint consultative machinery
- outline the functions of the Joint Consultative Councils and the Board of Arbitration
- evaluate the functioning of the Joint Consultative Machinery, and
- discuss suggestions for the improvement.

23.1 INTRODUCTION

The history of the civil service staff relations is characterised by the recognition of the fact that employees at work like to be treated as human beings. The recognition of the human dignity was one of the cardinal factors that lead to the resolutions of the grievances of the employees in a peaceful manner, in democratic method and at regular periods.

The early employer-employee relations in the government service followed the traditional pattern, where the government employees were expected to owe unquestionable loyalty to the State. Therefore, the conditions of service of the employees were determined unilaterally by the government without consulting the employees.

The labour in the private sector secured benefits in matters of wages and working conditions as a result of effective labour organisation and militant actions. This led to the conviction among government employees' organisations that through joint and united efforts and concerted action only they could ensure improvement in their service conditions. Accordingly, the government employees resorted to strikes and brought pressure on the government to negotiate in good faith with its employees. They demanded the State to be a model employer for promoting sound employer-employee relations.

Modern democratic governments with large-scale administrative organisations committed to the all-round development of the society cannot carry out their policies and programmes without the active cooperation and participation of the employees. Therefore, harmonious staff relations are absolutely necessary for administrative efficiency and it is not possible for the governments to maintain cordial relations without an effective form of consultation and negotiation. For this reason, the civil service staff relations policies and programmes must be consistently based on the principles of democratic government.

Strikes by the government employees, it was realised, cannot be prohibited without providing suitable framework of joint consultation, collective negotiation procedures and methods of dispute settlement by compulsory arbitration.

As such, establishment of a grievance redressal and disputes solving machinery was considered the "essential half-way house" between the unilateral imposition of conditions of service in the public employment by the state as employer on the one hand, and deadlocks and strikes on the other. It was felt that all matters relating to pay, hours of work and conditions of service may be negotiated by the representatives of the employees and the employer. Thus, the discussions in joint consultative bodies generally relate to the exchange of information and consideration of the suggestions for improving safety, security, health and welfare and increase of productive efficiency. The results of such mutual discussions usually take the shape of recommendations framing the final decision to the government. The emphasis in joint consultation is mainly on informal method and cooperation based on common interests and good faith to improve the working conditions of employees and to increase the efficiency of administration. The simple aim of such relationship is to facilitate and promote peaceful resolution of conflicting interests. The outcome of such a process is influenced by the comparative abilities of the parties involved to reach agreement. It is the power relationship between the employer and the employees. In this unit we will examine significance of the Joint Consultation in civil service staff relations, evolution of Joint Consultative Machinery, functioning of Joint Consultative Councils and Board of Arbitration and also discuss suggestions for the improvement.

23.2 EVOLUTION OF JOINT CONSULTATIVE MACHINERY

It was the introduction of 'Whitleyism' in 1919 in the British Civil Service Staff relations, hailed by several countries as the novel method in the area of human relations. The Whitley system which involves formal as well as informal consultations and negotiations leading to agreement or arbitration has been an example followed in a large number of countries of the British Commonwealth with certain modifications.

The staff relations in the British Civil Service are maintained through Whitley Councils method. The Civil Service National Whitley Council is responsible for joint consultation on conditions of service affecting civil servants in general irrespective of the department to which they belong. The Departmental Whitley Councils are responsible for staff matters within their departments. Local Whitley Committees discuss matters affecting the local working conditions and day-to-day problems.

The Government of India and the organisations of employees struggled nearly for three decades to have staff relations on the pattern of Whitley Councils in the U.K. The issue was first raised in 1928 and again in 1942. The Royal Commission on Labour in 1931 recommended the establishment of a joint standing machinery for Railways. However, the Home Department did not accept the proposals, in spite of the favourable attitude of the Labour Department.

The government referred the matter to the Central (First) Pay Commission in 1946 to inquire on "The machinery for negotiating and setting the questions relating to conditions of service which may arise out of differences between government and its employees".

The Commission recommended (1947) the establishment of Joint Councils for employees, excluding those in Class I, on the lines of Whitley machinery. The Commission also recommended arbitration in regard to Class II and Class III Services apart from ad hoc tribunals on the lines of Civil Services Arbitration Board in United Kingdom. However, the Railways and the P&T were not included in this Scheme as they were covered by the Industrial Disputes Act, 1947.

Though the government decided to establish a Whitley scheme in 1952, it was only in 1954 that all the Ministries of the Government of India were asked to set up Staff Committees/Staff Councils. However, the scheme was not extended to the Railways,

P&T and the Ministry of Defence. The employees of these departments were considered as industrial employees. In these departments, staff relations were evolved independent of others. Permanent Negotiating Machinery (PNM) was established in Railways in 1952, Monthly Meetings were introduced in P&T in 1949 and Joint Negotiating Machinery was set up in Defence in 1954.

Staff Committees/Councils

As per the directions of the government each Ministry was required to establish two separate Staff Committees one for staff other than Class IV and another for Class IV employees to secure the greatest measure of cooperation between the government and its employees. The Staff Committees were advisory bodies.

The Staff Committee in respect of other than Class IV employees consist of:

- a) A Chairman, who was Secretary or Joint Secretary of the Ministry, nominated by the Ministry.
- b) Government representative were nominated by the Ministry from its officers not below the rank of Under Secretary.
- c) The staff were represented by one member each for every 20 members employed in the Ministry in the grade of Section Officer, Assistant, Stenographer and Clerk, elected from amongst the members of that grade for a period of one year.
- d) The Chairman in consultation with the representatives of the staff, nominated one of them as Secretary of the Committee.

With regard to the Staff Committee of Class IV employees.

- a) A Deputy Secretary of the Ministry was nominated to act as the Chairman of the Committee.
- b) The Ministry nominates its representatives on the Committee not below the rank of an Assistant
- c) The members of the staff were represented by one representative each for every 20 members from the groups consisting of Record Sorters, Jamadars, Peons, Farrashers, Chowkidars and Sweepers. They were elected for a period of one year from amongst the members of grades in each group employed in the Ministry.
- d) The Secretary was nominated by the Chairman from amongst the Staff representatives for a period of one year.

Both the Committees were to meet at least once in three months. The quorum for a meeting was one-third of the representatives of the members of the staff. Discussions were held in the meetings on agenda circulated in advance. The decisions were recorded and sent to the concerned Ministry for necessary action.

Objectives and Functions

The objectives of the Staff Committees were:

- a) To consider suggestions for providing the standards of work,
- b) To provide a machinery to the staff for making their points of view known to the Government on matters affecting their conditions of service, and
- c) To provide means on personal contacts between officers and staff in order to develop cordial relations between them and to encourage them to take keen interest in their work.

The functions of the Committees were to discuss matters relating to the conditions under which the staff were required to work, general principles regulating conditions of service, the welfare of the staff and improvement of efficiency and standards of work. Discussions on individual cases were not permitted.

The working of the Staff Committees proved to be unsatisfactory. The problems faced by many Ministries were that in the majority of the cases, decisions could not be arrived within the Ministries and the recommendations of the Committees very often had to be referred to the Ministries of Home Affairs, Finance, Works, Housing and Supply for their clarification and clearance.

Functioning of Staff Councils

In 1957, the Cabinet appointed a Sub-committee to review the functioning of Staff Committees. On the recommendations of the Sub-committee, some instructions were given to all the Ministries to:

- 1) Re-name the Staff Committees as Staff Councils.
- 2) Dispose quickly the references emanating from the Staff Councils by the House Keeping Ministries.
- 3) Refer unresolved matters to a Coordinating Committee consisting of representatives of Ministries of Home Affairs, Finance, Works, Housing and Supply.
- 4) Explore the possibilities of delegating more powers to the administrative Ministries to avoid delay in making references to house-keeping agencies.
- 5) Appoint a Chief Welfare Officer in the Home Ministry and a Welfare Officer in each Ministry.

In accordance with the decisions of the Cabinet Sub-committee the Staff Committees were renamed as Staff Councils without any change in their constitution, objects and the rules procedure. A Coordinating Committee consisting of representatives of the Ministry Home Affairs, Finance, Works, Housing and Supply and the concerned ministry was constituted to decide matters which remained unresolved in the Staff Councils. The ministry administratively concerned with Staff Councils decide what matters should be brought before the Coordinating Committee.

During the existence of Staff Councils (1954-59) many recommendations, most of them were accepted and implemented by different Ministries. But they were not important items like water coolers, transport facilities, grant of leave, office forms, canteen facilities, dispensaries and first aid boxes etc. Neither the machinery of administration was improved nor the important grievances of the employees were redressed. The Second Pay Commission report observed "due to lack of will on the part of the Government to accept the principles of joint consultation failed as an effective instrument for prevention of the disputes."

Therefore, the Second Pay Commission proposed that "the situation required the establishment of machinery which fully in spirit and largely in form followed the Whitley Machinery in the United Kingdom". Thus, the Staff Committees and Councils "little in common with the Whitley Machinery" and failed to square up with the Whitley spirit.

In India, the government civil employees have not shown any remarkable preference for a joint consultative machinery. On the other, the government did not consult the organisations of the employees when it introduced the Staff Committees and Councils, as a unilateral attempt for a bilateral purpose. The Whitley cause also could not be resolved in the absence of arbitration machinery for resolving the disputed matters. Further, due to their advisory nature the scope of the Staff Committees/Councils and their activities were much restricted and the way in which they were handled by the employers further limited their utility. There was no Central Joint Staff Council like the National Whitley Council to consider issues of common and general application to all employees of the Ministries. As the Civil Service Unions/Associations were not involved, the organised sections of employees declared no faith, rejected the Councils and considered them as "merely eye-wash". The officials at the top level were responsible for the ineffective functioning of Staff Councils for want of Whitley spirit. The staff representatives on the Committees/Councils lacked the necessary leadership to represent their views effectively. In actual practice, they merely acted as forums for the staff to ventilate their grievances and put forward them to the nominees of the government in the Staff Councils.

3 EMERGENCE OF JOINT CONSULTATIVE MACHINERY (J.C.M.) AND COMPULSORY ARBITRATION SCHEME

As already stated, the Second Pay Commission recommended (1957), a Whitley type machinery for the whole body of Central Government employees, both industrial and non-industrial to negotiate disputes. A special Committee of the Central Joint Council

dealt with matters peculiar to the industrial employees. The Commission also recommended, compulsory arbitration, as a necessary complement to the joint machinery for negotiation in matters of pay and allowances, weekly hours of work and leave.

In 1960, the Central Government employees went on strike for five days from July 11-16. One of their demands was the establishment of joint consultative machinery (J.C.M.). Immediately, the Government decided to set up the J.C.M. and proposed a scheme. Accordingly, three-tier machinery with joint consultation at the Central, the Departmental and regional/local levels as supplementary to existing arrangements was proposed. The scheme covered all the civil employees of the Central Government including the P&T Department, Civil Aviation Department and the Ministry of Defence.

The Scheme proposed an arbitration tribunal with a limited compulsory arbitration provision. The government during 1960-61 proposed to bring two bills before the Parliament to give statutory effect to the proposed J.C.M. and ban strikes by government employees. The employees' organisations protected against the proposals of the government and refused to give up right to strike and disassociate outsiders from their organisations.

After discussions between the government and the employees organisations the Government of India decided in 1963 to introduce a scheme for joint consultative machinery and compulsory arbitration. On many aspects of the scheme the employees organisations expressed doubts and opposed certain proposals of the government. The government wanted to bring all the employees (including industrial employees) under one umbrella. Therefore, there were discussions on many occasions at all levels for three years and all the doubts were clarified and there was a general consensus that a fair trial be given to the scheme. Thus, the Joint Consultative Machinery and Compulsory Arbitration Scheme for Central Government Employees was inaugurated on October 28, 1966.

The inauguration of the Scheme of J.C.M. was considered "opening of a new chapter" and hoped that the relationship of Governments with its employees would enter a new era of more fruitful cooperation.

Check Your Progress I

Note: (1) Use the space given below for your answers.

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

1) Explain the need for harmonious staff relations.

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2) Explain the evolution of Joint Consultative Machinery in Government of India.

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3) Critically examine the scheme of Joint Consultation Machinery and Compulsory Arbitration.

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3.4 THE SALIENT FEATURES OF J.C.M. SCHEME

The Scheme was designed "with the object of promoting harmonious relations and securing the greatest measure of cooperation between the government and its employees in matters of common concern, and with the further object of increasing the efficiency of the public service combined with the well-being of those employed"

The Scheme is a voluntary one. The government and the employees unions and associations who participate in the scheme are required to subscribe to a Declaration of Intent. Accordingly, both the sides (the government and the staff associations and unions) agreed to a full and frank discussions on all matters in the Joint Councils to reach agreements.

A unique feature of the Scheme is its coverage of both industrial and non-industrial the government. In this regard it differs from the Whitley System which is concerned with only non-industrial civil service. Another difference is that the J.C.M. Scheme does not cover "the class I, class II services, employees of industrial establishment and union territories and police personnel"

Another difference is that the fundamental objective of Whitley System viz., to provide machinery for dealing with grievances and to bring together experience and insights of representatives of different classes and grades of civil service is not met in the J.C.M. Scheme.

The J.C.M. provides for a three-tier structure and Joint Councils at the National, Departmental, Regional/Office levels. The J.C.M. Scheme is a bi-partite body consisting of the representatives of the government (official side) and the representatives of the recognised employees organisations (staff side). The official side is dominated by the government and the staff side seats allocated to different associations/unions/federations recognised by the government.

The Scheme broadly covers about 3 million regular class III and IV civil employees of the Central Government including industrial employees working in the departmentally-undertakings like the Railways and workshops and production units of various ministries.

Though the Indian J.C.M. Scheme was modelled after the Whitley System in U.K., the Indian Scheme could not inculcate in its scheme, the spirit and the long experience of the Whitley system. It is more a joint consultative machinery than a bi-partite participative agency.

3.5 THE FUNCTIONS OF COUNCILS

The Joint Councils deal with all matters concerning the conditions of work, standards of work, efficiency and staff welfare. However, in matters of recruitment, promotion and discipline, consultation is limited only to matters of general principles and individual cases are not considered.

The Councils may appoint Committees to study and report on any matter falling within their scope. All the agreements reached between the official and staff sides of a council become operative subject to the final authority of the Cabinet. If the matter is intractable and a final disagreement were to be recorded it may be referred to arbitration, if either side desires so. However, compulsory arbitration is not available as an alternative.

National Council

The National Council is the apex body. It is one of the largest joint councils consisting of 85 members. The official side with a maximum membership of 25 is nominated by the government.

The staff side is nominated by the recognised federations/unions/associations of the employees. The seats are distributed between the federations/unions/associations by the Chairman of the council. The distribution of seats is based on the numerical strength of staff employed in each Ministry/Department.

The Cabinet Secretary is the Chairman of the Council. He is the leader of the official side and is connecting link between the government and the employees.

The staff side elects one of its members as a leader by simple majority for a term of one year. The official and staff sides appoint Secretaries from amongst their representatives. There is a permanent secretariat of the council, which functions under the control of the Chairman.

The National Council deals with matters generally affecting Central Government Employees, such as minimum remuneration, dearness allowance, and pay of certain common categories like the office clerks, peons, and the lower grade of workshops and matters relating to categories of staff common to two or more departments but not grouped into one departmental council. The National Council would not deal with matters pertaining to a single department.

The National Council ordinarily may meet as often as necessary but not less than once in four months. A special meeting may be convened by the Chairman on his own or at the request of either official or staff side. The quorum for a meeting is one-third of the individual strength of the official and staff side.

The National Council may constitute two Standing Committees one for the industrial employees and the other for the non-industrial staff to deal with their respective matters. The Council may delegate any of its powers to the Standing Committees for the quick disposal of its business. The Council and the Committees may also appoint Sub-committees from amongst their members to study and report on any matters falling within its jurisdiction.

A matter once disposed of by the council cannot be brought to the agenda during the following 12 months, unless the Chairman permits it for any special reason. All matters should be decided by the council without reserving them for a later decision by the government.

The success or failure of the J.C.M. Schemes mainly depends upon the success or failure of the functioning of the National Council. For, the National Council is expected to function as a machinery to redress grievances at the national level dealing with matters affecting all the employees of the Central Government.

Since its inception in 1966 it had held 25 meetings till the end of 1988. Over a period of 22 years of its existence it could withstand all the problems though it had some failures. In the initial years, the council could not reach certain agreements and the employees went on a day's token strike in September 1968 protesting against unhelpful attitude of the government. Due to the strike many of the employees organisations were de-recognised for a couple of years. Therefore, the National Council could not meet with full strength. However, the council and its Committees were very active during 1974-76 to consider the recommendations of the Third Pay Commission.

Though the National Council could not succeed in achieving all its objectives, it acted effectively as a machinery for dealing with the grievances of the employees and reduce the amount of conflict with the government. However, the National Council has come to stay and has taken roots to provide a system of joint consultation and cooperation.

Departmental Councils

Under the J.C.M. Scheme there is one Departmental Council for each Department. The scope and functions of these councils include all matters relating to the conditions of service and work, welfare of the employees, improvement of efficiency and standard of work. However, in regard to recruitment, promotion and discipline, consultation is limited to matters of general principles only. Individual cases are not considered. The

Councils deal with the problems of employees working in a Ministry/Department and the subordinate and attached offices of the department.

According to the J.C.M. Scheme 21 Departmental Councils are to be constituted in various departments. Till 1974, only 14 Departmental Councils were constituted. In the initial period it became difficult to constitute the Departmental Councils for want of recognised unions/associations.

The Secretary of the Ministry represents the official side and is the Chairman of the Departmental Council. The official side is nominated by the government or the Head of the Department. The strength of the official side is Ten. The Chairman may invite temporary members and experts to the meetings for their advice.

The Associations/Unions recognised by the Department nominate their representatives for a term of three years on the staff side. The staff side elects one of its members as its leader for a period of one year. There is a permanent secretariat of the council under the control of the Chairman.

The membership of the staff side varies from Twenty to Thirty depending on the total strength of the employees and the number of grades and services in the department.

The Departmental Councils ordinarily meet as often as necessary and not less than once in three or four months. The quorum is one-third of each of the strength of the official and staff sides. The Councils may appoint Committees on ad hoc basis.

Regional/Office Councils

The J.C.M. Scheme permits the departments for the setting up of Regional/Office Councils, where it is possible. The Councils deal with only regional or local matters. The strength of a regional/office council is determined by the size of the staff in a region or office. The Head of the region or office is the Chairman of the Council. The J.C.M. Scheme is silent about the constitution and the number of councils. Much progress is not recorded in the establishment of the councils, as there are some doubts in the minds of the Departmental authorities.

The matters to be discussed are limited to subjects within the competence of Joint Secretary (Administration) of a Ministry/Department such as revision of duty hours, distribution of work, accommodation, amenities, holiday duties, etc.

The Office Council consists of not more than five members on the official side and eight members on the staff side. The Joint Secretary (Administration) is the Chairman of the Council and the Under-Secretary (Welfare) is the Secretary of the official side.

The staff side is nominated by the recognised associations of the staff. The staff side elects its leader for a period of one year and appoints a Secretary from amongst its members.

The office council meets at least once in two months. The quorum is 1/3 of the members of each side. It may appoint committees to study and report.

If the council cannot arrive at an agreement on any issue it may be brought before the Departmental Council concerned. Arbitration is not available at office council level in case of disagreement between two sides.

To realise the full objectives of J.C.M. Scheme, setting up of regional/office councils is very important. For, they are the training fields to the representatives of the staff and official sides and provide grassroots to the J.C.M. Scheme. However, much progress is not achieved in establishing these councils for want of organisation of employees and positive attitude of officials at the local levels.

3.6 BOARD OF ARBITRATION

Compulsory arbitration is a part of the scheme for Joint Consultation Machinery and Compulsory Arbitration for Central Government Employees.

The government is required to appoint a Board of Arbitration under clause 19 of the scheme. The Board consists of three members, one is drawn from a panel of five names

submitted by the official side, second from a similar panel submitted by the staff side of the National Council, and the third a Chairman, who is an independent. The Chairman and the members are selected by the Ministry of Labour. The first Board of Arbitration was established in July 1968.

The jurisdiction of the arbitration matters is limited to: a) pay and allowance b) weekly hours of work and c) leave of 'a class or grade of employees'. Individual cases are not subject to compulsory arbitration.

Guidelines are laid down for the Board of Arbitration to arrive at decisions and its jurisdiction in certain matters is barred. Further, matters determined by the government in accordance with the recommendations of a commission are not arbitrable for a period of five years from the date of the recommendations and orders issued by the Government in pursuance of the recommendations of the Board of Arbitration remain in operation for three years.

The recommendations of the Board of Arbitration are binding on both the sides but the Parliament may modify or reject them on grounds of national economy or social justice.

In the very first and second meetings of the National Council the government rejected to refer to the compulsory arbitration the major demands of the staff side like the 'need' based minimum wage, and merger of D.A. with basic pay. On this issue the employees went on a day's token strike on 16th September 1968 much against the Declaration of Joint Intent.

During 1968-88, a total number of about 200 references were made to the Board of Arbitration and it gave 175 awards. In more than 150 cases the staff side either fully or partially benefited. The number of employees benefited due to the awards of the Board of Arbitration runs into millions. Most of the cases referred were pertained to pay scales and allowances. The arbitration awards clearly favoured the claims of the staff side. In a way, compulsory arbitration in India contributed to development of harmonious staff relations in the Government of India.

Check Your Progress 2

Note: (1) Use the space given below for your answers.

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

1) Examine the role of National Council of J.C.M.

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2) Identify the significance of Departmental Councils in the J.C.M. Scheme.

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3) Explain the composition of Board of Arbitration.

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23.7 LET US SUM UP

The subject of civil service staff relations has gained considerable importance in the field of Public Personnel Administration in India. The Government of India introduced the scheme of joint consultation and compulsory arbitration in 1966 on the pattern of Whitley Councils in England. Though, there is some difference between the two, the J.C.M. Scheme in India has come to stay and has taken some strong roots, in spite of certain initial setback and misunderstandings.

Despite the limitations of the scope and jurisdiction of the joint consultation and arbitration, the Government and Civil Service Unions realised the utility of the scheme over a period time. If the scope of the joint consultation is widened and full opportunities are provided for the staff to participate in administration it is easy to secure the cooperation of the staff and responsibility in personnel administration. Further, the official side has to change much of its bureaucratic attitude to the problems of the employees and towards the spirit of joint consultation and negotiation.

23.8 KEY WORDS

Arbitration Awards: The decision by the arbitrators called an award.

Civil Service Unions: An association is an organisation of civil servants formed to promote and protect their interests by collective action.

Compulsory Arbitration: A method of settling labour-management disputes through the intervention of a third, ideally neutral, party whose decision is final and binding.

Whitley Councils: The system of Whitley Councils has been in existence in the civil service of U.K. since 1919, Whitley Machinery consists of National Whitley Council for general classes of civil service and separate Department Council for staff. Peculiar to Department, there are District or Regional Committees which deal with local problems of the staff distributed throughout the country. Above councils are constituted with both the representatives of state (the official side) civil servants (the staff side). The spirit behind this councils is a readiness on both sides to make the machinery of joint discussion work, to aim at reaching the best possible settlements amicably and to the satisfaction of both sides.

23.9 SOME USEFUL BOOKS

Dey Bata K. 1985. 'Conflict Management in Government J.C.M. Style', *Indian Journal of Public Administration*, July-September, 1985, pp. 600-625.

Bhaskara Rao V. 1978. *Employer-Employee Relations: A Critical Study of Government of India and its Employees*, Concept Publishing House, Delhi.

Henry Parris, 1973. *Staff Relations in the Civil Service – Fifty Years of Whitleyism*, George Allen & Unwin Ltd.: London.

Saxena Pradeep, 1987. *Personnel Administration and Management*, Printwell Publishers: Jaipur.

23.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- The recognition of the human dignity was one of the cardinal factors that lead to the resolutions of the grievances of the employees in a peaceful manner in democratic method and at regular way.
- Modern democratic governments with large scale administrative organisations committed to the all-round development of the Society cannot carry out their policies and programmes without the joint consultation and participation of the

employees.

- Harmonious staff relations are absolutely necessary for administrative efficiency and it is not possible for the government to maintain cordial relations without an effective form of consultation and negotiation.
- The civil service staff relations policies and programmes must be consistently based on the principles of democratic government.
- Strikes by the government employee, it was realised, cannot be prohibited without providing suitable framework of joint consultation, collective negotiation procedures and methods of dispute settlement by compulsory arbitrations.
- Establishment of a grievance redressal and disputes solving machinery was considered the "essential half-way house".
- The emphasis in joint consultation is mainly informal method and cooperation based on common interest and good faith to improve the working conditions of employees and to increase the efficiency of administrations.

2) Your answer should include the following points:

- Introduction of 'Whitleyism' in 1919 in the British Civil Service staff relations was hailed by several countries as the novel method in the area of human relations.
- The Whitley system which involves formal as well as informal consultations and negotiations leading to agreement or arbitrations.
- The Government of India and the organisations of employees struggled nearly for three decades to have staff relations on the pattern of Whitley councils in U.K.
- The issue was first raised in 1928 and again in 1942.
- The Royal Commission on Labour in 1931 recommended the establishment of a joint standing machinery for Railways. However, the Home Department did not accept the proposals.
- The government referred the matter to the Central (First) Pay Commission in 1946 to enquire on "The machinery for negotiating and settling the questions relating to conditions of service which may arise out of differences between government and employees".
- The Commission recommended (1947) the establishment of Joint councils for employees excluding those in class I on the lines of Whitley machinery.
- The commissions also recommended arbitration in regard to class II and class III services resort to ad hoc tribunals on the lines of Civil Services Arbitration Board in United Kingdom.
- The Railways and the Post and Telegraphs were not included in this scheme as they were covered by the Industrial Disputes Act, 1947.
- Though the government decided to establish a Whitley scheme in 1952, it was only in 1954 all the ministries of the Government of India were asked to set up Staff Committees/Staff Councils.
- Permanent negotiating machinery (PNN) was established in Railways in 1952.
- The scheme was designed "with the object of promoting harmonious relations and securing the greatest measure of cooperation between the government and employees in matter of common concern, and with the object, further, of increasing the efficiency of public services combined with the well-being of the employed.
- The scheme is a voluntary one. The government and the employees unions and associations who participate in the scheme are required to subscribe to a declaration of joint intent.
- Unique feature of the scheme is its coverage of both industrial and non-industrial employees of the government in this regard it differs from the Whitley system which is concerned with only non-industrial civil service.
- Another difference is that the J.C.M. scheme does not cover "the Class I, Class II Services", employees of industrial establishments and the union territories and police personnel.
- Yet another difference is that the fundamental objective of Whitley system viz., to provide machinery for dealing with grievances and to bring together

experience and points of view of representations of different classes and grades of civil service whereas this aspect is not stated in the J.C.M. scheme.

- The J.C.M. provides for a three-tier structure and Joint Councils at National, Department, Regional/Offices levels.
- J.C.M. scheme is a bi-partite body consisting of representatives of government and the representations of the recognised employees organisations.

Check Your Progress 2

1) Your answer should include the following points:

- Largest Joint Councils consisting of 85 members.
- The Cabinet Secretary is the Chairman of the Council.
- The National Council deals with matters generally affecting Central Government employees, such as:
Minimum remuneration and dearness allowance,
Pay of certain common categories like the office clerks, peons, and the lower grade of workshops and matters relating to categories of staff common to two or more departments but not grouped into one departmental council.
- National Council would not deal with matters pertaining to a single department.
- National Council may constitute two standing committees, one of the industrial employees and the other for the non-industrial to deal with their respective matters.
- Council may delegate any of its powers to the standing committees for the quick disposal of its business.
- The Council and the committees may also appoint sub-committees from amongst their members to study and report on any matters falling within jurisdiction.
- The success or failure of the J.C.M. Schemes mainly depends upon the success or failure of the functioning of the National Council.
- National Council is expected to function as a machinery to redress grievances at the national level dealing with matters affecting all the employees of the Central Government.
- National Council could not succeed in achieving all its objectives, it acted effectively or a machinery for dealing with the grievances of the employees and reduce the amount of conflict with the government.
- National Council has come to stay and has taken roots to provide a system of joint consultation and corporation.

2) Your answer should include the following points:

- Under the J.C.M. Scheme there is one departmental council for each Department.
- Scope and functions of these councils include all matters relating to the conditions of service and work, welfare of the employees, improvement of efficiency and standard of work.
- In regard to recruitment, promotion and discipline, consultation is limited to matters of general principles only.
- Individual cases are not considered.
- The Councils deal with the problems of employees working in a Ministry/ Department and the subordinate and attached offices of the department.

3) Your answer should include the following points:

- Compulsory arbitration is a part of the scheme for joint consultation machinery and Compulsory Arbitration for central government employees.
- Government is required to appoint a Board of Arbitration under the Clause 19 of the scheme.
- The Board consists of three members one is drawn from a panel of five names submitted by the offices side second from a similar panel submitted by the staff side of National Council and the third a Chairman, who is an independent.
- The Chairman and the members are selected by the Ministry of Labour.

UNIT 24 RIGHTS OF PUBLIC SERVANTS

Structure

- 24.0 Objectives
- 24.1 Introduction
- 24.2 Fundamental Rights Guaranteed to the Citizens
- 24.3 Classification of Fundamental and other Rights
- 24.4 Personal Rights
- 24.5 Civil Rights
- 24.6 Freedom of Speech and Expression
- 24.7 Political Rights
- 24.8 Trade Union Rights
- 24.9 Service Rights
- 24.10 Let Us Sum Up
- 24.11 Key Words
- 24.12 Some Useful Books
- 24.13 Answers to Check Your Progress Exercises

24.0 OBJECTIVES

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

- explain the fundamental and other rights guaranteed to the citizens and the public servants
- discuss the restrictions imposed by the government in exercise of the rights by Public Servants
- highlight the service rights of the government employees.

24.1 INTRODUCTION

The constitutions of different countries guarantee certain fundamental rights to all the citizens irrespective of birth, caste, creed, colour or sex. The public servants are the citizens of the country, constitutions empower the states to regulate their rights and impose obligations on the public servants.

In regard to various rights of public servants, different countries have evolved different systems of rights over a period of time depending upon the genius of their peoples, their historical background, the stage of their economic development and their political and administrative structure.

The public servants are first citizens and then employees. But they have a special duty to maintain the structure of the states' Law and Order. There is a special status of double status applicable to the employees as citizens and as Public Servants. Their position is closely related to the conception of democratic government which expects employees to render faithful service to all the people, without the thought of their own interests. There are also arguments that public employees must be granted the rôle of the normal citizen even though they are public employees and they cannot be treated as second class citizens.

In this unit, we will study the fundamental and other rights guaranteed to the citizens and the public servants, restrictions imposed by the government in exercise of the rights by Public Servants and highlight the service rights of the government employees.

24.2 FUNDAMENTAL RIGHTS GUARANTEED TO THE CITIZENS

The citizens are guaranteed certain fundamental rights by the Constitution. The rights may be classified as under:

- a) Right to Equality
- b) Right to Fraternity
- c) Right to

- d) Right to Freedom of Religion
- e) Cultural and Educational Rights
- f) Right to Constitutional Remedies

Some of these rights may not be available to persons serving in the armed services. Moreover fundamental rights except protection against conviction and protection of life and personal liberty may be suspended. Freedoms guaranteed automatically get suspended during emergency. Restrictions are imposed or reservations are made on certain rights with regard to public employment and public services.

24.3 CLASSIFICATION OF FUNDAMENTAL AND OTHER RIGHTS

The rights guaranteed to the citizen by the Constitution may be classified into following:

1. Personal Rights
2. Civil Rights
3. Political Rights
4. Trade Union Rights
5. Service Rights

24.4 PERSONAL RIGHTS

Some of the personal rights are:

- a) **Right to life and liberty:** The private life of an individual is considered a matter of his conscience, freedom of which is guaranteed by all the states. The Constitution of India (Article 21) provides protection of life and liberty to all persons. It includes also the freedom of movement.
- b) **Equality before law and equal protection of law (Article 14):** It means that the state cannot discriminate the citizens on grounds of religion, race, caste, sex, or place of birth. However, Article 15 provides protective discrimination and reservations for women, children, backward castes, scheduled castes and scheduled tribes as "Socially and Educationally Backward Classes of Citizens" in the matters of education and employment.
- c) **Right to freedom of Religion (Articles 25-28):** Under this right, all persons have the freedom of conscience and the right to profess, practise and propagate religion under certain regulations.
- d) **Right to private property:** Under this right all the persons may acquire, hold and dispose property.
- e) **Right to practise any profession or to carry out any occupation, trade or business.**

The Constitution guarantees all these rights to the citizens, but in regard to the public servants, the state regulates their personal conduct and private relationships which tend to affect their integrity, reputation, confidence and the dignity of the public office. Therefore, the governments through Civil Servants Conduct Rules and Codes prescribed and regulated the required behaviour from the public employees. The relationship between the government and the civil servants rests on contractual basis. Any breach of the code, conduct rules and the contract leads to different types of punishment, dismissal from service. However, the imposition of these restrictions is not an abrogation of their fundamental rights or an invasion of fundamental rights.

24.5 CIVIL RIGHTS

Right to Private Trade and Employment

The civil liberties of the government employees are curtailed more than those of other

citizens by the special duties imposed on them and the special responsibilities they hold by virtue of their office. With regard to civil servants, civil life, the state regulates their conduct and private relationship in so far as they tend to affect their integrity and reputation. In view of this, certain restrictions are placed on an official's right to take part in private business. In most cases, it is positively forbidden for an official to have any business dealings in the fields with which he/she comes into contact in the ordinary course of his/her duties. The temptations which might arise could place an unreasonable strain on one's integrity, particularly if his official duties require him to control certain branches of business.

Therefore, certain restrictions, limitations are imposed by the Civil Service Regulations. Except with the previous permission of the government, no civil servant can engage in trade or business or in support of the business owned or managed by any members of the family.

American government restricts the personal right of civil servants in the sense that they cannot coach anybody either individually or in group in order to prepare him/her for taking the competitive examinations for entry into government service. It is improper for any government servant to be associated with any such programme either by way of tuition or in any other manner. The government servants cannot accept the membership of such societies, institutions or clubs which oblige their members to go on strike in pursuance of their objectives. But with the framework of the rules the federal employees have the right to petition to the Congress either individually or collectively.

In France the civil servants enjoy civic rights more than any other country. They may join any political party. They have the right to strike. These rights have wide and far-reaching consequences. The government servants in India, U.K. and U.S.A. do not have such rights.

Right to Contract

Freedom of contract is a fundamental right of the citizens. In view of the integrity and impartiality, for the civil service this right to contract is restricted. Such as they are not allowed to:

- engage in any speculative investment,
- permit trade by any member of their family,
- lend money to any person living in the locality of their authority,
- borrow money from, any other person with whom they are likely to have official dealings.

Further, they are required to take prior permission of the government for purchase and disposal of their properties exceeding certain limits.

Right to Vindication of his Acts or Character

In parliamentary democracy where the civil servants are expected to be in the background and where they are supposed to be neutral, the minister holds responsibility for the commissions and omissions of the civil servants. As such, in India, the civil servants are precluded from taking recourse to a law court or to the press for the vindication of any of their official acts which has been subject matter of adverse criticism or attack of defamatory character. However, in France, the civil servants have the right to file suits in the courts against such administrative decisions which have an adverse impact on the collective interests of the civil service and in the event of violation of rules and norms of personnel administration.

The government employees are also required to so manage their personal affairs as to avoid habitual indebtedness or insolvency as it affects their own reputation as well as the government.

Subscriptions and Gifts

Civil servants are not allowed to ask for or accept any contributions or associating themselves with the raising of any fund in pursuance of any object. It was declared that in the interest of maintaining the efficiency and integrity of government employees, it is essential to prevent them from soliciting or receiving funds for any purpose unconnected with his office.

Public employees also cannot accept any gifts. Even their family members are also not permitted to accept any such gifts. They have to report to the government when they accept any gifts and seek permission of the government to accept them.

24.6 FREEDOM OF SPEECH AND EXPRESSION

In the Commonwealth countries of Australia, Canada, England and India, the Civil servants have to seek prior permission of the competent authorities for publishing a book or article or for speaking to general audiences. However, Australia takes a somewhat more lenient attitude towards the violation of these norms by its civil servants than Canada, India or England.

In the United States of America the Hatch Act of 1939 allowed its federal employees to express their views on political subjects, rather than only to express them privately. However, at the same time, it proclaimed that the Act was intended to prohibit the same activities that the Civil Service Commission considered legitimate under 1907 Regulations, which allowed only private expression. The second Hatch Act of 1940 extended these regulations to positions in state employment and allowed public employees to express their opinion on 'candidates' as well as on political subjects.

A French official outside his office can criticise the government and express views contrary to the general policy of government. But he cannot express personal criticism directed towards the work of the particular service to which he belongs. Similarly in Germany, outside the service a public servant can express his personal opinions on political questions also. He cannot adopt a standpoint which is in opposition to the government. But he must have a certain regard for his position. The law of 1953 obliges him to exercise that moderation and discretion with regard to political activities which incumbent upon him in his position as servant of the community.

In India, the Civil Servants cannot express against any policy or action of the government. They cannot also express on any matter pertaining to politics of parties and matters of public controversy.

Criticism of Government Policy

According to the Civil Service (Conduct) Rules in India, government servants are not permitted to communicate anything to the press, make any public utterance, make any statement of fact or opinion which has the effect of an adverse criticism of any policy of the government or which leads to embarrassing relations between the internal governmental agencies and the governments of foreign states. The employees are also forbidden from giving any evidence without prior permission to any inquiry which is not duly authorised.

The purpose of this restriction is to maintain the political neutrality of the civil services and to keep them away from public controversies and to enable the civil servants to serve the government of the day with all the loyalty.

In Britain, the civil servants have freedom to express their opinions on non-political matters of public importance provided they do not direct their activities towards any party politics.

In U.S.A. the government may restrict the exercise by its employees of their right to criticise government policy. The employees may be disciplined: a) if their criticism is false and is made with actual malice, b) if criticism involves disclosure of information which is confidential, c) if the criticism is made outside the channels prescribed by, or is in violation of a statute, Executive order or regulation, and d) if the criticism adversely affects job performances, discipline, work relationships or the goals of the organisation.

Speech and Expression on Political Matters

In India the civil servants are prohibited from participating in any political activity and movement. They cannot make any public expression of their views other than those of purely literary, scientific or artistic nature. They are restricted from participating in any way in the editing, managing any publication. Thus, they are completely deprived of the freedom of press.

In Britain, the civil servants those who involve in the formulation and execution of public policy (executive group) have no freedom of expression on political matters. However, the Minor and Manipulative Groups, whose duties are of only routine character have freedom to political expression as well as activity.

Unauthorised Communication of Official Information

In U.S.A. under the Hatch Act 1939, no employee of the government can use his official authority or influence for the political purposes. Any person violating the provisions of this Act shall be removed from the position held by him.

In India, as per the Conduct Rules, no government servant shall communicate directly or indirectly any official document or information, except in the form prescribed, to any government or person to whom he is not authorised to communicate. The official Secrets Act 1923 also lays down service restrictions on unauthorised communication of official information. The restrictions and severe punishments are necessitated to prevent the employees from communicating such information to the enemy countries or to unsocial elements or to use such information to serve the personal ends of the employees. Therefore, the civil servants are put under special obligation to use and protect official information with the utmost care.

Check Your Progress 1

Note: 1) Use the space given below for your answers.

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

1) Discuss the fundamental and other rights guaranteed to the citizens.

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2) Explain Civil Rights of civil servants

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3) In India whether civil servant can express against any policy or actions of the government — discuss.

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24.7 POLITICAL RIGHTS

Right to Political Activity

The right of political activities of the public servants in a democratic government is determined by the constitutional theory of government. Political neutrality of civil servants has been regarded as one of the cardinal conditions for the success of a democratic government. The parliamentary form of government demands from civil service not only neutrality and unimpeachable but also integrity and impartiality to conduct.

The question of rights to engage in political activities in U.K. was referred by the government to Masterman Committee in 1948. As per the recommendations of the committee and in consultation with the employees a set of regulations were issued in 1953. While the concept of political neutrality has been kept intact, particularly of the higher civil service, a distinction has been drawn between national and local political activities. The civil servants has been classified into (a) the politically free group (b) the

politically restricted group and (c) those who are allowed to participate in national political activity, subject to permission.

In regard to local political activities, barring those civil servants who are required to obtain permission for participation, all others allowed to take part in those activities. A civil servant in the politically free group who is contesting for parliament is obliged to submit his resignation before nomination. He is entitled to be reinstated in the post whether he is elected to parliament or not.

All staff in the intermediate and restricted groups who have not been given permission to engage in any of the political activities are expected at all times to maintain a reserve in political matters and not to put themselves forward prominently on one side or the other.

In U.S.A. regulations are laid down on the political activities of public employees. They prohibited the following activities:

- 1) serving as a candidate or alternate to a political party convention,
- 2) soliciting or handling political contributions,
- 3) engaging in electioneering,
- 4) being a candidate for elective political office,
- 5) leading or speaking to partisan political meetings or rallies.

In India, the government servants, under the Conduct Rules are not free to indicate the manner in which they propose to vote or have voted. They are forbidden to canvass or use their influence in an election to any legislature or local authority. The government servants are not expected to attend election meetings organised by any political party except in the official capacity. They cannot stand for election to the parliament or to state legislature. They are required to resign in order to contest elections. Thus, in India, the civil servants are debarred from taking part in politics. They cannot be members of any political party nor even subscribe or assist any political movement or activity.

In many democratic countries with certain exceptions, right to political activities of the civil servants are restricted in one way or the other. They can exercise only the right to vote. The restrictions imposed on the rights of political activities will only show the nature of the democratic government and the expected role of the public employees in the government. It is a part of the evolutionary process of the government.

Right to Contest Elections

France has the most liberal electoral laws. Irrespective of the levels all French Civil Servants are allowed to run for any representative office in the country. During their tenure in the representative assembly they continue to be on the public service rolls and enjoy their seniority and pension rights. Germany and Australia have a great deal of liberalism in this respect. In Germany and Australia public servants have to resign their positions in public service after their election. However, if they lose in the election or else intend to return to public service after the expiry of their term in the legislature they enjoy the privilege of re-instatement to a position equivalent to their previous positions in the public service.

England follows different methods as per the recommendations of Masterman Committee. The entire public service has been divided into three categories. Of the total employees in the state service, 62 per cent including Industrial Staff and most of the Non-Industrial Staff have no restrictions on their political activities; clerical staff, typists and some minor technical staff representing 22 per cent may with the approval of their departmental authorities, take part in all political activities, except contesting for election to parliament. The executive and higher staff representing 16 per cent are debarred from any political activity, but may be granted permission to engage in local political activity.

The electoral rights of civil servants in Canada are relatively more liberal than U.K. The federal public servant in Canada may apply to the Public Service Commission for a leave of absence without pay for seeking political nomination of federal, provincial or territorial legislature. If a civil servant elected, he ceases to be a public employee.

In the United States of America the Hatch Act of 1939 and 1940 regulates the political activities of the federal and to a limited extent those of provincial and local civil

servants. However, they are allowed to run in the local elections so long as their participation in local politics does not affect their efficiency.

In Italy and Spain, the public servant if elected to Parliament is granted indefinite leave of absence and if he ceases to be a member of Parliament, he is entitled either to return to his post or if he is too old he can retire from service. In Denmark, Sweden and Austria the civil servants can remain in office and also can sit in parliament. In these countries precaution is taken that no civil servant contests in the area of where he had worked last.

24.8 TRADE UNION RIGHTS

Right to Association

The public servants in Australia and France enjoy the right to association with trade unions. In Canada, India, Germany and England certain restrictions are imposed upon public servants' right to association. In Germany its Civil Servants may join or form only those associations whose objectives are in keeping the objectives of existing constitutional order only. In Canada and England the public servants are not allowed to associate with outside unions. In India the right to association has been guaranteed to every citizen. Public Servants, therefore, are free to form associations or join associations already in existence, but the government would consult or negotiate with only those associations which have been recognised by it. In United States the public employees are legally free to form associations and unions and to associate themselves with outside associations or organisations.

Right to Strike

Whether the civil servant's right to strike is granted or not, this right is exercised widely in India, France, Canada, Australia, America and in England.

In England the public servants are not denied the right to strike under the law. In France they have the right to strike. In Germany, however, public servants right to strike does not exist under the law. The penalties for violating the law include loss of one's job. In India all non-industrial public servants are denied the right to strike the law. The public employees in America do not have right to strike, under the provisions of the Act of 1947 strikes by the Government Servants had been declared illegal. In all the countries, wherever the employees go on illegal strikes, penalties or punishments are awarded as per the disciplinary or Conduct Rules.

24.9 SERVICE RIGHTS

Civil Service has a special relationship with its government when compared to the relationship between employer and employee in private employment. The civil service enjoys good prospects of public employment like the security of tenure, career, service facilities, superannuity benefits. On the other it maintains relations with the public in whom the state sovereignty lies. As such the civil service occupies a key position in the government. Therefore, the state provides certain service rights to the employees to enable them to discharge their rightful job in the right manner.

Appointment

Today, the public employer in democratic countries guarantees equal protection of the laws to all citizens seeking public employment. However, under the constitutional provisions or executive orders certain 'reservations' are made to the minorities and backward communities and socially weak. The judiciary has viewed such representative public services as desirable. However, the principle of equality of opportunity cannot be denied by the process of selection. But, discriminatory law in respect of residential qualifications, age, language, etc., may be enacted by the state. Thus, in India, reservations are provided in public employment of S.Cs and S.Ts. The state is empowered to require every able-bodied person within its jurisdiction to work for a reasonable period for "public purposes" such as Defence services, Home guards, social services etc. Public employees are expected to serve anywhere under any conditions prescribed by the government.

Public employment is more attractive due to its life tenure and prestige attached to it. However, the sovereign employer enjoys the pleasure to terminate, dismiss the services of any employee, without assigning any reasons for such kind of action. The principle of 'during the pleasure of the government' has now been converted in practice into 'during the good behaviour'. Therefore, only in cases of 'misconduct', gross negligence or incompetence this provision is exercised. Otherwise the civil service in general, remain in service, irrespective of change of the governments. Thus, the continuity of service under the different rules of the government is ensured. The civil servants are also entitled to certain privileges, facilities, allowances, advancements and promotions under the rules prescribed from time to time. The government cannot alter the conditions of their service to the disadvantage of the employees except by changing the existing Laws and Rules.

Rights and Privileges

Although the service tenure of all government employees is at the pleasure of the government, normally, they hold office during the good behaviour and their terms of service are regulated by Executive Rules and Administrative orders. Such of the Rules and Orders are issued subject to the provisions of the constitution. Sometimes the government is required to consult the public service commission for their opinion. Therefore, the governments cannot make rules and change rules without constitutional authority. The government is further required to place these rules and regulations on the Table of the Legislature for their approval. Thus, the civil servants enjoy privileges and rights guaranteed by the constitution. The civil servants are not at the mercy of the executive government without changing the existing rules.

Procedural safeguards in the event of removal or dismissal

The constitution and the rules framed under the provisions of the constitution provides certain important procedural safeguards to prevent any injustice. Any punishment can be imposed on the civil servant only according to prescribed procedure, which is laid down in India under Classification, Control and Appeal Rules (CCA Rules). As per the Rules no civil servant can be removed or dismissed by an authority subordinate to the one who appointed him. No one can be removed or dismissed until the civil servant has been given a reasonable opportunity of showing cause against the action proposed to be taken. Compulsory retirement before the age of superannuation is not considered removal or dismissal as there is no substantial loss of accrued service benefits like pension etc.

Check Your Progress 2

- Note: (1) Use the space given below for your answers.
(2) Check your answers with those given at the end of the unit.

Analyse the Right to association of Indian Civil Servants with other countries, civil servants.

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Political Neutrality of civil servants has been regarded as one of the cardinal conditions for the success of a democratic government — discuss.

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Explain the Service Rights of civil servants.

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24.10 LET US SUM UP

Though the civil servants are more enlightened citizens, all the rights guaranteed by the constitutions of different countries, do not guarantee such rights to their public employees. The grant of different rights and their denial is governed by the theory of the constitutional government and the place and role assigned to the public servants. The government servants for this purpose are classified into Industrial, Non-industrial, Administrative and Clerical, Ministerial and accordingly were given the rights depending upon their extent and nature of participation in the arrangement of public offices. All the governments in theory believe in the concept of sovereign employer in which the public employers are 'Government Servants', required to conduct themselves under a framework of Rules, Regulations. However, they are not second class citizens but enjoy certain privileges and facilities more than the ordinary citizen.

24.11 KEY WORDS

Strikes: Organised method of withholding labour supply in order to force the employer to grant employees their demand.

Fundamental Rights: Those rights which are protected against any violation either by the authority of the executive or by the legislature through an independent and impartial judiciary. Part III of the Indian Constitution contain these rights.

24.12 SOME USEFUL BOOKS

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- Jay M. Shafrit, Walter L. Balk, Albert C. Hyde, and David H. Rosenbloom. 1978. *Personnel Management in Government : Politics and Process*, Marcel Dekker, New York.
- Tyagi A.R. 1961. *Rights and Obligations of Civil Servants in India*. Atma Ram & Sons: Delhi.

24.13 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Right to Equality
 - Right to freedom
 - Right against exploitation
 - Right to freedom of Religion
 - Cultural and Educational Rights
 - Right to Constitutional Remedies
 - Personal Rights
 - Civil Rights
 - Political Rights

- Trade Union Rights
- Service Rights

2) Your answer should include the following points:

- Right to Private Trade and Employment
- Right to Contract
- Right to vindication of his acts or character
- Subscriptions and Gifts

3) Your answer should include the following points:

- In India the civil servants have to seek prior permission of the competent authorities for publishing book, article and speaking to general audiences.
- In India, the civil servants cannot express against any policy or action of the government.
- They cannot also express on any matter pertaining to politics of parties and matters of public controversies.
- According to Civil Service (Conduct) Rules in India, government servants are not permitted to communicate anything
 - To the press
 - Make any Public Utterance
 - Make any statement of fact or opinion which has the effect of an adverse criticism of any policy of government or which leads to embarrassing relations between the internal governmental agencies and the governments of foreign states
- The employees are also forbidden from giving any evidence without prior permission to any inquiry which is not duly authorised.
- Purpose of this restriction is to maintain the political neutrality of the civil services and to keep them away from public controversies and to enable the civil servants to serve the government of the day with all the loyalty.

Check Your Progress 2

1) Your answer should include the following points:

- Australia and France enjoy the right to association with trade unions
- In Canada, India, Germany and England certain restrictions are imposed upon public servants' right to association
- In Germany its civil servants may join or form only those associations whose objectives are in keeping with the objectives of existing constitutional order only
- In Canada and England the public servants are not allowed to associate with outside unions
- In India the right to association has been guaranteed to every citizens.
- Civil Servants therefore are free to form associations or join associations already in existence, but government would consult or negotiate with only those associations which have been recognised by it.
- In United States the public employees are legally free to form associations and unions and to associate themselves to outside associations or organisations.

2) Your answer should include the following points:

- The right to political activities of the public servants in a democratic government is determined by the constitutional theory of government.
- The parliamentary form of government demands from civil service not only neutrality and unimpeachable integrity and impartiality to conduct.
- In India, the government servants, under the Conduct Rules are not free to indicate the manner in which they propose to vote or have voted.
- They are forbidden to canvass or use their influence in an election to any legislature or local authority.
- The government servants are not expected to attend election meetings organised by any political party in the official capacity.
- They cannot stand for election to the parliament or to state legislature. They are required to resign in order to contest elections.
- India, the civil servants are detained from taking part in politics.
- They cannot be members of any political party nor even subscribe or assist any political movement or activity.
- In many countries with certain exceptions right to political activities of the civil servants are restricted in one way or the other.
- They can exercise only the right to vote.
- The restrictions imposed on the rights to political activities will only show the

nature of the democratic government and the expected role of the public employed in the government.

3) Your answer should include the following points:

- Appointment
- Life Tenure
- Rights and Privileges
- Procedural safeguards in the event of removal or dismissal

UNIT 25 MOTIVATION AND MORALE

Structure

- 25.0 Objectives
- 25.1 Introduction
- 25.2 Meaning of Motivation
- 25.3 Objectives of Motivation
- 25.4 Types of Motivation
- 25.5 Motivators which Promote Efficiency
- 25.6 Meaning of Morale
- 25.7 Types of Morale
- 25.8 Factors Effecting Morale
- 25.9 Evaluation of Morale
- 25.10 Measures to Improve Morale
- 25.11 Let Us Sum Up
- 25.12 Key Words
- 25.13 Some Useful Books
- 25.14 Answers to Check Your Progress Exercises

25.0 OBJECTIVES

After studying this unit you should be able to:

- understand the importance of human factor in an organisation, which will have a significant impact upon over all organisational out-put
- outline the findings of the psychologists and behaviouralists from the viewpoint of human relations
- realise that motivation and morale are caused by management policies and practices
- explain the meaning of motivation and morale along with the factors effecting them
- know about the different types of motivation and morale causing the organisational efficiency and
- analyse some important measures in building morale . through workable motivational methods.

25.1 INTRODUCTION

There is no truth more evident from human experience and research than the axiom that work in the life blood of man's existence. It is as natural for a man to work and to want to work as it is for him to rest. The human beings are not sloths by nature. The type of internal driving force (motivation) is responsible either for action or inaction in an individual.

The problem of human behaviour is fundamental and instinctive in any organisational set-up. It is a complicated issue for the organisation to make its members to adjust themselves to the needs of organisation. Because individuals do not divorce themselves from their own norms, attitudes and personal needs, simply because they join an organisation. They necessarily sacrifice their own independence on various types of group and associational membership. Their voluntary behaviour needs to be changed into required behaviour in the general interest of the organisation. Under the influence of the required behaviour, the individual assumes the responsibilities and expresses loyalties and commitments towards the organisation as a whole. There are different methods, to turn the voluntary behaviour into a required behaviour.

Perhaps no area of personnel administration has been more debated than human motivation due to the development of the scientific knowledge about human behaviour. The movement of behavioural approach has contributed much for better understanding of human behaviour. During early era of personnel administration as being different from the efficiency experts, they approached the problem of increasing efficiency as a human problem rather than as a mechanical one. Hence the feelings and behaviour of

employees are considered in personnel system. Normally, the driving force, so pervasive in history and so common among all races and seems to be composed both of an inner need to achieve and a response to external challenges. It is felt that what an individual believes about himself has a profound effect on how he behaves. To understand any individual we need to know what he thinks, what values he holds, what his goals are, as well as how his basic biological and social needs are met and what abilities he has. Therefore, drive and motivation is of utmost importance, as it constitutes the base for the administrative function of planning and organising. The personnel department of an organisation must devote considerable time and efforts in planning for and achieving high level of morale. Because it is the only solution for the problems arising like employees feeling alienated and organisational goals, under-utilisation of their potential skills and capabilities to achieve optimisation and feeling of frustration while discharging their duties. Hence motivation should be the continuous process for effective functioning of the organisation.

Effective management largely depends upon the willingness of employees in carrying out the organisational tasks with zeal and enthusiasm. The successful functioning of the organisation depends upon the techniques used for securing ability and willingness of its employees. Because human performance is determined by the level of morale, interaction, behaviour, motivation and ability. Policies and techniques will improve motivation and morale and make the work experience a more rewarding one.

In view of the importance of motivation and morale of an individual in the organisation we will discuss in this unit the meaning of these aspects which would go a long way in understanding the concepts concerned, the objectives of the motivation and the types of motivation. We also discuss the factors effecting morale, future policies and programmes for building-up morale in the employees and analyse some important measures in building morale, through workable motivational methods.

25.2 MEANING OF MOTIVATION

The term motivation is derived from the Latin word 'emovere' which means 'to move'. Motivation is the complex of psychological forces. Motivation is something that moves a person into action and inspires him to continue in the course of action already initiated.

There are different definitions of motivation. Stanley Vanace opines that 'motivation implies any motion or desire which so conditioned one's will that the individual is propelled into action'. Dale and Beach felt motivation as 'a willingness to expend energy to achieve a goal or reward'. Shartle understood motivation as 'a reported urge or tension to move in a given direction or to achieve certain goals'.

According to the above definitions motivation is considered as the art of stimulating people to take desired course of action. It involves arousing needs and desires by impelling individuals towards purposive behaviour. A motive is a need or desire which directs the behaviour. It reflects an urge to move in an expected manner to achieve a specified goal. It results when the needs of an employee are satisfied through proper incentives and rewards. Human behaviour is the result of their desires, needs and wants and motivation involves creation of a will to work for accomplishment of institutional goals. Without needs there can be no motivation and one of the biggest problems in motivating the employees is that one does not have the same needs. Moreover motivation is influenced by a number of factors both inside and outside the organisation. Motivation requires the identification of personal goals with institutional goals.

25.3 OBJECTIVES OF MOTIVATION

The objectives of motivation put forth by psychologists and sociologists are the means of answering two basic questions concerning human behaviour i.e., why an individual is impelled to act and what determines the direction of his actions. Let us discuss the views of some eminent Psychologists and Sociologists, who attempted to evaluate the

human behaviour in different contexts.

- a) According to Skinner motivation objectively exists to make an individual being learn what may regarded as positive behaviour i.e. desirable behaviour.
- b) Abraham Maslow observes that the objective of motivation is always to create a need for an individual. It is just like the process of lower needs being satisfied and the higher needs gradually emerging (Hierarchy of Needs).
- c) Frederick Herzberg felt that the important objective of motivation is to provide opportunities to become a better expert on one's job, to handle more demanding assignments, to control one's own work rather than be supervised.
- d) McClelland opined that the objective of motivation is to create a strong desire in an individual, where he derives a special kind of joy in successfully attaining an objective in accomplishing a task, in facing up to a challenge rather than monetary or other rewards.
- e) Victor Wroom thinks that motivation should work as a means of communication for increasing positive values in the employees. Obviously the objectives of motivation are to increase efficiency by good performance.

Motives are abundant and divergent. There is no single strategy that will motivate the employees forever and every where. The motives for individuals to work are numerous.

25.4 TYPES OF MOTIVATION

There are basically two types of motivation:

- a) Negative motivation, and
- b) Positive motivation.

Negative Motivation

The traditional form of motivation emphasises more on authority. This approach consists of forcing people to work by threatening to fire them if they do not. It believes that man is inherently lazy, pleasure seeking, despises work. To prevent him from doing so, there must be close supervision. This approach further assumes that employees' performance would be increased by fear, which causes the people to act in a certain way. Because they are afraid of the consequences like, lay-off, demotions, and dismissals. This approach paid off fairly well in the early days of the industrial revolution when workers and their families were so close to starvation. Imposition of punishment frequently results in frustration among those punished, leading to the development of maladaptive behaviour. The negative motivation also creates a hostile state of mind and unfavourable attitude to the job. The approach of negative motivation had proved to be ineffective as the employees were responding to them perversely. In recent years, however, people have begun to expect more from their jobs than sheer punishment.

Positive Motivation

The behavioural approach is much sophisticated than traditional approach which recognises the importance of positive aspects of motivation. Positive motivation involves the possibility of increased motive satisfaction. Positive motivation is a process of attempting to influence others to do their best, and thereby adopting good human relations. It seeks to create an environment which will make the individual talent flourish and encourages informal communications positively. Positive motivation is generally based on rewards.

The positive motivation may be extrinsic or intrinsic. The extrinsic motivators can be enjoyed after completion of work. The intrinsic factors are those which occur at the time of performance of work. Since positive motivation appears to be more workable, now let us discuss the role of some positive motivators, which promote efficiency.

25.5 MOTIVATORS WHICH PROMOTE EFFICIENCY

The exact nature and extent of motivators would depend upon the internal and external factors prevailing in a given organisation. Some of the important motivators which can promote efficiency are:

- i) Job enlargement

- ii) Job enrichment
- iii) Delegation of authority
- iv) Job security
- v) Status and pride
- vi) Participation
- vii) Congenial work environment

Job Enlargement and Job Enrichment

If the additional responsibilities to enhance variety are of a horizontal nature, it is termed job enlargement while if the additional responsibilities are of vertical nature involving delegation and decentralisation the process is termed job enrichment. Job enrichment can be ensured provided the work is meaningful, a worker has knowledge of the work and the worker is entrusted with the responsibility through proper delegation. According to Flippo, job autonomy can be secured if the following are given:

(1) setting one's own work schedule and work breaks; (2) varying work place; (3) changing duties with others; (4) making crisis decisions in problem situations rather than relying on the boss; and (5) making one's own quality checks, etc. It is obvious that the most important condition for achieving better work performance from employees is to give them interesting worthwhile, challenging, and responsible job, to ensure that the employees are not frustrated by meaningless, disinteresting and purposeless tasks. fundamental rethinking of both the process and purpose of management is necessary.

Koontz and O'Donnell have suggested the following to ensure job enrichment:

- (a) giving workers more latitude in deciding about such things as work methods, sequence, and pace or by letting them make decisions about accepting or rejecting materials;
- (b) encouraging participation of subordinates and interaction between workers;
- (c) giving workers a feeling of personal responsibility for their tasks;
- (d) taking steps to make sure that people can see how their tasks contribute to a finished product and the welfare of the enterprise;
- (e) giving people feedback on their job performance preferably before their supervisors get it; and
- (f) involving workers in analysis and change of physical aspects of work environment such as layout of office or plant, temperature, lighting and cleanliness.

Delegation of Authority

A very common technique being advocated for motivating employees is delegation of authority. Delegation of the rights and obligations to execute a given task very often proves to be a strong motivating force.

Job Security

Job security is one of the good promoters of organisational efficiency and economy. The employees feel responsible and committed to the work as long as their job security is ensured. They would be more attached with the organisation and its day-to-day activities.

Status and Pride

Status and pride are linked with the organisational set-up. Age of the organisation and its reputation in the society will also motivate the employee. Employees working in the well reputed organisation will be motivated better than the employees of other institutions. They feel proud of their employment in the organisation.

Participation

Participation is an individual's mental and emotional involvement in a group situation that encourages him to contribute to group goals and to share responsibility for them. Employees' participation yields their personal commitment and involvement in accomplishing organisational goals. It also produces flow of communication for informal work force. Self-guidance and monitoring in the employees may be expected. Produce high degree of mutual respect and trust among organisational members. A high degree of confidence is shown in subordinates which facilitates interpersonal process.

Motivation is some form of exchange between the individual and his work environment. The congenial work environment gives to the individual sets of preference or values which constitute the goals towards which the instinctual drives are expressed. Further, the work environment is the source of norms of behaviour which draws the lines between good and bad, right and wrong, legitimate and illegitimate.

Check Your Progress I

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

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

1. Define the various meanings of Motivation?

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2. Explain the objectives of Motivation?

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3. Write down the sources of Motivation?

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25.6 MEANING OF MORALE

Though the organisation's focus is always on performance, based on cost-benefit approach, it was felt imperative to consider the issue of morale in a wider perspective. From the institutional point of view, the problem of employee's morale is that of stimulating a feeling of togetherness, a sense of identification with the job. It is more conducive to the achievement of institutional goals. It is important because performance and efficiency of operation depends upon employee's morale. To attain these high standards of morale it is essential to enlist the feelings of employees and their abilities in the work.

'Morale' is an attitude of satisfaction with desire to continue in and willingness to strive for the goals of a particular organisation. There are two important elements. Firstly, that the individual shares the purpose which gives him enthusiasm, energy and self-discipline. Secondly, the responsibility of the authorities to infuse the feeling of togetherness, a sense of identification and his consideration for other members of the institution.

Further, morale is viewed as 'the capacity of a group to pull together persistently and consistently in pursuit of common purpose'. This capacity is subjective and differs from person to person depending upon the people's interest in a particular work. This capacity is inherent in every individual and is seen in their attitudes towards particular work.

25.7 TYPES OF MORALE

There appear to be two groups of morale i.e.,
a) Individual and b) Group morale

Individual Morale

The components of morale are still rather elusive, despite growing agreement upon several generalisations. One of these generalisations is that the group climate must provide opportunity for individual self-expression or self-accommodation by the members of the group. Another is that the occupational context must furnish outlets for the individuals pride in his own workmanship. Still another and more important is that members of the group must find it easy to accept the purposes and values of the group as their own so that they have a sense of belonging to the group or identity with it. All these may be described as individualistic bases of morale.

Group Morale

Hawthorne studies pointed out, pride in group is an important component of morale. Employees like to belong to be part of and be accepted by the group even where and employee dislikes the actual work itself. He may have high morale, stemming from his pleasure of group with his group work. Where there is a well integrated group, there would be high group morale, as well as individual morale. Since good supervision correlated with good group morale, special attention should be paid to the training programme of supervisory staff. Whether it is group or individual morale, it must be evaluated from time to time in the interest of the organisation.

25.8 FACTORS EFFECTING MORALE

There are four factors which effect the morale of the employees in an organisation. They are as follows:

- i) The organisation itself
- ii) Nature of work of employee
- iii) Supervisory techniques
- iv) Fellow employees

Let us discuss each factor in a detailed manner.

The Organisation

As a practical matter morale is based upon the understanding that an employee's future depends upon the success of the organisation, and that the efficient service leads to high pay, job security, and promotions. Employees morale cannot be exploited by authoritarian attitude of the organisation. Employees morale must be won through sound personnel policies. Through benevolent paternalism, employees can be made happy, loyal and grateful. To maintain employees morale every organisation is required to ensure the following:

- a) A proper human relations programme
- b) Survey of employees attitude should be undertaken to initiate corrective action
- c) The findings of attitude surveys should be communicated to employees to gain their faith in the organisation
- d) Free flow of information to and from the employees and among employees.
- e) A reward system for good work.

Nature of Work

Employees want jobs that match their needs, values and personalities. Studies have shown that employees who undertake a job that requires the use of skills derive a sense of competence from mastering. Employees will be happy when they believe themselves to be competent in performing meaningful work. Since most employees strive to master important activities of their lives, it is not surprising that mastery of skills performed on the job involved a certain amount of pride. Work, for most people, is the most important activity which influences their self-esteem. Tedious, boring and routine work will not contribute morale building.

An important step in the morale-building programme is to instill in supervisors the need for applying human relations in supervision. Supervision must help the employees to enjoy the anticipation of future satisfactions of their drives rather than the whim of the moment. The major failure of poor supervision is the failure of supervisor to understand emotions. To boost up the morale supervisor should be democratic and allow participation of employees in running the departmental affairs. Supervisor should be fair and impartial in dealing with his assistants. He should also build up the pride of the employee in his work by explaining its importance and giving recognition for good work. He should learn to apply positive discipline, which corrects by showing right way and does not restrict the individual employee who is being brought into line.

Fellow-employees' Interaction

In the socialisation process of the institution, co-employees interaction influences employees' morale a lot. Formal training, institutional rules and regulations may not be sufficient for the new entrants in understanding their role expected by the institution. Co-employees' informal assistance, fraternity, cooperation will help the new comers in performing their work assigned by the institution. Fellow-employees' non-cooperation, jealous attitude, carelessness create undesirable work environment. Even the competitive spirit and undertaking of a work of challenge will arouse positive sentiments among employees when there is interaction. It also raises the group morale.

25.9 EVALUATION OF MORALE

Whether of an individual or a group, the level of morale must be observed and expressed largely in terms of complex reactions. Most employers who are concerned with employee morale recognise the necessity for careful analysis of all expressions of employee reactions. There are several methods of survey of morale. Some of the methods are as under:

Attitude Survey

These surveys depend upon questionnaires, which are administered orally or in writing from any employees. By answering these questionnaires, employees indicate their attitude towards a wide range of conditions related to their work. Analysis of their replies provides a guide to general levels of morale as well as more specific indications of their likes and dislikes in the prevailing employment situation.

Morale Interviews

By frequent and periodic interviews with employees their morale can be assessed. In these visits, the interviewer encourages the employee to speak freely and frankly in respect of his job, his supervisors, his fellow employees, and any other conditions affecting his employment without any fear or hazard to his status in the organisation.

Spies and Informers

In earlier times the employers are used to hire spies and placed them in various departments for the specific purpose of finding out what employees thought of their jobs and of working conditions in the organisation. After formation of employees unions and associations this practice was almost given up and it became outdated.

Morale survey methods are varied from one organisation to another. However, it all depends upon the nature of the work of employee, organisation, authorities' outlook, and size of the organisation etc.

Indices of Morale

Morale, as it is an attendant condition of an activity rather than an activity itself, can be measured only indirectly. The following are some of the indices of employee's morale.

- a) **Absenteeism:** Where there is high morale, employees make efforts to be on time and avoid absence. A high rate of absenteeism indicates poor morale.

- b) **Turnover:** Sometimes greater turnover of labour may be included in the indices of poor morale. It may not be true in all cases. Young employees in unskilled jobs have higher turnover rate than older employees in higher positions.
- c) **Grievances:** Some grievances may arise out of poor morale.
- d) **Output Level:** High level of output may indicate high level of morale but the output may be increased even by fear. The employees with higher level of morale may produce low output due to substandard tools or deliberate plan to restrict output. These may not be the proper measuring rods of morale. But the level of output will also exhibit the level of morale.

25.10 MEASURES TO IMPROVE MORALE

Morale is not static. It is subject to daily, or even to monetary fluctuations. It is also subject to long-term secular trends. It is useful to think of long-term morale trends as responses to pressures and supports. Usually policy on morale seeks to develop and maintain high levels of morale among employees through appropriate means.

The following measures are suggested for morale building.

Job Satisfaction: The personnel policy should make jobs as interesting and satisfying as possible; it tends to encourage a favourable and enthusiastic group action.

Job Training: Job training, orientation, education, apprentice training and a broad variety of general educational efforts will help in building up employees' morale.

Recognition of Aspirations: Recognition of individual aspirations and goals, and definite provision of means by which such goals can be achieved will go a long way in boosting morale.

Unrest: A careful study must be made on various indices of employees unrest, with the ultimate objective of constructive guidance and action.

Counselling Interviews: Counselling Interviews help to discover the feelings of employees.

Opportunities: Promising opportunities like good promotional avenues, good working conditions, satisfactory remuneration and other benefits for personal development.

Relations: The supervisory staff should ensure, human relations, informal relations, fact finding and adopt participative and employee orientated attitude.

Facilities: Apart from the above measures, the facilities like, transport, housing, health, family welfare, children's education, and other recreational facilities would also help in building up employees morale.

Check Your Progress 2.

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

1) What is Morale?

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2) What are the factors effecting Morale?

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25.11 LET US SUM UP

Motivation and morale are the two sides of a coin. In fact, the level of performance of an individual is a function of both motivation and morale, the former determines what one will do while the latter determines what one can do. Morale is an outcome of motivation. Motivation is an internal mechanism, which results in one's willingness to devote time and energy to the needs of an organisation. Many behaviouralists like Maslow and Herzberg have examined the problem of motivation, and they have observed that the ultimate objective of motivation is to work for betterment of organisation and individual as well.

For the management, it is unavoidable to pay a considerable attention towards maintenance of high level of morale among their employees. Factors influencing morale are various. The problem of an organisation will become the base for selection of the factors that motivate employees to work with morale. Fluctuation in levels of employees morale is not unusual. However, the type of motivation will be the responsible factor for such changes. The primary responsibility of all personnel managers is to see that the desired level of morale is maintained among their employees by periodical check up.

25.12 KEY WORDS

Behavioural Approach: The human relations approach and behavioural approach broadly deal with the man as a focus, while the former deals with the relationships among the people working in organisations, the latter with the 'inside' human being with focus on the place of his values and rationality in the working of an organisation.

Human Relations Approach: This approach devotes its attention to the man in the organisation and the informal relations that given the organisations activities.

Self Accommodation: An act or process by which individuals or groups attempt to adjust or modify their attitudes, values, roles or behaviour patterns in order to internalise or otherwise come to common terms with the various aspects of an organisational or social environments.

25.13 SOME USEFUL BOOKS

Chatterjee, N. N., 1978. *The Management of Personnel in Indian Enterprises*. Allied Book Company: Calcutta

Dale Yoder, 1959. *Personnel: Principles and Policies*. Prentice Hall : England

Dubin, 1970. *Human Relations in Administration*. Prentice Hall of India : New Delhi

Glenn, O Stahl, 1971. *Public Personnel Administration*. Harper and Row Publishers; New York

Goel S.L., 1984. *Public Personnel Administration*. Sterling Publishers; New Delhi

Marx, F. M., 1971. *Elements of Public Administration*. Prentice Hall, New Delhi

Pigors Paul & Charles. A Myer, 1973. *Personnel Administration: A Point of View & a Method*, McGraw Hill: New York.

Strauss & Sayless, 1960. *Personnel: The Human Problems of Management*, Princeton Hall : England

25.14 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- Motivation is derived from the latin word 'emovere' which means 'to move'.
- Motivation is the complex of forces starting and keeping a person at work in an organisation.
- Motivation is something moves a person into action and continues him in the courses of certain already initiated.
- Standlay Vance opines that 'Motivation' implies any motion or desire which so conditioned one's will that the individual is propelled into action.
- Dale and Beach felt motivation as 'a willingness to expend energy to achieve a goal or reward'.
- Shartle opines motivation as 'a reported urge or tension to move in a given direction or to achieve certain goals'.
- According to the above definitions motivation is considered as the art of stimulating people to take desired course of action.

2) Your answer should include the following points:

- According to B. F. Skinner motivation objectively exists to make an individual learned what may be regarded as positive behaviour i.e., desirable behaviour.
- Abraham Maslow observes that the objective of motivation is to create a need always for an individual.
- Federrick Hergbeg felt that the important objective of motivation is to provide opportunities to become more expert in one's job, to handle more demanding assignments, to control one's own work rather than be supervised.
- McLelland opined that the objective of motivation is to create a strong desire in an individual, where he derives a special kind of joy in successfully attaining an objective in accomplishing a task, in facing up to a challenge rather than monetary or other rewards.
- Victor Vroom thinks that motivation should work as a means of communication for increasing positive values in the employees.

3) Your answer should include the following points:

- Job enlargement
- Job enrichment
- Delegation of authority
- Job security
- Status and Pride
- Participation
- Congenial work environment

Check Your Progress 2

1) Your answer should include the following points:

- The problem of employee's morale is that of stimulating a feeling of togetherness, a sense of identification with the job.
- Morale is an attitude of satisfaction with desire to continue in and willingness to strive for the goals of a particular organisation.
- Morale is viewed as the capacity of a group to pull together persistently and consistently in pursuit of common purpose.

2) Your answer should include the following points:

- The organisation itself
- Nature of work of employees
- Supervisory techniques
- Fellow employees

b) Your answer should include the following points:

- Job satisfaction
- Job training
- Recognition of aspiration
- Unrest
- Counselling interviews
- Opportunities
- Relations
- Facilities

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