

PERSPECTIVES ON PUBLIC ADMINISTRATION



School of Social Sciences
Indira Gandhi National Open University

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Course Contents

		Pages
Introduction		7
BLOCK 1	CONCEPTUAL AND CLASSICAL PERSPECTIVES	
Unit 1	Concept and Significance of Public Administration	11
Unit 2	Scientific Management Approach	24
Unit 3	Administrative Management Approach	33
Unit 4	Bureaucratic Approach	50
BLOCK 2	BEHAVIOURAL, SYSTEMS AND SOCIO-PSYCHOLO PERSPECTIVES	GICAL
Unit 5	Human Relations Approach	71
Unit 6	Decision Making Approach	82
Unit 7	Systems and Socio-psychological Approaches	96
BLOCK 3	PUBLIC POLICY PERSPECTIVE	
Unit 8	Public Policy Approach	113
Unit 9	Policy Sciences Approach	129
BLOCK 4	POLITICAL AND SOCIAL PERSPECTIVES	
Unit 10	Ecological Approach	147
Unit 11	New Public Administration Approach	156
Unit 12	Public Choice Approach	165
Unit 13	Public Interest Approach	180
BLOCK 5	CONTEMPORARY PERSPECTIVES	
Unit 14	New Public Management Approach	195
Unit 15	Good Governance Approach	209
Unit 16	Postmodern Approach	223
Unit 17	Feminist Approach	241
Suggested R	Readings	252



COURSE INTRODUCTION

This Course is titled **Perspectives on Public Administration**. It is very important for you all to understand the nature of public administration as an academic discipline. In order to get a hold of any discipline's epistemological strength, it should be seen through its various perspectives or approaches. So, this Course assimilates the major approaches to public administration and presents them to you in a lucid manner. Starting from the Classical Approaches to the Neo-Classical and the more Contemporary Approaches of Feminism and Postmodernism, the Course deals with them all. The first four Units of the Course under Block 1 on **Conceptual and Classical Perspectives** deal with meaning, nature and scope of public administration and the different Classical Approaches. The Introductory Unit on 'Concept and Significance of Public Administration' traces the evolution of public administration till the present times by underlining the concepts of Competition State, Contracting Out, Debureaucratisation, Downsizing and so on. It discusses the relationship between public and private administration and explains the significance of public administration in developing countries.

The Block further deals with the Classical Approaches that regard workers as mere instruments towards organisational output in Units 2, 3 and 4. Scientific Management and Bureaucracy are its major components. Unit 2 on Scientific Management Approach lays focus on quality assurance and quality control as methods to improve processes and make them operationalised and standardised. Mental Revolution, Time and Motion Studies, and Centralised Hierarchy are the major concepts discussed. 'Administrative Management Approach' is Unit 3. It describes the principles of administration as enunciated by Henri Fayol, Luther Gulick, Lyndal Urwick, and Mary Parker Follet. The Unit lays emphasis on the fact that the principles propagated by Classical Theorists provided a solid foundation for modern public administration. Unit 4 titled 'Bureaucratic Approach' discusses both Pre-Weberian and Post-Weberian narratives on Bureaucracy. It talks of Weberian Approach to Bureaucracy in detail by underlining the major characteristics of Legal-rational Bureaucracy as an ideal type, as against traditional and charismatic.

Block 2 of the Course is on Behavioural, Systems and Socio-Psychological Perspectives. It describes the nature of Behavioural Approaches, which focus on individual needs, group behaviour, rational decision-making, organisational design and environment or context of organisations. Early experiments of Elton Mayo are explained in the Unit 5, which also critically appraises the Human Relations Approach for being confined to a few experiments and not looking at the complexity of human behaviour. Simon's value and fact dichotomy in Decision Making is described in Unit 6. It explains the different types of Decision Making such as Programmed, Non-Programmed, Organisational, Personal, Generic and Unique, as well as Routine and Strategic. It also examines the different Models of Decision-Making, which are Simon's Bounded Rationality Model, Lindblom's Incremental Model, Etzioni's Mixed Scanning Model and Dror's Optimal Model. The various Theories of Motivation and their connect with organisational outcome are described in Unit 7. It talks of organisation as a system. The views of Chester Barnard on Closed and Open Systems are discussed. The Unit analyses Maslow's Hierarchy of Needs Approach, Douglas Mc Gregor's Theory 'X' and Theory 'Y' and Herzberg's Two-Factor Theory.

Block 3 is on **Public Policy Perspective**. Unit 8 of the Block explains the meaning of Public Policy Approach. It describes the different types of Public Policy Approaches propagated by Harold Lasswell, Herbert Simon, David Easton and Yehezkel Dror. The Unit talks of the different Models of Public Policy. These are Institutional, Rational

Policy Making, Group, Elite-Mass, Political Public Policy, Strategic Planning. Unit 9 on 'Policy Science Approach' examines its nature, scope and expansion. It brings forth Lasswell's vision of Policy Sciences by discussing its multi-disciplinary, contextual, problem-oriented and normative perspectives. It also explains the new directions in Policy Sciences namely continuity of values, sustenance of relevance, policy enquiry, social network analysis and democratisation of Policy Sciences.

In Block 4 on **Political and Social Perspectives**, Units 10 to 14 deal with the environment in which public administration functions. The 'Ecological Approach' is Unit 10. Its focus is on studying the ecology of various environments of countries and designing conducive policies thereof. It explains the concept of ecology. It brings out the nature of Agraria and Industria Models that preceded the Riggsian Fused-Prismatic-Diffracted Models. Unit 11 on 'New Public Administration Approach' discusses the evolution and phases of public administration in order to position New Public Administration in its trajectory. The focus is on the outcome of deliberations of all Minnowbrook Conferences and the need for a public-oriented, goal-oriented, changeoriented and normative administration. Unit 12 on 'Public Choice Approach' describes the concepts of Methodological Individualism, Politics-as-Exchange, Institutional Pluralism, Rational Choice, Rent-Seeking, and Economic Constitutionalism. 'Public Interest Approach' is Unit 13 that elaborates the concept of Public Interest by elucidating the views of different scholars on it. It describes the current and future responsibilities towards Public Interest. It also deals with the question as to the manner in which Public Interest is pursued practically by State, judiciary and civil society in the way of Policies, Acts and Public Interest Litigation.

The last Block of the Course, that is Block 5 on **Contemporary Perspectives** talks of more recent approaches of New Public Management (NPM), Good Governance, Postmodernism and Feminism. The focus of Unit 14 titled 'New Public Management Approach' in the Block is on NPM as a reform strategy. The Unit focuses on debureaucratisation and delivering of tasks in organisation through decentralisation, delegation of authority, responsibility to various teams, customer orientation and satisfaction. As the nature of State is changing, new actors have joined hands in governance processes. Unit 15 on 'Good Governance Approach' focuses on new parametres of governance such as Participation, Rule of Law, Transparency, Responsiveness, Equity, Effectiveness, Efficiency, Accountability, and Predictability.

The central point of Unit 16 on 'Postmodern Approach' is to familiarise the learners with concepts of Modernity, Organisational Humanism, Public Administration Theory Network, Dialectic Method, Deconstruction, Deterritorialisation, Imagination, and Alterity to counter the concept of standard bureaucratic efficiency. It deals with Postmodern ideas and practices—such as the Phenomenological Approach on lived experiences, Interpretive Theory, Hermeneutics, Ethnomethodology, Symbolic Interactionism, Feminist Epistemologies, and Post-structuralism, Critical Perspective, and Discourse Analysis. Unit 17 is the last Unit of the Course. Titled 'Feminist Approach', it deals with the hitherto neglected narratives of 'governance of gender' and 'gender of governance'. It elucidates the much needed debates on Gender Equality, Ethics and Justice, Patriarchical Thought Patterns, Participation of Women in Administration and Women-friendly Policies in Governance.

BLOCK 1 CONCEPTUALAND CLASSICAL PERSPECTIVES



UNIT 1 CONCEPT AND SIGNIFICANCE OF PUBLIC ADMINISTRATION*

Structure

- 1.1 Objectives
- 1.2 Introduction
- 1.3 Meaning of Public Administration
- 1.4 Public Administration: Nature and Scope
- 1.5 Relationship between Public and Private Administration
- 1.6 Significance of Public Administration
- 1.7 Conclusion
- 1.8 Glossary
- 1.9 References
- 1.10 Answers to Check Your Progress Exercises

1.1 **OBJECTIVES**

After reading this Unit, you should be able to:

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

1.2 INTRODUCTION

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

The onset of Liberalisation, Privatisation and Globalisation (LPG) has led to significant changes in the roles of individuals and institutions, and public administration is no exception. It represents a *paradigm shift* from the traditional model of public administration to New Public Management (NPM) model, which favours a dominant presence of market forces over the State, for effective governance and efficient delivery of goods and services.

Concepts like Competition State, managerial orientation, contracting out, debureaucratisation, downsizing etc., have started gaining prominence in many countries. The new perspective has emerged as a *management tool* for achieving developmental

^{*} Contributed by Dr. Sweta Misra, Senior Associate Professor, Gargi College, New Delhi.

goals. It has brought in reforms, which have attempted to create a new entrepreneurial, user-oriented culture in public organisations, with focus on performance measurement and autonomy to the organisations and individuals in contrast to the traditional model. In fact, *managerialism* is a 'determined effort to implement the "3Es" of Economy, Efficiency and Effectiveness at all levels of government activities'.

Public administration, in present times, has thus become complex and is slowly moving towards enlightened public governance. In this Unit, an attempt will be made to *define* the terms 'administration' and 'public administration'. It will discuss the nature, scope and significance of public administration. The Unit will analyse the *relationship* between public and private administration and bring out the significance of public administration.

1.3 MEANING OF PUBLIC ADMINISTRATION

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

• Defining Administration

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

Administration means organising and using men and material in order to accomplish a purpose or a goal. Administration joins groups of people who coordinate and cooperate so that the desired goals are achieved. In other words, in order to achieve the desired goals and objectives, we need to organise and direct human and material resources. It is a universal process and occurs in diverse institutional settings. Based on these settings, administration is divided into public administration and private administration. The former refers to administration, which operates in a governmental setting, while the latter refers to the administration, which operates in non-governmental setting, that is, business enterprises.

In short, administration, thus, means a cooperative effort by a group of people in order to achieve a common objective. It is the specialised vocation of managers who have skills of organising and directing men and material just as definitely as an engineer has the skill of building structures or a doctor has the skill of understanding human ailments (Sharma and Sadana, 1998). In other words, it is a goal-oriented, purposive, coordinative and co-operative activity, which is undertaken by a group of people in pursuit of some common goal or goals.

Thus, there are certain distinct objectives of 'administration'. These are:

Goal-orientation.

- Pursuit of conscious purpose.
- Direction of human and material resources.
- Determined action.
- Cooperation for accomplishment of common goals.
- Systematic ordering of affairs.
- Calculated use of resources.
- Coordination and control of persons.
- Getting things done.

Public administration is a segment of the larger field of administration. It is simply regarded as bureaucracy, heedless to the fact that bureaucracy as a particular organisational form is not only found in the government, but also in private and third-sector organisations (Dhameja, 2003). Public administration is a discipline, which is concerned with the organisation and the formulation and implementation of public policies for the welfare of the people. It functions in a political setting in order to accomplish the goals and objectives, which are formulated by the political decision makers. It is also called governmental administration as the adjective 'public' in the word 'public administration' means 'government'. The focus of public administration, thus, is on public bureaucracy, i.e., bureaucratic or *administrative organisation* of the government.

Features of public administration are:

- Bureaucratic decision making.
- Organisation and procedures of policy process.
- Detailed/systematic execution of law.
- Enforcement of public policy.
- Performance of civilian functions.
- Operation of administrative branch.
- Art and science of management as applied to State affairs.
- 'What and 'how' of government.

On the whole, it can be said that public administration is nothing less than the whole government in action. It is an instrument through which the goals and objectives of the government are fulfilled. In other words, it is "the action part of government, the means by which the purposes and goals of government are realised' (Chakrabarty and Bhattacharya, 2003). In fact, public administration lends itself to *two* usages: it is an activity; and it also refers to the discipline (*or subject*) of intellectual inquiry and study. Before proceeding to the nature of public administration, it becomes pertinent to define the three terms, viz., administration, organisation and management, which are used interchangeably. Though the *three* terms are used interchangeably, yet there is a specific difference in their meanings.

This *distinction* is made clear by William Schulze. According to him, "administration is the force which lays down the object for which an organisation and its management

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

1.4 PUBLIC ADMINISTRATION: NATURE AND SCOPE

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

• The Managerial View

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

• The Integral View

According to this view, public administration encompasses within its fold all the activities, which are undertaken to accomplish the given objective. In other words, public administration is the sum total of managerial, technical, clerical and manual activities. Thus, administration, according to this view, constitutes the activities of all persons from top to bottom. Thinkers like L.D. White and Marshall E. Dimock subscribe to this view. Administration, according to this view, depends upon the subject matter of the concerned agency, that is, it differs from one sphere to another sphere.

There are two views regarding the **scope** of public administration, viz., (a) *POSDCORB View* and (b) *Subject Matter View*:

• The POSDCORB View

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

- **P**—*Planning*: working out in broad outline the things that need to be done and the methods to be adopted for accomplishing the purpose in hand.
- **O** *Organising:* building up the structure of authority through which the entire work to be done, is arranged into well-defined subdivisions and co-ordination.
- **S** *Staffing*: appointing suitable persons to the various posts under the organisation, and the whole of personnel management.
- ${f D}-{\it Directing}$: making decisions and issuing orders and instructions embodying them for the guidance of the staff.

Concept and Significance of Public Administration

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

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

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

• The Subject Matter View

Though the POSDCORB view of scope of public administration was acceptable for quite a long time, there arose a reaction, in the course of time, against this view. It was then realised that the POSDCORB activities (techniques) can neither be the whole of public administration nor even the significant part of it. This view advocates that the problems of administration are same in all the agencies regardless of the peculiar nature of the functions they perform. Thus, it overlooks the fact that different administrative agencies are faced with different problems.

Moreover, the POSDCORB represents only the *tools* of administration, whereas the *substance* of administration is something different. The real core of administration consists of the various services performed for the people like defense, health, agriculture, education, social security, etc. These services have their own specialised techniques, which are not covered by the common POSDCORB techniques. In other words, each administrative agency has its own 'local POSDCORB' because of the subject matter with which it is concerned. Further, Gulick's common POSDCORB techniques are also influenced by the subject matter of the administration.

Thus, the POSDCORB view is 'technique-oriented' rather than 'subject-oriented'. It ignores the essential element involved in public administration, namely 'knowledge of the subject matter'. This is the reason why the subject matter view of the scope of public administration arose. It lays emphasis on the services rendered and the functions performed by an administrative agency. It advocates that the substantive problems of an agency depend upon the subject matter (*i.e.*, services and functions) with which it is concerned.

Therefore, the study of public administration does not only include the techniques of administration but also the substantive concerns of administration. However, the POSDCORB view and subject matter view are not mutually exclusive, but *complement* each other. They together *constitute* the proper scope of the study of public administration. As has been rightly observed, POSDCORB and subject matter are two blades of the scissors, of the instrument called public administration.

Check Your Progress 1	
Use the space given below for your answers.	
) Check your answers with those given at the end of the Unit.	
cuss the meaning of public administration.	
)	

Conceptual and
Classical Perspectives

2)	Explain the nature and scope of public administration.

1.5 RELATIONSHIP BETWEEN PUBLIC AND PRIVATE ADMINISTRATION

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

Difference between Public and Private Administration

Paul H. Appleby, Sir Josia Stamp, Herbert A. Simon and Peter Drucker are of the view that public and private administrations are two different things. The *two* types of administration can be differentiated on the following grounds:

- Public administration is public in nature. Hence, the main aim of public administration is to serve the public and to promote community welfare. It is characterised by *service motive*. The private administration, in contrast, is characterised by *profit motive*, not social service. Its objective is to maximise profit. All their efforts are directed to this end. Also, the public administration carries a greater social prestige than the private administration because of its social role.
- Public administration operates strictly according to *laws, rules and regulations*. The administrators cannot do anything contrary to, or in excess of legal power. In private administration there are *general laws,* which regulate the business. Individual business firms have considerable flexibility.
- Public administration is subjected to political direction in most *policy matters*. It is the minister who lays down the broad policy outlines under which the bureaucrats have to implement the policy. In private administration, there is no such political direction. Only in emergency situations, such political direction can be exercised. The ends which it pursues are its own and its objectives *do not* depend upon political decisions.
- Public administration has to be consistent in its treatment. In other words, the principle of *consistency of treatment* is the watch word of public administration. Its acts and decisions are regulated by uniform laws, rules and regulations. It means that in public administration, any show of discrimination, bias or partiality

Concept and Significance of Public Administration

will evoke public censure or legislative commotion. Administrators have to be very consistent and impartial while dealing with the public. They must give equal treatment to all the citizens without any favour or prejudice. Private administration, on the other hand, can practice *preferential treatment*. In private administration, discrimination is freely practiced in the selling of products, choice of products and in fixing the prices of the products.

- Being public, public administration is open to constant public scrutiny. The actions of the administrators are much more exposed to the *public gaze*. The achievements of administrators rarely get publicity but a little fault hits the newspaper headlines in no time. A public administrator is accountable for all the acts and the decisions through legislative oversight and judicial review. In other words, the moral and ethical standards in public administration are much higher as compared to private administration. Public gaze is minimal in private administration and it is *not* so closely watched by the media.
- The tenure of the administrators is quite *secure* as compared to the private sector employees. Apart from this, they enjoy many benefits and privileges while in job and even after retirement. This kind of privilege is *not* available to the private sector employees.
- In public administration, there is *monopoly* of government and it does not allow private parties to compete. Services like post and telegraph, railways, currency and coinage are exclusively provided by the government. Monopolism in private sector is missing. Several organisations *compete* with each other to supply the same commodity and product.
- Public administration is subjected to *external financial control*. It means that finances of public administration are controlled by the legislature. In other words, legislature authorises the income and expenditure of the executive branch. The executive cannot collect or spend money of its own will. Thus, we see that the administration and finance are separated in public administration. Private administration, on the other hand, is not subject to the principle of external financial control. It is free to manage its finances as it likes.
- The nature of functions performed by public and private administration is also different. Public administration is more *comprehensive*. It deals with the various types of needs of the people. It carries out functions, which are more urgent and vital for the very existence of the society, for example, defence and maintenance of law and order. Private administration, on the other hand, carries out less vital functions, like manufacture of cloth, supply of sugar, etc.
- Public administrators function *anonymously*. In other words, the functioning of civil service in government is characterised by the doctrine of anonymity which is the counterpart of the principle of ministerial responsibility. Thus, the minister assumes *responsibility* for the actions of the civil servants working under him. This is not so in private administration.
- Public administration differs from private administration in the *measurement of efficiency* as well. Private administration functions on a level of efficiency superior to that of public administration. Since the motive is to make profit, individuals are whole-heartedly devoted to their work and business. In other words, the resource use or profit earning (i.e., input-output relationship) is the criterion of measuring efficiency in private administration. But the same criterion cannot be applied while measuring efficiency in public administration.

Thus, public administration has acquired certain distinctive features which distinguish it from private administration. Public accountability is its hallmark; consistency of treatment its watchword; and consciousness of community service, its ideal.

Similarities between Public and Private Administration

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

The specific *similarities* between public and private administration are as below:

- The *managerial techniques* and skills of planning, organising, coordinating, controlling, and so on are the same in both.
- Both are organised on the basis of the principles of *hierarchy*.
- Both have *uniformity in accounting*, office management and procedures, purchases, disposals, statistics, stocking, and so on.
- Both are being influenced by the *practices and standards of each other*. Thus, Pfiffner and Presthus have described the emergence of public corporation as "a halfway house between its commercial prototype and the traditional governmental department." (Pfiffner and Presthus, *op.cit.*).
- Both have similarities so far as the *problems of organisation*, personnel and finance are concerned. The similarity between them is demonstrated by the fact that there is a mutual exchange and rotation of personnel between the two. In India, we have seen that the Administrative Staff College of India located at Hyderabad organises common training programmes for the personnel of both public and private sectors.

With the onset of globalisation and the new management perspective, the boundaries between public and private administration are getting blurred. The public sector is expected to work on the lines of the private sector. In other words, it is expected to follow the principles of three 'E's' i.e, Efficiency, Economy and Effectiveness along with profitability. The informal organs such as people's associations, community-based organisations along with formal organs of the State participate and discharge activities that were earlier in the public domain.

Apart from this, the private sector, functioning along market lines and the regulatory framework of government, undertakes functions that have been the prerogative of the public sector (Medury, 2010). We can, thus, conclude that in many ways, the differences between public and private administration are diminishing. They complement and supplement each other.

1.6 SIGNIFICANCE OF PUBLIC ADMINISTRATION

Public administration has become an essential segment of modem society, which has witnessed the emergence of what administrative thinkers call as 'Administrative State'. This means that every activity of individuals from 'Womb to Tomb' is regulated and

Concept and Significance of Public Administration

controlled by the State agencies, that is, administrative agencies. The significance of public administration is expanding day by day. The functions, which it performs have expanded in scale, range and nature and is still increasing. It is necessary for not only maintaining public order, social security, welfare and economic infrastructure but also for the delivery of goods in terms of services like safety, utilities and enforcement of contractual obligations as also for ensuring the rule of law and treating all the citizens equally. Its nature, contents and scope – all go to make it the 'heart of the problem of modern governments' (White, 1958).

Public administration is of utmost importance for the developing countries, which have laid down for themselves numerous plans and programmes of social and economic development. In developing democracies like India, which is striving hard to provide happiness and prosperity to its large number of grieving and impoverished population, public administration has become the instrument of *change and development* and a powerful agency for achieving national integration.

As an instrument of change, especially in countries like India, public administration has successfully implemented various development programmes like community development, poverty eradication, employment guarantee schemes, housing schemes, rural connectivity, rural electrification, health care schemes and so on. As a result, "public administration has definitely changed the face of rural India by providing the basic minimum facilities to the rural poor and improving their living conditions. As an instrument of national integration, it has played a very important role in rehabilitating the refugees after partition as also integrating the princely states with the Indian territory" (Chakrabarty and Chand, 2012).

Public administration is a great stabilising force in a society. Governments come and go but administration does not change. In this way, it provides *continuity and linkages* between the old and new programmes. In a diverse country like India, public administration becomes all the more important because it acts as a harmonising and integrating force. It has brought the people of different caste, class, community and religion on a common platform. In other words, it has created an environment where people with varied backgrounds can live together. In a way, it has also provided stability and strength to Indian democracy.

Public administration is all about *governance*. It is the heart of development. It is the interface between the market and the civil society. In the words of Frederickson (1999), public administration is moving towards theories of cooperation, networking, governance and institution — building and maintenance in response to the declining relationship between jurisdiction and public management in a 'fragmented and disarticulated State'.

Check Y	Check Your Progress 2	
Note: i)	Use the space given below for your answers.	
ii)	Check your answers with those given at the end of the Unit.	
1) Bring	out the relationship between public and private administration.	
••••		

Conceptual and
Classical Perspectives

2) Exam	ine the significance of public administration.
l	

1.7 CONCLUSION

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

1.8 GLOSSARY

Liberalisation Privatisation Globalisation (LPG)

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

Consistency of Treatment

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

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1.10 ANSWERS TO CHECK YOR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Public administration is a segment of the larger field of administration.
 - It is regarded as bureaucracy.
 - It is concerned with formulation and implementation of public policies.
 - It is an organisation of the government that entails goal orientation and determined action.
 - It means getting things done.
 - It includes cooperation and systematic ordering of affairs.
 - It means what and how of government.
 - It refers to operation of administrative branch.
- 2) Your answer should include the following points:
 - The managerial new of public administration includes managerial activities and not the technical, clerical and manual activities.
 - Administration has to do with getting things done.
 - Integral view encompasses its fold all activities undertaken to accomplish the given objective.
 - Scope of public administration includes POSDCORB view and subject matter view.
 - POSDCORB view focuses on planning, organising, coordinating, reporting type of techniques.
 - Subject matter view focuses on the fact that different administrative agencies are faced with different problems.
 - The real core or administration consists of various services performed by specialised experts which go beyond POSDCORB techniques.
 - Both POSDCORB and integral views complement each other.

Check Your Progress 2

- 1) Your answer should include the following points:
 - Public and private administration are different.
 - Public administration is oriented towards welfare.
 - It has a service motive.
 - It follows strict rules and laws.
 - Public administration is subjected to political direction in policy matters.
 - It has to be consistent in treatment.

Concept and Significance of Public Administration

- Being public, public administration is under public gaze.
- The tenure of public administrators is secure.
- Public administrators function anonymously.
- Public administration and private administration is also similar.
- Managerial skills and techniques are common to both.
- Both have similarity in accounting.
- Both are influenced by practices and standards of each other.
- Both face similar problems of organisation.
- 2) Your answer should include the following points:
 - Every activity of an individual 'from womb to tomb' is regulated by Administrative State.
 - Public administration is an instrument of change and development.
 - It is a stabilising force in society.
 - Public administration is all about governance.
 - It has changed the face of rural India.



UNIT 2 SCIENTIFIC MANAGEMENT APPROACH*

Structure

- 2.0 Objectives
- 2.1 Introduction
- 2.2 F.W. Taylor: A Biographical Sketch
- 2.3 Principles of Scientific Management
- 2.4 Characteristics of Scientific Management
- 2.5 Taylor: An Appraisal
- 2.6 Conclusion
- 2.7 Glossary
- 2.8 References
- 2.9 Answers to Check Your Progress Exercises

2.0 OBJECTIVES

After reading this Unit, you should be able to:

- Define the term 'Scientific Management';
- Discuss the principles of Scientific Management;
- Explain the characteristics of Scientific Management and bring out its role in organisations; and
- Examine the advantages and drawbacks of Scientific Management.

2.1 INTRODUCTION

The theory or approach of Scientific Management emerged in the 20th century under the leadership of Fredrick Winslow Taylor. This Theory is often described as a movement, which began to influence the administration and management of organisations in those times. This is a theory, which analyses and synthesises workflows in an organisation. Even though Taylor is said to have propounded the Scientific Theory, in years to come Charles Babbage, Henry R. Towne, Fredrick Halsey and Henry Metcalfe extensively used Scientific Management methods and techniques in an organisation. The term Scientific Management was coined by Louis Brandies (1910) and was used by Taylor to give scientific techniques to make the working of an organisation efficient.

Scientific Theory of Management is also known as "Taylorism." The Scientific Theory had a significant impact on administrative thought and practice in both industrial and government organisations. Taylor's contribution to the Scientific Theory of Management are contained in the following books: 'A Piece Rate System', 'Shop Management', 'Art of Cutting Metals' and 'Principles of Scientific Management. This Unit would

^{*} Contributed by Dr. Vaishali Narula, Assistant Professor, Kamla Nehru College, New Delhi.

deal with the principles and characteristics of Scientific Management. It would also critically examine its advantages and drawbacks.

2.2 F.W. TAYLOR: A BIOGRAPHICAL SKETCH

Frederick Winslow Taylor was born in German Town Philadelphia, Pennsylvania in 1856. His first job as an apprentice was at Hydraulic Works, Philadelphia. Later, at Midvale Steel Company, F.W Taylor worked in various capacities, as a labourer, gang boss, research director and chief engineer. The birth place of Taylor's Scientific Theory of Management can be traced to 'Midvale Steel Company', which was one of the armour plates company in America. Taylor began to work in this Company at the age of 22 in 1877. Taylor observed that the workers consistently failed to give the required output of their work. He observed that there was a need to device scientific methods for the workers to ensure required output.

In 1884, Taylor received his degree in Mechanical Engineering. In 1890, Taylor worked as General Manager of Manufacturing Investment Company in Philadelphia. He even served as Professor at The Tuck School of Business at Dartmouth College.

Papers published by Taylor are as follows:

- Piece Rate System, 1895
- Shop Management, 1903
- Art of Cutting Metals, 1906
- Principles of Scientific Management, 1911

2.3 PRINCIPLES OF SCIENTIFIC MANAGEMENT

Taylor, while laying the foundation of the Scientific Theory of Management, believed that the principles of management of an organisation should be based on fixed laws and Scientific Theory in an organisation focused on studying the relationship between the physical nature and the physiological nature of a worker. Scientific Approach focused on lowest level of organisation (Shop Floor). In his view, there existed 'one best way' of doing and designing the tasks. So the Theory focused on empirical analyses of various processes and at the same time worked to ensure results with efficiency and effectiveness. Taylor believed that in order to move towards effectiveness, there was a need to develop technical competence, rationalisation and specialisation in the working of an organisation.

As Taylor carried on with his study of organisation and its management, he observed that there was a tendency on the part of workers to neglect work and restrict the output. This he called "soldiering". He referred to this phenomenon on the part of workers to reduce the output when they are paid the same amount even on giving large outputs. Taylor classified soldiering into *two* types; natural soldiering and systematic soldiering, where the former referred to a habit of workers to take it easy, not being over-ambitious and the latter referred to social and organisational factors, which led to restricting of the output by workers. Taylor believed that the way to increase output of the organisation was to reduce soldiering through scientific techniques. So, Taylor in his Scientific Theory of Management believed that in order to improve the functioning of the organisation, scientific principles needed to be applied. They were also relevant to motivate the workers for increasing output.

The keystone of Taylor's managerial thought was looking into the work methods

and managerialism. Taylor, while working in his steel plant, observed that the workers decided on the output and the methods to conduct various operations. The workers, he observed, were not being managed and were selecting their own tools and techniques to conduct and carry out operations. The managerial and supervisory roles as we know of now were totally absent. The workers followed the 'Rule of Thumb' methods. These were methods, which were developed over years of experience and trade practices. The supervisors could only urge the workers to do more work, but could not urge or encourage their initiative towards largest output. Taylor described this method to be irrational and an inefficient arrangement towards work output. Therefore, he emphasised that there was a need to rationalise the methods of working.

F.W. Taylor observed that there was science in every work that was being done in organisations those days. The work done by the workers could be scientifically structured. This scientific understanding of the work would come to the best worker with the help of those working over him. Therefore, the workers (shop floor) with their experience required the "brain" of the foreman to conduct a task to the highest output level. Hence, Taylor emphasised on the role of management and supervisors to attain efficiency, which was a revolutionary idea in that period. His idea of inclusion of the supervisors aroused a lot of suspicion amongst the labour. It led to an emphasis on area of expertise, training and preparation of managers towards efficiency.

The Scientific Approach to Management by Taylor was a way forward to modern managerial thought and practices. In his Approach towards goal accomplishment with empirical research and evaluation, the focus was on controlled experiments with Scientific Management. The Scientific Approach in itself was considered a way towards investigation. It called for investigation into all endeavours scientifically. Thus, working towards goal accomplishment was governed by systematic methods.

Taylor and the various scientists who supported the Scientific Management Approach designed experiments directed to discover the best methods to carry out a specific task in an organisation. The Scientific Management Approach went beyond designing of technical system towards training. The focus was on devising efficient procedures. Taylor was of the view that once efficient procedures were devised, it was management's responsibility to apply appropriate methods towards training in order to put in place the set procedures. Training focused on optimal physical and physiological conditions of workers to gain maximum output.

While laying down the approach to Scientific Management, Taylor gave the following principles of Scientific Theory of Management:

- i) The 'rule of thumb' needs to be replaced with science for each element of the work to be done by the worker.
- ii) 'One best way' of doing a particular task needs to be determined, so that it would help to determine the standard output.
- iii) As the best methods are decided scientifically, we should train, teach and develop the workers towards output.
- iv) In order to attain the required output, management should cooperate with the workers.
- v) The work should be equally divided amongst the managers and the workers. The burden of responsibility for greater output lies with both of them.

Scientific Management Approach

As Taylor identified these characteristics of Scientific Management, we can summarise them as follows:

- Science and not 'rule of thumb'.
- Working together.
- Cooperation and not just individual role and responsibility.
- Maximum output in place of restricted output.
- Encouraging the development of each worker to greatest efficiency and output.

Therefore, Scientific Management, according to Taylor, involves a complete change on the part of workers, fellow workers, employees, managers and supervisors. It is important that both the workers and the managers have no conflict amongst them and that they should work towards same goals with cooperation. Thus, cooperation and not conflict is the essence of scientific management, as it aims to secure maximum output and prosperity for each employee or worker.

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) Give a brief sketch of Taylor's early life.	
2) Define 'Soldiering'.	
3) Discuss the factors that gave rise to Scientific Approach of Management.	

Conceptual and
Classical Perspectives

4)	What are the principles of the Scientific Management Approach?		

2.4 CHARACTERISTICS OF SCIENTIFIC MANAGEMENT

While giving the characteristics of Scientific Management, Taylor devised certain techniques (methods) of Scientific Management. These techniques are applications, which could help an organisation to move towards the Scientific Principles. These are:

• Functional Foremanship

Taylor's notion of Functional Foremanship advocated that each worker be supervised and guided by eight functional foremen (i.e. specialised supervisor). Under the idea of Functional Foremanship, Taylor observed that there was a need to have planners and planning unit. He rejected the idea of single foremanship i.e., Unity of Command under which the workers would receive orders from only one superior. So, when he gave the idea of *eight* foremen, he classified them as: (i) Order -of-Work and Route Clerk, (ii) Instruction- Card- Clerk, (iii) Time - and - Cost- Clerk; and (iv) Shop Disciplinarian. These functionaries worked with the workers. The other functionaries were responsible for execution and supervision at the shop floor. They were classified as: (i) Gang Boss, (ii) Speed Boss, (iii) Repair Boss, and (iv) Inspector. So each worker would have eight functional bosses which would smoothen the progress towards specialisation, as well as separation of planning and executive processes.

Planning Bosses	Execution Bosses
 Order-of-Work and Route Clerk Instruction-Card-Clerk Time and Cost Clerk Shop Disciplinarian 	Gang BossRepair BossSpeed BossInspector

Source: Dhameja & Mishra, 2016.

• Motion Study

This was a technique devised towards standardisation of methods. This involved observation of all motions (processes) in a particular job and through this to determine the best set of motion. Thus, through the method of motion study, the objective was to design a preferable work method with proper techniques, tools, equipments, raw material in order to facilitate quick hand and body motion. Therefore, this method was directed to devise 'one best way' to do the work.

• Time Study

This technique was devised to determine standard time for completion of work through time and motion studies. It facilitated planning of daily tasks.

• Differential Piece Rate System

Having devised the time and motion studies, Taylor worked towards devising the methods of payment with these parameters. He suggested payment to workers by piece-meal, on the bases of standards set by the time and motion study. So, the piece rate system was guided towards motivation of workers to make more money with higher income and profits for those who worked hard. So, both the workers and the supervisors were to work with the mutuality of interest to gain economic rewards. So workers were paid a low piece rate up to a standard, a large bonus on the standard and a higher piece rate above the standard. Taylor emphasised that a worker, who after scientific selection, training and initiatives, was unable to achieve the standards should not be made to continue with work.

• Exceptional Principle

Under this Principle, Taylor stated that as standards have been set for work and rewards for achieving targets; the managers had to encourage exceptional work and not just focus on standard performance.

• Other Methods

In addition to above techniques, Taylor focused on the following techniques to serve the Principles of Scientific Management:

- i) Standardisation of all tools and methods used in trade.
- ii) Separate planning cell or department.
- iii) Instruction card for workers.
- iv) Cost saving system.

2.5 TAYLOR: AN APPRAISAL

The Scientific Approach of Management had a great impact on managerial methods and thinking, but somewhere it lacked in giving a complete theory of organisation. The main points of criticism are:

- The main focus of the Scientific Theory or Approach was on shop floor and reformulation of supervisory concept for various activities. Little attention was paid to overall administrative structures of an organisation. The focus on decision making was restricted only to shop floor level.
- The Approach viewed organisation as a mechanical system and overlooked the human element to it. It focused on efficiency of the organisation and perceived the worker as a machine. This perspective was opposed by the workers.
- The conception of motivation was also perceived and understood in terms of economic factors. It focused on material rewards for motivation away from physiological and psychological factors. This was carried forward by thinkers like Elton Mayo, Chester Bernard, M. P. Follet, who focused on behaviour of workers and their role in the organisation.

- The Approach received widespread criticism from workers and trade unions. Taylor emphasised on cooperation between workers and supervisors, which the trade unions perceived as a threat to unionism and workers' rights.
- Scientific Management Approach was also opposed by managers. They believed that the adoption of scientific method left little space for judgement of managers. It also increased the responsibility of workers.

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) Describe the efficiency-driven mechanism of Scientific Management.				
2) Critically appraise the Scientific Management Approach.				

2.6 CONCLUSION

Even though Scientific Management Approach had some obvious limitations, it made a significant contribution to the growth of public administration as a field of study. It is this Approach, which led to the widespread acceptance of efficiency as the main purpose and goal of an organisation. The Scientific Management Approach contributed to the orientation of practitioners, executives and government officials. Various reforms such as centralisation of administrative authority, merit system, accountability and the conduct of activities of public administration blended easily with the values of Scientific Management. This Unit described all these aspects. Scientific Management movement was accepted and taken forward by management and organisations at various levels. This led to quality assurance and quality control as methods focussed on how to improve processes and make them operationalised and standardised. This Unit focussed on all these aspects.

2.7 GLOSSARY

Piece Rate Wage System

'Piece rate' literally means that for each unit produced, the worker is paid separately. This wage system is based on decreasing piece rate

Scientific Management Approach

as the higher productivity also contributed towards restricting productivity.

Rule of Thumb : It refers to following of methods by the workers devised on the bases of their experience.

Shop Floor : This refers to the level of the organisation

comprising of junior level workers.

Soldiering : Methods adopted by workers to reduce output.

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2.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - F.W. Taylor was born in a German town Philadelphia.
 - His first job was that of an apprentice at Hydraulic Works, Philadelphia.
 - He worked at all hierarchical levels at Midvale Steel Company.
 - He received his degree in mechanical engineering.
 - He served as Professor at Tuck School of Business at Dartmouth College.
- 2) Your answer should include the following points:
 - Workers exhibited soldiering as they were casual towards their work.
 - Workers thought that their productive nature would force management to eliminate them.
 - Non-productive wage system made workers demotivated.
 - Workers linked high productivity with low wages.
 - Taylor described two types of soldiering; natural and systematic.
 - Taylor believed that use of scientific techniques to increase output was the only way of reducing soldiering.
- 3) Your answer should include the following points:

- Taylor systematically worked towards standardising procedures in an organisation.
- He came up with scientific principles of management that aimed at training workers, motivating them and selecting them on merit.
- He created a science of work by bringing scientifically trained workers closer to work in an organisation.
- He focussed on harmony, cooperation, division of work, higher wages, functional foremanship and mental revolution to increase work output most efficiently.
- 4) Your answer should include the following points:
 - Application of scientific methods to work solutions.
 - Standardisation of working conditions and processes.
 - Science; not rule of thumb.
 - Harmony; not discord.
 - Development of workers to highest level of efficiency.
 - Maximum prosperity to employer.
 - Higher wages to worker.
 - Development of true science of work.
 - Scientific selection of workers.
 - Division of work and authority.

Check Your Progress 2

- 1) Your answer should include the following points:
 - Functional Foremanship.
 - Motion Study.
 - Time Study.
 - Differential Piece Rate System.
 - Exceptional Principle.
- 2) Your answer should include the following points:
 - Taylor's principles improved the production processes.
 - He was criticised for giving more importance to production than people.
 - Trade unions felt threatened as they thought workers' rights would be violated.
 - Taylor's division of work between planning and execution was criticised.
 - Taylor's Functional Foremanship was criticised for its confusing command system.

UNIT 3 ADMINISTRATIVE MANAGEMENT APPROACH*

Structure

- 3.0 Objectives
- 3.1 Introduction
- 3.2 Evolution of Administrative Management Approach
- 3.3 Major Contributors to the Administrative Management Approach
 - 3.3.1 Views of Henri Fayol
 - 3.3.2 Contribution of Lyndal Urwick
 - 3.3.3 Principles of Luther Gulick
 - 3.3.4 Mooney's and Reiley's Views on Principles of Administration
 - 3.3.5 M.P Follett on Principles of Administration
- 3.4 Administrative Management Approach: An Appraisal
- 3.5 Relevance of the Administrative Management Approach
- 3.6 Conclusion
- 3.7 Glossary
- 3.8 References
- 3.9 Answers to Check Your Progress Exercises

3.0 OBJECTIVES

After reading this Unit, you should be able to:

- Discuss the perspective and the background of Administrative Management Approach;
- Explain the major features and assumptions of the Approach;
- Describe the principles of administration as enunciated by Henri Fayol, Luther Gulick, Lyndal Urwick, James D. Mooney and Alan C. Reiley, as well as the views of Mary Parker Follet;
- Bring out the relevance of Administrative Management Approach; and
- Critically appraise the relevance of the Administrative Management Approach.

3.1 INTRODUCTION

Woodrow Wilson laid the foundations of the study of public administration as a separate discipline. This started as a part of the search for reforms in public administration in the United States. Since then many scholars and practitioners of public administration have made attempts to find out the ways and means to improve the performance of those engaged in the task of public service delivery in an efficient and economic manner. Several administrative thinkers opted for different approaches

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to the study of public administration. These approaches may be broadly classified into Classical, Neo-classical, Modern and Postmodern. In this Unit, we shall discuss one of the Classical Approaches, that is, Administrative Management Approach, which is also known as the 'mechanical approach', or the 'principles of administration approach'.

As stated earlier, it was the reformist movement in the USA that culminated in the initiation of the studies in the field of public administration in the late nineteenth and early twentieth centuries. As a response, developed Scientific Management Approach, mainly led by Fredrick Winslow Taylor. Some books also appeared on the theme and principles of public administration. Falling in the same tradition, began attempts for developing certain principles that would not only make public administration more efficient and cost-effective in its orientation, but also in universal application. Administrative Management Approach, an important stage in the evolution of public administration as a scientific field, attempts to find a rational way to design an organisation as a whole. It generally calls for a formalised administrative structure. In this Unit, we will trace the evolution of Administrative Management Approach. We will bring out the different perspectives as given by different scholars on this Administrative Management Approach. The Unit will also evaluate the focus and relevance of the Approach.

3.2 EVOLUTION OF ADMINISTRATIVE MANAGEMENT APPROACH

The principles of Administrative Management Approach formed a logical compliment to the Scientific Management movement. Whereas the focus of scientific management was on the performance of physical tasks, that of Administrative Management Approach was on the formal organisation structure. Accordingly, while the basic tool of analysis of Scientific Management was the time and motion study, that of the Administrative Management Approach was the formal organisation chart. The general problem addressed by the Administrative Management Approach theorists was the identification of the tasks necessary to accomplish organisational objectives and the grouping and coordination of these tasks in such a way that one maximises organisational efficiency.

The theorists sought to establish a science of administration equally applicable in the public as well as private sectors. Their analysis was of course not as systematic as that of Scientific Management. They attempted to drive specific applications from pre-ordained general principles rather than rely on generalisations built inductively. The classical model of public administration was founded on a number of conventions. Respect for the rule of law, a strict separation of politics and administration and a meritorious public service adhering to the principles of anonymity and political neutrality were a part of it.

"Efficiency was privileged at the beginning of the field as progressive era reforms sought to systematise and rationalise the administration of the public's business" (The Efficient Public Administration by Pereto and a Well-Rounded Approach to Public Administration by Christopher Grandy). In administration science, whether public or private, the primordial goal is efficiency (Gulick, 1937; Denhardt, 2012). The search for Logical Positivism made the Administrative Management scholars believe that efficiency was a neutral quest necessary for the improvement of organisations. So, the predominant outlook in the 1920s and 1930s was the effort to achieve efficiency in the employment of resources (Silva and De Mattia, 2016).

Administrative Management Approach

The Administrative Management Approach evolved out of the discussion and debates about the nature of public administration, particularly with reference to its character as a Science or an Art. Are there some principles of administration or aspects of governance, which can be taken as universal or in sum can there be a scientific basis of the elements or processes that is predictable and verifiable? To provide answers to such questions, some practitioners and empiricists of administration concluded that there are or can be developed some principles that can be applied universally, irrespective of time, space or nature of government in order to ensure efficiency and economy in administration. The authors in support of this thought, points out Denhardt (2003), have stated that the basic interests in management are the same in any organisation.

Therefore, we should expect that lessons learned in one sector could be easily communicated to another or that the lessons learned in one context could contribute to general theory of organisations and this view is still predominant in studies of public administration. This Model and its definition has been widely accepted and used in the Western countries and mainly in continental Europe during the 19th century and the first half of the 20th century. A principle objective of a public organisation has been taken as efficiency and economy. So, administrative reforms were imperative for the achievement of that purpose. In its concern for these twin objectives, the public administration theorists focused on the questions of formal organisation in the 19th and early 20th centuries.

This School of Thought was led or represented by administrative thinkers like Luther Gulick, Lyndal Urwick, Henri Fayol and Mary Parker Follet. This Approach is also known as Structuralist Theory of administration. It does not discriminate between public and private administration in so far as the application of the principles is concerned. This School of Thought or Approach believes that no organisation can function without a formal structure, in where there is a clear-cut specification of the functions, responsibility and powers along with the relations of the employees with each other. Since administration is the expression of collective will and responsibilities of the people in the organisation to achieve its goals, it is the structure of the organisation that determines/regulates/moulds the behaviour and performance of the persons engaged in the organisational work in accordance with the organisational needs.

The Administrative Management Approach, as has been observed in social sciences encyclopedia, takes a deterministic view of social action since the underlying assumption is that individuals will maximise organisational efficiency independently of their own welfare and with no thought for the relationship between the collective goal and their own particular purposes. In the opinion of Urwick , the absence of organisation design will make things illogical, cruel, meaningless and inefficient. Secondly, the propounders of this Approach assume that there are some principles that can be developed and are of universal applicability. These principles are developed and evolved on the basis of long experience and experimentation in industry and in army.

Check Your Progress 1				
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3.3 MAJOR CONTRIBUTORS TO THE ADMINISTRATIVE MANAGEMENT APPROACH

As stated in the beginning, several administrative thinkers and practitioners have contributed to the Classical Theory. We will refer to their thoughts in brief now:

3.3.1 Views of Henri Fayol

Fayol is considered as the founder of the Administrative Management Approach. He was born in 1841 and was an engineer by profession. He worked in a mining company, where he occupied the post of a managing director in 1888. It was during his tenure of managing director that the company earned huge economic gains. Fayol's theory is mainly contained in two publications, General and Industrial Management (1916) and The Administrative Theory in the State (1923).

Henry Fayol's theory of Administrative Management Approach consists of 14 important principles that can be discussed as follows:

1) Hierarchical Structure

This Administrative Management principle lays emphasis on the principle of hierarchical formal structure of an organisation. According to this arrangement, the organisation should be formally designed with a clear line of authority and accountability from top downwards. For instance, in a big organisation, there is at the top a Chief Executive with a number of persons immediately subordinate to him. He can, therefore, issue directions to them, and likewise, these subordinates would have the power to issue directions to their subordinates. The system would go on till it reaches the bottom.

2) Division of Work/Labour

The second most significant principle of organisation is a clear and well-defined division of work between different departments, branches and sections. This indicates that each unit in the organisation has a certain specific role and function to perform in order to attain the organisational goals. Take for example, a Car Manufacturing Company. The work of the organisation or company may be divided in a number of departments or divisions like Production Unit, Marketing Unit, Distribution and Maintenance Division, Finance Division and Administrative Unit. Each one of these units or divisions or departments undertakes a distinct activity leading to achieving the goals set out by the Car Manufacturing Company collectively.

The Production Department is concerned with the production of Car (including the parts and assembling of these parts), testing the structural and efficiency aspects of the car involving its operatibility and its quality is crucial so that the customers are attracted to purchase that produce more than any other cars manufactured by the other companies. Marketing Division is concerned with the Marketing and Distribution Unit with the supply of the product to the retailers/consumers. Similarly, Finance Division may be concerned with the management of finances, while Administrative Division provides administrative support to the other departments. This division of work is imperative for a focused attention by the individuals or a group on the specific tasks assigned to them.

3) Loyalty

Loyalty to the organisation is the basic premise. The Principle involves giving precedence to the interests of the organisation over the interests of an individual or group of individuals. The implication is that individual or sectarian interests shall always be subordinated to the goals and interests of the whole organisation.

4) Payment of Fair Wages

Payment of Fair Wages to the workers for the work or service they render or provide.

5) Unity of Direction

Each department or division of an organisation concerned with the performance of its respective activities should be directed by one manager using one plan.

6) Unity of Command

The meaning of the Unity of Command is that every subordinate should get orders from one and only one superior. Differently put, an employee should not be subjected to the order of more than one superior. There should be a system of mono command implying that every member of the organisation should report to one and only one leader. It is essential for avoiding confusion and manipulation in an organisation. Henry Fayol stated that "should it be violated, authority is undermined; discipline is in jeopardy, order disturbed and stability threatened." Echoing the views of Fayol, Gulick and Urwick observed that "Man cannot serve two masters. Commenting on the relevance of Unity of Command, Gulick stated that any rigid adherence to the principle of Unity of Command may have its absurdities. But they are unimportant in comparison to the certainty of confusion, inefficiency and irresponsibility, which arise from the violation of the principle'.

7) Discipline

No organisation, in the opinion of Fayol, can succeed if it lacks discipline among the workers because it is discipline that creates commonality of efforts of all workers in an organisation (Mc Namara, 2011).

8) Authority

Authority is defined by Fayol as power to issue orders and secure compliance thereof. There is, further, a close relation between authority and responsibility. Authority and accountability go hand in hand. One who is vested with authority is also assigned with accountability.

9) Centralisation

In the scheme of thought of Fayol, centralisation may be seen as the reduction in the role and importance of the subordinates, whereas decentralisation has a reverse connotation, i.e, increasing the importance of the role of the subordinates. At the same time, Fayol believed that the principle of centralisation is dependent for its application on the need and culture of organisation.

10) *Order*

The principle of order implies placing people and material at the right place at the right time in order to ensure effective and efficient operation in organisation. All personnel and materials should be placed in their specific place/s.

11) Equity

Fayol laid emphasis on the humane behaviour of the managers towards their subordinates. This Principle indicates that there should be no discrimination between employees or to say it differently, all workers should be treated equally when it comes to the application of rules, regulations and rights. Salaries and facilities to the employees can be an exception to this principle (Shake, 2008).

12) Stability of Tenure

The tenure security of personnel, in the eyes of Fayol, is a condition to prevent high turnover rate. Instilling a sense of security in the minds of the employees would help them give their best to the organisation.

13) Initiative

It means allowing the employees to take initiative, originate ideas and carry out plans. This exerts high levels of efforts.

14) Esprit de Corps

Building team spirit is necessary for building harmony and unity in the organisation,. Harmony and friendly relations among workers of organisation would lead to increase in organisational performance.

Classification of Business Activities

Total activities of an industrial organisation have been put by Fayol into 6 categories, viz., Technical (2) Commercial (3) Financial (4) Accounting (5) Security, and (6) Controlling.

Fayol lists *five* elements/functions of administration as Planning, Organising, Commanding, Coordinating and Controlling, known by the acronym POCCC. Let us discuss these elements now:

Planning

Management must plan and schedule every part of industrial processes; planning is an important function as it enables the managers to define what, when and how aspects of work to be done. Planning is necessary to ensure proper utilisation of physical, financial and human resources. Planning saves organisation from confusion, uncertainties, risks, wastages etc. Fayol maintained that the most rational and efficient organisations were those, which implemented a plan that facilitated unity, continuity, flexibility, precision, command and control.

• Organising

Management must also make certain that all of the necessary resources (raw materials, personnel etc.) come together at the appropriate time of production. It refers to the identification of activities and allocation of duties as well as classification or grouping of activities.

Commanding

Management must encourage and direct personnel activity.

Coordinating

Management must make certain that personnel work together in a cooperative manner.

Administrative Management Approach

It can also be seen as an arrangement of efforts in an order, so as to provide unity of action in the fulfillment of common objectives. Coordination, therefore, is an exercise that aims at an effective integration of efforts of all groups in organisation. In all, it is all about harmonisation of group efforts.

Controlling

Manager should evaluate and ensure that personnel follow management's command. It is an act to achieve the attainment of goals of organisation through development and application of standardised measurement of the achievement or performance. It is a process that involves:

- Establishment of standards of performance.
- Measurement of actual performance.
- Comparison of actual performance with the standards and finding out deviation/s if any.
- Corrective action.

(Source: www.managementstudyguide.com/management functions.htm)

Thus, for Fayol, the plan requires the necessary organisation of people and material, which have to be coordinated, commanded and controlled to achieve the organisational purpose. In his view, administrative ability was a very important factor in administration. Accordingly, he suggested *six* attributes to a good manager/administrator, such as: physical, mental, moral, general education, special knowledge and experience.

3.3.2 Contribution of Lyndal Urwick

Urwick completed his education from Oxford University. He was born in Japan, and served in the First World War as Lt. Col. of the British Army. Urwick was also associated with several International Management Institutes and published several books like-Management of Tomorrow, The Making of Scientific Management, Leadership in Twentieth Century Organisations, The Patterns of Management etc. He also worked as an editor of several papers on Science of Administration. He was also a well- reputed and well- renowned industrial consultant, who worked extensively for introducing Management Education in U.K, primarily in the context of the nature of administration. Urwick believed that there are *eight* principles on which an organisation can function. The important ones being:

- The Objective of the Organisation.
- Authority and Responsibility.
- Span of Control.
- Coordination; and
- Delegation among other principles.

In the scheme of thought of Urwick, an organisation is mainly a designing process. In his view, identification of activities or tasks and their classification or grouping formed the first part of that process, while the workers or personnel occupied the latter part. The principles identified by Urwick are based on his theory of organisation design. Scalar Chain or Hierarchy, he observed, formed a necessary element in the organisation structure as the lack of hierarchy would lead to "breakdown of authority". This will in turn impact the ability to get work done or receive compliance of orders

by the subordinates. In other words, the clear lines of authority running through an organisation would improve the efficiency and performance.

3.3.3 Principles of Luther Gulick

Gulick's ideas are mainly contained in the famous acronym – POSDCORB, of which each letter or alphabet explains one function. Let us discuss them now:

• Planning

Planning is an integral part of an organisation, since it cannot function effectively without deciding about the what, why and how of work. It is to identify as to what work has to be done along with the rationale there of and method to be applied.

• Organising

Gulick believed that no work can be performed without designing an organisation delineating formally the division of work, the power relationship involving authority and responsibility.

• Staffing

It relates to proper and effective selection of employees; development of performance appraisal system, employees development including training and promotion; determining remuneration and manpower planning etc.

Directing

This function is taken as the life spark of an organisation, as it is the method by which efficient working of the employees can be ensured. Direction therefore involves supervision, motivation, leadership and communication.

• Coordination

Coordination is the process by which unity of purpose and unity of action can be achieved in an organisation. It is an activity towards removal of grievances apart from establishing an environment of harmony and cooperation between employees. Coordination is also an instrument of ensuring environment free from conflict and contraction between the organisational units and individuals.

Reporting

It means keeping records, preparation of reports and conducting inspections in order to provide information upwards. This system implies also putting in place a good communication system.

Budgeting

It involves a vast number of exercise encompassing preparation and execution of budget, accounting, as well as audit for exercising control over budget.

Gulick examined the concept of departmentalisation and suggested *four* basis of organisation viz., (1) purpose required to be served or achieved, (2) process (3) people or clientele; and (4) place or territory where the work is to be executed or performed.

3.3.4 Mooney and Reiley's Views on Principles of Administration

Mooney and Reiley published their Book named 'Onward Industry' in 1931 and again republished it in 1939 under a different name of Principles of Organisation. Mooney and Reiley contributed *four* principles of organisation known as: (a) Coordinative Principle, (b) the Scalar Principle, (c) the Functional Principle; and (d) the Staff-Line Principle. However, they laid major emphasis on coordination and hierarchy in the organisation as the most deterministic principles.

3.3.5 M.P Follett on Principles of Administration

Mary Parker Follett is another significant name among the community of management thinkers. She was born in Boston, USA in 1868 and received her education from Radcliffe College, Boston and Newnham College, Cambridge, England. Her first paper was read at Newnham under the title, 'The Speaker of the House Representatives'. Her two books, 'The New State (1920) and 'Creative Experience' (1924) became quite famous. Though she was primarily a political scientist, she ventured into the other fields like social work, philosophy, organisation management, economics and law. However, most of her ideas flew from her vast experience and study of the poor and the impoverished. She addressed the organisational management issues not merely from the viewpoint of increasing efficiency through a mechanically designed structure and through the mechanical application of rules and regulations. Rather she seems to have carried the idea of humane and social-psychological dimensions of the employees in an organisation.

She devoted her mind to the issues of conflict resolution, power, authority and responsibility and leadership. She opined that in order to enhance employees' efficiency and productivity, focus of the manager needs to be on conflict resolution and giving orders. She further invested her attention in the analysis of the concept of power, which she defined as 'the ability to make things happen, to be a causal agent, to initiate change'. Differentiating between power-over and power-with, she asserted that the former implies forcing one's will over others and asserting one's right to get compliance from others. In the opinion of Follett, this method has a risk of resentment and reaction. Yet, she recognised the fact that managers use the power-over even though it has weaknesses. Interpreting it further, she observed that "power is a self-developing capacity" and can neither be delegated nor conferred.

Follett also does not treat power and authority as synonyms. Distinguishing the *two*, she defines authority as one related to the function or the job and not the position. Thus, she believed that authority is pluralistic or functional in nature. She argued that authority has to be interwoven at various levels of the organisation and, hence, authority and responsibility goes with the task or function one undertakes. Authority is defined by her as the right to exercise power. She does not favour the idea of over-concentration of authority while accepting the importance of central authority in an organisation.

Speaking about responsibility, she said that like authority, there is nothing like final responsibility. It is also functionally related and is to be seen in terms of inter-dependent, instead of isolationist, nature of tasks. No manager can pass on his functional responsibility to the other higher up in the ladder. She observed in this regard that instead of 'always running up and down a ladder of authority, adequate organisational arrangements for interweaving of responsibility are necessary, especially at the lower levels. Strand should weave with strand and then we shall not have the clumsy task of trying to patch together finished webs'.

Mary Parker Follett recognised the importance and relevance of leadership in an organisation. She observed that a good leader is one who influences and is influenced by his group. For her views on leadership, one can refer to her two published papers on leadership: 'Leader and Expert' and 'Some Discrepancies in Leadership Theory and Practice' A real leader is one, she averred, who can convince that' the order is integral to the situation', instead of showing status or position by virtue of which he is to exercise power and order or command his subordinates. "Control will go", she wrote, "to the man with the largest knowledge of that situation, to him who can grasp and organise its essential elements, who understands its total significance, who can see it through-who can see length as well as breadth-rather than to one with merely a dominating personality or in virtue of his position" (Follett, op.cit.) For her, a person is considered as a genuine leader is apt in solving the problems rather than being merely assertive. A leader is one who has the ability to guide and direct. In the words of Follett, "We look to him to open up new paths, new opportunities for the development of individuals, or groups, or the whole plant. He should see not only larger situations, but situations of greater value to all concerned"(Ibid.).

Besides the issues discussed above, Follett gave adequate attention to the importance of coordination in an organisation. Coordination, according to Mary Parker Follett, is one of the most important functions of a leader. Though coordination has to be effected at each level down the ladder of management, the task of the chief executive is to perform a role of a critic, judge and a participant. She observed if purchasing agent and production manager bring him different conclusions, his task is not to decide between them, but to try to unite the three different kind of experience involved –that of purchasing agent, and of production manager and his own" (*Ibid.*). The task of coordination involves *three* acts:

- Clear definition of objectives.
- Relating the immediate purpose to the larger one; and
- Relating separate plan to the general one.

Follett asserts that a leader should teach and train his subordinates how to control a situation themselves. Elaborating her idea of coordination, it has been observed in Dhameja and Mishra (2016) that Follett gave *four* dimensions of coordination, which involved:

- 1) Direct contact among managers, somewhat on the lines of Gangplank of Fayol.
- 2) Way of including the viewpoints by all managers and taking into view their divergence of opinion towards integration of differences or conflict through reconciliation.
- A manner of relating managerial decisions to situations, clearly indicating that authority is connected to the job and not people or situations.
- 4) A continuous process, hinting at the need for organisations to change along with the changing situation.

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 POSDCORB view of Gulick.	
2) Examine some of the principles of public administration as enunciated by Fayol.	
3) Explain the views of Mary Parker Follett on Coordination.	

3.4 ADMINISTRATIVE MANAGEMENT APPROACH: AN APPRAISAL

The Administrative Management School of Study has become a subject of scrutiny and criticism at the hands of the modern management thinkers. Chiefly, it has been questioned by the Human Relations theorists, the Behaviouralist thinkers including Elton Mayo, Richard M. Cyert, Herbert Simon, Robert Dahl, Denhardt and all. The Human Relations thinkers have argued that it is not only the formal organisation chart, distribution of functions and system of work measurement, which are important, but also the feelings, values, informal group norms and family and social background of workers, which help determine organisation performance. The main elements of their objections, as observed, have been the following:

- 1) Management oriented theory does not give adequate attention to the problems of workers.
- 2) Lack of importance to informal organisation.
- 3) Concepts borrowed from military science.

- 4) Mechanical approach.
- 5) The School does not consider sociology, biology, psychology, economics etc., as relevant and included within the preview.
- 6) These principles are based on the assumptions that organisations are closed systems.
- Rigid structures created by these principles do not work well under unstable condition.

The Behaviouralists like Herbert Simon have called these principles mere proverbs of administration instead of principles. The grounds on which Simon questioned this School were that there was no consistency and predictability in the so-called principles. Many of the principles are contradictory and suffer from inherent dilemmas. For example, the principle of Unity of Command contradicts the principle of Specialisation or Division of Labour and the principle of limited Span of Control contradict the principle that the number of organisational levels should be kept at a minimum. Further, the principle of specialisation is internally inconsistent; for purpose, process and place are competing modes of specialisation and to secure the advantages of any one mode, the organiser must sacrifice the advantages of the other three modes. All modes cannot be followed simultaneously while pursuing specialisation.

Denhardt and Denhardt (2012) have criticised this Approach on the following grounds:

- The Approach is limited by the positivist thought and fails to recognise alternative ways of looking at public organisations.
- The meaning of experiences or the impact that they have on society's values means inaugurating a complex study, an effort that suggests we heed to not only empirical matters associated with management of change in complex systems, but also the larger social, political and ethical contexts that involve public administration.
- The creation of a theory of public administration is not merely a matter of gathering a set of techniques applicable to specific situations.
- Despite the predominance of conventional approach, there are works with important arguments that introduce a counter point in the field. However, he admits that during roughly a century, private management has served as a model for public administration.

According to Robert Dahl, these principles are based on a few case studies, and they are not empirically tested. Robert Dahl argues that for public administration science, it is imperative that: (1) its normative values are clear; (2) Man's nature in the field of public administration is better understood and their conduct more predictable; (3) there is a corpus of comparative studies from which it is possible to identify principles and generalisations that transcend national frontiers and peculiar historical experiences (*Cited* from C. Silva and De Mottia, 2016).

These principles are stated as unconditional statements and valid under all circumstances, which is not practicable. More and more conditional principles of management are needed. Robert Dahl does not agree with the view that a principle of public administration is also valid in any other state or that the practices of public administration in a country will necessarily be successful in a socially, economically and politically different environment. So, in his view, the linkage between public

Administrative Management Approach

administration and its social configuration must be understood in order to understand the administrative man. Echoing the views of Robert Dahl, Dwight Waldo (Administrative State: A Study of the Political Theory of American Public Administration) contended that the values of efficiency and economy dominating the thinking of the field at that time were too narrow to give a correct view of public administration.

A principal objective of a pubic organisation and of administrative reforms as well, has been taken as efficiency and economy. In its concern with efficiency and economy, public administration theorists in the late 19th and early 20th century focused on the questions of formal organisation. Many organisational principles focused their origin in military and private businesses. It is maintained by some critics of that the principles of public administration are useful only as rough criteria for given organisational situations. Organisational problems differ and the applicability of rules to various situations also differs.

The Classical Theory to public administration is further criticised on the ground that it 'crowds out 'the contribution of citizens (Ostrom, 2000) in many ways'. It undervalues the role that people, families and the communities play in producing public results and creating a society worth living in. In current contemporary times, citizenship has taken a broader definition and meaning in which it is viewed as an integrating concept (Denhardt and Denhardt, *op.cit.*). According to classical thinkers, the political representative determines and carries out the political will as citizen's play no direct role once the political representatives are legitimately elected by them. However as Stone (1999) has observed, 'public interest' can be best described today as a collective enterprise involving government and many other actors. There is wide dispersal of power and authority involving the public sector, private sector and citizens.

Control and Hierarchy

Writing about Control and Hierarchy, Bourgon (2011) has remarked, 'increasingly, it is quite clear that no government controls all the level of State power that are designed to address the complex problems that people really care about. Coordinating vast operations that extend beyond the control of government is one of the trademarks of public administration in the 21st century. 'Over the last 30 years, a recurring theme in public sector reforms has been the growth of non-traditional, non-hierarchical and non-governmental approaches to service delivery' (Kettle, 2000).

Most scholars and practitioners in the classical administration period not only accepted Wilsonian propositions, they also suggested several principles of public administration keeping in mind the improvement in the efficiency and economy of operation in the public sphere.

However, the politics- administration dichotomy framework appeared to be giving way to politics-administration integration. The boundaries between politics and administration became blurred. Gulick (1937) agreed that administration has something more to do than merely implementing the policy decided by the political executive and legislature- that partake in policy making process by way of tendering expert advice and making necessary data and information available to the policy makers.

It was during the 19th and early 20th centuries that rationalism, efficiency and productivity were the main concerns of the intellectual tradition of public administration.

Beginning with Scientific Management theory developed by F. W. Taylor, the focus was on the discovery and implementation of some basic principles leading to the most efficient performance of the tasks in an organisation.

Along with Taylor's Scientific Management model, evolved another approach to public administration known as 'principles of administration' originating in the works of Fayol, Urwick, Gulick, Follet and Mooney. This school of thought like Taylor's also has as its focus in the goal of enhancing efficiency. Fayol's theory was well-received in US and France and influenced the writings of Gulick and Urwick, prominent members of the committee constituted by President Roosevelt on administrative sciences. This is reflected in their famous work, 'Papers on the Science of Administration' (1937).

3.5 RELEVANCE OF THE ADMINISTRATIVE MANAGEMENT APPROACH

In spite of the criticism of the Mechanical or Classical Theory on various grounds, it cannot be denied that that this Theory remained relevant to administration and management alike not only at the time of its prescription, but holds value even after the emergence of a number of other theoretical propositions in the field of public administration. It has been revived in the New Public Management (NPM) Approach, which has come to consolidate the theory of public administration as chiefly focused on satisfying a neo-liberal perspective. Paes de Paula (2002) has stated that although post-modern administrative theories are called new, they are branches of the old schools of administration. One can see that the new organisational arrangements are actually reproductions of "administrative harmonies". In similar vein, Denhardt has argued that although there are different theories of public organisations, the predominant work is focused on the "rational model of administration", as well as on a dichotomous view of politics and administration. Further, the popularity of the theory is also sought for the following other reasons:

- It has provided a solid foundation for modern public administration.
- It includes the primacy of the rule of law, a commitment to due process in serving the public good.
- It includes a concern for efficiency in service delivery.
- It emphasises probity in the use of public funds.
- It lays down the basis for a strong system of accountability that runs through every level of public administration.
- Classical Theory framework has proven remarkably stable in different circumstances.
- Public organisations inherited from the 20th century were built to mass-product the public services and achieve pre-determined results. They were not expected to adapt to rapid changing circumstances and therefore were all prepared to innovate or discover new ways of fulfilling their missions.

While the ambit and the scope of the principles of administration might have expanded to include reliability and predictability; openness and transparency; effectiveness etc, in order to serve the needs of modern period, it cannot be denied that economy, efficiency and accountability form an integral part of good administration even today.

Thus, the importance and relevance of the principles might be summarised as follows:

- Management Training, Education and Research: These principles stress on scientific judgments and logical thinking. They serve as the basis of research and development in management studies.
- Fulfilling Social Responsibilities: Management principles not only act as
 guidelines for achieving organisational objectives but these principles also guide
 the managers to perform social responsibilities. For example, the principle of
 fair remuneration insists on adequate salary to employees and takes care of the
 interests of the employees.
- *Effective Administration*: Principles make the administration more effective. The efficacy of the principles of Unity of Command, Scalar Chain and Unity of Direction contributes a lot in ensuring a systematic and smooth functioning of the organisation.
- *Utility in meeting the Changing Environment*: Administrative principles train the employees at the higher level in implementing the changes in right direction and at right level in the organisation.
- Optimum Utilisation of Resources: The basic focus of the administrative school
 is on efficiency and economy in administration. Therefore, the application of the
 principles would bring into the functioning of the organisation the element of
 maximum gains with minimum costs; and
- They provide administrators/managers with useful insights into reality.

3.6 CONCLUSION

Thus, we can conclude that Administrative Theory Approach insists on formal organisation in which work is divided, arranged in order and coordinated for a given purpose. This Theory also underlines that there is no difference between public and private administration with reference to the principles and processes. These theorists believe that the principles of administration are universalistic in nature. The underlying philosophy makes the Approach atomistic, mechanistic, static, voluntaristic, rationalistic and the one that is oblivious of the impact of non- economic factors on the individual's behaviour. It may, in the end, also be pointed out that though this Theory has been subject to a number of criticisms at the hands of many scholars, it has had an impact on the studies of public administration and is relevant in the present contexts of administrative organisation even now.

Check Your Progress 3			
No	te: i)	Use the space given below for your answer.	
	ii)	Check your answer with that given at the end of the Unit.	
1)		ss the major grounds of criticism of Administrative Management Approach uman Relations theorists.	
	•••••		

3.7 GLOSSARY

Efficiency

: It refers to competency to achieve the task or perform a function with a minimum expenditure of time, effort and resource.

Formal Organisation

: It refers to a cleanly designed formal structure containing well-identified role distribution between various units and branches of the organisation; a clear-cut line of authority and responsibility from top to bottom and Unity of Command and Direction.

Inductive Method

: It is usually called the Scientific Method. Inductive inference is based on observations and goes from the specific to the general.

Primordial

: The term is derived from Latin words, *primus* and *ordiri*, which mean first and to begin respectively. So primordial means first of all or original.

Scientific Management

: This is a Theory mainly developed by F.W Taylor highlighting the application of scientific principles and methods of doing a particular task efficiently and economically.

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3.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - The need for a study of public administration as a separate field or discipline and to develop a science of administration.
 - The belief that there are some principles that can be developed that are universally valid for application in any organisation; public or private.
 - Focus on efficiency and economy in administration.
 - Debate regarding the nature of public administration, i.e., whether it is a Science or Art.

Check Your Progress 2

- 1) Your answers should include the following points:
 - Refer to Sub-section 3.3.1 containing the explanation of POSDCORB view of Gulick.
- 2) Your answers should include the following points.
 - Enlist the 14 principles and then discuss some of them in detail like division of labour, unity of command, equity order etc.
- 3) Your answer should include the following points.
 - The answer should refer to the fact that Follett considered coordination as one of the most important functions of leadership and mentioned the three acts involved in coordination. Viz., clear definition of objectives; relating the immediate purpose to the larger one; and relating each separate plan to the general one.

- 1) Your answer should include the following points:
 - The answer should include points mentioned in Section 3.4.
 - Refer to the matter given in the Section 3.5.

UNIT 4 BUREAUCRATIC APPROACH*

Structure

- 4.0 Objectives
- 4.1 Introduction
- 4.2 Nature of Bureaucracy
- 4.3 Pre-Weberian Bureaucratic Narratives
 - 4.3.1 J.S. Mill: Considerations on Bureaucracy
 - 4.3.2 Hegel's Perspectives on Bureaucracy
 - 4.3.3 Marx's Views on Bureaucracy
 - 4.3.4 The Power-Elite Concept
- 4.4 The Bureaucratic Approach of Max Weber
- 4.5 Post-Weberian Bureaucratic Narratives
- 4.6 The Way Forward
- 4.7 Conclusion
- 4.8 Glossary
- 4.9 References
- 4.10 Answers to Check Your Progress Exercises

4.0 OBJECTIVES

After reading this Unit, you should be able to:

- Discuss the bureaucratic approach in Pre-Weberian context with reference to modern society;
- Describe the relevance of Max Weber's Ideal type in understanding bureaucracy;
- Explain the key assumptions of Public Choice Approach to bureaucracy; and
- Examine the importance of bureaucracy in a democratic system.

4.1 INTRODUCTION

Every day citizens across the world interact with bureaucratic structures to pay remittances or renew their licenses or passports or to make an enquiry either online or offline. In contemporary society, bureaucracy has become an indispensable institution for implementing public policies; however, bureaucracy has been a fundamental institution of the State for several years, especially, in Asia and Europe. For instance, some of the traditional empires like Mauryan, Chinese, Roman and Ottoman, and pre-modern kingdoms of Mughals, Japan, China, developed a system of 'bureaucracy' that served the requirement of the ruler. Riggs (1997) points out that "...as hierarchies of appointed officials, bureaucracies were never democratic in structure or purpose, rather, they were designed to enable monarchs to administer domains under their authority, to expand those domains, and to protect them from aggressive neighbouring countries". With the emergence of representative governments, the existing functions

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shifted its focus 'From ruler to the ruled'. Unlike pre-modern bureaucracy that was obsessed with 'personal loyalty', the modern bureaucracy had been designed on the basis of 'impersonality', which is, uninfluenced by political and social power.

Bureaucracy is a social entity that constantly interacts with politics and society. Indeed, bureaucracy is equated with public administration and organisation and management of bureaucracy have always been the foundational premise of the discipline. The core concern of literature on bureaucracy was to conceptualise its role in relation to State, society, and economy. Initially, the study of bureaucracy was to analyse the working of administrative agencies as organisations within a governmental system with reference to two dimensions: the *external* and the *internal*. The *external* dimension includes inter-institutional relationships with chief executives, legislatures and judiciary and the *internal* dimension includes intra-institutional activities related to organisation structure and functioning of administrative agencies.

Later, with the rise of industrialised societies, there was a corresponding need to have an effective organisation that could match with the changes brought in by 'modernity' in terms of logic, technical efficiency, precision, authority, and rules. Many scholars like J.S Mill, Georg W.F. Hegel, Karl Marx, and Gaetano Mosca, have deliberated about bureaucracy, however, it was Max Weber who made a systematic attempt to understand its meaning in the light of capitalism. In this Unit, we shall examine the concept of bureaucracy as discussed by various thinkers and how it has helped shape the organisation, especially, public sector in contemporary times.

4.2 NATURE OF BUREAUCRACY

The study of bureaucracy as an academic pursuit finds its roots in the works of Max Weber, Woodrow Wilson, Frank Goodnow, Luther Gulick, F.W. Taylor etc. Indeed, Meier and Krause (2003) find that there has been a line of inquiry to develop generalisable theoretical principles and subsequent empirical understanding on the 'what', 'how' and 'why' of bureaucratic agencies. Initially, the line of inquiry was around the question: how to operate bureaucracies for a capitalist society. In the post-Second World War, the prime concern was to explore the role of bureaucratic agencies in democratic settings. In this Unit, the growth and development of bureaucracy as a social entity will be discussed along the continuum of public administration. Before studying the various perspectives of bureaucracy, let us first understand the nature of bureaucracy in brief.

Public Administration scholars, while examining the literature on bureaucracy, find *two* points of view on its nature. The *First* viewpoint recognises bureaucracy as an instrument or a mechanism that is created for efficient implementation of goals. This point of view considers bureaucracy as an epitome of rationality and as a public administration tool that specialises in service provisions. In order to perform the services that it offers to citizens (services like Aadhaar Card, ration allowance, water supply etc.), it has a cadre of qualified staff members who have been appointed for the position as prescribed by rule of law. The *second* viewpoint explores bureaucracy mainly as an instrument of power to exert control over its members or citizens either in the interest of the bureaucratic system or in favour of any vested interest. In fact, the second point of view intends to decode the process of bureaucratisation. Eisensdadt (1959) interprets bureaucratisation as "the extension of the power of a bureaucratic organisation over many areas beyond its initial purpose" and indicates that the two-fold aspects of bureaucracy cannot be viewed as separate and contradictory,

but rather they reveal the possibilities inherent in bureaucracy. Therefore, the problem seems to be not in determining which viewpoint is worth consideration, rather, the focus and locus could be on identifying the circumstances under which inherent tendencies like 'bureaucratisation' manifest in organisations.

On the organisational side, based on empirical studies, Andler (1996) presents *two* conflicting views of the attitudinal outcomes of bureaucracy with reference to Positive View (Enabler) and Negative View (Coercive). According to the Positive View, it provides adequate guidance and clarifies job responsibilities to the employees. As a result, it eases role stress and supports individuals, be and feel more effective in organisational setting. According to the Negative View (Coercive), the bureaucratic form of organisation quashes creativity due to its rigid functioning, which eventually makes the employee feel dissatisfied and demotivated. While the former (Enabler) keeps in mind the employee well-being as essential to achieve organisational goals, the latter (Coercive) uses force and punishment towards their employees. Andler (*ibid.*) finds that the bureaucratic organisation, which has less or no scope for guidance and support may be counterproductive in achieving their goals.

The above mentioned views on bureaucracy vis-à-vis Two-fold and Enabler-Coercive perspectives reveal the need to explore this phenomena through two pertinent questions; first, "how bureaucracies can shift from inert to innovative bureaucracy?"; and second, "how bureaucratic organisations can shift from coercive to enabling types of bureaucracy?". These questions were predominant among the academia too that scholars from different intellectual streams started sharing their narratives to explore this phenomena. It is to be noted that within this intellectual stream, there was also a parallel drive to fit bureaucracy into the democratic institutions after the Second World War. In the subsequent sections, we will be discussing about Pre-Weberian, Weberian, and Post-Weberian bureaucratic narratives. Further, we will look into the implications of Bureaucratic Theory and the need for reinventing bureaucracies in today's context. In this Unit, the terms 'Theory', 'Approach', and 'Model' are used interchangeably.

4.3 PRE-WEBERIAN BUREAUCRATIC NARRATIVES

It has been often cited in public administration literature that Max Weber was the foremost thinker of modern bureaucracy. But it has to be noted that prior to Weber, there were many scholars like J.S. Mill, G.W.F. Hegel, Karl Marx, etc. who had set the stage for a comprehensive discussion on bureaucracy and in examining its role in capitalist economy. In the following sub-sections, we will study some of these Pre-Weberian perspectives in brief. This will enable you to have a background understanding on the intellectual roots of bureaucracy.

4.3.1 J.S. Mill: Considerations on Bureaucracy

J.S. Mills' Essay titled 'Considerations on Representative Government' (1861) was written about half a century before Weber's publication on Bureaucracy. According to Mill, the term Bureaucracy implies direct work of government and sometimes he refers to bureaucrats as the actual governors. Mill clarifies the meaning of bureaucracy as: "the essence and meaning of bureaucracy lies when the work of government has been in the hands of governors (in this context bureaucrat) by profession". In terms of recruitment, Mill prefers to have recruitment based on merit (competition), where the candidates' intelligence, education, and potential governmental skills could be

Bureaucratic Approach

tested. Citing bureaucracy as the "permanent strength of the public service" and the bureaucratic functions as highly professional in nature, Mill recommends "tests for selecting the best officers, rules for promotion, appropriate provisions for order and convenient transaction of business, good record keeping, and proper measures for responsibility and accountability".

While exploring the relationship between representative government and bureaucracy, Mill did not isolate bureaucracy from the policy process, but viewed it as an institution of experience, skill and knowledge. Interestingly, Mill sets limit to political executive in relation to bureaucratic interference on the grounds that they lack knowledge or experience to direct the public service. However, Mill did recognise the dangers of bureaucracy such as abuse of power and limitations on human creativity. In Mill's view, administrators engaged in corrupt practices can be removed by political executives or elected members as they are responsible for the people and scrutinising the work of administrators.

Nevertheless, in those days seldom a bureaucrat got removed from position on moral grounds. Unlike, positivist view, Mill did not consider bureaucracy as a 'value free' entity, rather considered its role as a 'neutral entity' in partisan politics. Here 'being neutral' is not to be mistaken as staying inert but standing out with exceptional qualities like stability, skill, knowledge and experience to mediate the process of democratic decision making. It is with this reference to bureaucracy's role in democracy, Mill, identifies a potential role for bureaucracy in the states' progress and citizen development. His work tried to bring a democratic spirit in exercising governance by applying multi-stakeholder approach, which included the most educated, skilled and experienced citizens, no matter whether they were elected representatives or officials.

Warner (2001) points out that Mill had "set out a remarkably succinct yet impressively comprehensive theory of bureaucracy within representative government". From the perspective of J.S. Mill, we can understand that public bureaucracy is not just legitimate arm, but also an essential constituent of good government. Indeed, present day governance narratives on citizenship, civic participation and community governance can be attributed to the writings of J.S. Mill.

4.3.2 Hegel's Perspectives on Bureaucracy

One of the influential thinkers who acknowledged bureaucracy as the main governing organisation in the modern State was G.W Friedrich Hegel. In his Philosophy of Right, published in 1821, he deliberates about how liberal States can be organised, and endorses the role of civil service as an essential element of government. Interestingly, Hegel upholds the role of civil service as a "universal class" since the end of their activities is to realise universal interest. Misra (1977) points out that Hegel raised the concept of bureaucracy to a higher level by defining it as the 'State's will' and considered it as "a transcendent entity, a mind above individual minds". Indeed, Sager (2009) observes that Hegel's political philosophy prompted Woodrow Wilson to believe in a class of educated, morally upright public servants who would serve the common will. The organisational characteristics that Hegel envisions for a modern bureaucracy include the following features: functional division of authority, principle of hierarchy, separation of office from its incumbent, merit-based recruitment through competition, fixed remuneration, and exercise of authority in compliance to common good. Hegel believed that in an egalitarian society, a bureaucratic structure that is based on the above mentioned characteristics would nevertheless be considered

as the most appropriate administrative organisation in terms of maximum simplification, speed, and efficient handling of State affairs.

Shaw (1992) observes that several authors have observed that Hegel's Philosophy of Right draws a close similarity to Weber's understanding of bureaucracy in terms of formal characteristics, such as fixed remuneration, professionalism, office as main occupation, the separation between office and official, the merit-based recruitment, rational hierarchical structure, untied to any vested interest, and centralisation. On the level of institutional analysis. Shaw (1992) points out that Hegel's characterisation of the structural attributes of bureaucratic organisation is as comprehensive as Weber's ideal type. It can be deduced that at least partially, Weber would have derived his conceptualisation on bureaucracy from Hegel. Unlike Weber's theory of bureaucracy that is characterised by technocracy and compliance to rules, Hegel's theory of bureaucratic activity is based on practical philosophy.

With regard to politics-administration dichotomy, scholars could not find any traces of this dimension in Hegel's writings, rather, could only observe his speculations on the indispensable role of bureaucracy in a modern constitutional State. Indeed, in the case of downfall of the socialist regimes proved that *sans* democracy and modern bureaucracy there will be no provision for universal (Public Value) norms. Shaw (1992) cites that "the task of modern bureaucracy", according to Hegel, "is to realise the political norms in concrete situations and to subsume the latter (political) under the universal norms". In fact, Shaw (1992) acknowledges that Hegel's theory of bureaucracy would serve as a new means of sustaining the Constitution.

4.3.3 Marx's Views on Bureaucracy

Marx's proposition on bureaucracy was set at the backdrop of capitalist society, where the status of State in general and bureaucracy in particular was far from upholding universal interests. Power is normally understood in Marx's observations as the presence of class and its relationship to economic production in society and not the State. Hence, Marx's premise on bureaucracy could be traced from his political economy view, where power manifested from the position is held by a class in the capitalist society. In this regard, Marx viewed that bureaucracy is no less than an apparatus that exhibits the repressive character of State. Marx's cynicism on bureaucracy could be better understood in his 'Critique of Hegel's Philosophy of Right' in 1843, where he openly questions Hegel's basic hypothesis on political theory and idolisation of State. Hegel conceptualised bureaucracy as an insightful institution which has the capability to reflect to public interest.

However, Marx questioned the status of bureaucracy in being vocal to the problems of the masses. To illustrate, Marx while examining the features of bureaucracy, such as hierarchical and functional differentiation, asserted that it can only lead to incompetence of the incumbents. Bhattacharya (2008) summarises Marx's observation on bureaucratic incompetence as: "the superior does not know the specifics of the case, the subordinates does not know the general principles and none can appreciate the totality of a situation". Owing to the conflicting interest in capitalist society, Marx finds that the role of State is nothing more than an egotistic interest. Dwivedi (1985) observes that Marx viewed State as a partisan instrument in the enactment of intrasocietal class struggles rather than a neutral umpire of such struggles. Misra (1977) points out that for Marx 'State was not an independent entity which possessed its own intellectual, ethical, and libertarian basis' and considered bureaucracy as an

Bureaucratic Approach

instrument and agent of State that is directed and controlled by the economically dominant class.

Indeed, Marx viewed bureaucracy through a critical lens rather than theorising State bureaucracy. In Marx's own words: "The general spirit of bureaucracy is secret, mystery, safeguarded inside itself by hierarchy and outside by its nature as a closed corporation". Undoubtedly, this perspective of Marx is worth considering in the context of top-down bureaucratic model: firstly, as information and knowledge is not uniformly accessible to the incumbents, Marx cautions about the inherent tendency of bureaucracy to manipulate knowledge into secrecy and competence into mystery; secondly, he warns about bureaucrat's obsession in "...passive obedience, faith in authority, mechanisation of fixed and formal behaviour, fixed principles, attitudes, and traditions...". In a way, Marx's views could be used as an analytical framework to understand and assess the dysfunctions of bureaucracy in developing countries.

4.3.4 The Power-Elite Concept

Unlike Marx's dominant-class theory, which is based on economically dominant class, Mosca's dominant-class theory is based on 'politically dominant class'. Mosca held the view that bureaucracy signified rule by officials. In 'The Ruling Class' published in 1939, he differentiated governments into two categories, namely, feudal and bureaucratic. According to Mosca, as cited by Misra (1977), Feudal State is a political organisation, where the executive functions of the State like economic, judicial, administrative, and military would be exercised by the same individuals. In the bureaucracy.

In fact, Mosca defined bureaucracy "as a political organisation with an extensive number of public services receiving their salaries from the government for the performance of 'public duties' demanding a 'greater specialisation of functions', 'a far greater discipline in all grades of political, administrative and military service". Further, Mosca acknowledges the bureaucratic system as a body of public officials who formed an integral part of the ruling class. Misra (1977) observes that Mosca stood as the outstanding advocate of the power-elite concept of bureaucracy who viewed bureaucracy as one of the defining features of public administration in a modern State about eight decades earlier. However, Mosca makes observations on tendency of bureaucracies to dominate, hence, recommended the mechanism of the vote, which could reflect the diverse interests of society.

Vilfredo Pareto, one of the thinkers who elaborated Mosca's theory came out with a theory of circulation of elites, which emphasises on the theory of replacement of one group of elites by another. In fact, the principle of elite circulation was intended to bring continuous interaction and assimilation of new and persisting ideas. In this context, Misra (1977) points out that Pareto emphasises the potential role of socialism as a means to the creation of a new working class elite. Scholars like Robert Michels joined this discourse and recognised the principle of elite circulation. Nevertheless, Michels was aware of bureaucratic functioning and believed that it was an instrument in the hands of politically dominant class.

Although, the concept of oligarchy (minority rule) was used by Mosca in the study of bureaucracy within public administration, it was Michels who widened its scope to all modern organisations. Misra (1977) highlights that both Michels and Mosca limited their work only to the sociology of power, administration and authority and seldom made attempts to examine this subject of bureaucracy in depth or zooming

on its political and organisational dimensions. The cumulative effect of these developments accelerated into an in-depth study on bureaucracy by Max Weber. In the next section, we will be discussing the Bureaucratic Approach as propounded by Weber.

Ch	eck Y	our Progress 1
No	te: 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 nature of bureaucracy?
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	•••••	
2)	Briefly	y describe Mill's views on bureaucracy.
	•••••	
	•••••	
3)	Write	a brief note on Hegel's views of Bureaucracy.
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4)	Discu	ass the main aspects of bureaucracy as identified by Karl Marx.

4.4 THE BUREAUCRATIC APPROACH OF MAX WEBER

Max Weber has had an overarching influence in the development of the sociological analysis of bureaucracy in relation to its political and organisational dimensions. His conceptual and historical analysis provides a theoretical grip for establishing connection

Bureaucratic Approach

of bureaucracy as an administrative organisation with politics and society. He asserts that the process of rationalisation was a determinant factor of modern society and finds that rationalisation had penetrated deep into the political, social, and economic life, thus, paving way for modernisation. Apparently, his observations on bureaucracy emerged out of socio-historical forces, such as the period of absolute monarchy in the West and the subsequent phase of national sovereignty, growth of industrial community and working class traditions.

• The Context

Max Weber's 'The Protestant Ethic and the Spirit of Capitalism' is generally considered as an outstanding work for its understanding on the emergence of modern capitalism. Nevertheless, his essays on bureaucracy may be regarded as an influential work in the relevant academic disciplines of sociology, political science, history or public administration. To begin with, the central idea in Weber's bureaucracy cannot be restricted to merely providing guidelines to managers. Indeed, Weber inclined to address a perennial debate put forth by Hegel and Marx with reference to the basic nature of domination in society.

As discussed in the previous section, Hegel recommended that the State administration serves as an instrument to achieve general will of the people (idealism). Later, Marx disagreed with this recommendation on the pretext that in a capitalist society, the State and its bureaucracy obliges to serve the interests of the economically dominant class who control the means of production (materialism). Hence, Marx speculated that the wealthy and powerful elite could exhibit control over the lower classes.

According to Weiss (1983), Weber's writings on "bureaucracy were composed as responses to the Marxian perspective" and "was roughly half way between the idealism of Hegel and the materialism of Marx". Weber agreed with Marx's contention that the State bureaucracy is no less than an apparatus that exhibits domination in society. However, Weber anticipated that domination based on knowledge including both technical knowledge and knowledge of the concrete fact as legitimate (legal-rational) and far superior than other forms of dominance. Historically, Weber identified two types of dominance, namely, traditional and charismatic. For Weber, leadership and authority gained its basis either through traditional or charismatic dominance. To illustrate, dominance based on traditional set up may be patrimonial or feudal in nature. On the other hand, dominance based on charisma indicates the traits of a leader who possesses exceptional qualities. Unlike, the other two dominance structures vis-à-vis traditional and charismatic, Weber recommended a new organisational structure based on rational principles, such as logic, efficiency and reason. In Weberian version, this is termed as 'legal-rational authority' and signifies such an organisation as the hallmark of modern civilisation.

• The Ideal Type Bureaucracy

To make sense of the historical events and patterns on dominance and administration, Weber made efforts to understand bureaucracy on heuristic lines. Rudolph (1979) points out that this heuristic understanding "became the means for demonstrating historical change from traditional to modern (rational-legal) authority". Weber's methodological stand with regard to ideal types can be understood as an interpretation of human events and experiences. For Weber, human events have been governed primarily by meaning and not by laws. In this regard, Rudolph (1979) notes that ideal types are imaginary constructs or game plans to tell us how they would be put together and make it work. For purposes of understanding complex reality posed

by modernisation, Weber asserts that ideal-types could serve as a strong "conceptual instrument for *comparison* with and the *measurement* of reality".

In his concept of bureaucracy, Weber included the following components: formality, continuity, sphere of competence, role segmentation, hierarchy, merit based recruitment, selection, career, training, and written documents. For Weber the goal of bureaucracy is to maximise efficiency for the reason that a technically sound administration will enable all employees towards optimum performance. Keeping in mind the objectives of 'efficiency' and 'predictability', Weber conceptualised his bureaucracy to cater to the complexities of modern societies. Weber believed that the organisational decisions would be more neutral and unbiased and guarded against personal, irrational, and emotional aspects. Importantly, Weber also provides scope for steady improvement of functioning through training and constant practice.

• Critique of Weber's Ideal Type

Weber points out that his ideal type cannot be found empirically anywhere in reality and has no connection at all with making value judgments. However, Weber's bureaucracy was criticised from the standpoint of applicability of the model and is also described as huge, inert, inefficient structurally, it could lead to an increase in the hierarchical rigid structures, ambiguous rules, expenditure on structure and personnel on the other hand, behaviourally, bureaucracy is dominated by secretive functioning, alienation from public scrutiny, and over-reliance on technocracy. To illustrate, critics points out that functional maladies are ailments of organisation and cautioned that over-reliance on rigidity and secretiveness may lead to withdrawal from public interest. Critics like Warren Bennis, have contended that the traditional bureaucratic model is an outdated type of organisation in the contemporary complex, dynamic, and globalised society. Meier and Krause (2003) note that Neo-liberal critics like Gordon Tullock, Anthony Downs, William A. Niskanen etc. portray bureaucracies as huge machines that are out of control and hypothesise that if bureaucratic behaviour is not held under tight supervision in the form of rigid rules, it is likely to maximise autonomy. Misra (1977) refers to another critic Robert K. Merton, who claims that in its obsession to build rigidities and conformity to rules, bureaucracy interferes with the organisational goals. On these lines, several scholars were engaged in empirical analysis of administrative organisations and its impact on social reality.

Despite criticisms from far and wide, Weber's ideal type of bureaucracy has remained undervalued because of misunderstandings of ideal-typical method. To illustrate, Bartel (2009) while reflecting on the criticisms of ideal types emphasises that the question whether bureaucracy is outdated, oversized or too powerful is subject to empirical research and it is invalid to make comprehensive claims on its dysfunctions without solid empirical evidence. In the ensuing sub-section, we will discuss about the implications of bureaucratic theory.

• Implications of Weber's Bureaucratic Theory

Unlike his predecessors, Weber's writings imparted a degree of clarity and technical sophistication to the study of bureaucracy. Meier and Krause (2003) indicate that Weber's explanations give an appropriate way to technically design organisations in terms of division of labour, specialisation and training, formal hierarchical structures, explicit rules and procedures. Weber claims that his theory of organisation is applicable not only to government bureaucracy, but to all other modern organisations either social or economic. The key feature of this organisation is that the rules and regulations

do not contradict each other; and the rules are applicable to everybody irrespective of their class or creed. It can be construed that since the authority is derived from law, there is no room for arbitrariness. In his own terms, Weber holds the view that bureaucracy can serve any master which means irrespective of the nature of the organisation his theory of bureaucracy could be considered as an 'Ideal type'. But the relevance of bureaucracy will depend on the quality of the master to whom it serves.

One of the core values of bureaucracy, as glorified by Weber is its 'neutrality' from vested interests. In this regard, Weber considered bureaucracy as an epitome of modern State, and placed a fundamental difference from feudal government, which was based on personal ties and privileges. Indeed, Weber anticipates that "bureaucracy develops more perfectly, the more it is 'dehumanised,' the more completely it succeeds in eliminating from official business love, hatred, and all purely personal, irrational, and emotion elements". Nevertheless, Weber was well-aware of bureaucratic dysfunctions. To illustrate, Misra (op.cit.) cites that Michels was sceptical about the co-existence of bureaucracy and democracy, not to forget that Weber did suggest a number of mechanisms to limit the scope of misuse of authority, such as, collegiality, separation of powers, amateur administration, direct democracy, and representation. These mechanisms will be separately discussed in our other Course, in the Unit on Max Weber.

4.5 POST-WEBERIAN BUREAUCRATIC NARRATIVES

Although several scholars had given their appraisal on Weber's Ideal type, it is essential to understand their perspectives on bureaucracy in terms of organisational, political, and social contexts. In this regard, the following Section will focus on the following approaches, namely, Public Choice Approach and a General Theory of Bureaucracy.

• Public Choice Approach

Public Choice Approach (which will also be discussed in a later Unit of this Course) presents an alternative to the view that bureaucrats act as trustees of public interest. This Approach focuses on problems of control and responsiveness that is inherent in Weber's bureaucracy. The major contribution of this School was to link bureaucratic behaviour to resource optimisation and the notable thinkers in this Approach include Gordon Tullock, James M.Buchanan, William Niskanen etc. To illustrate, Niskanen (2012) while deliberating on Tullock's bureaucratic model finds its foundations based on three assumptions: (a) bureaucrats are primarily motivated by selfish pursuits; (b) public agencies are not constrained by effective competition; and (c) as the size of public sector is an unmanageable size, it is difficult to measure its performance.

Tullock asserts that the primary motivation of bureaucrats is the desire to increase their career prospects, especially, in getting oneself promoted. In pursuit of getting ahead of others, the bureaucrat maximises his attention in pleasing his/her superiors. Tullock points out that in a competitive market, merit occupies a central criterion for promotion, whereas in public sector, Tullock finds no such objective criteria for performance measurement. Consequently, he laments that the effort towards achieving organisation goals gets diluted, thus, leading to bureaucratic dysfunctions like inefficiency, inertness, inaction, corruption, rigidity etc.

One of the root causes of inefficiencies as highlighted by Tullock is their monopolistic

competition, that is, imperfect competition. Tullock adds that in an imperfect competitive environment the presence of external checks and balances to uphold law are completely absent. To put it in other words, the presence of external scrutiny ensures that no one person or department has absolute control over making decisions. Further, Meier and Krause (2003) analyse that public choice theorists strongly advocate elevating of the role of people to that of customers so that they can choose among the providers at a minimum cost. For instance, Niskanen claims that bureaucracy is preoccupied with budget maximisation and in that process tends to become monopolistic in delivering public services. Hence, he considers public service delivery as inefficient and unresponsive to citizens' preferences. Therefore, the general tone of Public Choice Approach is to decentralise government bureaucracies into agencies, which deal with each other on a user-centric basis.

General Theory of Bureaucracy

Elliott Jaques, a social scientist in his Book "A General Theory of Bureaucracy", assumes bureaucratic organisation as an indispensable entity. In this Book Jaques intends to build a general theoretical construction of how social institutions and human nature influence each other with special reference to bureaucracy. Waldo (1978) points out that Jaques's views bureaucracy as a strategy to which organisation could imbibe its strengths rather than be afflicted by its dysfunctions.

Ramaswamy (1979) notes that Jaques's attempts to humanise bureaucracy and provide competitive service to the needs of the society. Based on the vast experiences gathered from Glacier Metal Project of the British Ministry of Trade, Jaques could provide a blueprint for constitutional bureaucracy. To illustrate, Jaques advocated for an interactive participation on constitutional grounds, wherein at least one source of authority at every community level vis-à-vis factories, offices, schools, government departments, hospitals, and other social institutions could engage with each other and overcome differences. In this way, he was of the view that bureaucratic power could be made more relevant and legitimate. To a large extent, Jaques believed that such exercises could lead to 'humanising bureaucracy':

i) Jaques' Classification on Competition

Jaques' classification with regard to competition has two dimensions: (a) Service-providing competition: This type of competition could be witnessed in free market societies to cater to consumer needs; (b) Labour-exploitative competition: this type of competition intends to get the cheapest labour from the existing market. Unlike labour-exploitative competition, Jaques views that service-providing competition serves the societal interests.

Needless to say, Jaques was well-aware of the discrepancies associated with the 'competition' in both capitalist and socialist systems, such as, undermining public interest (capitalist system) and the spirit of serving customer needs (socialist system) respectively. To overcome this scenario, Jaques recommends a simple solution – the state of mixed economy wherein a bureaucratic system mandated by the Rule of Law can be used as a force to check any forms of discrimination in the society. According to Jaques, the underlying idea is to liberate the humans from exploitative work, while at the same time providing quality services.

ii) Internal Organisation

In line with humanising bureaucracy, Jaques mentions about the *two* major social requirements. They are: (1) to ensure that every employee works according to his

work capacity, and (2) to ensure an equitable relationship between work and remuneration. He points out that to meet the requirements, bureaucracy is expected to delineate the criteria for individual accountability. Elliott Jaques' views that the manager-subordinate relations will be compatible if the bureaucratic structure focuses on organising these relations. For example, when the work capacity of the individual changes, they need to be relocated in the bureaucratic design so as to avoid role ambiguities.

Jaques acknowledges that no industrial society could survive in a democratic system if its bureaucracy is not rooted firmly on the principle of 'employee consensus'. He clarifies that consensus is required for organising policies and not for executive decisions. He perceives in his theory of bureaucracy that the appraisal of subordinates would be highly subjective, however, in case of any grievances, the subordinates could be provided with the provision to make an appeal to the higher-ups.

iii) Time Span Discretion

One of his Jaques' biggest contributions has been the 'time span discretion'. This is an approach to review and evaluate jobs based on the time taken for making decisions by his or her superiors. In this regard, the lower level job occupies a brief span and the job is frequently monitored, whereas at the highest level, the effectiveness of the decisions may take several years to review.

iv) Post-Weberian Perspectives

Both the above mentioned perspectives on bureaucracy enable us to have a comprehensive view on bureaucracy and make an effort to understand what motivates bureaucrats. *Firstly*, the Public Choice Approach insists on measuring performance and in fixing criteria for career prospects. Though this Approach takes weightage of merit, the critics of this Approach question the bureaucrats' tendency to maximise their self-interest over public interest.

Given the context that Public Choice Approach poses a serious problem in developing countries in terms of citizen apathy, the logic of Public Choice Theory is questionable. *Secondly*, A General Theory of Bureaucracy comes as an alternative to traditional bureaucratic system, where Jaques himself laments that "the system we have now is much more crushing to the individual". Hence, he envisions a humanising bureaucracy embedded in a democratic system. However, its relevance may have to be tested empirically in contemporary society. Ramaswamy (1979) anticipates that the validity of Jaques's theory of bureaucracy may have to be proved in a pluralistic society.

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) Expla	ain the significance of Max Weber's Ideal type bureaucracy.	
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2)	What are the implications of Bureaucratic Theory?
3)	What are the assumptions of Public Choice Approach on bureaucrats?
4)	Explain Elliott Jaques' views on bureaucracy.

4.6 THE WAY FORWARD

From the arguments that we covered in the previous sections, we can conclude that no single approach is adequate for the development of theory in bureaucracy. Bureaucracy, market, and constitutional bureaucracy are usually considered as alternatives based on the principles of hierarchy (Weber), performance measurement (Public Choice), and cooperation (A General Theory of Bureaucracy). Logically, there have been different mechanisms to achieve rationality, accountability, mobilising resources and compliance. As already indicated earlier, in pluralistic societies with diverse demands and benchmarks delivering services, it is necessary to require more complex systems that cater to citizens' needs. In retrospect, bureaucracy came as an alternative to survive in a complex system, which Weber viewed as modernisation. He regarded bureaucracy as a universal phenomenon and reiterated that a rule makes everyone clear about the outcome of any action and helps promote objectivity. It even prevents irrational action, favouritism and discrimination.

Schumpeter (1976) notes that "Bureaucracy is not an obstacle to democracy, but an inevitable complement to it". With the rise of network State, the inevitability of bureaucracy has been confirmed more than ever by the scholars. Jaques (1976) asserts that "the simplest fact is that if we decide to proceed with the development of industrialised societies, then bureaucracies on a large-scale are here to stay". As we discuss these perspectives, we need to understand the question of how effectively we could organise and fix accountability mechanisms on bureaucracies in this age of

citizen engagement. Interestingly, the more answers we find, the more questions we have. Probably, Waldo's position could be the way forward as he insists, "It hasn't been my aim to tell people what to think...I have tried, rather, to tell them how to think-specifically, of course, about public administration". Given the fact, one of the noteworthy suggestions given by Denhardt (2011) was a model of New Public Service that is based on democratic citizenship and service in tune with public interest. For Roberts (2008), this is "the age of citizen engagement" and confirms that "citizen engagement is no longer hypothetical and it is real". With the current dimension peppered by social media technologies, the way people relate to each other using citizens' surveys, panels and focus groups to voice their opinions, the interaction between government and citizens is likely to shape the wider community.

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)	Briefly explain the nature of power-elite concept.	
2)	"Bureaucracy is not an obstacle to democracy but an inevitable complement to it" Comment.	
	to to Comment.	

4.7 **CONCLUSION**

Prior to Weber, there have been thinkers like Mill, Hegel, Marx, Michels etc., who have explored bureaucracy in relation to politics, economy and society. In the context of democracy, Mill identifies a potential role for bureaucracy in the states' progress and citizens' development. Another thinker who pointed out the structural attributes of bureaucracy as comprehensive as Weber's ideal type was Hegel. It can be construed that Weber's theory of bureaucracy is characterised by technocracy and compliance to rules, whereas Hegel's theory of bureaucratic activity is based on practical philosophy.

One of the influential thinkers who revolutionised the domain of social sciences through his power structure of society was Karl Marx. He cautioned about the inherent tendency of bureaucracy to manipulate knowledge into secrecy and competence into mystery if economically dominant class influenced the State. Indeed, Marx's

views could be used as an analytical framework to understand and assess the dysfunctions of bureaucracy in developing countries. On these lines, Michels and Mosca made attempts to study the way bureaucracy functions in the hands of politically dominant classes.

One of the core values of bureaucracy, as glorified by Weber is neutrality from vested interests. Weber advocated for a dehumanised bureaucracy on the pretext that it would deal in an impersonal and formalistic manner in their relations with others and also in the execution of their official duties. He believed that it would eliminate personal, irrational and emotional elements. However, this neutral attitude isolated bureaucracy from being human. Hence, A General Theory of Bureaucracy comes as an alternative to traditional bureaucratic system, where Jaques proposed for a humanising bureaucracy vis-à-vis community involvement, employee consensus, mixed economy. With this the content of bureaucracy deviated from Weber's legal-rational model. Public Choice thinkers strongly criticised bureaucracy for being unaccountable and irrational in making budgets.

Therefore, Public Choice recommended for measuring official performance, criteria for making promotions, and optimum utilisation of resources. In the twentieth century, the scope of both bureaucracy and civil liberties have had concurrently widened and deepened. Consequently, there have been rising networks between government-citizen-business groups, which eventually looked for an alternative in engaging citizens in every day affairs. This reoriented the focus and locus of bureaucracy towards citizens at the heart of governance vis-à-vis citizenship, civic participation and community governance.

4.8 GLOSSARY

Heuristics

: It is an approach to problem solving to reach a solution or output within a shortest span of time. It is chosen over conventional methods as they are slow. Focus in Heuristics is on trial and error, assumption and optimality. Speed of the approach matters more in heuristic approach.

Positivist

: It is a term that derives from Positivism, a western philosophical thought which relies on scientific knowledge and empirical evidence.

Technocracy

: A group of elites with technical expertise.

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4.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

- 1) Your answer should include the following points:
 - Bureaucratic literature addresses two points of view about its nature.
 - The first viewpoint indicates bureaucracy as an instrument to achieve goals.
 - The second viewpoint implies that bureaucracy is an instrument of power to exert control.

- 2) Your answer should include the following points:
 - Mill views bureaucracy as an institution of experience, skill and knowledge.
 - Mill cites that bureaucracy is the permanent strength of public service.
 - Bureaucracy should function in a neutral way.
 - Public bureaucracy is not just legitimate but essential element of good government.
- 3) Your answer should include the following points:
 - Hegel upholds the role of bureaucracy as a 'universal class'.
 - He envisions a modern bureaucracy with characteristics of merit, separation of office, hierarchy etc.
 - Hegel's bureaucracy bears a close similarity to Max Weber views on bureaucracy.
 - Bureaucracy could serve as a new means for sustaining the Constitution.
- 4) Your answer should include the following points:
 - Marx perceived bureaucracy on the premise of reflecting the interests of economically dominant class.
 - Marx viewed bureaucracy that exhibited the repressive character of State.
 - His views on bureaucracy could be better understood in his critique on Hegel's Philosophy.
 - Marx cautioned that bureaucracy has a tendency to be secretive and reflects a fixed attitude.

- 1) Your answer should include the following points:
 - Ideal types are imaginary constructs to put things together and make it work.
 - To make sense of historical events and patterns on dominance and administration.
 - It helps us to interpret human events and experiences in an organised way.
 - It serves as an instrument to compare and measure reality.
- 2) Your answer should include the following points:
 - It helps to technically design organisations on rational lines.
 - Weber's claim that his bureaucratic model had universal relevance.
 - Weber justified that his bureaucratic model could serve any master or any society.
- 3) Your answer should include the following points:
 - Bureaucrats are primarily motivated by selfish pursuits.

- Public agencies are not constrained by effective competition.
- As the size of public sector is unmanageable it is difficult to measure its performance.
- 4) Your answer should include the following points:
 - Jaques' views on bureaucracy explores a general theoretical construction of how social institutions and human nature influence bureaucrats.
 - Humanisation of bureaucracy could be achieved through mixed economy.
 - Employee Consensus is an important principle for the internal structure of bureaucracy.
 - 'Time-span discretion' is an important contribution of Jaques to review jobs and evaluate decisions.

- 1) Your answer should include the following points:
 - It is based on politically dominant class principle.
 - Mosca viewed that the ruling elite wields more power in the society.
 - He recommended the system of vote to reflect wider societal interests.
 - Vilfredo Pareto introduced the principle of elite circulation wherein continuous flow of ideas take place.
- 2) Your answer should include the following points:
 - The rise of network State and social media technologies have made bureaucracies indispensable.
 - Citizens' engagement is no longer hypothetical. It is rather real.
 - New Public Service advocates the role of democratic citizenship, civic participation and community governance as inevitable.



BLOCK 2

BEHAVIOURAL, SYSTEMS AND SOCIO-PSYCHOLOGICAL PERSPECTIVES



UNIT 5 HUMAN RELATIONS APPROACH*

Structure

- 5.0 Objectives
- 5.1 Introduction
- 5.2 Early Experiments of Mayo
- 5.3 Human Relations Studies
- 5.4 Significance of Hawthorne Studies
- 5.5 An Appraisal of Human Relations Approach
- 5.6 Conclusion
- 5.7 Glossary
- 5.8 References
- 5.9 Answers to Check Your Progress Exercises

5.0 OBJECTIVES

After reading this Unit, you should be able to:

- Discuss the nature of open and closed systems;
- Describe the experiments conducted by Elton Mayo;
- Bring out the significance of Hawthorne studies; and
- Analyse the achievements and failings of Human Relations Approach.

5.1 INTRODUCTION

The term *Organisation*— be it government, private, non-governmental, community—based, has different connotations. Its definition varies according to the context and perspective. Chester I. Barnard defines organisation as "a system of consciously coordinated personal activities or forces of two or more persons". An organisation is basically a structure with people working across various levels. Its framework varies depending on the form, the type of interactions the organisation has with the people, and basis of division of functions. Based on these parameters, the theorists have developed models, which are categorised as closed and open.

The closed model of organisation also termed as bureaucratic, hierarchical and formal is said to exist in a routine and stable environment. A closed model is represented by the tenets of scientific management. It has certain distinct features:

- This model of organisation is based on the principle of hierarchy.
- Specialisation of tasks based on division of labour is the core of the closed model of organisation.

^{*} Contributed by Prof. Uma Medury, Faculty of Public Administration, SOSS, IGNOU, New Delhi.

Behavioural, Systems and Socio-Psychological Perspectives

- Vertical interactions between people in the organisation, which are directed towards securing obedience and command.
- Emphasis is on means employed rather than on ends.

An open model of organisation is characterised by:

- A cooperative system with interactions between different parts and also with external environment.
- It focuses on the variables such as sentiments, emotions, informal norms etc.
- Emphasis is on specialised knowledge contributing to common tasks in the organisation.
- Interaction between people in the organisation across horizontal as well as vertical levels.
- Importance assigned to ends or goals rather than means.

The Classical Theory of organisation prescribed a set of pre-determined principles for organisations functioning in a hierarchical structure and in a logical and systematic manner. The main emphasis of the classical theorists has been on the structure and formal organisation. But during the 1920s, the years of Great Depression, importance began to be given to social factors at work and the behaviour of employees within an organisation.

Human Relations Theory, an outcome of the Human Relations Movement, refers to studies made to understand / analyse the effects of social relations, motivation and employee satisfaction on industrial productivity. Human Relations Approach focuses on the human aspects of the organisation, emotions, feelings, personal motivation and informal norms.

This is in contrast to the Classical Theory that laid emphasis on the structural aspects of the organisation. It brings to fore the fact that physiological or mechanical variables at work place do not contribute to increased productivity. Understanding the human psyche is very essential, which has been highlighted by the Human Relations Approach. It considered that the primacy of the organisation is to be attributed to natural human groupings, communication and leadership.

5.2 EARLY EXPERIMENTS OF MAYO

The early research conducted by Elton Mayo in 1923 in a Textile Mill near Philadelphia came to be known as the *First Enquiry*. In this, Mayo attempted to study the impact of fatigue and working conditions on production levels. He conducted work at a spinning department of a Textile Mill. This Mill provided all the facilities to the workers and yet the Mule Spinning Department of the Mill had an acute problem of labour turnover to the tune of nearly 250 per cent. Despite several incentives provided to the workers in this Department, the turnover assumed huge proportions. The financial incentives also did not provide any respite or solution to the problem.

On the basis of the study conducted, Mayo came to the conclusion that physical fatigue was the key demotivating factor for the workers that had contributed to the decrease in the industrial productivity. He experimented with giving *two* rest periods of ten minutes each, twice a day – in the morning and evening to each team of workers. This had a remarkable impact on the workers. This rest period scheme

Human Relations Approach

found favour with the workers and led to gradual decline in the labour turnover, increase in production and improvement in morale. Another measure, that Mayo suggested related to the workers' earning the bonus. Under this scheme, those workers producing more than a certain percentage were to be given bonus in proportion to the extra production. Elton Mayo attempted to establish a link between the worker turnover and the emotional response of workers to the work performance. More than the monotony involved in doing the tasks, he believed that repetitive work done under conditions of isolation leads to abnormal preoccupations.

The turning point in the development of Human Relations Approach came with the well-known experiments conducted at the Hawthorne Plant of the Western Electric Company near Chicago in USA between 1924 and 1932. The Hawthorne Plant had nearly 29,000 employees and it manufactured telephones, cables and transmission equipment. The studies were funded by the National Research Council of the National Academy of Science at the behest of the General Electric Company Works, the largest manufacturer of electric bulbs in the United States. The major objective was to establish the relationship between work-place lighting and individual efficiency.

5.3 HUMAN RELATIONS STUDIES

During the period of two and a half years from 1924-27, a series of illumination level studies were conducted by the industrial engineers of Western Electric Company Works in Cicero, Illinois. Let us read about them now:

Great Illumination

In the first experiment, the experiments were conducted by the researchers on three different departments. Irrespective of increasing or decreasing levels of illumination, there had been increase in productivity. The illumination levels did not impact the productivity. In another study, *two* groups were formed – control and experimental. The control group continued to work with constant illumination – the level and the type with which the groups started working in the department. The experimental group was subjected to series of increasing light levels. Both the groups showed increased productivity, despite variations in illumination levels, provided to the two groups.

The researchers experimented with decreased lighting on the same groups. The control group received stable illumination, while the other experimental group got decreasing levels of illumination. Yet, both the groups steadily increased production, but finally when the experimental group got very low illumination, they protested and production decreased. The illumination experiments were gradually abandoned by the researchers and other incentives in the form of increased wage payments, rest periods, duration of working hours and so on were introduced. These also increased the production.

Later, these privileges were also withdrawn and the initial conditions were restored. This led to fall in production levels initially, but later increased to higher levels and this surprised the research team. No conclusive relationship could be established between illumination levels, incentive schemes and productivity levels. The research team concluded that increase in productivity could have been due to interest shown by the research team in the workers or retention of incentive wage plan. Mayo and his team based on the observations, further delved into a series of other experiments, investigating the factors of worker productivity.

Relay Assembly Experiments

These experiments were conducted to examine the impact of other variables on productivity. Two women were chosen as best subjects and they were asked to choose four other workers to join the test group. The two groups worked in separate rooms over a period of five years (1927-32) assembling telephone relays. It involved putting together a number of small telephone parts. The output was measured mechanically through counting the number of finished relays. They were later moved to the experiment room and there they interacted with a supervisor, who discussed changes with them and at times also put their suggestions into practice. The researchers measured the impact of different variables such as payments, breaks, refreshments, and shortening the work duration on the group and individual productivity. In general, it was observed that changing a variable increased productivity.

The researchers formed the conclusion that there were certain significant factors impacting the productivity. This included, extra attention given to the worker, having a sympathetic supervisor, and apparent interest shown towards superiors by the management. These were the main reasons contributing to higher productivity. These six individuals constituted a team and the team's participation in the experiment was wholehearted and they were working without coercion from above or limitations from below. In fact, regular medical check ups indicated no signs of cumulative fatigue and labour turnover declined by 80 per cent. Another significant observation was the innovativeness exhibited by each girl in putting the component parts of telephone relays together as they experimented with varied techniques to deal with work related monotony.

The experimental group developed a sense of responsibility and the discipline came from within the group itself. The outcome resulting from the experiment is referred to as the Hawthorne effect. It established a link between supervision, morale and productivity. The researchers hypothesised that choosing one's co-workers, working as a group, being treated as special and having a sympathetic supervisor were the actual reasons for increase in the productivity. It was interpreted that the six individuals became a team and the team gave itself wholeheartedly and spontaneously to cooperate in the experiment.

Interviewing Programme (1928-31)

Interviewing was another significant phase of the Hawthorne experiments. This was done with the basic objective of studying the human attitudes and sentiments, and their relationship to the productivity. The illumination experiment and relay assembly test room studies conducted brought to fore the form of supervision as a contributory factor to the worker's level of production. In order to gauge workers' feelings towards general working conditions and supervisors, a large interviewing programme was undertaken, wherein nearly 20,000 workers were interviewed. Initially, the workers were asked a specific set of questions by the interviewers. But this method did not yield many results as the workers' responses to the questions were vague and subjective and considered irrelevant. It was perceived that the workers intended to discuss issues other than mere supervision and working conditions. Hence, the style of interviewing was modified to a non-directive and open ended form with no set list of questions and workers were given the freedom to discuss about any aspect of their work. The approach of the interviewers was quite friendly and sympathetic. It was also impartial and non-judgmental.

Human Relations Approach

This methodology was quite successful as the workers' true feelings and attitudes could be assessed by the researchers. They could secure information not just about supervision and working conditions but also about the company itself, its management, families and society in general. This also provided an opportunity to the workers to come out openly and freely express their feelings and problems and be able to "let off steam" in a friendly atmosphere. This experiment was significant in the following aspects:

- The workers being treated on par with the management in soliciting their views about the problems of the company.
- The significance given to human attitudes and sentiments, as these play an important role in work situation.
- Change in the attitude of the supervisor too, as their feelings were being observed by the research team; and
- The significance of informal social forces at work place, which makes an organisation not just an economic and technological structure, but also "an intricate web of human relations bound together by a system of sentiments".

Bank Wiring Observation Room

This was the last study undertaken by Elton Mayo and his team in Western Electric Company to observe a group of 14 people performing a task in a bank wiring room. It was observed that they formed their own informal organisation with subgroups of cliques, and with natural leaders emerging with the consent of the members. In this experiment, wages were paid on the basis of a group incentive plan and each member got his share on the basis of the total output of the group. Despite a financial incentive scheme, where the workers would be receiving more money with more work produced, they decided on a level of output well below the level they were capable of producing. It emerged that:

- The output was restricted; the group had a standard for output, which was respected by the individuals in the group.
- The group was indifferent to the employer's financial incentive scheme.
- The group had developed a code of behaviour of its own based on solidarity in opposition to the management; and
- The output was determined by informal social groups rather than by the management.

Elton Mayo on the basis of these Hawthorne Experiments opined that workers had been unable to find suitable outlets for expressing their personal problems and dissatisfactions in the work life. The basic answer to industrial problems resided not in technical efficiency, but taking into cognisance the human feelings, social attitudes and sentiments. Mayo's experiments brought out that informal approaches and groups with base in human emotions, sentiments and interactions play a very important role. The management should strive for establishing equilibrium between the technical and human organisations and develop skills in handling human relations and situations. These can take the form of developing skills in understanding human behaviour and inter-personal skills in counselling, motivating, leading and communicating.

Check Your Progress 1		
No	te: i)	Use the space given below for your answer.
	ii)	Check your answer with that given at the end of the Unit.
1)	Exam Illinois	ine the experiments conducted at Western Electric Company Works, s.

5.4 SIGNIFICANCE OF HAWTHORNE STUDIES

The Human Relations Approach, which grew out of the Hawthorne Experiments emphasised the emotional aspects in human behaviour. The research conducted, had shown the impact of groups on the behaviour of individuals at work. These studies brought out that work satisfaction depended, to a large extent, on the informal social pattern of the work group. The feeling of 'being important', once instilled amongst the workers and norms of co-operation and higher output are established, the physical conditions or financial incentives have little motivational value. People's work performance, he concluded, is dependent on both social issues and job context. Elton Mayo, later, after a period of reflection, concluded that:

- Job satisfaction increased as workers were given more freedom to determine the conditions of their working environment and to set their own standards of output.
- Intensified interaction and co-operation created a high level of group cohesion.
- Job satisfaction and output depended more on co-operation and a feeling of worth than on physical working conditions.

The most important discovery of the Hawthorne Experiments has been the strong need amongst the workers to co-operate and communicate with the fellow workers. The basic tenets of Human Relations Theory emanating from Elton Mayo's experiments are:

- Individual workers cannot be treated in isolation. Since they are basically social beings, they should be seen and understood as members of a group.
- Informal groups formed at work have a strong influence on the behaviour of workers in a group.
- Productivity, to a large extent, is influenced by social and psychological factors rather than by physical work conditions.
- Conditions within the organisation exercise strong social controls over the work habits and attitudes of the individual worker; and
- Managers must be aware of the social needs and cater to them in order to ensure that employees collaborate with the official organisation rather than work against it. A good manager is one who is able to blend technical expertise with social capabilities.

The Hawthorne experiments were the bases of the emotional and intellectual well-being of the organisational behaviour perspective and modern theories of motivation. The experiments showed that complex, interactional variables such as attention paid to the workers as individuals, workers' control over their own work, difference between individuals' needs, management's willingness to listen, group norms and direct feedback play an important role in motivating people in organisations.

Elton Mayo concluded that at work, the worker-management adversarial relationship stemmed from workers' misunderstanding and distrust of management. Management contributed to this situation by giving attention only to economic efficiency rather than social cohesion. Hence, workers felt alienated. A clash between worker's 'logic of sentiment' and manager's 'logic of cost and efficiency' could lead to conflict within an organisation. People's work performance is dependent on both social issues and job content. It is the responsibility of management, according to Mayo, to align workers' interest with the organisation, and also acquire the necessary social skills to secure workers' participation.

5.5 AN APPRAISAL OF HUMAN RELATIONS APPROACH

The Hawthorne studies, the most acclaimed management research, which formed the basis of Human Relations Theory have been subjected to criticism by several scholars. These relate to the following aspects:

- The Hawthorne experiments have been questioned on the methodological basis. Carey (1967) has viewed the studies as scientifically worthless. Several scholars have identified some of its methodological limitations such as theoretical constraints, situational bias and paucity of evidence regarding worker's home life etc.
- In terms of research methodology, several scholars including Carey have opened that the sample of five to six women chosen for the experiments cannot be considered a reliable sample to make generalisations. For example, Briefs (1940) has questioned the external validity of the sample as the women formed relationships that they might not have formed if the sample size had been larger. Moore's (1947) observation related to non- inclusion of African-Americans in the study, though some consider that the large-scale migration of African Americans to the north of USA had taken place during the later years.
- It is also said that the Human Relationists did not sufficiently appreciate the complexity of the nature of human beings and their relationship to work environment. These experiments were conducted under controlled situations and the workers were fully aware throughout the period that they were being observed.
- The Hawthorne studies did not take cognisance of the impact of technological factors in enhancing productivity.
- The emphasis was more on group decision making and did not give importance to individual decision making.
- Amitai Etzoini has observed that Human Relations theorists tended to devote more attention to informal relations among workers and between workers and supervisors, but little to formal ones.
- Human motivation is multi-dimensional and Human Relations theorists, it is said, could not explore this phenomena in totality.

- Marxists considered Mayo's methodologies as techniques to exploit workers because they did not lay emphasis on the economic factors in organisation.
- Carey (*op.cit.*) opined that material and especially the financial rewards have been the principal influence on the worker's morale and behaviour. He considered that incentives that were provided to the workers led to increase in productivity.
- Eminent sociologist Daniel Bell criticised Mayo and other industrial sociologists for adjusting "men to machines rather than enlarging human capacity or human freedom". He termed the work of Elton Mayo and the Human Relations School as 'Cow Sociology' as it aimed to make the workers content and satisfied so that they could produce more. The United Automobile Workers' (UAW) publication 'Ammunition'(1949) labeled the Hawthorne researchers as 'Cow Sociologists' as according to them, contented cows gave more milk. Bell focused on the exclusion of union workers in the studies. Loren Baritz has also criticised the Human Relations Theory as being pro-management and anti-unionist.
- Contemporary scholars noted that economic benefits perhaps motivated the Hawthorne workers more than the social benefits (Vitels, 1941). According to another critic (Roy, 1952), workers did not care about money, because the workers whom Mayo studied, functioned like 'calculating machines' in determining output and daily pay.
- The harshest of the critics had been Grodzine (1951), who argued that the Hawthorne studies encouraged manipulative techniques that were designed to keep workers under control. The concept developed by applied scientists including Human Relationists did not add any worth to humanity.
- Few critics considered that the underlying assumptions of conflict-free State, worker contentment were utopian and not practical. Tensions and conflicts in organisations are inevitable and there is a need for healthy outlets to enable the employees air their problems.
- Human Relations Approach has been challenged and extended later by scholars by classifying different group behaviour into different types. Sayles (1958) looked at 300 work groups in 30 plants in the United States through interviews, observation and found that group cohesion and behaviour depended on technology and work organisation rather than by management abilities. He categorised group behaviour into *four* categories apathetic, erratic, strategic and conservative.
- Despite varying viewpoints regarding the authenticity and interpretation of Hawthorne experiments, they could be considered a turning point in management thinking. It generated new ideas regarding work groups, informal organisation, motivation and so on. It has been a significant milestone in providing insight into human behaviour at work and has laid a strong base for the development of organisation behaviour. It brought to fore the significance of humanising the work organisation. It gave primacy to groups, group values and norms in influencing individuals' behaviour at work. It emphasised the importance of wider social needs to individuals and work organisation as a social organisation.
- The Human Relations Approach propagated by Elton Mayo paved the way for generation of new ideas on group relationships and leadership styles. The subsequent theorists such as Abraham Maslow, Fredrick Herzberg, Douglas McGregor examined the factors affecting the motivation of individuals working in organisation. This is considered as 'Neo-Human Relations'. Abraham Maslow's

work (1943) presents a theoretical framework of individual personality development and motivation based on a hierarchy of needs. Maslow's fivefold classification of needs – physiological, safety, social, esteem and self-actualisation acts as a link with the earlier propagated Human Relations Theory.

Later, Herzberg put forth two different sets of factors affecting motivation – namely hygiene and growth factors. He was of the view that proper attention needed to be given to growth factors in the organisation to motivate the employees to give their best. Mayo's discrediting of 'rabble hypothesis', which considered individuals as pursuing only self-interest, was picked up for further expansion as Theory X and Theory Y by Douglas McGregor, who made certain assumptions about people and work, which had wider implications for leadership and management. He suggested that the links between organisational design, motivation and productivity which were more complex than initially thought of by Mayo. His ideas on emergence of informal organisation have been further researched by Chris Argyris and other management thinkers. The major contributors to Neo-Human Relations theory include Rensis Likert, McClelland and Chris Argyris. It generated new ideas about organisation structuring, group dynamics, job satisfaction, communication and leadership styles. The views of Maslow and Herzberg and McGregor as well as Argyris will be discussed in a later Unit of this Course.

Check Your Progress 2		
Note: i) Use the space given below for your answers.		
ii) Check your answers with those given at the end of the Unit.		
1) Bring out the significance of Hawthorne studies.		
2) Critically evaluate the Human Relations Approach.		

5.6 GLOSSARY

Cow Sociologists

: Sociologist Daniel Bell criticised Hawthorne Experiments of Elton Mayo as they meant to link production with work satisfaction in a way cows are kept satisfied to increase their milk production. He called the work of Elton Mayo

The Great Depression

and Human Relations 'Cow Sociology' for making workers content and satisfied so that they could produce more.

It was an acute Economic Depression spread globally in the 1930s. It was the longest, deepest and widely spread Depression of the 20th century. The cause was major fall in stock price that began in the United States in September 1929. The Gross Domestic Produce (GDP) fell by 15 per cent. Cities around the world were hit hard. Primary sector industries were affected most severely.

5.7 CONCLUSION

In this Unit, we read about the genesis of Human Relations Approach. We described all the experiments of Elton Mayo and critically appraised his contribution to Human Relations Approach. The conclusions drawn by Mayo from the Hawthorne studies marked the emergence of an important management style contributing to industrial productivity, the inter-personal skills being as important as monetary incentives and focus on a more humanistic approach as a means of satisfying the organisation's economic needs and social skills.

The Human Relations Approach, the foundation of which was laid several decades ago, is more relevant in contemporary times, as the significance of team work, motivation, and leadership have assumed prominence. In present times too, as we see in multinational companies, the concepts of team work, incentives, group work have a positive impact on the organisation. The current perspectives on organisational working focus on the importance of needs and values of people and their integration with the goals of the organisation. This Unit described all the major endeavours in Human Relations Movement and critically appraised them.

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5.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Great Illumination.
 - Relay Assembly.
 - Interviewing Programme.
 - Bank Wiring Observation Room.

Check Your Progress 2

- 1) Your answer should include the following points:
 - Job satisfaction increased as workers were given more freedom to determine their working conditions and to set their given standards of output.
 - Intensified interaction and cooperation created a high level of group cohesion.
 - Job satisfaction and output depended more on cooperation and a feeling of worth rather than physical working conditions.
- 2) Your answer should include the following points:
 - Methodological basis of Hawthorne has been criticised.
 - Human Relationists did not appreciate the complexity of the native of human beings and their relationship to work environment.
 - Hawthorne studies did not take cognisance of the impact of technological factors in enhancing productivity.
 - Human phenomena was not considered in totality.

UNIT 6 DECISION MAKING APPROACH

Structure

- 6.1 Objectives
- 6.2 Introduction
- 6.3 Meaning of Decision Making Approach
- 6.4 Types of Decisions
- 6.5 Decision Making Process
- 6.6 Models of Decision Making
 - 6.6.1 Simon's Bounded Rationality Model
 - 6.6.2 Lindblom's Incremental Model
 - 6.6.3 Etzioni's Mixed Scanning Model
 - 6.6.4 Dror's Optimal Model
 - 6.6.5 Cohen, March and Olsen: Garbage Can Model
- 6.7 Conclusion
- 6.8 Glossary
- 6.9 References
- 6.10 Answers to Check Your Progress Exercises

6.1 **OBJECTIVES**

After reading this Unit, you should be able to:

- Explain the meaning of Decision Making Approach;
- Describe the different types of decisions;
- Examine the process of Decision Making; and
- Discuss the various models of Decision Making.

6.2 INTRODUCTION

Decision Making is considered an important process in any organisation. The nature of an organisation is determined by the kinds of decisions taken in it. This applies to a government organisation as well. Thus, in the discipline of Public Administration too, Decision Making Approach is of great relevance, as this Approach provides useful inferences that can facilitate administrative or policy decisions. According to Webster Dictionary, decision is "the act of determining in one's own mind upon an opinion or course of action". Decision Making is thus about the process of arriving at an optimal solution by exploring various alternative choices.

The scholars in management and public administration have been involved in various aspects of Decision Making and they have made their respective contributions to the approach of Decision Making. In this Unit, we will introduce you to the various components of Decision Making. In the first place, the way Decision Making is

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defined in the works of various scholars will be discussed. The Unit will then also reflect on the types, characteristics and process of Decision Making Approach. It will further explore the various models of Decision Making Approach to public administration. In particular, it will delve into the Bounded Rationality Model put forward by Herbert Simon and will further discuss the other models of Decision Making Approach.

6.3 MEANING OF DECISION MAKING APPROACH

Different scholars have defined the term 'Decision Making' in different ways. In general, 'decision making' is not an end part of any activity, but it is a means of achieving organisational goals. Chester Barnard is the pioneer in Decision Making Approach and he considers decision making as an 'essential process of organisational action'. Felix A. Nigro has observed that "What really takes place in an organisation cannot be understood if one does not know what kinds of decisions are made, who participates in making them, and what their exact role is". It is a collective activity in which its objective is problem solving. Robert Tannenbaum has claimed that Decision Making "involves a conscious choice or selection of one behaviour alternative from among a group of two or more behaviour alternatives". According to Wasby, "Decision Making is defined as a process or sequence of activities involving stages of problem recognition, search for information, definition of alternatives, and the selection by an actor(s) of one from two or more alternatives consistent with the ranked preferences".

Herbert Simon is an important scholar in the field of 'Decision Making' and he regards Decision Making Approach as an alternative to the Classical Principle Approach. He considers the principles of administration as 'proverbs' and in that place he recommends Decision Making Approach. Simon, in his book *Administrative Behaviour*; highlights that "decision making is the heart of administration, and that the vocabulary of administrative theory must be derived from the logic and psychology of human choice". He further argues that 'Decision Making' is the core of administrative action and views organisation as a structure of decision makers.

The Approach of Decision Making gained popularity during the 1940s and it deals with the process of choice which leads to action. According to Seckler-Hudson (1957) "Decision-making in the government is a plural activity. One individual may pronounce the decision, but many contribute to the process of reaching the decision. It is a part of the political system". In arriving at a decision, Hudson states that certain factors should be considered, which include legal limitations, budget, facts, history, internal morale, future as anticipated, superiors, pressure groups, staff, nature of programme and subordinates. The need for taking decisions arises when there are several alternatives or courses of action open to an individual. But one has to choose only one alternative through the process of elimination. Rationality of human beings lies in selecting such an alternative, which can produce maximum positive results and minimum negative results.

From the various definitions, we can understand that the essence of 'Decision Making' is arriving at a solution from various alternatives irrespective of whether a decision is made in an organisation, administrative unit, government set up or even policy making. At the superficial level, 'policy' and 'decisions' seem to be interrelated to each other, but their characteristics are different. According to Sapru (2017), "policy making does involve decision-making, but a decision does not necessarily constitute a policy.

Decision Making often involves an identification of a problem, a careful analysis of possible alternatives and a selection of one alternative for action. Generally, decisions are taken by the administrators in their day-to-day work within the framework of the policy". Terry (1956) argues that, "a decision is usually made within the guidelines established by policy. A policy is relatively extensive, affects many problems, and is used again and again. In contrast, a decision is applied to a particular problem and has a non-continuous type of usage." Thus, the nature of 'Decision Making' is a dynamic one, which has the potential to change the environment of the organisation.

6.4 TYPES OF DECISIONS

These scholars have classified the decisions into various types, which we will discuss now:

Programmed and Non-programmed Decisions

Herbert Simon (1997) has made the distinction between programmed and nonprogrammed decisions. He expresses that "decisions are programmed to the extent that they are repetitive and routine, to the extent that a definite procedure has worked out for handling them so that they don't have to be treated from scratch each time they occur". In programmed decisions, habits, skills and knowledge about the problem is important. In such decisions, mathematical models and computer can help the decision makers to arrive at rational decisions. For instance, in an organisation, dealing with financial rules, human resources, etc., are routine activities, which keep occurring in an organisation. If a set of procedure is worked out to deal with the same, then the issue of pay rolls, attendance of employees, etc., can be easily decided with the help of computer and procedures in place. On the other hand, non-programmed decisions are made to deal with affairs that are "novel, unstructured and unusually consequential". No cut-and-tried methods would be available and each question or issue has to be dealt with separately. Training in skills relevant to the job and innovative ability become relevant and important to develop capacity to take proper and relevant decisions. For instance, an organisation may face financial crisis, due to a change in the approach of government. Such issues are new challenges for an organisation and a novel thinking is needed to arrive at a decision that protects the welfare of the organisation. The following Table brings out the traditional and modern techniques of programmed and non-programmed decisions:

Types of Desisions	Decision Making Techniques		
Types of Decisions	Traditional	Modern	
Programmed (Repetitive and routine in character. Standard procedure is developed to implement these decisions).	 Implementing by habit. Adapting standard operating procedure routine to be carried out by office people. Imbibed in organisational structure in the form of sub-goals, well-defined information channels, etc. 	 Operations Research: Developing mathematical models, computer simulation etc. Electronic Data Processing (EDP). 	
Non-programmed (Non-routine, Ill-structured problems, computer assisted decision making, operations research, systems analysis).	 Judgement, intuition and creativity. Rule of thumb. Selection and training of executives. 	 Training decision-makers in heuristic problem- solving techniques. Developing heuristic computer programmes. 	

Source: Certo & Certo, 2015.

Organisational and Personal Decisions

Chester Barnard (1966) has classified the decisions into *two* types viz., organisational and personal decisions. He has argued that "personal decisions cannot ordinarily be delegated to others, whereas organisational decisions can often, if not always, be delegated". Organisational decisions are made to achieve the organisational objectives, which can be delegated to levels, from top to bottom. While personal decisions are taken by an individual for him/her, which cannot affect the organisations directly or indirectly.

Generic and Unique Decisions

The classification of generic and unique decisions was enumerated by Peter Drucker in his Article "*The Effective Decision*" (1967). Generic decisions are like programmed decisions in which reflections are made on the past situations and the decision that was taken in the past gets repeated. Likewise, unique decisions are related to non-programmed decisions in which new decisions are taken to resolve individually because they are unprecedented.

Routine and Strategic Decisions

Routine and strategic decisions can also be related to the programmed and non-programmed or generic and unique decisions, respectively. Routine decisions are generally taken for day-to-day operations of the organisation and the routine decisions are made based on the pre-established rules, procedures and policies of an organisation. Such decisions are not dynamic in nature and it cannot affect the organisation. Since these decisions are routine in nature, the decision making power is delegated to the middle and the lower level personnel. On the other hand, strategic decisions are critical for an organisation, as such decisions mostly deal with the organisational objectives, goals, budget and imperative policy matters. The nature of the decision is non-routine or non-repetitive and it can be made through an analysis of various alternatives. Since decision of this nature can have a direct impact on the sustenance of the organisation, such decisions are taken by top-level management only (Fadia & Fadia, 2012).

Policy and Operating Decisions

Another kind of classification is policy and operating decisions and this category of decisions can again be related to the strategic and routine decisions. Policy decisions are directly related to the policy matters of the organisation and such decisions are made by top level management only. These decisions will have their effect on the whole structure of the organisation. On the other hand, operating decisions are routine decisions of the organisation, which are taken to implement the policy matters of the organisation. The decision of this kind is taken by people at the lower level of management and such decisions are also called as tactical decisions (*Ibid.*).

6.5 DECISION MAKING PROCESS

There are various steps that are involved in the decision making process, which are logical and systematic. The steps involved in a decision making process include: defining the problem, finding alternatives, selecting the alternatives and getting feedback, and finalising one alternative. Terry (1956) has formulated the *key steps* in decision making process, which include:

• Determine the problem.

- Acquire general background information and viewpoints about the problem.
- State what appears to be the best course of action.
- Investigate the proposition and tentative decisions.
- Evaluate tentative decisions.
- Make the decision and put it to effect; and
- Institute follow-up and, if necessary, modify decision in the light of results obtained.

Simon and March (1960) assert that there are *four* set of activities, which are important for a decision making process, which includes:

- 1) **Intelligence Activity**, which is the initial phase of the decision making process and it begins with the identification of problem to be solved. It is finding occasions calling for an action.
- Design Activity is identifying, developing and analysing possible courses of action.
- 3) Choice Activity is selecting particular course of action from those available.
- 4) **Evaluating Activity** is evaluating past choices to compare programmed and non-programmed decision making in the organisation.

While the first *three* processes in decision making were stipulated by Simon, the *fourth* process, namely, 'evaluating activity', was added later, in the collaborative work of James G. March and Simon. The above *four* activities are continuous and cyclic in nature. On the whole, it can be summed up that the decision making process in itself is a complex exercise and as asserted by Simon, it involves technical and political determinants. In the process of decision making, each stage is important in arriving at the final decision.

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Ch	Check Your Progress 1		
No	te: 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 decision making?	
2)	Bring	out the difference between programmed and non-programmed decisions.	

Decision	Making
A	approach

3)	Explain the decision making process.	
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6.6 MODELS OF DECISION MAKING

There are various models of decision making. Almost all the models highlight the importance of rationality of individual or the organisation that is involved in making a decision. Other set of models stress on the importance of arriving at a decision in an incremental manner. Some of the important *models* of decision making as put forward by key scholars are as follows:

6.6.1 Simon's Bounded Rationality Model

Herbert Simon's work on "Administrative Behaviour" (1957) is the seminal work in the field of decision making. He believed that the rationality model in decision making is non-realistic and its principles are non-attainable. His idea of organisation is a real one and not an ideal one. He emphasised that all Decision Making should be based on rational choices. According to him, rationality is "concerned with the selection of preferred behaviour alternatives in terms of some system of values whereby the consequences of behaviour can be evaluated". This requires that firstly, the decision maker should have knowledge about all available alternatives. Secondly, the decision maker should also be able to anticipate the consequences of each of the alternatives. He has classified rationality into various types in which the decision should be:

- Objectively Rational: it is correct behaviour for maximising given values in a given situation.
- Subjectively Rational: the decision maximises attainment relative to knowledge of the subject.
- Consciously Rational: adjustment of means to ends is a conscious process.
- Deliberately Rational: adjustment of means to ends has been deliberately brought about.
- Organisationally Rational: oriented to the organisational goals; and
- Personally Rational: directed at the individual goals.

Simon rejected the concept of total rationality (Economic Man) as it is based on totally unrealistic assumptions. To put it in simple terms, an individual cannot have complete knowledge on all aspects of an issue in order to know every alternative to arrive at a decision. On the contrary, total rationality is based on the belief that decision makers are omniscient (all knowing) and have knowledge about all available alternatives as well as their consequences. Secondly, the assumption is that the decision maker has unlimited computational ability. *Finally*, it believes that the decision maker has the capacity to put in order all the possible consequences. These assumptions,

Simon has observed, are fundamentally wrong. There are several limitations in the decision makers in terms of skills, habits, values and conception of purpose as well as the extent of knowledge relevant to this job. Therefore, it is to be understood that an organisation cannot have total rationality in making a decision and thus, the limitation in human beings to act with complete rationality should be accepted, and thus the decision made is based on the bounded rationality of people in an organisation.

While discussing the concept of 'bounded rationality;' Simon also developed the concept of 'satisficing'. The term *satisficing* is derived from the words satisfaction and sufficing. Satisficing decision "allows a problem solver to achieve his or her main goals, but the process does not involve a comprehensive analysis of all possibilities and outcomes nor does it require perfect information". Since total rationality is inconceivable, the executive 'satisfices' with a good enough choice. The decision maker tries to arrive at either optimal or fairly good solutions, without feeling the need to explore all possible alternatives. The following factors are responsible for bounded rationality leading to *satisficing* decisions which include:

- Dynamic nature of organisational objectives.
- Imperfect information as well as limited capacity to process the available information.
- Time and cost constraints.
- Environmental forces or external factors.
- Decision-maker may not be aware of all the possible alternatives available and their consequences.
- Personal factors like preconceived notions, habits, etc.; and
- Organisational factors like procedures, rules, channels of communication, and so on.

Based on the above factors, Simon proposed a new notion called 'administrative man' which is against the earlier notion of 'economic man'. Administrative man is concerned about taking 'satisficing' decisions, while the economic man is concerned about 'maximising decisions'.

6.6.2 Lindblom's Incremental Model

Charles E.Lindblom in his Article "The Science of Muddling Through" (1959) had advocated the concept of 'Incremental Model' of decision making. Incremental Model is completely critical and against Simon's "rational model". His argument is that the actual process of decision making is entirely different from the theoretical one. According to Lindblom, Incremental Model of decision making process involves "continuously building out from the current situation, step-by-step and by small degrees". In the context of public administration or policy studies, Incrementalism means continuing the existing programmes and policies with little modification. Further, Lindblom observes that the past activities and experiences are used by the decision makers to make future decisions. It is also known as 'branch technique' or 'model of successive limited comparisons' or 'step-by-step decision-making' model.

Characteristics of Incremental Model

The characteristic features of Incremental Model, as highlighted by Sapru (*op.cit.*) are as follows:

Decision Making Approach

- It proceeds through a succession of incremental changes. Policy-makers accept the legitimacy of existing policies because of the uncertainty about the consequences of new or different policies.
- It involves mutual adjustment and negotiation. The test of a good decision is agreement rather than goal achievement. Agreement is arrived at very easily in policy-making, when the item in dispute increases or decreases in budgets, or modifications to existing programmes. Thus, Incrementalism is significant in reducing political tension and maintains stability.
- It involves trial and error method. It is superior to a 'futile attempt at superhuman comprehensiveness'. Human beings rarely act to maximise all their values; rather they act to satisfy particular demands. They seldom search for 'one best way', but instead, search to find 'a way that will work'. This search usually begins with the familiar-that is, with policy options close to contemporary policies.
- Policy is not made once for all. As Jan-Erik-Lane puts it, "Incrementalism is thus more satisfactory from a theoretical point of view as it scores high on criteria like coherence and simplicity"

Lindblom has argued that the Incremental Model is better than Rationality Model in terms of simplifying the alternatives, dealing with multiple and conflicting objectives and further the decisions under this Model are reflective of the real world. But other scholars have criticised this Model stating it as an over-simplified Model as it can work only for continuous policies and programmes and not for war-like situations.

6.6.3 Etzioni's Mixed Scanning Model

Amitai Etzioni in his paper "Mixed Scanning: A Third Approach to Decision-Making" (1967) had advocated the Mixed Scanning Model. Etzioni criticized certain aspects of Rational Model and Incremental Model and thus 'Mixed Scanning Model' is the result of combination of certain elements of rational and incremental models'. It tries to combine the rationality of "high-order, fundamental policy-making processes, which set basic directions, and incremental ones which prepare for fundamental decisions and work them out after they have been reached". According to Etzioni, Mixed Scanning is "a rationalistic approach to decision-making, which requires greater resources that decision-maker commands. The incremental strategy which takes into account the limited capacity of actors, fosters decisions which neglect basic societal innovations. Mixed Scanning reduces the unrealistic aspects of rationalism by limiting the details required in fundamental decisions and helps to overcome the conservative slant of incrementalism by exploring long-run alternatives".

Thus, Etzioni has observed that, Mixed Scanning Model is a description of the reality of decision making strategies and it is also a model for better decision making. It recognizes that decision makers have to consider the costs of knowledge, because not everything can be scanned. Hence, while deciding on a policy, endeavour should be to scan key areas fully and rationalistically, and other areas can be looked at in a more truncated view.

6.6.4 Dror's Optimal Model

Dror in his Book "Public Policy-making Re-examined" (1989) advocated the optimum model of policy-making. He rejected the idea of Incrementalist Approach and suggested alternatives to the rational and Incrementalist Models. Dror claims that Optimal Model is a superior model to all the other existing models, which is a

combination of economically rational model and extra-rational models. The following are the characteristics of Optimal Model:

- It is qualitative not quantitative.
- It contains both rational and extra-rational elements.
- It is basic rational to economically rational.
- It is concerned with meta policy-making.
- It has much built-in feedback.

The major objective of Dror (1989) was to increase the rational content of government and to build into his model, the 'extra-rational dimensions' of decision making, which is called as normative optimalism. He believed that this modified form of Rational Model will move policy-making in a more rational oriented form. Further, he acknowledges that in policy analysis, there is a realm of extra-rational understanding based on tacit knowledge and personal experience.

The Optimal Model has been classified into three phases viz., metapolicy-making, policy-making and post-policy-making. These three phases contain 18 stages of rational and extra-rational aspects.

i) Meta-Policy-Making Stage

Meta-policy-making is a stage that comes, even before a policy is formulated. This is a preparatory stage in which measures are taken to understand various aspects related to the policy, which is to be formulated and there are about 7 stages in it which include:

- Processing values.
- Processing reality.
- Processing problems.
- Surveying, processing, and developing resources.
- Designing, evaluating and redesigning the policy-making system.
- Allocating problems, values and resources.
- Determining policy-making strategy (*Ibid.*).

ii) Policy-Making Stage

In the second phase, the policy is actually formulated, which again involves about *seven* stages. In this phase, the resources are sub-allocated for the various processes under policy in hand, and it further involves actual designing of the policy, right from setting the goals, analysing the costs and benefits of various alternatives and thus finally arriving at the best alternatives. The different stages in this phase are as follows:

- Sub-allocating resources.
- Establishing operational goals, with some order of priority.
- Establishing a set of their significant values, with some order of priority.
- Preparing a set of major alternative policies, including some 'good ones'.

- Preparing reliable predictions of the significant benefits and costs of the various alternatives.
- Comparing the predicted benefits and costs of the various alternatives and identifying the 'best' ones.
- Evaluating the benefits and costs of the 'best' alternatives and deciding whether they are 'good' or not (*Ibid.*).

iii) Post-Policy-Making Stage

This is the final phase, in which the policy which is formulated is floated around and it again involves various stages right from deciding on how the policy should be executed, actual process of execution, evaluating the after-effects of executing it and finally taking corrective measures by reflecting on the feedback received in strengthening the policies. The stages involved in the third phase are as follows:

- Motivating the execution of policy.
- Executing the policy.
- Evaluating policy-making after executing the policy.
- Communication and feedback channels interconnecting all phases (*Ibid.*).

The best example that can be given for Dror's model of policy making is the New Education Policy which is getting drafted from 2015 onwards. Before the policy could be formulated, in the Meta-policy making stage, various processes were involved, in which there were various consultations with different groups, academia, NGOs, activists, common people, etc., from which their opinion was sought on what is needed for a new education policy. It also involved various stages. In the second phase of policy making, the core committee of the education policy drafted the education policy. Currently, the Education Policy is in the final stage of policy making in which the draft policy was floated around in the public domain and it received feedback in various forms, both positive and negative. Currently, it is in a stage, where the feedback of the public is worked upon to bring it to a final shape. The above 18 stages of Dror are the combination of core elements of the Rational Model with extra-rational factors. Dror's view of Decision Making is thus to improve the rational content of the government.

6.6.5 Cohen, March and Olsen: Garbage Can Model

Michael Cohen, James March and Johan Olsen (1972) formulated the 'garbage can model' of decision making in which the focus was on organisational decision-making. This approach described the behaviour of institutions as 'organised anarchies'. This approach is considered realistic as it has the capability of producing reactive decisions instead of proactive decisions. It was borrowed from rational comprehensive and incrementalist models of decision making. According to the Garbage Can Model, an "organisation is a collection of choices looking for problems, issues and feelings, looking for decision situations, in which they might be aired, solutions looking for issues to which they might be the answer, and decision makers looking for work". The problems, solutions, decision participants and choice opportunities are the major streams of this model, in which choice opportunities are considered as 'Garbage Can'.

This Model, does not consider Decision Making as a sequence of activities that begins with a problem and ends with a solution. In Garbage Can Model, there are

three streams—problems, solutions and participants and in this Model "there are solutions searching for problems and participants floating about looking for a way to participate in putting together these problems and solutions." Thus, in this Model, all the streams, viz., problems, solutions and decision participants are mixed together. Instead of identifying the problems, these participants can decide which problems to address and which solutions are to select. However, this Model has been criticized as an irrational model of decision making.

Check Your Progress 2		
Not	te: 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 mean by Bounded Rationality?
	•••••	
2)	Discu	ss the Dror's Optimal Model.
3)	Bring	out the difference between Bounded Rationality and Incrementalism.
		,
	••••••	
	•••••	

6.7 CONCLUSION

Decision Making is an important dimension in the field of administration. Based on the above narration given by Herbert Simon and other scholars, it can be understood that decision making is the heart of any administration or any other social group. Decision Making is nothing but choosing alternatives from one or more alternatives rationally. This Unit introduced us to the meaning, types and process of decision making. In particular, this Unit gave special importance to Simon's work on 'Bounded Rationality'. The Unit also elaborated the various models of decision making. On the whole, the Unit covered the key aspects of decision making, in which apart from

knowing how to make a decision, inference is also made on the different stages in decision making and the process in which a decision is made.

6.8 GLOSSARY

Bounded Rationality

: Herbert Simon is the proponent of Bounded Rationality. The capacity of the human mind for formulating and solving complex problems is very small compared with the size of the problems whose solution is required for objectively rational behaviour in the real world-or even for a reasonable approximation to such objective rationality.

Economic Man

: The other name of rational decision maker is Economic Man. It represents the objective rationality in an ideal model.

Satisficing

: Accepting a satisfactory and sufficient amount of information upon which to base a decision. Herbert Simon coined this word to help explain his theory of Bounded Rationality or limited rationality.

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6.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Decision making got momentum in the late 1940s and it was popularised by Herbert A. Simon.
 - Decision making is a process of arriving at an optimal solution by exploring various alternative choices.
 - Various authors' views on Decision Making Approach.
- 2) Your answer should include the following points:
 - Types of decisions and their nature.
 - Traditional and modern techniques, programmed and non-programmed decisions.
- 3) Your answer should include the following points:
 - Terry's views on Decision Making process.
 - Simon's views on Intelligence, Design and Choice activities.

Check Your Progress 2

- 1) Your answer should include the following points:
 - The term 'Bounded Rationality' was coined by Simon.
 - How is it different from Rational Classic Model.
 - Discussions on Administrative Man and Economic Man.
- 2) Your answer should include the following points:

Decision Making Approach

- Dror has rejected the idea of Incrementalist Approach and suggested the alternatives to the Rational and Incrementalist Models.
- He has classified the Optimal Model into 3 types.
- 3) Your answer should include the following points:
 - Lindblom's Incremental Model is completely critical and against Simon's "rational model". His argument is that the actual process of Decision Making is entirely different from the theoretical one, i.e, Bounded Rationality.
 - The Incremental Model is better than Rationality Model in terms of simplifying the alternatives, dealing with multiple and conflicting objectives, and further the decisions under this Model are reflective of the real world.



UNIT 7 SYSTEMS AND SOCIO-PSYCHOLOGICAL APPROACHES*

Structure

- 7.0 Objectives
- 7.1 Introduction
- 7.2 The Systems Approach: An Overview
- 7.3 Organisation as a System
- 7.4 The Systems Approach: Views of Chester Barnard
- 7.5 Socio-psychological Approach
- 7.6 Maslow's Hierarchy of Needs Theory
- 7.7 Douglas McGregor's Theory X and Theory Y
- 7.8 Herzberg's Two Factor Theory
- 7.9 Conclusion
- 7.10 Glossary
- 7.11 References
- 7.12 Answers to Check Your Progress Exercises

7.0 OBJECTIVES

After reading this Unit you should be able to:

- Discuss the concepts underlying Systems Approach;
- Examine the views of Chester Barnard:
- Describe Maslow's Hierarchy of Needs Theory;
- Explain the characteristic features of Theory X and Theory Y; and
- Analyse Herzberg's Two Factor Theory.

7.1 INTRODUCTION

A modern organisation witnesses vast growth in size, complexity and scale of activity. As the level of complexity and scale of operation increases, it becomes increasingly necessary to develop a conceptual basis to integrate them within a framework. This is needed to understand the organisation better for successful administration. In this Unit, we are going to study the theories that fall under two approaches, namely, a Systems Approach and Socio-psychological Approach. These two approaches view organisation as a system and social-psychological system, that emphasise holism and not merely focus on a single part of an organisation. There are many propounded

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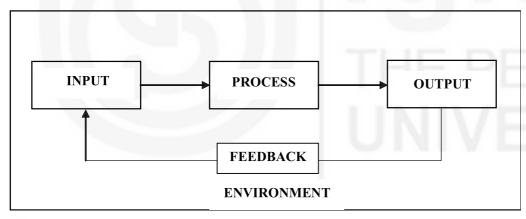
theories that fall under these two approaches. Among them, we are going to explain the views of Chester Barnard under the Systems Approach and Abraham Maslow, Hierarchy of Needs, Frederick Herzberg and Douglas McGregor under the Sociopsychological Approach.

7.2 THE SYSTEMS APPROACH: AN OVERVIEW

A system is defined as any set of distinct elements/components that interact to form a complex whole. The whole is not just the sum of the parts; the system itself can be explained only as a totality. It was developed in 1930's by a biologist namely Ludwig von Bertalanffy in his seminal work "General Systems Theory: Foundation and Development". According to von Bertalanffy, to understand or examine a system, it must be an open system. An open system consists of several components or subsystems, which depend on each other. It means all components of a system are inter-related, inter-connected and inter-dependent. Thus, nothing can be explained by isolating a component of system. A system processes inputs into outputs. Therefore, each system consists of boundaries, components, interactions between components, inputs and outputs.

An open system is one, which has a boundary that is permeable to inputs and outputs of matter, energy and information. Open systems exchange information, energy or material with their environment. The open system is viewed as a transformation model. In a dynamic relationship with its environment, it receives various inputs, transforms these inputs in some way, and exports outputs. It is depicted in the diagram given below:

The Systems Theory



In Systems Theory, concept of feedback is important in understanding how a system maintains a steady State i.e., dynamic equilibrium. Information concerning the outputs, or the process of the system is fed back as an input into the system, perhaps leading to changes in the transformation process and/or future outputs. This Approach was first developed in natural and physical sciences. Previously, the concept of systems was used by Taylor and others. Use of this Approach in social sciences literature is relatively new. For example, Talcott Parsons applied this Approach to the study of social structures. Similarly, psychologists, economists, political scientists and administrative analysts have been using the Systems Approach in the analysis of a given phenomenon. In administrative analysis, the Systems Approach is being widely used in recent years. Here, you would study Barnard's conceptualisation of organisations as cooperative systems. Before that, we will attempt to understand the organisation as a system.

7.3 ORGANISATION AS A SYSTEM

Systems Approach views organisation as a system that lays emphasis on holism and not merely a single part/component. Organisation as a system is made up of several subsystems or parts or components that are interrelated and interdependent for their functioning. They in turn, contribute to the holistic functioning of the organisation. As a system, the organisation also has a defined boundary through which it interacts with its environment. This external environment of an organisation is called as suprasystem, which comprises economic, social, political and technological influences. Organisation is an open system and it continuously interacts, and exchanges matters with its environment. In this interaction, it takes inputs from environment, processes the revised inputs in the form of outputs, which are then exported back into the environment.

Defining an open system with respect to organisations, Thompson has observed that "The complex organisation is a set of interdependent parts, which together make up a whole because each contributes something and receives something from the whole, which in turn is interdependent with some larger environment". Thus, an open system is dynamic, full of opportunities as well as challenges. Systems keep evolving through a continuous process of development and at the same time strives to attain homeostasis or the state of equilibrium. Similarly, organisation is dynamic, full of challenges and opportunities. It keeps evolving through a continuous process of growth and development by maintaining the equilibrium among various sub-systems including environment.

A system is a cyclic process that survives from continuous input, transformation and output processes. There are three types of inputs that an organisation takes from its supra system- raw materials, energy and information. The inputs are converted into outputs through men and machines. The organisation exports the outputs created through the process of conversion. The outputs are given back to the environment for importing further inputs.

7.4 THE SYSTEMS APPROACH: VIEWS OF CHESTER BARNARD

Chester Irving Barnard (1886-1961) was an American business executive, public administrator, and the author of pioneering work in management theory and organisational studies. His landmark book in 1938, "The Functions of the Executive", set out a theory of organisation and of the functions of executives in organisation. His writings had the important impact on the human organisation. His analysis of management took the form of a Social Systems Approach. In determining the tasks of executives, he analysed the nature of cooperative social systems, and found non-logical factors also influencing human behaviour in the organisation.

The major contributions of Chester Barnard are as follows:

Theory of Organisation

Barnard regards an organisation as a system that is subordinate to the larger systemsociety. He views organisation as a social system. He has defined organisation as "a system of consciously coordinated activities or courses of two or more persons". According to him, organisation is a system made up of activities of human beings, as a system, in which the whole is more than the sum of its parts and 'each part is related to every other part in some significant way'. Barnard saw organisations as

Systems and Socio-Psychological Approaches

being only partial systems. One cannot isolate a complete, whole organisation. Each is part of a bigger and more complex organisation. Also, each is composed of various subunits, each of which is an organisation in itself. According to Barnard, initial existence of structure depends upon three elements:

- 1) The willingness of persons to contribute efforts to the co-operative system.
- 2) An objective of co-operation.
- 3) Proper communication systems.

Barnard (1938) distinguished between *formal and informal organisations*. He defined informal organisation as "the aggregate of the personal contacts and interactions and the associate grouping of people…". It is due to the gregarious instinct or fulfilment of some personal needs and it does impact the formal organisation. Both the formal and informal organisations need each other as they are 'interdependent aspects of the same phenomenon… formal organisations are vitalised and conditioned by informal organisations.'

Organisational Equilibrium

According to Barnard (*ibid*.), organisation is a cooperative system made up of individual humans with individual motivations. He maintains that 'cooperation originates in the need of an individual to accomplish purposes, which he individually cannot achieve'. With a result, organisation involves the engagement of other individuals and their cooperation. For accomplishing cooperative effort among individuals and to achieve organisation goals, Barnard has suggested an 'organisational equilibrium'.

Organisational equilibrium is described as the balance achieved between the contribution of members of an organisation and return contribution made by the organisation to the fulfilment of the individual goals of the members. There should be a balance between what employees get out of the organisation (money, status, recognition, etc.) and what they contribute in the form of time, knowledge, discomfort, production, etc.

Barnard has also viewed the concepts of efficiency and effectiveness. When an individual in an organisation seeks to achieve ends sought by the organisation then his activity could be identified as effective. In the process, if he meets his personal needs and satisfies personal motives, the activity could be considered efficient. Organisational survival depends on both, and an executive must look for both-effectiveness and efficiency. Thus, there must be internal equilibrium as well as 'an equilibrium between the system and environment (supra-system)'.

Acceptance Theory of Authority

Barnard subscribed to the 'acceptance theory of authority'; according to which managerial authority rests on the consent of the subordinates. This is in contrary to the traditional view of 'top to bottom approach of right to command and order' and gave it a 'bottom-up' interpretation. Barnard defines authority as "the character of a communication (order) in a formal organisation by which it is accepted by a contributor or 'member' of the organisation as governing the action he contributes". According to him, authority involves two aspects- subjective and objective. The subjective aspect is personal, the acceptance of a communication is authoritative. A person will accept an order as authoritative only when *four* conditions are met:

- a) The communication is understandable.
- b) The receiver believes the instruction is consistent with the organisation's purposes.
- c) The receiver believes it is compatible with his or her personal interests.
- d) The receiver is both mentally and physically able to comply.

The objective characteristic of 'communication of authority' is that aspect, which induces acceptance:

- a) The character of authority in organisational communications lies in the potentiality of assent of those to whom they are sent.
- b) The system of communication is a primary and continuing problem of a formal organisation; and
- c) There are controlling factors in the character of the communication system as a system of objective authority.

Barnard did not agree with the classical concept of authority, where it comes from top to bottom. Barnard asserted that authority rested on the acceptance or consent of subordinates. In his opinion, authority is confirmed only when it is accepted by a person to whom it has been addressed. Disobedience of such communication is a denial of authority.

Zone of Indifference

The 'Zone of Indifference' is Barnard's (1948) pivotal contribution. According to Barnard, every individual has a 'Zone of Indifference'. It is like Simon's 'Zone of Acceptance'. It implies that a person will accept orders willingly and without question, as long as they fall within this Zone. The Zone may be wider or narrower depending upon the degree to which individual's commitment to the organisation and to which the inducements exceed the burdens and sacrifices associated with compliance with a specific order.

He has observed, 'If all the orders for actions, reasonably practicable, be arranged in the order of their acceptability to the person affected, it may be conceived that there are a number, which are clearly unacceptable, that is, which certainly will not be obeyed; there is another group somewhat more or less on the neutral line, that is, either barely acceptable or barely unacceptable; and a third group unquestionably acceptable. This last group lies within the 'Zone of Indifference.' The person affected will accept orders lying within this Zone and is relatively indifferent as to what the order is so far as the question of authority is concerned.'

The Functions of the Executive

The vitality and endurance of an organisation depends on the functions of the executive. According to Barnard (*ibid.*), the essential executive functions are: (i) to maintain the system of communication necessary for cooperation to be coordinated, (ii) to promote and secure essential efforts, and (iii) to formulate and define the purpose for the organisation.

First function of maintenance of the system of communication and authority has *two* components: (a) defining the organisational positions, and (b) maintaining a personnel system. The former requires organisational charts, specification of duties, division of work, etc. The latter includes recruiting individuals possessing appropriate qualifications and skills and offering salary, incentives, allowances, etc. These *two* components are complementary and depend on each other.

Systems and Socio-Psychological Approaches

Check Your Progress 1			
Note: 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) Wha	nt do you understand by Systems Approach?		
2) Brie	fly list the major contributions of Chester Barnard.		
•••••			

7.5 SOCIO-PSYCHOLOGICAL APPROACH

Socio-psychological Approach is a tool to understand the theories that recognise the organisation as a socio-psychological system with emphasis on the human side. It is the application of behavioural science such as psychology, sociology and anthropology to the study of human side of organisation. The Classical Management theories build on the notion that the effectiveness of organisation depends on their structure, management principles and methods. It was evident in earlier theories such as Scientific Management Theory by Frederick W. Taylor, and Bureaucratic Management Theory by Weber etc. These theories emphasised on technical aspects of work and forgot the human side of the organisation. As these theories overemphasised the mechanical and physiological characters of management, they attracted many criticisms, especially on the grounds of absence of human aspect/side of organisation.

Proponents of Socio-psychological Approach believe that individuals play a vital role in the success or the failure of the organisation. A belief in human beings and their contribution to organisation is central to this Approach. It emphasises on time needs, drives, behaviour and attitude of individuals. It helps to understand why individuals behave as they do and what psychological and social factors influence them. It helps a manager to identify the motives, which influence the behaviour of employees at work to attain organisational objectives. These theories recognise and give importance to the behavioural aspect of employees and study how better it can be utilised for effectiveness of organisations. In this Unit, we will explain the prominent theories given by Abraham Maslow, Douglas McGregor, and Frederick Herzberg that come under the Socio-psychological Approach.

7.6 MASLOW'S HIERARCHY OF NEEDS THEORY

Abraham Maslow is the Father of Humanistic Psychology. Maslow's Motivation Theory is one of the best known and most influential theories on workplace motivation.

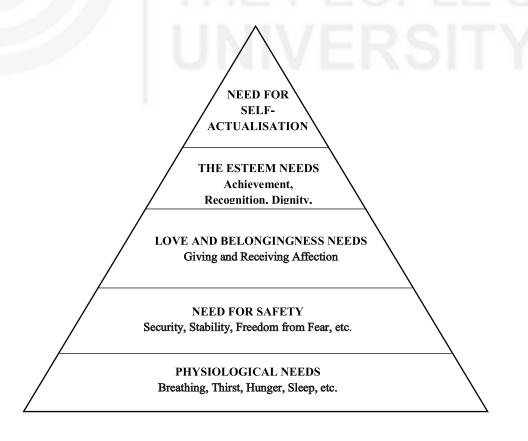
He published his work 'Motivation and Personality' in 1954. He provided the framework to study and analyse human motivation. Maslow believed that "the fundamental desires of human beings are similar despite the multitude of conscious desires" (Zalenski and Raspa, 2006). Maslow suggested that human beings have a hierarchy of needs, as being made up of five needs, which are "physiological, safety, love, esteem, and self-actualisation" arranged in a pyramidal manner, with physiological needs making up the bottom of the pyramid.

According to Maslow, human being is an organism, which drives into action to satisfy its needs. The fundamental principle behind his hierarchy of needs is that people are born with certain needs, the fulfilment of basic needs will allow to move forward and fulfil other more complex needs. He insists that the urge for self-actualisation is deeply entrenched in the human psyche, but only surfaces once the more basic needs are fulfilled. This pattern of hierarchy of needs acts as a major determinant in individual adjustment within an organisation. By understanding the needs of the human being, the manager can motivate them towards organisation goals with appropriate intervention strategies.

At the *first* and lowest level of need is *physiological needs*- these are most prepotent needs for sustaining human life itself. Breathing, thirst, hunger, sleep and biological satisfaction are the physiological needs without which the people cannot survive. Maslow (1943) has observed that unless these needs are satisfied to the degree necessary to maintain life, other needs will not motivate people.

Second comes the needs for safety, comprised of: "...security, stability; dependency; protection; freedom from fear, anxiety and chaos; need for structure, order, law, and limits; and so on' (Maslow, 1954, op.cit.).

Third level of needs are the *love and belonging needs*, which, in the words of Maslow, involve '... giving and receiving affection'. People want to establish relationships with other and at the same time also want them to establish reciprocal relationships (*Ibid.*). The hierarchy of needs is depicted in the figure below:



Systems and Socio-Psychological Approaches

Then comes *fourth* level of needs, the *esteem needs*, which involves self-worth, or esteem, and the esteem of others. Maslow notes that it involves, 'the desire for strength, achievement, adequacy, mastery and competence, confidence in the face of the world, and independence and freedom'. Further, he says, is a desire for '...reputation or prestige...status, fame, and glory, dominance, recognition, attention, importance, dignity, or appreciation.' He stresses that self-esteem originates from the 'deserved respect' (Maslow, 1954, *ibid.*) from others and this comes as a result of 'will-power, determination and responsibility'.

Fifth and highest level of needs are the Need for Self-actualisation. This entails maximising one's potential and to accomplishing something. According to Maslow's definition of self-actualisation:

"It may be loosely described as the full use and exploitation of talents, capabilities, potentialities, etc. Such people seem to be fulfilling themselves and to be doing the best that they are capable of doing... They are people who have developed or are developing to the full stature of which they capable."

These are self-transcendence needs such as self-growth, self-fulfilment and professional accomplishment. According to Maslow, physiological, security, social and esteem needs are 'deficiency' needs that arise because of deprivation. The highest level of the pyramid is called the 'growth or progressive' needs.

Maslow separated the five needs into higher and lower orders: Physiological and Safety needs are described as lower order and Social, Esteem, and Self-actualisation needs are discribed as higher order needs. Further, higher order needs are satisfied internally, and lower order needs are predominantly satisfied externally. Maslow has observed that "the average member of our society is most often partially satisfied and partially unsatisfied in all of his wants" (Maslow, 1943, *op.cit.*).

Thus, by analysing the needs and its potential to motivate human beings, Maslow's theory helps to understand the behaviour of human beings. This theory helps the managers to understand how to motivate the human beings towards the desired organisational goals. However, critics have alleged that there is direct cause and effect relationship between need and behaviour. Further, one particular needs may cause different type of behaviour in different persons. On the other hand, as a particular individual behaviour may be due to the result of different needs.

Research has proved that levels of the need hierarchy was not as distinct as Maslow professed; levels were overlapped, and it was difficult to prove which level of need ended when and was no longer a motivator. Also, substantial satisfaction of one level of need doesn't necessarily lead to next higher level of need. Again, Maslow's description of self-actualisation and how self-actualised people felt and behaved are little vague and cannot be generalised for people from different cultural, social and geography. Despite these shortcomings, Maslow did provide a broad framework to study human motivation and human behaviour.

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) Explain the five levels of needs given by Maslow.

7.7 DOUGLAS McGREGOR'S THEORY X AND THEORY Y

Douglas McGregor was an American Socio-Psychologist. He proposed his famous X and Y theories in his Book 'The Human Side of Enterprise' (1960). These theories are about human behaviour and motivation in the organisation. These theories remain central to organisational development and attempt to improve organisational culture. McGregor postulated that every leader has core assumptions about human nature and these assumptions influence the style of leadership practiced by the leader. He opined that the core leadership assumptions (Theory X and Theory Y) will assist the leaders to question their underlying assumptions and perceptions about people.

McGregor believed that as companies become more competitive because of technological advancements, the success of organisations would be more dependent on the dynamics of the people. He viewed that for most to be derived from people, they have to be treated as individuals, each with their own set of values and motivations. He stressed that people must not be treated as machines but as living individuals who could be developed to help achieve organisational goals. He emphasised the importance of leaders and their attitudes about employees, because that potentially impact the response they get from those they lead. Further, McGregor (1960) thought that if leaders did not examine certain core assumptions they have about people, it could limit their appreciation and view of the strength of human capacity for growth, collaboration and development.

McGregor believed that giving importance to the human side of management and leadership is a fundamental requirement for the success of organisations. He was of the strong opinion that leaders could behave in ways that would result in high organisational commitment from their subordinates. According to McGregor, the employees and leaders in the organisation can be divided into two typical groups based on how leaders lead their subordinates and respectively how subordinates behave.

The assumptions behind Theory 'X' were as follows:

- Employees in an organisation were lazy and did not like work.
- Employees wanted to work as little as possible and tended to avoid it.
- Employees were self-centred and non-committal to organisational needs.
- Employees were not intelligent and creative, avoided responsibility and were reluctant to change.
- Employees preferred to be directed.

Because of the above assumptions, leaders subscribing to this Theory would closely supervise, direct and control their employees and also use coercive factors like external stimuli (punishments and rewards) to get them driven towards organisational goals.

Systems and Socio-Psychological Approaches

Often, leaders of this Theory were intolerant, maintained distance from employees, non-participative and biased. These qualities belonged to *authoritarian style of leadership* with more emphasis on work than people.

The assumptions behind Theory 'Y' were as follows:

- Employees treated their work as natural and enjoyed working, if the environment was suitable.
- Employees were intelligent, imaginative and creative.
- Employees gladly accepted autonomy or responsibility, and even actively sought it.
- Employees agreed with the goals of the organisation and could self-control and self-direct towards them.
- Employees demonstrated an actively creative and innovative approach towards the challenges of the organisation.

Because of the above assumptions, leaders of this Theory were understanding, constructive, participative, result-oriented, and effective. Often leaders of this Theory were democratic and people-centred, where the individual is valued and appreciated. They believe that when workers are given the right environment, they can achieve their highest potential and can be of great value to their organisation. These qualities belong to *participative style* of leadership with more emphasis on people than work.

McGregor (1957) was a votary of the Theory 'Y', however, he pointed out that the change of assumptions and leadership style from authoritative to participative could not be achieved overnight, and as he noted "change in the direction of Theory Y will be slow, and it will require extensive modification of the attitudes of management and workers alike". McGregor (1976) emphasised that, Theory X and Theory Y did not lie at the extremes of a scale, they were simply different cosmologies.

McGregor also spoke of transactional concept of power and influence. His concept of transactional influence has been of great relevance. He emphasised on how managers, through this concept, could deal with their role, style, power, issue of control, team work and their own selves (Dhameja and Mishra, 2016).

McGregor's ideas were not new; he was deeply influenced by Maslow. His assertion of leader's assumptions and attitudes towards his employees, The fact that it could motivate employees, which in turn would impact organisational development were all new to the management thought. One criticism, which has been levelled against McGregor (1960), which he acknowledged, is the fact that his theories postulated in 1960s did not consider the impact and role of environmental factors. Bennis (1972) pointed this out by observing that McGregor's Theory of organisation depends on a psychologically determined set of superior-subordinate relationships. There are no technological factors, norms, or groups, nor are there economic, cultural, legal or political impositions (Bennis, *ibid*; Kwasi, 2009).

According to Schein (2011), "there is nothing in this Theory that says that a manager should behave in any particular matter, only that how he or she behaves is driven by deep cognitive assumptions" which means an organisation should learn whether being more like Theory 'X' or 'Y' has an impact on the effectiveness of the manager. The consequence for the organisation is to understand what managerial assumptions are

more effective or desired and question underlying assumptions rather than managerial actions and abilities (Schein, *ibid.*; Dave and Anna, 2013).

Despite all the criticisms levelled against McGregor's Theory, his ideas have made a significant contribution to the field of management. Perhaps the most important is how organisations view their employees, a paradigm shift from seeing them as mature individuals from immature individuals and accordingly leading them through participative style of management rather than authoritarian style.

7.8 HERZBERG'S TWO FACTOR THEORY

Another prominent thinker whose contribution can be viewed through Socio-psychological Approach is Frederick Herzberg. He has tried to understand employees' attitudes and motivation, by determining the factors in an employee's work environment that cause satisfaction or dissatisfaction. He published his findings in the 1959 Book *The Motivation to Work*.

His studies included interviews in which employees were asked what pleased and displeased them about their work. Herzberg found that the factors causing job satisfaction (and presumably motivation) were different from those causing job dissatisfaction. He developed the Motivation-Hygiene Theory to explain these results. He called the satisfiers, motivators and the dissatisfiers the hygiene factors, using the term "hygiene" in the sense that they are considered maintenance factors that are necessary to avoid dissatisfaction but that by themselves do not provide satisfaction.

Table given below presents the top *six* factors causing satisfaction and dissatisfaction among employees in their working environment. It is listed in the order of higher to lower importance:

Herzberg's Two-Factor Theory		
Motivation Factors (Satisfiers)		
Achievement		
Recognition		
Work itself		
Responsibility		
Advancement		

Herzberg has observed that satisfaction and dissatisfaction are *two* different set of factors and cannot be treated as opposite to one another. It means opposite of satisfaction is not dissatisfaction, but rather, no satisfaction. Similarly, the opposite of dissatisfaction is not satisfaction. It implies that, a neutral state exists as contrary to job satisfaction and job dissatisfaction. A worker may either be satisfied or not satisfied (neutral) with motivational factors. Similarly, a worker is either dissatisfied or not dissatisfied (neutral) with hygiene factors (Lakshmipathy, 1991).

Herzberg has argued that satisfiers and dissatisfiers are *two* distinct human needs and can be tagged under physiological and psychological needs of human beings respectively. Physiological needs (dissatisfiers) can be fulfilled by money, dignified working environment, quality of interpersonal relations, job security, etc. Psychological needs are appreciation and encouragement from organisation or leaders, opportunities to achieve and grow, autonomy in work, etc. It implies that hygiene factors determine how a worker feels about his company or organisation in general (external), whereas the motivation factors determine how an employee feels about his job. Herzberg argues that dissatisfiers only provide short-term success because the motivator factors

Systems and Socio-Psychological Approaches

that determine whether there is satisfaction, or no satisfaction are intrinsic to the job itself and do not result from external factors. This rationale thinking of Herzberg explains why a worker may hate his job and yet remain with a company or happy with his job and yet quit an organisation.

In order to motivate employees for long-term and satisfy individual needs, Herzberg has suggested job enrichment and job loading. By job enrichment he meant that the job should be challenging enough to utilise employees' abilities. Increased ability should be adequately rewarded with higher responsibility. Through job enrichment, managers could maximise intrinsic motivation of employees. If a job cannot be designed to use an employee's full abilities, then the firm should consider automating the task or replacing the employee with one who has a lower level of skill. If a person cannot be fully utilised, then there will be a motivation problem.

Critics have argued that job satisfaction does not necessarily imply a high level of motivation or productivity. This Theory is not free from bias, it is based on the natural reaction of employees when they are enquired about the sources of satisfaction and dissatisfaction at work. It is a natural tendency of the human being to blame external factors and not their own selves. Also, this Theory ignores blue-collar workers. Despite these limitations, Herzberg's Two Factor Theory is broadly accepted in management and administration.

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) Discuss McGregor's Theory 'X' and Theory 'Y'.		
2) Bring out the concepts of Satisfiers and Dissatisfiers.		

7.9 CONCLUSION

As organisations grow in numbers, size, and activities, the number of problems and their complexity increase exponentially and threaten efficient management. Many authors have come up with different theories to solve them. Among them, Theories of Barnard on the one hand and Maslow, McGregor and Herzberg on the other can be put under Systems Approach and Social-Psychological Approaches respectively. As proposed by Systems Approach, Chester Barnard's Theory has seen organisation as a cooperative system in which authority, executive functions, leadership and

communication are important parts. He recognised informal organisation as an important part of formal organisation.

Socio-psychological Approach has dealt with the application of behavioural science to the study of human side of organisation. It is contrary to the traditional view of treating people as a 'cogs in machine' and recognising people in organisation as human beings with a different personality, capability, and also needs and values. Abraham Maslow's Theory recognised that every human being has different levels of needs, which can be used to motivate employees in an organisation.

McGregor talked about the assumptions/attitudes of the managers about their employees in an organisation and their leadership style to lead them towards organisational achievements. Herzberg has given a set of satisfiers and dissatisfiers that the managers have to apply appropriately to motivate employees in an organisation, for long-term growth and development of both employees and organisation. This Unit has tried to examine the key features of these Theories under Systems and Socio-psychological Approaches.

7.10 GLOSSARY

Dissatisfiers and Satisfiers

: These parameters impact work behaviour. Propounded by Frederick Herzberg, dissatisfiers are the hygiene factors. These are factors that can upset employees if not met. These are salary, work conditions, paper work, company policy etc. Satisfiers are the motivators that make employees happy. These are recognition, promotion, opportunity for personal development and increased levels of responsibility.

Self-Actualisation

: The term was coined by Abraham Maslow and it has been put to use in various theories in psychology. Self-actualisation literally means realising one's potential but it goes much beyond that in Maslow's analysis. For him, it means expression of creativity, quest for knowledge and spiritual enlightenment, desire to transform. Basically, a stage where basic as well as mental needs of an employee in an organisation are truly fulfilled.

Motivation

: The term has been derived from the word 'motive'. It is a driving force that pushes an employee to initiate a behaviour. It depends on factors such as intensity of need, incentive value of goal and expectations of individuals. It varies from person to person and circumstance to circumstance.

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Systems and Socio-Psychological Approaches

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7.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Systems Approach views organisation as a system that lays emphasis on holism.
 - It looks at organisational subsystems that make a system.
 - External environment of organisation or the supra-system is crucial to the organisation.

Behavioural, Systems and Socio-Psychological Perspectives

- Organisation constantly interacts with supra-system and takes inputs from it.
- Organisation and supra-system are interdependent.
- 2) Your answer should include the following points:
 - Organisational Theories.
 - Hierarchy of Needs.
 - Organisational Equilibrium.
 - Acceptance Theory of Authority.
 - Zone of Indifference.
 - Functions of Executive.

Check Your Progress 2

- 1) Your answer should include the following points:
 - Physiological Needs
 - Safety Needs
 - Belongingness Needs
 - Esteem Needs
 - Self-Actualisation Needs.

Check Your Progress 3

- 1) Your answer should include the following points:
 - Presumption under Theory 'X' are that human beings are lazy, work shirkers, like to be directed, are self-centred and non-committal.
 - Presumptions under Theory 'Y' are that human beings are creative, accept responsibility, are motivated, can self-control and self-direct.
- 2) Your answer should include the following points:
 - Satisfiers are motivators like responsibility, achievement, recognition and advancement.
 - Dissatisfiers are hygiene factors like salary, promotion and interpersonal relations.

BLOCK 3 PUBLIC POLICY PERSPECTIVE



UNIT 8 PUBLIC POLICY APPROACH*

Structure

- 8.0 Objectives
- 8.1 Introduction
- 8.2 Nature of Public Policy Approach
- 8.3 Origin and Development of Public Policy Approach
- 8.4 Different Viewpoints on Public Policy Approach
- 8.5 Selected Models/ Approaches to Public Policy
- 8.6 Limitations of Public Policy Approach
- 8.7 Conclusion
- 8.8 Glossary
- 8.9 References
- 8.10 Answers to Check Your Progress Exercises

8.0 OBJECTIVES

After reading this Unit, you should be able to:

- Explain the meaning of Public Policy Approach and Model;
- Describe the different types of Public Policy Approaches;
- Examine the limitations of the Public Policy Approach; and
- Discuss the development of the Public Policy Approach.

8.1 INTRODUCTION

Most governments of Third World countries are engaged in the momentous task of kindling rational resurgence through socio-economic development. They are struggling hard to develop their economy, to sustain improvements in the social system and to increase the capacity of their political system with a view to achieving the major objectives of sustainable development. They seek to improve the relevant policies. It is, therefore, taken for granted that the study of approaches, strategies and concepts, which will contribute towards this end is essential. The study of public policy represents a powerful approach for this purpose. Public policy is an important mechanism for moving a social system from the past to the future. The future requires new policies and choices.

What is trivial today may be of colossal importance in future. We can understand the future by extrapolation of the present trends. People cannot avoid being concerned with the consequences of public policy. The study of the past is therefore very important as it helps in explaining the present policy system. The past policies perpetuate themselves into present and future policies. Public policy is a field, which tends to be defined by policy areas or sectors. Some of the key areas of public

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Public Policy Perspective

policy include: health, education, transport, environment, housing, public toilets, law and order and urban planning. Within each of these areas, there exist specialised research networks and communities, which address problems and policies and advocate ideas (Harrop, 1992).

Thus, the Public Policy Approach is of vital importance. Now, the focus of political science and administration has shifted to description of content of public policy, analysis and explanation of the causes and consequences of government activity. Thomas Dye (2004) puts the matter in this way: "This focus involves a description of the content of public policy; an analysis of the impact of social, economic and political forces on the content of public policy; an inquiry into the effect of various institutional arrangements and political processes on public policy; and an evaluation of the consequences of public policies on society, both expected and unexpected".

8.2 NATURE OF PUBLIC POLICY APPROACH

The starting point for a discussion of Public Policy Approach is to consider what we mean by the terms 'public policy' and 'approach'. It is generally contended that 'public policy' has to do with those spheres, which are so labelled as 'public' as opposed to spheres, which involve the idea of private. The expression 'public policy' presupposes that there is a domain of life which is not, private or distinctly individual, but held in 'common'. The sphere of the public interest or public opinion cannot be the same as that held by the private individuals.

The term 'public' comprises that aspect of human activity, which requires governmental intervention to secure public interest. The role of the State has been thus to create the conditions in which the public interest could be so protected. However, there has always been a debate on tension between what constitutes public and what is held to be private. Thomas Birkland discerned following key attributes of 'public' policy:

- "Policy is made in response to some sort of problem that requires attention.
- Policy is made on 'public's behalf.
- Policy is oriented toward a goal or a desired state, such as the solution of a problem.
- Policy is ultimately made by governments, even if the ideas come from outside government or through the interaction of government and non-governmental actors.
- Policy is interpreted and implemented by public and private actors who have different interpretations of problems, solutions, and their own motivations.
- Policy is what the government chooses to do or not to do" (Birkland, 2011).

To Cochran and Malone, the term 'public policy' refers to 'the study of government decisions and actions designed to deal with a matter of public concern" (Cochran and Malone, 2014). For Guy Peters (1999)'public policy' "is the sum of government activities, whether acting directly or through agents, as it has an influence on the life of citizens". In the words of Thomas Dye (2004, *op.cit.*) "Public policy is whatever governments choose to do or not to do".

Taken as a whole, policy may be defined as a purposive course of action taken or adopted by those in power in pursuit of certain goals or objectives. It should be added here that public policies are the policies adopted and implemented by government bodies and non-governmental actors. Having explained the concept of

'public policy', we will now discuss the meaning and utility of policy approaches and models.

With a view to understanding public policy and its problems better, policy scholars and policy theorists have expounded various models and approaches. These models and approaches simplify and clarify our thinking about public policy and its problems. They also suggest explanations for public policy and predict its consequences. Although different ways of explaining public policy have been adopted and used, it would be proper to understand what a 'model' is and how it differs from an 'approach'.

Admittedly, approaches are broad pathways to understanding a theme or subject, whereas models are slightly more well-knit abstractions, which can even be represented in mathematical or geometric form. An approach is a scholarly strategy or mode of analysis, which provides a set of intellectual tools for the study and understanding of political phenomena. An approach may in itself constitute a major body of theory or it may take the form of a simulation model. The main objective of an approach is to give order to a diverse range of political phenomena by fitting them within a limited set of concepts.

On the other hand, a model is a simplified representation or abstraction of some aspect of the real world. As a matter of fact, a model directs our attention away from irrelevant aspects or variables and focuses on the "real causes and significant consequences of public policy". Most models are intellectual constructs used to organise thoughts and direct research. Models typically include sets of categories, assumptions, and postulates, which are used to sort out data, analyse it, determine relationships, and help the model builder to explain or predict. In the words of J. Forester, the famous policy modeller, "The mental image of the world around you which you carry in your head is a model. One does not have a city or a government or a country in his head. He has only selected concepts and relationships, which he uses to represent the real system. A mental image is a model". Policy models are mental constructs of reality in specific policy issue areas such as poverty eradication, energy conservation and so on. The models are artificial devices for imaginatively ordering and interpreting the experiences of problem situations.

For better explanation of the public policy and its consequences, Y.Dror has prescribed *nine* elements which are as follows:

- i) There should be some clarification of values, objectives, and criteria for decision making.
- ii) The method should include identifying of alternatives, with an effort to consider new alternatives (by surveying comparative literature, experience, and available theories) and to stimulate creation of several alternatives.
- iii) The method should include preliminary estimation of expected payoffs from the various alternatives, and decision on whether a strategy of minimal risk or of innovation is preferable.
- iv) If it is the first, the incremental change model should be followed. If it is the latter, the next step would be establishing a cut off horizon for considering the possible results of the alternative policies, and identifying the major expected results, relying on available knowledge and intuition.
- v) Analysis of the alternatives should deal with both quantitative ("economic") and qualitative ("political") factors, in order to overcome the limitations of current systems analysis and advance toward policy analysis.

Public Policy Perspective

- vi) The method should include an effort to decide whether the issue is important enough to make more comprehensive analysis worthwhile.
- vii) Theory and experience, rationality and extra rationality, will be relied upon; the composition of the mix must depend upon their various availabilities and on the nature of the problem.
- viii) Explicit techniques, such as Simulation and the Delphi methods, should be used as far as they are appropriate, and knowledge from various disciplines should be brought to bear on the issues involved.
- ix) The method should include explicit arrangements to improve the policy-making by systematic learning from experience, stimulating initiative and creativity, developing the staff, and encouraging intellectual effort.

8.3 ORIGIN AND DEVELOPMENT OF PUBLIC POLICY APPROACH

The Enlightenment notion that people's problems could be solved through the application of human knowledge forms the basis and the background of the origin and development of public policy approach. Thus, we may chart the development of the policy approach in terms of the acquisition of facts and knowledge about problems so as to formulate better solutions. As Max Weber, a German sociologist, showed, the growth of industries led to a search for more rational forms of organisation (termed as bureaucracy) for the State. Out of this, was to emerge the kind of separation of policy-making as a political function from administration as a bureaucratic function. In the early 20th century, economist John Maynard Keynes claimed that if government was to have any chance of dealing with the problems of day, it had to recognise the need for a policy approach to governing.

The growth of public policy as a distinct field of academic activity may be traced to the late 1960s when, as a result of a meeting held under the auspices of the American 'Social Science Research Council', two Conferences resulted in a collection of papers edited by Austin Ranney (1968). In 1972 the Policy Studies Organisation was founded and this was followed by other 'policy' - focused associations and several journals (Henry, 2012). But perhaps more significant development was that the subject of policy and problems got the attention of wide academic interest. Consequently, policy analysis emerged in the 1970s as an approach which offered the possibility of a unified or integrated social science which could bridge the boundaries of academic disciplines. The prospects of policy analysis as an integrative field of inquiry prompted a lively symposium under the auspices of the American Academy of Political and Social Science in 1971 (Charlesworth, 1972).

In the 1970s and 1980s, numerous textbooks were published that aimed at undergraduate and post-graduate courses which were concerned with the analysis of policy-making, and the role of analysis in decision-making. This period also witnessed a veritable explosion of think tanks and research institutions in which interdisciplinary approaches to policy thrived. Think-tanks have provided the kind of problem and policy-focused environment, which has been conducive to the renewal of the 'policy orientation', which was first promoted by Harold Lasswell in 1951.

In the 1980s and 1990s, one of the most distinctive features of the public policy field was the extent to which it had spread beyond America to other countries. This indeed is a significant development because, for the greater part of the history of the subject, it has tended to be dominated by American material and ideas. But, it

was in America where moves towards a more unified approach to the study of public problems and policy really began in the work of Harold Lasswell (1951).

The Public Policy Approach is most closely associated with the contribution of four scholars: Harold Lasswell, Herbert Simon, Charles Lindblom and David Easton. Their ideas figure prominently in their works. But, there is no better starting point for the study of policy-making and the role of policy analysis than to read their early works and follow the development of their thought.

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 Public Policy?		
2) Bring out the difference between a Model and an Approach.		

8.4 DIFFERENT VIEWPOINTS ON PUBLIC POLICY APPROACH

Lasswell's Ideas on Public Policy Approach

Harold Lasswell, perhaps, stands out as the pre-eminent moving spirit behind the growth of a Policy Approach. His writings on public policy may be dated back to the 1980s, when he was inspired by the Chicago School to be concerned with problems and to take a multidisciplinary approach. In the 1940s, for example, he was instrumental in setting up an early 'think-tank', the American Policy Commission, whose aim was to "close the gap between knowledge and policy" by fostering a constructive dialogue between social scientists, businessmen, and policy-makers (Smith, 1991).

Lasswell remarked: "We can think of the Policy Sciences as the discipline concerned with explaining the policy-making and policy-executing process, and with locating data and providing interpretations which are relevant to the policy problems of a given period. The Policy Approach does not mean that the scientist abandons objectivity in gathering or interpreting data, or ceases to perfect his tools of inquiry. The policy emphasis calls for the choice of problems, which will contribute to the

Public Policy Perspective

goal values of the scientist, and the use of scrupulous objectivity and maximum technical ingenuity in executing the projects undertaken".

He introduced the idea of knowledge of/in the policy process and argued that the distinctive outlook of the Policy Sciences is that it is problem-oriented. This problem focus means that the subject aims to be multidisciplinary, involving the synthesis of ideas and techniques. According to Lasswell(1970), Policy Sciences could be defined in terms of 'knowledge in the policy process' and 'knowledge of the policy process' Policy Sciences thus included:

- i) Policy Analysis: concerned with knowledge in and for the policy process;
- ii) The Analysis of the Policy Process: concerned with knowledge about the formation and implementation of public policy. Policy analysis therefore evolved in an era in which government was seen as a 'problem-solver' and the political system as a problem-processor (Keith Hope, *quoted* in Sharpe, 1975).

Simon's Contribution to Public Policy Approach

Herbert Simon's contribution to the development of the Policy Approach has been without doubt outstanding. His work on *Administrative Behaviour* (1947; 1957) is central to the analysis of rationality (bounded) in decision-making in terms of a sequence of rational stages: intelligence, design, and choice. He sets out *two* tasks in decision analysis. At a theoretical level, analysis involves the study of the limits of human rationality in organisation contexts; while in practical terms, it involves designing the organisational environment so that "the individual will approach as close as practicable to rationality in his decisions" (Simon, 1957).

Lindblom on Public Policy Approach

Charles Lindblom's contribution to the development of the Public Policy Approach is equally important. He is well-known for his advocacy of an alternative to Simon's Rational Approach in the form of 'incrementalism'. His Article, "The Science of Muddling Through" (1959) still remains an enriched contribution to the formation of a theory of the policy-making process. However, over the years, Lindblom's thought has evolved beyond his original argument. Lindblom criticised Simon's Rational Model and also rejected the idea that thinking in terms of stages or functional relationships (as advocated by Lasswell and Easton) was of any real value to the study of the policy process.

On the contrary, Lindblom's Model (1968) took account of power and interaction between phases and stages. To him, policy-making "is a complexly interactive process without beginning or end." It is gradually evolving, including variations on the past. This Approach is more politically expedient than Rational Approach. The policy-maker under this Approach is perceived as a person who does not have the time, money and brains to make totally different policies.

Easton's Views on Public Policy Approach

The policy focus in political science is closely associated with David Easton's contribution (1965). He provided a model of the political system which greatly influenced the way in which the emerging study of policy (outputs) in the 1960s began to conceptualise the relationship between policy-making, policy outputs and its wider 'environment'. The main characteristics of the Eastonian model is that of viewing the policy process in terms of received inputs, in the form of flows from the

environment, mediated through inputs channels (parties, media, interest groups); demands within the political system (withinputs) and their conversion into policy outputs and outcomes.

The textbooks, which provided the 'normal science' of policy analysis were, for the most part, derived from the fusion of Lasswell, Simon and Easton's models of decision-making and the political 'system' (Kahn, 1962). The combination of rational stages (Lasswell's) and systems approaches (Eastonian) thus afforded a more dynamic framework of policy-making, although from Lindblom's point of view, these models have served more to obscure than to illuminate the policy process.

Besides Easton's Model, Almond (1998) set out a model of the political system as composed of inputs (interest articulation), process functions (interest aggregation, policy-making, policy implementation and adjudication) and policy function (extraction, regulation and distribution). Policy output is fed back into the political system, which is a part of domestic and international environment.

Vickerian Approach to Public Policy

The social scientists, particularly in the field of public policy, who had most influence on the development of models for analysing the policy-making process were American, but there were a few exceptions to the dominance of American Policy Sciences. Sir Geoffrey Vickers, a British theorist, wrote *The Art of Judgement* in 1965. His work is important but had far less influence on the way in which the Policy Approach evolved. Vickerian Model addresses policy-making as a complex activity in which values and reality judgements are modified and adjusted, and in which problems are never solved in the way goal-setting conceptualisations suggest. His work stresses the importance of analysing the interaction of value judgements and reality judgements.

Dror's Approach to Public Policy Making

Yehezkel Dror was an Israeli political scientist who contributed to the enrichment of the policy-making process. He was opposed to Lindblom's incrementalist position and advocated a modified form of rationalism. He drew from system analysis, policy analysis and the behavioural sciences in an attempt to develop a scientific approach to the study of public policy. His work *Public Policy Making Re-examined* published in 1968 still remains as an important source of the policy approach, and the later edition of 1989 greatly benefitted from practical experience in the Israeli government. It may be observed that from the Middle Eastern perspective, Y.Dror was more sensitive to the constraints of the policy analysis for the developing countries than had been the case of American and European texts.

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) Examine the views of Simon and Easton on Public Policy Approach.			

Public	Policy
Perspe	ective

2)	Discuss the Rational Policy Making and Group Models to Policy Analysis.

8.5 SELECTED MODELS / APPROACHES TO PUBLIC POLICY

Since the 1960s many scholars in political science and policy theorists have developed a number of policy models and approaches to help as understand politics and policy process. Specifically, here an attempt is made to examine public policy from the perspective of the following models and approaches:

Institutional Approach to Public Policy Analysis

In a democratic society, the State as a web of government structures and institutions performs many functions including formulation, implementation and evaluation of public policies. The government institutions give public policy *three* different characteristics. *Firstly*, the government gives legal authority to policies. Public policy is the outcome of certain decisions and is characterised by the use of legal sanctions. *Secondly*, the applications of public policy is universal. Only public policies extend to all citizens in the state. *Thirdly*, public policies involve coercion. A policy conveys the ideas of a capacity for imposing penalties, through coercion of a kind usually reserved to the government itself. Only the government can legally impose sanctions on violators of its policies. Since the government has the ability to command the obedience of all its people, to formulate policies governing the whole country and to monopolise coercion, the individuals and groups generally work for the enactment of their preferences into policies.

The institutional study has become a central focus of public policy. Thus, one of the models of the policy-making system might be called the Institutional Approach because it depends on the interactions of those institutions created by the Constitution, government or legislature. The Institutional Approach is also concerned with explaining how social groups and governmental institutions bring influence to bear on those entitled to take and implement legally binding decisions. Such decision-making includes those who hold office within the formal and Constitutional system of rules and regulations, which give formal authority and power to the various positions within the governmental structures and institutions. The Institutional Approach attempts to study the relationship between public policy and governmental institutions.

According to Thomas Dye, governmental institutions are structured pattern of behaviour of individuals and groups, which persist over a period of time. The value of the Institutional Approach to policy analysis lies in asking what relationships exist between institutional arrangements and the content of public policy, and also in investigating these relationships in a comparative fashion.